

# GEF-8 PROJECT IDENTIFICATION FORM (PIF)

## TABLE OF CONTENTS

<b>GENERAL PROJECT INFORMATION .....</b>	<b>3</b>
Project Summary .....	4
Indicative Project Overview .....	4
<b>PROJECT COMPONENTS .....</b>	<b>5</b>
<b>PROJECT OUTLINE .....</b>	<b>9</b>
A. PROJECT RATIONALE .....	9
B. PROJECT DESCRIPTION .....	13
Project description .....	13
Coordination and Cooperation with Ongoing Initiatives and Project .....	28
Core Indicators .....	29
Risks to Project Preparation and Implementation .....	33
C. ALIGNMENT WITH GEF-8 PROGRAMMING STRATEGIES AND COUNTRY/REGIONAL PRIORITIES .....	37
D. POLICY REQUIREMENTS .....	41
Gender Equality and Women’s Empowerment: .....	41
Stakeholder Engagement .....	41
Private Sector .....	42
Environmental and Social Safeguard (ESS) Risks .....	43
E. OTHER REQUIREMENTS .....	43
Knowledge management .....	43
<b>ANNEX A: FINANCING TABLES .....</b>	<b>43</b>
GEF Financing Table .....	43
Project Preparation Grant (PPG) .....	43
Sources of Funds for Country Star Allocation .....	44
Indicative Focal Area Elements .....	44
Indicative Co-financing .....	44
<b>ANNEX B: ENDORSEMENTS .....</b>	<b>45</b>
GEF Agency(ies) Certification .....	45
Record of Endorsement of GEF Operational Focal Point (s) on Behalf of the Government(s): .....	45
<b>ANNEX C: PROJECT LOCATION .....</b>	<b>45</b>
<b>ANNEX D: ENVIRONMENTAL AND SOCIAL SAFEGUARDS SCREEN AND RATING .....</b>	<b>46</b>
<b>ANNEX E: RIO MARKERS .....</b>	<b>46</b>
<b>ANNEX F: TAXONOMY WORKSHEET .....</b>	<b>46</b>

## General Project Information

### Project Title

Plastic Reduction in the Oceans: Sustaining and Enhancing Actions on Sea-based Sources (PRO-SEAS)

### Region

Global

### GEF Project ID

11166

### Country(ies)

Global

Costa Rica

Kenya

Vanuatu

### Type of Project

FSP

### GEF Agency(ies):

FAO

### GEF Agency ID

737402

### Executing Partner

IMO

### Executing Partner Type

Others

### GEF Focal Area (s)

International Waters

### Submission Date

4/12/2023

### Project Sector (CCM Only)

Mixed & Others

### Taxonomy

Focal Areas, Chemicals and Waste, Plastics, Waste Management, International Waters, Areas Beyond National Jurisdiction, Biomes, Seagrasses, Coral Reefs, Polar Ecosystems, Mangrove, Ship, Strategic Action Plan Implementation, Acquaculture, Learning, Coastal, Large Marine Ecosystems, Pollution, Persistent toxic substances, SIDS : Small Island Dev States, Transboundary Diagnostic Analysis and Strategic Action Plan Preparation, Fisheries, Marine Protected Area, Biodiversity, Mainstreaming, Influencing models, Deploy innovative financial instruments, Convene multi-stakeholder alliances, Transform policy and regulatory environments, Strengthen institutional capacity and decision-making, Demonstrate innovative approaches, Stakeholders, Type of Engagement, Partnership, Participation, Consultation, Information Dissemination, Communications, Awareness Raising, Public Campaigns, Behavior change, Education, Local Communities, Private Sector, SMEs, Individuals/Entrepreneurs, Large corporations, Civil Society, Non-Governmental Organization, Community Based Organization, Academia, Gender Equality, Gender results areas, Knowledge Generation and Exchange, Participation and leadership, Capacity Development, Gender Mainstreaming, Gender-sensitive indicators, Beneficiaries, Women groups, Sex-disaggregated indicators, Capacity, Knowledge and Research, Adaptive management, Indicators to measure change, Theory of change, Knowledge Generation, Training, Workshop, Innovation, Enabling Activities, Knowledge Exchange

### Type of Trust Fund

GET

### Project Duration (Months)

60

### GEF Project Grant: (a)

7,105,936.00

### GEF Project Non-Grant: (b)

0.00

### Agency Fee(s) Grant: (c)

### Agency Fee(s) Non-Grant (d)

675,064.00	0.00
Total GEF Financing: (a+b+c+d)	Total Co-financing
7,781,000.00	49,151,264.00
PPG Amount: (e)	PPG Agency Fee(s): (f)
200,000.00	19,000.00
PPG total amount: (e+f)	Total GEF Resources: (a+b+c+d+e+f)
219,000.00	8,000,000.00
Project Tags	
CBIT: No NGI: No SGP: No Innovation: No	

## Project Summary

Provide a brief summary description of the project, including: (i) what is the problem and issues to be addressed? (ii) what are the project objectives, and if the project is intended to be transformative, how will this be achieved? (iii), how will this be achieved (approach to deliver on objectives), and (iv) what are the GEBs and/or adaptation benefits, and other key expected results. The purpose of the summary is to provide a short, coherent summary for readers. The explanation and justification of the project should be in section B “project description”. (max. 250 words, approximately 1/2 page)

Sea-based marine plastic litter (SBMPL) from the shipping and fisheries sectors is estimated to comprise around 20% of all marine plastic litter and represents a major threat causing degradation to marine ecosystems. However, SBMPL has not been sufficiently addressed to date, which represents a major gap in the global response to MPL. The project will address this problem through developing transformative long-term solutions to reduce SBMPL from the shipping and fishing sectors. Key project components are: (1) Strengthening legal, policy and institutional frameworks; (2) Improving systems, facilities, tools and information to effectively manage SBMPL; (3) Developing incentives for environmentally sound disposal of SBMPL; and (4) Increasing knowledge of solutions to reduce SBMPL. Together these will ensure efficient and environmentally sound SBMPL management systems are established. In terms of GEBs, the project will reduce SBMPL from the shipping and fisheries sectors that will reduce negative impacts on the marine environment, including reduced deaths of threatened marine species and bioaccumulation of plastics and harmful chemicals in the marine food chain. It will also contribute to the objectives of the Global Plastics Treaty being negotiated by the UN member states. Key stakeholders are the shipping and fisheries authorities and industries, waste management/recycling and private sector companies, as well as relevant regional and global bodies. The project has a global scope but will also engage with several countries to pilot activities, initially Costa Rica, Kenya and Vanuatu (included in four LMEs), with additional countries to be confirmed during the project preparation phase.

## Indicative Project Overview

### Project Objective

To reduce sea-based marine plastic litter from the shipping and fisheries sectors, particularly in selected LMEs.

### Project Components

**Component 1: Strengthening legal, policy and institutional frameworks to reduce SBMPL, at national, regional and global levels**

Component Type	Trust Fund
Technical Assistance	GET
GEF Project Financing (\$)	Co-financing (\$)
1,691,890.00	11,793,803.00

Outcome:

**Outcome 1.1:** Improved legal and policy frameworks to reduce and manage SBMPL in selected countries.

**Indicator 1: National policies and legislation incorporate relevant regulations on SBMPL (MARPOL Annex V , LC/LP and FAO VGMFG ) in at least five selected countries.**

**Outcome 1.2:** Strengthened national and regional institutional frameworks and coordination for SBMPL management.

**Indicator 2: At least one regional action plan on SBMPL developed and/or implemented.**

**Indicator 3: % of completion of existing Regional Action Plan on SBMPL.**

Output:

**Output 1.1.1:** National Action Plans (NAPs) to address SBMPL prepared and implemented in selected countries.

**Output 1.1.2:** Legal and policy frameworks compliant with international regulations governing SBMPL (MARPOL Annex V, LC/LP, FAO VGMFG) in selected countries.

**Output 1.2.1:** National cross-sectoral coordination and collaboration mechanisms for addressing SBMPL management established or strengthened and promoted.

**Output 1.2.2:** Regional coordination mechanisms to address SBMPL management established or strengthened and promoted.

**Component 2: Improving systems, facilities, tools and information to effectively manage SBMPL.**

Component Type	Trust Fund
Technical Assistance	GET
GEF Project Financing (\$)	Co-financing (\$)
1,691,890.00	11,793,803.00

Outcome:

**Outcome 2.1:** Environmentally sound management of SBMPL adopted at target ports (demonstration projects).

**Indicator 4:** At least two new and/or improved PRFs operating in accordance with international standards at target sites (to be determined during PPG stage).

**Outcome 2.2:** Improved information, tools and systems for planning and management of SBMPL in shipping and fisheries sectors.

**Indicator 5:** Operational monitoring systems providing SBMPL data (plastic generated/received) at target ports feeding into SBMPL management decision processes.

Output:

**Output 2.1.1:** Measures to strengthen Port Reception Facilities (PRF) and their operations identified at selected ports (PRF gap analyses and feasibility studies conducted).

**Output 2.1.2:** Port waste management plans (PWMP) in place and under implementation at selected existing PRFs.

**Output 2.1.3:** Investment mobilized to upgrade and/or establish PRF systems to sustainably manage SBMPL in selected countries.

**Output 2.2.1:** Monitoring and assessment systems of sources and volumes of SBMPL in selected countries established and linked to SBMPL management decision-making, including ALDFG management.

**Output 2.2.2:** Improved technologies and tools to support prevention and reduction of SBMPL, including monitoring and compliance with international regulations governing SBMPL (MARPOL Annex V, LC/LP, FAO VGMFG), applied in pilot countries.

### Component 3: Developing and promoting practical opportunities and incentives for environmentally sound management of SBMPL.

Component Type	Trust Fund
Technical Assistance	GET
GEF Project Financing (\$)	Co-financing (\$)
2,368,645.00	16,608,930.00

Outcome:

**Outcome 3.1:** Innovative gender-responsive incentives and opportunities for environmentally sound management of SBMPL developed and/or promoted.

**Indicator 6:** At least 6 small businesses focused on either reuse, repurpose/ recycle or safe disposal of SBMPL established.

**Outcome 3.2:** Improved engagement of business sector in addressing SBMPL at global level.

**Indicator 7: Increased number of members of Global Industry Alliance (GIA) engaging with projects on SBMPL.**

Output:

**Output 3.1.1:** Incentives (financial, regulatory, operational, etc) for SBMPL management developed and promoted among key stakeholder groups (fishing and shipping industry) in selected countries.

**Output 3.1.2:** New or strengthened gender-responsive business ventures identified and developed in selected countries.

**Output 3.2.1:** New projects to address SBMPL identified and developed by Global Industry Alliance (GIA) on SBMPL.

**Component 4: Increasing knowledge and awareness of SBMPL and potential solutions to reduce and eliminate SBMPL among key stakeholders.**

Component Type	Trust Fund
Technical Assistance	GET
GEF Project Financing (\$)	Co-financing (\$)
676,756.00	4,331,443.00

Outcome:

**Outcome 4.1:** Increased knowledge of measures, options and incentives to effectively manage, reduce or eliminate SBMPL increased among key stakeholder groups (fishing and shipping industry).

**Indicator 8: Percentage increase in knowledge on SBMPL and solutions to address it among key stakeholder groups compared with baseline levels at start of project implementation according to project surveys (KAP survey).**

**Indicator 9: Number of webinars/reports/ publications/local awareness-raising events and other knowledge products delivered to IW:LEARN and disseminated.**

**Outcome 4.2:** Effective project implementation based on adaptive management and lessons learned.

**Indicator 10: Recommendations from operational M&E systems fed back into project implementation.**

Output:

**Output 4.1.1:** Project results, experiences, lessons learned and recommendations for successful implementation of effective SBMPL management measures documented, disseminated, and promoted.

**Output 4.2.1:** A gender-sensitive project M&E system designed and operational.

**Output 4.2.2:** Independent Mid-term Review and Terminal Evaluation undertaken with results fed back to project management.

**M&E**

Component Type	Trust Fund GET
GEF Project Financing (\$) 338,377.00	Co-financing (\$) 2,165,722.00

Outcome:

**Outcome 4.2:** Effective project implementation based on adaptive management and lessons learned.

**Indicator 10: Recommendations from operational M&E systems fed back into project implementation.**

Output:

**Output 4.2.1:** A gender-sensitive project M&E system designed and operational.

**Output 4.2.2:** Independent Mid-term Review and Terminal Evaluation undertaken with results fed back to project management.

## Component Balances

Project Components	GEF Project Financing (\$)	Co-financing (\$)
Component 1: Strengthening legal, policy and institutional frameworks to reduce SBMPL, at national, regional and global levels	1,691,890.00	11,793,803.00
Component 2: Improving systems, facilities, tools and information to effectively manage SBMPL.	1,691,890.00	11,793,803.00
Component 3: Developing and promoting practical opportunities and incentives for environmentally sound management of SBMPL.	2,368,645.00	16,608,930.00
Component 4: Increasing knowledge and awareness of SBMPL and potential solutions to reduce and eliminate SBMPL among key stakeholders.	676,756.00	4,331,443.00
M&E	338,377.00	2,165,722.00
<b>Subtotal</b>	<b>6,767,558.00</b>	<b>46,693,701.00</b>
Project Management Cost	338,378.00	2,457,563.00
<b>Total Project Cost (\$)</b>	<b>7,105,936.00</b>	<b>49,151,264.00</b>

Please provide justification



## PROJECT OUTLINE

### A. PROJECT RATIONALE

Briefly describe the current situation: the global environmental problems and/or climate vulnerabilities that the project will address, the key elements of the system, and underlying drivers of environmental change in the project context, such as population growth, economic development, climate change, sociocultural and political factors, including conflicts, or technological changes. Describe the objective of the project, and the justification for it. (Approximately 3-5 pages) see guidance here

#### **Problem and threat**

It is estimated that around 20% of marine plastic litter (MPL) originates from sea-based sources (so-called sea-based marine plastic litter or SBMPL). This largely comes from the shipping (35%) and fisheries (65%) sectors and includes single-use plastics, such as packaging, strapping, bags, utensils, containers (for oils, chemicals and detergents), buckets, water bottles and other plastic items, thrown overboard by crew and passengers while in transit. Other major sources are from abandoned, lost or otherwise discarded fishing gear (ALDFG) such as plastic gill nets and other gear (from both industrial and Small Scale Fisheries), as well as cargo residues containing plastic nurdles. Research studies compiled from around the world highlight that the contribution to SBMPL from shipping varies substantially from country to country, from site to site, and between shipping areas. In the Mediterranean, for instance, some 33-78% MPL is attributed to merchant and recreational shipping, while in the Caribbean Sea around 9% and in SE Asia 8% of MPL is attributed to shipping. Using data derived from the amount of garbage (including plastics) that are delivered to Port Reception Facilities (PRFs) it is estimated that only 27% of all ship wastes are delivered to such land-based facilities (so 73% are not), with the majority of the rest either dumped at sea or incinerated. Furthermore, data from IMO's GISIS database, which lists PRFs suitable for plastic waste reception at ports in State Parties to MARPOL, indicates that such facilities in developing countries either do not exist or are largely under resourced. This suggests that large volumes of plastic waste are not received at PRFs in many developing countries.

SBMPL causes widespread direct and indirect damage and degradation to the marine environment, including to endangered, threatened and protected (ETP) species such as marine mammals, turtles, seabirds and corals, and presents a significant transboundary threat. Impacts on marine life include entanglement and death in abandoned, lost or discarded fishing nets, slow starvation or poisoning through ingestion of plastic (fragments) by marine biota, and bioaccumulation of plastic and harmful plastic-associated chemicals in the food chain, which may ultimately pose a risk to human health (especially through human food sources). SBMPL also threatens the sustainable use of marine natural resources and continued development of the global blue economy with the coastal tourism and fisheries sectors being particularly affected by marine plastics. It also presents hazards to navigation and safety at sea. Indeed, marine plastic litter is widely recognized as a major threat to both the marine environment and human society, including within Large Marine Ecosystems (LMEs) where its impacts on coastal communities and ecosystems may be acute due to the density of vessel traffic, and it is identified as a priority for action in most LME Strategic Action Programs (SAPs). However, it should be stressed here that the problem is truly global in nature as plastics taken on board a ship in one country e.g. plastic bottles, are likely to be disposed of in another country or region of the world.

While exact statistics on the quantities of SBMPL produced are limited, preliminary figures and the sheer number of potential sources indicate a significant problem. For instance, an estimated 1.89 million seafarers currently serve the world merchant fleet operating over 74,000 vessels around the globe, there are an estimated 4.1 million fishing vessels and 58.5 million fishers fishing globally (most recent figures for 2020), and there were 28.5 million cruise ships passengers in 2018 (pre-COVID). Together these represent a considerable number of sources of SBMPL.

Given the main underlying driver – the importance of the oceans in facilitating the global economy (80% of the volume of international trade in goods is carried by sea, annual world shipping trade was valued at more than US\$14 trillion in 2019), a growing global merchant fleet and increased number of vessel movements between developing countries and developed countries especially with renewed global growth in trade following the COVID pandemic - the amount of SBMPL entering the oceans and the threat it presents will only increase in the absence of targeted intervention. Indeed, the amount of plastic waste entering aquatic ecosystems (and eventually into the oceans) is predicted to nearly triple from some 9–14 million tonnes/year in 2016 to a 23–37 million tonnes/year by 2040.

### **Baseline**

Although there have been recent policy and global initiatives (including GEF-funded projects) to address marine plastic litter originating from land-based sources, SBMPL has not been sufficiently addressed, especially in developing countries and SIDS. The current baseline largely rests on an international regulatory and voluntary framework targeting all vessels (merchant and fishing) that prohibit the disposal of SBMPL at sea (and ensure ships bring waste to ports where they can be treated through specific Port Reception Facilities or PRFs), including several developed by the International Maritime Organization (IMO) and the United Nations Food and Agriculture Organization (FAO). Other key recent SBMPL-relevant policy actions include UNGA Resolutions and the 2030 Agenda for Sustainable Development, Sustainable Development Goal 14.1 that seeks to significantly reduce marine pollution of all kinds, including marine debris, by 2025. In addition, the UNEA 5 (March 2022) agreed to establish a new global regulatory instrument to address plastic production, use and waste management (Resolution UNEA 5/14). However, negotiating, ratifying and implementing this important instrument, only after which action would follow, is likely to require many years.

In terms of practical actions, IMO and FAO have instigated several cooperative activities to encourage implementation and compliance with the above-mentioned frameworks. Principal among these is the joint IMO-FAO GloLitter Partnerships project, which is strongly aligned with IMO's Action Plan to Address Marine Plastic Litter from Ships, and complements actions for the fisheries sector identified by FAO, including supporting the provisions of the FAO Voluntary Guidelines for Marking of Fishing Gear (VGMFG). These initiatives have made some in-roads in addressing this situation. For instance, under the current GloLitter project initial National Action Plans (NAP) have been prepared by its ten Lead Partnering Countries (Brazil, Costa Rica, Cote d'Ivoire, India, Indonesia, Jamaica, Kenya, Madagascar, Nigeria and Vanuatu), which potentially have regional and LME-wide benefits as well as national benefits. In the case of Costa Rica for instance, the NAP identifies several areas for action, including the need to draft and enforce relevant waste management policies; upgrading or provision of facilities for SBMPL in ports; identification and registration of vessels and fishing gear with advanced technologies/systems; preparation and implementation of regulations and guidelines on the management of SBMPL (in local language(s)); promotion of public-private partnerships to design, promote and execute programs related to the circular economy, blue economy and actions related to SBMPL.

In addition, efforts are also being made to reduce the amount of plastic entering the shipping and fishing sectors. For instance, with respect to reducing ALDFG, gear modifications include the replacement of plastic gear components with biodegradable materials (although these typically require many years to develop and commercialize) that enable gears to break down and lose their catching efficiency and capacity more quickly following their loss, and importantly remove possible sources of plastic pollution to the marine environment at the design and manufacturing stage. FAO is currently contributing to improving knowledge around and availability of alternative gear designs that prevent and reduce ghost fishing through three pilot initiatives under the GloLitter Partnerships project, which support the testing of gear modifications with biodegradable components in small-scale, artisanal fisheries in developing countries. Gears being tested include gillnets in Kenya, crab pots in Indonesia and lobster traps in Brazil. Consultations and awareness-raising activities are simultaneously being conducted in the fishing communities where the pilots are carried out around gear loss and its environmental impact as a key source of SBMPL. In terms of the shipping sector, it is worth noting

that section 2 on the Management of the IMO 2017 Guidelines for the Implementation of MARPOL Annex V, presents recommendations (and encouragement) for ship owners, governments, port operators and others to minimize the amount of plastic used on-board that can potentially become garbage, with the list of practical actions.

## Barriers

However, several key barriers hinder implementation of international policies and regulations and long-term solutions for effective SBMPL management (in the context of the PRO-SEAS project ‘SBMPL management’ includes reducing, reusing, recycling, repurposing as well as disposal of SBMPL). These are: (1) weak or inadequate implementation of policy and regulatory frameworks on SBMPL at national and regional levels; (2) poorly developed or a lack of systems, processes, tools and information to effectively manage SBMPL; (3) lack of practical opportunities for environmentally sound disposal of SBMPL and incentives to reduce use of plastic materials and/or promote a circular economy for plastics used in the shipping and fisheries sectors; and (4) poor knowledge and awareness among key stakeholders of SBMPL problem and potential solutions.

Barrier 1 is caused by countries’ lack of institutional expertise, and human and financial resources to incorporate international regulations into national and regional legislative frameworks. For example, from the experience gained under the GloLitter initiative, many countries lack national maritime legal experts that are qualified and experienced in international maritime law that can be recruited to work on the national legislation related to SBMPL. Also, the Country Assessments of many GloLitter participating countries report either a lack of regulations/laws related to the existing international instruments dealing with SBMPL, i.e. MARPOL Annex V, LC/LP, and the FAO VGMFG, in those countries where such a regulatory/legal framework exists, there is a lack of implementation. In terms of the VGMFG, at the global level, its adoption and implementation is still very poor – although many developed countries, in particular European Union countries, are developing policy frameworks that address some elements of the VGMFG no country in the world has a legal and regulatory fisheries framework to facilitate the implementation of a full fishing gear marking system. This is in part due to the fact that the VGMFG is still a new international policy instrument that was endorsed by COFI only in 2018 and published in 2019.

In relation to barriers 2, the International Convention for the Prevention of Pollution from Ships (MARPOL) requires Governments of each Party to the Convention to ensure the provision of reception facilities according to the needs of ships using its ports, terminals or repair ports. Under MARPOL, the discharge from ships (including fishing vessels) of all plastics (i.e. all garbage that consists of or includes plastic in any form, including synthetic ropes, synthetic fishing nets, plastic garbage bags and incinerator ashes from plastic products) into the sea is prohibited. However, the capacity of ships to comply with the MARPOL discharge requirements is dependent on the availability of adequate port reception facilities and their effective operation. Also in relationship to barrier 2, reliable information on the quantity of the SBMPL and adequate monitoring tools and solutions to address SBMPL are essential to effectively manage SBMPL. However, the GESAMP Working Group 43 has identified that globally there is no geographic assessment of the quantities or categories of total plastic litter originating from shipping and fisheries sectors. This needs to be addressed.

Another barrier (barrier 3) to effective action is the lack of opportunities, incentives and benefits to addressing SBMPL (combined with a lack of knowledge of what does exist). Market-based opportunities, such as payment schemes for return of ALDFG and potential new business ventures centred around reuse, recycling or repurposing SBMPL are under explored, particularly for small scale fisheries. Tied to this, there is also a lack of knowledge of what opportunities and benefits derived from environmentally sound disposal of SBMPL do exist. In addition, overall, there is a general lack of awareness within the shipping and fishing sectors on the environmental, economic and social impacts caused by plastic litter in the ocean or solutions and approaches and solutions to address the problem (barrier 4).

The need to urgently address SBMPL and its management, particularly the design and introduction of appropriate practical measures, represents a significant gap (the ‘missing element’) in the global response to MPL, especially in Large Marine Ecosystems (LMEs) where threats from SBMPL are considered acute. The goal of this project is to address this gap through measures to overcome the key barriers outlined above. The project’s long-term objective is to reduce and eventually eliminate SBMPL from the shipping and fisheries sectors contributing to achieving a healthy, resilient, plastics-free global marine ecosystem that supports a global sustainable blue economy. If SBMPL is not addressed sufficiently, marine plastic litter will continue to accumulate offshore and impact marine biota and degrade the marine ecosystem as well as having socio-economic impacts on ocean users (particularly for coastal communities highly dependent on marine resources for their livelihood and food security) along with human health risks related to the threat from bioaccumulation and risk to human food sources.

### **Selection of project in preference to other potential options**

The project has been designed to address the main barriers that hinder prevention and reduction of SBMPL through approaches and solutions that have been identified as priorities at global, regional and national levels. These include filling information gaps on SBMPL and developing effective monitoring tools, building institutional and port management capacities, as well as developing incentives (e.g. financial, market) and opportunities for improving SBMPL treatment measures and alternatives to reduce entry of plastics (or new plastic) into the marine system from sea-based sources. Other approaches, such as increasing efforts to enforce current regulations addressing illegal dumping of marine plastics at sea (e.g. through fines) are not considered as cost-effective (ensuring compliance while boats are at sea would be prohibitively expensive) or, without incentives, as likely to induce behavioural change among stakeholders and support transition of shipping and fisheries sectors towards a low marine plastic litter future.

In addition, the PRO-SEAS project represents the only global project that brings together lead agencies for shipping (IMO) and fisheries (FAO) to address the global problem of SBMPL. The project builds on the results and achievements of the GloLitter project and the strong working relationships established in the target countries under the GloLitter. Importantly, the three target countries (more are expected to join during the PPG phase) have demonstrated their full commitment to the SBMPL reform since the inception of the GloLitter and expressed their readiness to engage in the PRO-SEAS project as they are being increasingly exposed to transboundary SBMPL pollution and are particularly dependent on marine resources for their sustenance and livelihoods.

### **Stakeholders and their roles**

Engagement with and cooperation between key stakeholders will be critical to deliver the project’s proposed system-wide interventions. The PRO-SEAS project will engage a significant number of stakeholders in the project activities at the national, regional/LME and global levels, along the entire chain of SBMPL production and management at the ship/fishing vessel point, to treatment at port reception facilities, through to repair, replacement and/or recycling or environmental benign disposal. At the national level these will include: Maritime Administrations, Ports Authorities and Fisheries Authorities, waste management entities and business community addressing locally produced alternatives to the use of plastic in the shipping and fisheries sectors, and the reuse, reduction, recycling and repurposing of SBMPL. Other stakeholders such as individual ports, local shipping companies and local fishing companies will be engaged. Bodies/programmes concerned with the governance and management of LMEs are a key stakeholder at the regional level, including Regional Seas Bodies/Programmes due to their involvement in related MPL activities and awareness raising, particularly aimed at land-based sources of MPL, and Regional Fisheries Bodies, including regional fisheries management organisations or arrangements (RFMO/As) due to their authority over regulations governing fishing gear in specific fisheries.

Globally the key actors addressing marine plastic litter are IMO, FAO and UNEP (GPML, Grid Arendal and others), each with existing policies and programmes to tackle SBMPL (e.g. IMO with shipping, FAO with

fishing, UNEP with the intersection of land-based management and coastal zones). The project will develop strong partnerships with the private sector. Private sector involvement and investment is especially needed to move towards greater adoption of reduced plastic options in shipping and fisheries (e.g. repairing or repurposing fishing gear elements) and SBMPL treatment and recycling for longer-term and more effective SBMPL management, and importantly for the scaling up and sustainability of PRO-SEAS project successes. Specifically, the project will engage private sector through the UNGC that partners with the IMO and FAO on the growing GloLitter Global Industry Alliance (GIA) of major private companies involved with shipping and fisheries.

### **Fit within the current landscape of investments, country priorities and lessons learned from previous projects**

The project will complement the current landscape of (limited) investments in addressing SBMPL and help stimulate further (targeted) investments, and fits with global, regional and national priorities related to minimizing the impacts of SBMPL. The PRO-SEAS project helps meet the IMO (2018) Action Plan on Marine Plastic Litter addressing inter alia: (i) the limited availability and low functionality of Port Reception Facilities (PRFs); (ii) the need to mark fishing gear (to support monitoring of disposal and recycling of old gear); (iii) the need to increase awareness of the impact of MPL among seafarers; and (iv) the call to strengthen international cooperation in particularly with FAO and UN Environment Program. Similarly, the project helps meet the call by FAO's Committee of Fisheries (COFI) to undertake work to quantify the impacts of ALDFG and develop and document best practices for addressing ALDFG, including the recovery and recycling of gear and the use of biodegradable gear to minimize marine plastic pollution, and to support implementation of the VGMFG, which offer a comprehensive global strategy to tackle issues relating to ALDFG. The project particularly builds on progress made through the GloLitter Partnership Project and UNEP's Global Partnership on Marine Litter (GPML) initiative (with IMO/FAO leading on SBMPL) and will build on lessons learned during the implementation of these projects across partner countries. The GloLitter project is currently targeting countries in 13 LMEs (Pacific Ocean Basin, Canary Current, Agulhas Current, Humbolt Current, Caribbean Sea and North Brazil Shelf, Bay of Bengal, Indonesian Sea, Sulu-Celebes Sea, Gulf of Thailand, North Australian Shelf (Arafura and Timor Seas), Red Sea, Gulf of Guinea Current and Pacific Central-American Coastal), and is helping to address a priority threat to all these LMEs – marine plastic pollution (identified in Transboundary Diagnostic Analyses and associated Strategic Action Programs). Participation in GloLitter aligns completely with country priorities. To date, GloLitter achievements included development of 10 Country Assessment to identify SBMPL priorities and gaps in countries' capacities to address them that informed 10 national action plans (NAPs) with measures needed to address them at the national level. Many countries have included actions and priorities such as the development of policy, legal and institutional reforms to domesticate and implement relevant international instruments, capacity building for Port Waste Management Planning and development of PRFs equipped to manage SBMPL, implementation of gear marking systems to address ALDFG, and the need for guidance on fishing gear recycling best practices. These priorities are reflected in the design of the PRO-SEAS project and the project will focus on those countries where the project can build on the strong ownership and achievements of the GloLitter project, and the country can serve as a demonstration for how to undertake environmentally sound disposal of SBMPL by key sectors and provide support for other countries in their LME.

## **B. PROJECT DESCRIPTION**

### **Project description**

This section asks for a theory of change as part of a joined-up description of the project as a whole. The project description is expected to cover the key elements of good project design in an integrated way. It is also expected to meet the GEF's policy requirements on gender, stakeholders, private sector, and knowledge management and learning (see section D). This section should be a narrative that reads like a joined-up story and not independent elements that answer the guiding questions contained in the PIF guidance document. (Approximately 3-5 pages) see guidance here

## **Project approach and Theory of Change**

The overall project objective is to ‘reduce sea-based marine plastic litter from the shipping and fisheries sectors’. The project’s Theory of Change (set out in the graphic below) rests on overcoming the key barriers (identified above) which prevent long-term solutions to the prevention, reduction, management and environmentally safe disposal of SBMPL, thereby addressing the threats posed by SBMPL to the marine environment, sustainable blue economy and human health.

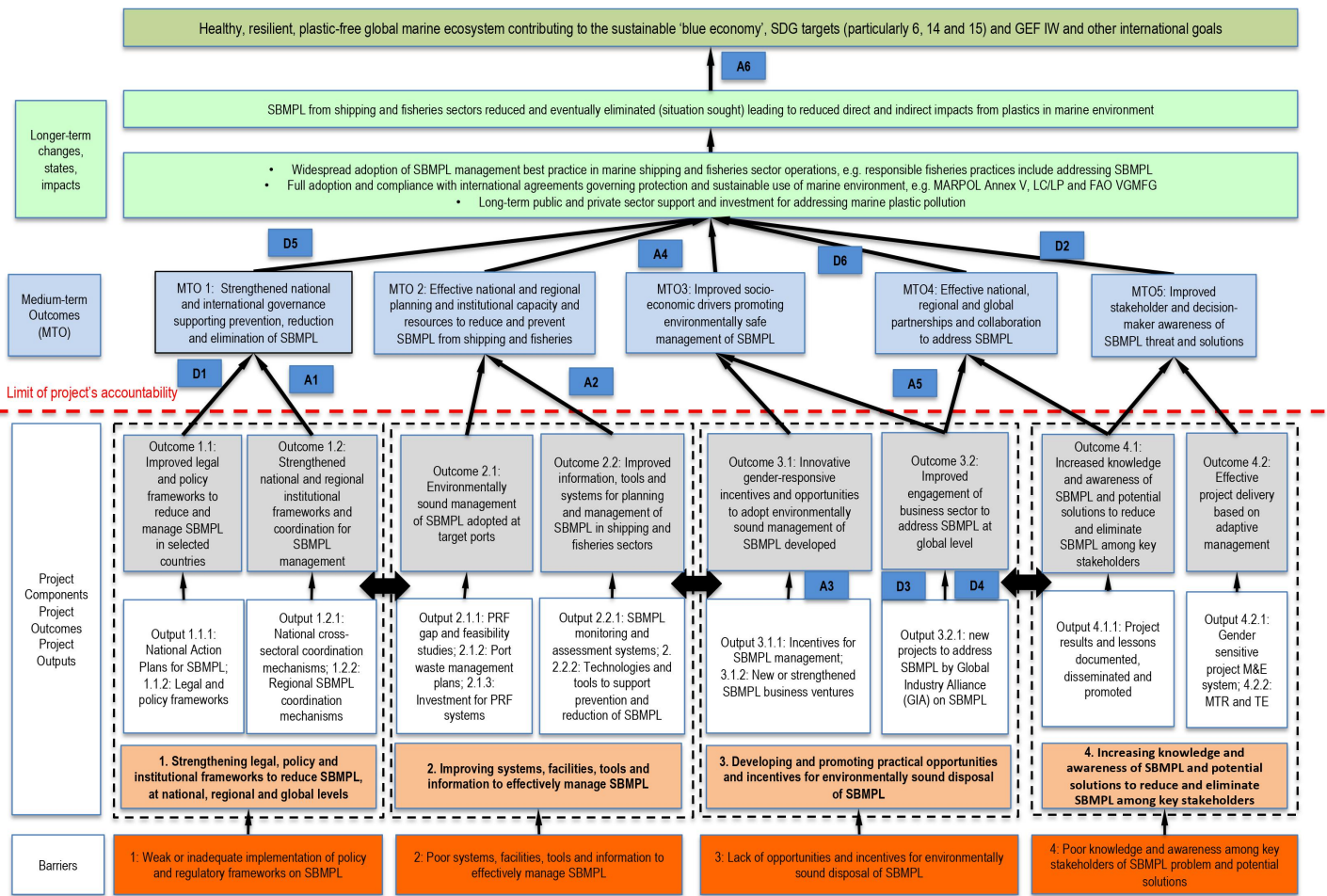
The overall approach is to support implementation of respective IMO and FAO regulations, action plans and guidance, which cover most important approaches related to SBMPL, particularly to support the countries to implement the IMO MARPOL Annex V and Action Plan and the FAO Voluntary Guidelines on the Marking of Fishing Gear (VGMFG), and to create regional and global partnerships, knowledge and capacity that will facilitate a common effective approach to the problem.

### Project components

The project has four components (each addressing a specific barrier). These are:

1. Strengthening legal, policy and institutional frameworks to reduce SBMPL at national, regional and global levels, including in LMEs
2. Improving systems, facilities, tools and information to effectively manage SBMPL
3. Developing practical opportunities and incentives for environmentally sound disposal of SBMPL
4. Increasing knowledge and awareness of SBMPL and potential solutions to reduce and eliminate SBMPL among key stakeholders (this component includes M&E).

The ‘types’ of ship that may be included in the project are: (i) marine transport – cargo ships, inter-island passenger ferries; (ii) fisheries – large industrial trawlers, purse seiners, and long-liners, as well as small scale fisheries/artisanal vessels.



### Simplified set of key assumptions and drivers

#### Assumptions

- A1. Continued public and private stakeholder buy-in and engagement in the target countries to implement SBMPL reforms
- A2. Sufficient continued government maritime and fisheries agencies' capacity (human and financial resources) to implement in SBMPL reforms
- A3. Social and cultural barriers do not prevent women and minority groups from effectively engaging in actions to address SBMPL
- A4. Markets and economic case for SBMPL can be sufficiently developed and investment maintained to provide long-term secure sources of income for businesses connected with environmentally safe disposal of SBMPL, particularly for the benefit of women (so low likelihood of an economic crash)
- A5. Countries continue to see the value of, and commit resources for, regional cooperation and collaboration on international arrangements to address SBMPL
- A6. Future climate change impacts do not irreversibly affect the structure and function of the LME targeted

#### Drivers

- D1. International policies and regulations governing marine pollution (e.g. MARPOL Annex V, LC/LP, FAO VGMFG, UNEA resolution (5/14) and BBNJ process)
- D2. Increasing awareness among public and private sectors of the damage caused by marine plastic litter to the marine environment and national and global blue economies (particularly SIDS), the opportunities offered by the blue economy and need to manage coastal and marine resources sustainably, together with increased promotion of the value of marine ecosystems by number of global level initiatives such as the High-Level Panel on Sustainable Ocean Economy
- D3. Growing interest among private sector shipping and fisheries in environmentally responsible practices, innovation and business opportunities to reduce and recycle SBMPL
- D4 – The maritime and fishing industries (particularly the industrial fisheries) is keen to reduce operational (ultimately financial) costs attributed to capture and entanglement with marine plastic litter
- D5. Fisheries sector specific - increasing global demand for premium certified fish from fisheries that seek to reduced ALDFG (Global Ghost Gear Initiative – GGGI)
- D6. Regional initiatives and forums, notably LME SAPs, promoting regional visions, building capacity and facilitating increased inward investment for addressing marine pollution, along with international commitments governing sustainable development, e.g. SDGs

*Note to the ToC: arrows in the graphic indicate a connection (linkage, relationship) between project components, and the direction of arrows indicates the how an element leads to, or contributes to, one or more others (which may illustrate how one element may be dependent on another being achieved). So, for instance, the arrows can indicate how direct results of the project (outputs) can combine to produce wider changes (immediate project outcomes) which themselves may contribute to longer-term changes (mid-term and long-term changes in behaviour, systems and states). Arrows that point both left and right indicate a two-way flow of results from one component to another. For instance, information from components 1-3 feeds development*

*of deliverables under Component 4. However, the causal flow of results in the ToC (from output to project outcome to wider, longer-term changes in state) also depends on a series of assumptions and drivers (indicated in the graphic) that may influence the linkage (relationship) between the elements of the ToC.*

*Achievement of the immediate project outcomes above will contribute to wider changes and impacts over the longer term as set out in the Theory of Change (see graphic above). Briefly, the outcomes associated with Component 1 will combine to strengthen national and international governance supporting prevention, reduction and elimination of SBMPL (MTO1) and outcomes under Component 2 to helping deliver more effective national and regional planning and institutional capacity and resources to reduce and prevent SBMPL from shipping and fisheries (MTO2). Project outcomes under Component 3 will contribute to improving socio-economic drivers that should encourage environmentally safe management of SBMPL (MTO3), as well as contributing to more effective national, regional and global partnerships and collaboration to address SBMPL (MTO4). Project efforts to support Knowledge Management and lesson learning under Component 4 will improve stakeholder and decision-maker awareness of SBMPL threats and solutions as well as contributing to improved partnerships.*

*Together with additional external inputs (e.g. other national and donor-funded initiatives involving other actors), these would be expected to lead to wider impacts. Specifically, these will be the widespread adoption of SBMPL management best practice in marine shipping and fisheries sector operations, e.g. responsible fisheries practices address SBMPL and there is full adoption and compliance with international agreements governing protection and sustainable use of marine environment, e.g. MARPOL Annex V, LC/LP and FAO VGMFG. These will contribute to the ultimate long-term 'situation sought' of SBMPL from shipping and fisheries sectors reduced and eventually eliminated which would itself lead to reduced direct and indirect impacts from plastics in marine environment. Together these will also contribute to the GEF IW Objective 1 to strengthen national and regional Blue Economy opportunities. However, the achievement of the immediate project outcomes and progress towards the project objective and longer-term impacts depends on a number of wider assumptions being met and impact drivers that may make progress along the causal chain more likely (see Annex G), as illustrated in the graphic, above.*

- **Component 1: Strengthening legal, policy and institutional frameworks to reduce SBMPL at national, regional and global levels.**

Component 1 comprises two outcomes and associated sets of outputs and activities that aim to fill governance gaps of SBMPL management at national and regional levels. The strategy of Component 1 is that by strengthening existing weak or inadequate legal, policy and institutional frameworks (Barrier 1) this will reduce SBMPL, at national, regional and global levels. This will be achieved by supporting the integration and implementation of international best practice and guidelines into these frameworks, such as through the implementation of the FAO VGMFG (being supported in all four Components)

**Outcome 1.1:** The project will identify regulatory and policy gaps at the national level in target countries and then provide assistance to implement policy and legal reforms with a focus on effective implementation of MARPOL Annex V and LC/LP, including promoting section 2 on the Management of the IMO 2017 Guidelines for the Implementation of MARPOL Annex V on practical measures to minimize the amount of plastic used on-



board ships that can potentially become garbage. In terms of addressing ALDFG from a policy perspective the project's main approach, will be through prevention and reduction, including the promotion of fishing gear marking systems in collaboration with relevant stakeholders in selected countries as recommended in the annex of the VGMFG and supplement 1 to the Guidelines , which, besides preventing and reducing ALDFG, can also support fisheries management frameworks providing a better control of the fishing effort and a method to prevent IUU fishing. This outcome has two associated outputs.

1. **Output 1.1.1** - National Action Plans (NAPs) to address SBMPL prepared and implemented in target countries. A NAP identifies actions required to prevent and reduce marine plastic litter from sea-based sources, identifies responsibilities and priorities, and establishes a monitoring mechanism on implementation of those actions more effectively. The project will guide target countries that haven't yet developed the NAP in preparation of such and support the countries that require NAP update. It will also support the implementation of priority actions identified in the NAPs. This will involve a close working relationship between maritime administration, port authorities, fisheries and waste management authorities, shipping and fisher group representatives to agree to the developed policies, strategies and action plan.
2. **Output 1.1.2** - Legal and policy frameworks compliant with international regulations governing SBMPL (MARPOL Annex V, LC/LP, FAO VGMFG) developed in selected countries. The project will guide target countries in developing legislation and policy that is compliant with international regulatory frameworks and where appropriate will support their adoption of those at the national level. New regulations/amendments will be developed in consultation with relevant stakeholder groups.

**Outcome 1.2:** Strengthened national and regional coordination for SBMPL management

To be effective the project will stimulate close working relationships between relevant national authorities, for example through establishing or strengthening National Task Forces (NTF) to agree on the development of policies, strategies and a national action plan for SBMPL and ongoing implementation and monitoring. Improved, regular communication and coordination at the national level will ensure key stakeholders (e.g. maritime transport, fisheries and environment agencies, private sector) are effectively engaged in SBMPL management measures. Project activities will also strengthen regional body mechanisms to address SBMPL in coordination, particularly in

relation to efforts by UNEA and UNEP's GPML and others (Regional Seas, Regional Fisheries and LME bodies). Associated Outputs are:

1. **Output 1.2.1** – National cross-sectoral coordination and collaboration mechanisms for addressing SBMPL management established or strengthened and promoted. The project will support the establishment of a national cross-sectoral coordination body (unless it has been already established), such as NTF, that includes (senior) representatives from the maritime transport, fisheries, environment agencies, waste management authorities, and representatives from private sector shipping and fisheries groups, and encourage ongoing coordination within existing ocean policy and planning mechanisms . Activities will also include capacity building and raising awareness for relevant stakeholders to support the implementation of relevant frameworks developed under Output 1.1.2.
2. **Output 1.2.2** - Regional coordination mechanisms to address SBMPL management established or strengthened and promoted. The project will promote the inclusion of SBMPL within existing regional mechanisms . The regional bodies will be engaged to disseminate project results to other (non-project) countries in the region and to support collaborative efforts to address common challenges on SBMPL, including preparing and coordinating with the countries in their regions for more effective implementation of the relevant international regulatory frameworks.

### **Component 2: Improving systems, facilities, tools and information to effectively manage SBMPL**

The strategy of Component 2 is to provide sufficient capacity – technologies/tools, upgraded operations, more technically skilled personnel – to ensure that SBMPL is more effectively managed. Component 2 includes a focus on ensuring availability and efficient operations of Port Reception Facilities (PRF) that can receive and sustainably dispose of SBMPL in close integration with national waste management policies and action plans. It also addresses the lack of information on volumes, types and impacts of SBMPL (provided through enhanced monitoring systems at ports in particular) that stakeholders need to make effective management decisions and develop targeted actions to address the management of SBMPL, including the potential for reduce, reuse, recycle and repurpose schemes for SBMPL.

**Outcome 2.1:** Environmentally sound management of SBMPL adopted at target ports (demonstration projects)

The focus of this Outcome will be on improving the operations and effectiveness of individual PRFs in target countries.

Activities include an assessment of the specific capacity and resource gaps and needs of PRFs in the target countries. Selected ports will be used to demonstrate how to develop effective PRF systems that can address SBMPL collection, treatment and environmentally sound disposal (including recycling where appropriate). Associated Outputs are:

1. **Output 2.1.1** - Measures to strengthen Port Reception Facilities (PRF) and their operations identified at selected ports (PRF gap analyses and feasibility studies conducted). The project will conduct techno-economic feasibility studies related to improving the operations of existing or establishing PRFs and their connectivity to disposal options.
2. **Output 2.1.2** - Port waste management plans (PWMP) in place and under implementation at selected PRFs. In order to accept, store, treat and dispose of SBMPL from the shipping and fisheries sectors PRFs need to have effective PWMPs in place. The project will help existing PRF to improve their operations through developing PWMPs that meet international standards with resource needs identified. This activity will require close cooperation with the national waste management authorities to ensure proper disposal of waste. To ensure this cooperation the National Task Force of countries that express an interest in partnering with the PRO-SEAS will include representatives of all authorities mandated to address marine pollution and waste management (including the plastics industry).
3. **Output 2.1.3** - Investment mobilized to upgrade and/or establish PRF systems to sustainably manage SBMPL in selected countries. The project will assist in the development of bankable proposals for investment to upgrade or establish PRF systems for effective SBMPL management in target countries. The project will actively seek collaboration with international financial institutions (IFIs) and private sector bodies to support the establishment of sustainable, efficient SBMPL management systems.

**Outcome 2.2:** Improved information, tools and systems for planning and management of SBMPL in shipping and fisheries sectors

This Outcome will improve a range of information, data tools and systems available to specific stakeholders to effectively manage SBMPL. It will address the currently limited SBMPL data collection and analysis systems and (global) monitoring schemes (for ports, vessels, small businesses based on SBMPL, and waste management operators). It will focus on improving planning and evidence-based decision-making for managing SBMPL in the shipping and fisheries sectors. The project will

harness, expand and be supported by existing work by GESAMP and FAO on developing common methodologies to collect scientific, social and economic data on SBMPL, including the complementary and ongoing work by GESAMP Working Groups (WG) on plastics and microplastics in the ocean (WG 40) and sea-based sources of marine litter (WG 43), and FAO's global ALDFG surveys.

One particularly innovative aspect of the project is the identification of areas of high potential risk for SBMPL. Mapping the location of PRFs and ship traffic into and out of ports in a target country, if combined with information on the capacity of each PRF and estimates of waste generated on board ships since their last port of call, will enhance the ability of relevant authorities to better manage SBMPL. Specifically, this information supports planning for the provision of adequate PRFs, including assessment of whether the locations of existing PRFs are optimal, and it supports evaluation of whether the volume of waste delivered by a ship is consistent with the number of days at sea prior to it calling into port. Such data is particularly useful in helping to identify sea areas and/or routes where there is a higher risk of illegal discharges to sea, thus enabling better targeting of monitoring and surveillance programmes to detect illegal acts of discharge. It could also be used to better identify plastics used by the shipping and fisheries sectors that could be reused, recycled, or repurposed at ports. Such mapping could eventually be expanded to a regional level or applied to groups of ports on established shipping routes (e.g. container ship or cruise ship routes), which would expand the utility of the mapping exercise by making it applicable not only to ships calling into ports of a single country but also to ships transiting a sea area of interest. There are two Outputs under this Outcome.

1. **Output 2.2.1** - Monitoring and assessment systems of sources and volumes of SBMPL in selected countries established and linked to SBMPL management decision-making, including ALDFG management. This output will focus on developing and implementing specific methodologies to monitor and assess volumes and types of SBMPL (including single-use plastics on ships such as packaging, strapping, bags, utensils, containers, etc). Project activities will also include identification of areas of high potential risk of SBMPL and the implementation of the FAO ALDFG surveys.
2. **Output 2.2.2** - Improved technologies and tools to support prevention and reduction of SBMPL, including monitoring and compliance with international regulations governing SBMPL (MARPOL Annex V, LC/LP, FAO VGMFG), applied in pilot countries. This output will include identification of technologies to support

prevention and reduction of ALDFG, such as fishing gear-marking, tracking and recovery technologies, which will be implemented in selected fisheries. This output will also produce digital maps of the location of PRFs and ship traffic into and out of ports in a pilot country, thus estimating the capacity of each PRF to handle the incoming plastic waste as well as helping to identify opportunities for small business development centered on reusing, recycling, or repurposing such waste and SBMPL at selected ports.

### **Component 3: Developing and promoting practical opportunities and incentives for environmentally sound management disposal of SBMPL**

The strategy of Component 3 seeks to encourage the development and more efficient use of PRFs and achieve a more integrated SBMPL management approach at national levels, by developing, promoting and supporting several (new) incentives (financial, regulatory, operational) targeted at key stakeholders (shipping, fishing, waste management, and small business sectors). Activities under this component will result in improved engagement with the business and private sector groups, building on the current Global Industry Alliance (GIA) in collaboration with UN Global Compact with partners from major maritime and fisheries companies, established under GloLitter initiative. This Component offers particular opportunities for women, especially through the development of small business opportunities associated with waste management/reuse/recycling/repair/repurposing of SBMPL (e.g. repair of fishing nets in SSF).

**Outcome 3.1:** Innovative gender-responsive incentives and opportunities for environmentally sound management disposal of SBMPL developed and/or promoted.

This Outcome seeks to encourage behavioural change to reduce SBMPL in the shipping and fisheries sectors through market-based mechanisms, tax and regulatory incentives, with a particular focus on opportunities for women. For example, return of old fishing gear could be encouraged through payment schemes, and may be trialled at target sites, as appropriate (to be investigated during the PPG stage). The project will first undertake an assessment of the different stakeholder's roles in the management and disposal of SBMPL, including documenting the gender dimensions in relation to SBMPL management in selected countries with identification of women's roles, engagement, constraints and opportunities. Based on the results of the assessment, support will be provided to develop business plans related to the collection, processing, repair, reuse, repurposing, and recycling of SBMPL and its disposal. As part of this, awareness-raising events to sensitize stakeholders (both women and men) within the selected communities (confirmed at

the PPG stage) on the risks of SBMPL and the opportunities that can arise from the prevention, reduction, reuse, recycling, repurposing and safe disposal of SBMPL. Outputs under this Outcome are:

1. **Output 3.1.1** - Incentives (financial, regulatory, operational, etc) for SBMPL management developed and promoted among key stakeholder groups (fishing and shipping industry) in selected countries. Incentive schemes, such as payments for old fishing gear (by weight), buy-back/reward schemes, tax breaks and other market-based instruments, will be explored and defined during the PPG phase. Key stakeholder groups and organizations in selected countries will be mapped and their roles and engagement in management of SBMPL from fisheries and shipping, and potential incentives to reduce SBMPL identified. Particular attention will be paid to identifying the roles, opportunities, and constraints for women in relation to SBMPL management.
2. **Output 3.1.2** – New or strengthened gender-responsive business ventures identified and developed in selected countries. This output will examine a range of potential market-based options and small business opportunities to encourage reuse, repurpose/ recycle or safe disposal of SBMPL, derived from shipping and fisheries sectors, appropriate to the local situation. The project will undertake market/value chain analyses to identify new potential business opportunities or to strengthen existing ones, and resources which could support these. Special attention will be paid to be women's economic empowerment adopting an 'incubator approach' with the creation of women SBMPL business development groups and targeted support (e.g. mentoring) for developing business ventures proposed by women, including business plan guidance and small seed funding for key equipment (e.g. recycling equipment for women-led small businesses using fishing nets to produce recycled products, e.g. bags. An analysis of project options and business opportunities to address the reduction and reuse of plastic products (within the constraints of GEF financing and co-financing and the comparative advantages of IMO and FAO and key stakeholders/partners) will be undertaken during the PPG phase, including the extent of existing schemes and potential new schemes to reduce/eliminate or switch to reusable options to extend the life of selected items commonly found in SBMPL (e.g. packaging, bags, containers). The project-supported ventures will be promoted as demonstrations at target PRFs and successes and lessons learned scaled up to other potential sites as

part of the knowledge management and communications strategy developed under Output 4.1.1. Specific repair, recycling, repurposing and waste disposal bodies and companies to be involved will be identified and engaged during the PPG phase when the selection of the pilot sites for Component 3 are considered.

**Outcome 3.2:** Improved engagement of business sector in addressing SBMPL at global level

The project will develop a global partnership for joint efforts at national, regional, and global levels to deal with major issues relating to SBMPL. This will be achieved through the proven and tested “Glo-X” model implementation strategy used by IMO GLOLITTER, GloBallast, GloMEEP and GloFouling projects (and GloNoise). Outputs are:

1. **Output 3.2.1** – New projects to address SBMPL identified and developed by Global Industry Alliance (GIA) on SBMPL. The project will build on the existing GloLitter GIA, which is already established under the GloLitter initiative, to catalyze further industry efforts (new projects) to address SBMPL, including targeted awareness-raising activities and efforts to expand the current partnership. To support this, GIA-model tailored private sector-specific events will be organized to explore possible matching of business interests with project objectives, ensuring communication of private sector interest and engagement among the project partners and to identify barriers to the private sector to addressing SBMPL and to agree potential joint solutions to these. The UNGC under the project framework will continue engaging more companies with greater participation of the cruise industry and waste management companies to work together on the innovative solutions to address SBMPL. During the PPG phase, the cruise industry specifically will be consulted on the activities that they can engage in with the project under the GIA. This output will also include activities to promote recommendations under the Management of the IMO 2017 Guidelines for the Implementation of MARPOL Annex V tyo GIA members and the wider shipping industry on practical measures to minimize the amount of plastic used on-board ships reducing the levels of potential SBMPL. In addition, existing schemes for standardisation of plastics products used by the shipping sector and opportunities for greater standardization to promote greater reuse of plastic products that are commonly used on cargo ships will be investigated during the PPG sector.

#### **Component 4: Increasing knowledge and awareness of SBMPL and potential solutions to reduce and eliminate SBMPL among key stakeholders**

A key strategy of the project is to raise awareness among decision-makers, shipping and fisheries sector representatives and the general public of SBMPL of the impacts of SBMPL and potential measures that can effectively manage, reduce or eliminate SBMPL to enable them to make more informed decisions and choices on the management and disposal of SBMPL. Under Component 4 the project will increase awareness among key stakeholder groups (particularly in the fishing and shipping industry), with dissemination to the global community through partner platforms, including IW:LEARN, LME:LEARN and IMO and FAO communication channels and clearing house mechanisms. Component 4 will also provide effective project implementation based on adaptive management and lessons learned in a gender-sensitive manner.

**Outcome 4.1:** Increased knowledge of measures, options and incentives to effectively manage, reduce or eliminate SBMPL increased among key stakeholder groups (fishing and shipping industry)

This Outcome aims to fill the gaps in knowledge and awareness of MPL-related issues (that of SBMPL) and share the solutions and best practices amongst stakeholders, particularly in participating developing countries and LMEs. It aims to promote greater understanding of the impact of plastic litter from shipping and fisheries on marine ecosystems and solutions, options and alternatives to the problem developed and implemented. In doing so it will enhance cross-sectoral transfer of knowledge of maritime and fisheries issues. A concerted effort will be directed to scaling up of successful solutions for better management of SBMPL. Outputs under this outcome are:

1. **Output 4.1.1:** Project results, experiences, lessons learned and recommendations for successful implementation of effective SBMPL management measures documented, disseminated, and promoted. Project findings and lessons will be shared via (among others) IW:LEARN and IMO/FAO clearing house mechanisms and other relevant digital platforms, such as GPML Digital Platform on Marine Litter and Plastic Pollution. A project Knowledge Management (KM) and Communication Strategy will be developed to organize and guide project KM and communication activities, as well as a roadmap for scaling up successful solutions for better management of SBMPL and reduction of discard of plastic litter regionally, globally and to wider LME network designed and executed. It is expected that industry-specific guidance on the reduction and treatment



of SBMPL at national, regional and global levels will be developed through the project.

#### **Monitoring and Evaluation (part of Component 4)**

**Outcome 4.2:** Effective project implementation based on adaptive management and lessons learned

Under this Outcome an effective adaptive management and governance system will be established to ensure that the programme achieves its intended outcomes and key lessons are captured.

1. **Output 4.2.1:** A gender-sensitive project M&E system designed and operational
2. **Output 4.2.2:** Independent Mid-term Review and Terminal Evaluation undertaken with results fed back into project management.

#### **Global environmental benefits which would not have accrued without the GEF project (additionality)**

The PRO-SEAS project will address a major gap in the global response to MPL, targeting sea-based sources of MPL from the shipping and fisheries sectors. Project activities will be focused on selected developing countries in several LMEs, where MPL is identified as a particular problem (plastic pollution by plastics is mentioned in the respective TDAs and an issue to address in SAPs). SBMPL has not been sufficiently addressed by previous or current interventions, the great majority of which have focused on land-based sources of MPL. If this source is not tackled directly, MPL will continue to accumulate and increasingly degrade and destroy marine habitats and species, with potential devastating impacts on the marine ecosystem (including for Endangered, Threatened and Protected species such as sharks, marine turtles and marine mammals caught by ALDFG) as well as on human health for many decades to come. The project will remove major barriers that currently limit target developing countries to efficiently and sustainably manage SBMPL, which will remain without the GEF-funded project. This will benefit the marine ecosystem and its resources as a whole and contribute to SDG targets 14.1 and 14.c. Moreover, the project will help to improve fisheries management and to prevent IUU fishing through the implementation of the FAO VGMFG.

The project will also ultimately contribute to the UN Sustainable Development Goal (SDG) 14, particularly targets 14.1 and 14.c, and will prepare beneficiary countries and regions for the implementation of the international legally binding instrument (ILBI) on plastic pollution, including in the marine environment. The ILBI is currently under negotiation as a result of UNEA resolution 5/14. The instrument will be based on a comprehensive approach that addresses the full life cycle of plastic.

#### **Stakeholders and their respective roles, contributions and benefits**

The PRO-SEAS project will engage a significant number of stakeholders in its design and implementation, not only as recipients of deliverables but also as sources of local expertise and advice. For instance, the project will be able to call upon scientific and expert advice on marine litter issues from the established GloLitter network of strategic partners, which includes the World Maritime University (WMU), African Marine Environment Sustainability Initiative (AFMESI), Our Sea of East Asia Network (OSEAN), Baltic and International Maritime Council (BIMCO), the Global Ghost Gear Initiative (GGGI) and the FAO-IMO-UNEP co-sponsored GESAMPWG43. These partners will benefit from the project in terms of support for common aims and overlapping initiatives and synergies. For example, through engagement in this project, the GGGI will have the opportunity to further expand their current network to support developing countries in Africa

through their three work streams: build evidence; define best practice to inform policy; and catalyze and replicate solution to the ALDFG (or ghost gear) issue.

The initial three national governments engaged with the project (Costa Rica, Kenya and Vanuatu) have a strong commitment to tackling the issue of SBMPL and will provide regional leadership on the reduction of SBMP. These initial partnering countries will be key players in implementing pilot projects addressing the monitoring of marine plastic litter and improving and/or establishing efficient PRFs. They will also implement their SBMPL NAPs supported by the project focusing on legal and policy reform and institutional structures which will also address work/actions from other government agencies besides the shipping and fishing agencies. The partnering countries will also provide expertise and successful models with knowledge sharing and capacity building opportunities at the regional level through exchange visits and hosting workshops which will support regional harmonization on SBMPL measures, but also provide models that can be scaled up regionally and globally.

In terms of other wider stakeholder co-benefits, the project will support small business ventures which will help improve management of SBMPL at the port level and offers opportunities to engage more local actors, especially women, in efforts to reduce SBMPL over the longer term. The project will also aim to expand the current network by engaging national and international recycling and waste management companies. The project will also collaborate with regional, national and local NGOs and CSOs in relation to activities at target ports and ALDFG activities, such as with the Blue Ports Initiative which aims to maximize the role of ports in the environmental, social and economic development of coastal areas, while respecting the principles of sustainability, and ALPESCAS, which works with the fishing industry and has a program “redes de america” that aims to promote fishing net recycling in collaboration with fishing companies, chamber of commerce and recycling companies in Latin America.

The project will develop a Partnership and Stakeholder Engagement Strategy along with a Knowledge Management and Communications Strategy, both of which will have a specific focus on the private sector, supporting effective engagement and communications with the key stakeholder groups.

### Private Sector

Under the GloLitter Partnerships Project, IMO and FAO have established a close partnership with the UN Global Compact (UNGC), which has a network of 300+ ocean-related companies to ensure broad engagement of private sector from shipping and fisheries, and has also established a GloLitter Global Industry Alliance (GIA). GIA involves companies who are willing to bring their resources, expertise and support to work towards the reduction and/or sustainable collection, recycling, repurposing or disposal of ship-based and wider marine litter. Examples of such organizations include fishery companies, shipping companies, cruise industry, port authorities, waste management organizations, plastics industry supplying the shipping and fisheries sectors, etc.

Since the establishment of the GloLitter GIA in 2022, 7 companies representing shipping and cruise industries have joined the alliance (Collecte Localisation Satellites, Grieg Group, Hurtigruten, Torvald Klaveness, Vow ASA, Wilhelmsen, and Aker Biomarine) and provided cash contributions and technical expertise, and play a leadership role in supporting the reduction and elimination of SBMPL through jointly working on innovative solutions. For example, after the GIA was established, the first project the members have jointly worked on is finding solutions to thousands of tons of used ropes generated by shipping industry every year. The first company to come up with a scheme to minimize waste and bring mooring rope materials into value-added circular solutions was a GIA member (Wilhelmsen), under their circular ropes project and other companies have decided to join this initiative. Building on this work, more industry members are expected to join the GIA under the PRO-SEAS project. This will ensure continued feedback from the private sector on how SBMPL can be reduced and managed in an effective and environmentally sound fashion.

It is important to note that the cruise sector has several existing initiatives to address the use of plastics in the design, fitting, and operation of cruise ships, with efforts to inform passengers and crew of the need to dispose plastics responsibly (not thrown overboard), as well as broader efforts to reduce, reuse or recycle plastics within the industry. For instance, these include recent moves towards encouraging sustainable maritime interiors, with a recent declaration to help guide industry designers and specifiers to improve the

environmental sustainability performance of their professional output. As the cruise industry is already addressing real and potential sources of SBMPL, the PRO-SEAS project focuses on the shipping and fisheries sectors where there has been less investment and change and the SBMPL from which is considered to represent a greater threat. PRO-SEAS project activities directed at the cruise sector will focus largely on targeted awareness raising, with the details of the activities developed during the PPG phase with the cruise industry.

#### Fit with Gender Equality and Women's Empowerment

FAO has undertaken consultations with the FAO Gender Team on the proposed PRO-SEAS project throughout 2022 and early 2023, including in December 2022 to develop and implement a GloLitter Partnerships study and pilot initiatives aimed at empowering women in three developing countries in West Africa to manage SBMPL, following a Gender Transformative Approach. The Gender Team consulted with the FAO Regional Office in Africa and subregional office for West Africa, as well as with the GloLitter National Focal points (government representatives) of the three countries in January 2023. The Gender team is ready to start implementing the study followed by the pilot initiatives in 2023. If the results of this activity are successful, the PRO-SEAS project will replicate the methodology in other countries in a different region (see project outcome 3.1).

A gender analysis will be undertaken during the PPG phase and a project-specific Gender Action Plan developed with concrete gender-targeted project activities identified and integrated into the project design, and gender-responsive SMART indicators and targets that will be monitored (with dedicated budget) within an overall gender-sensitive project M&E system. All project activities will be in line with the GEF Policy on Gender Equality and Women's Empowerment, as well as with IMO's Gender Program and FAO Gender Policy.

#### **Knowledge generation, management and exchange**

The project will generate considerable information and knowledge products across all of its components. These will be coordinated through Component 4 whose principal focus is to raise awareness of SBMPL and promote potential solutions to reduce and eliminate SBMPL among all stakeholders and ensure the efficient use and distribution of information and knowledge generated by the project. Key knowledge elements include information on volumes and types of SBMPL (including ALDFG), the associated impacts in relation to biodiversity hotspots and sensitive marine habitats/species, and information on best practices for SBMPL management. Project results, experiences, lessons learned and recommendations for successful implementation of effective SBMPL management measures will be documented and disseminated via IW:LEARN and LME:LEARN, IMO and FAO clearing house mechanisms and other relevant digital platforms e.g. the GPML multi-stakeholder digital platform. The project's Knowledge Management approach will build on the experience, lessons learned and information platforms developed during the GloBallast, GloMEEP and GloFouling projects. The project will employ a Knowledge Management and Communications Strategy that will guide the dissemination of information on SBMPL including the translation of materials into appropriate regional languages. The regional elements of the project will focus on establishing a dialogue, coordination and collaboration with regional bodies and projects/programs that are already dealing with MPL, such as the UNEP-GEF - ISLANDS Caribbean Child project.

#### **Strengthening and alignment with existing national policies (policy coherence)**

Project Component 1 aims to improve or develop national policies to ensure they meet the established international legal and policy frameworks that address marine plastic litter notably MARPOL Annex V, LC/LP and the FAO VGMFG. For example, Costa Rica, Kenya and Vanuatu have all acceded to MARPOL Annex V and to the LP (all are also member states of IMO and FAO). However, there is no domestic implementing legislation and their current policy frameworks do not fully reflect requirements under these agreements. In the case of countries which have National Action Plans (NAP) to address MARPOL Annex V and the LP, these need to be fully implemented and capacity to do so strengthened, while other countries still need to fully develop their NAPs. The project will also support wider adoption and implementation of the

VGMFG which is widely required (for instance, no country has a legal and regulatory fisheries framework to facilitate the implementation of a full fishing gear marking system).

### **Transformational and innovation nature of project**

The project will be transformative by strengthening/updating legal, policy and institutional frameworks to specifically address SBMPL and improve systems for environmentally sound management of SBMPL (under Component 1) and building capacity and tools to support these (under Components 2 and 3). There are currently very limited initiatives targeting this issue at a national, regional and global level, and therefore much of the focus of the project is innovative. The extent and type of SBMPL is under assessed (by its nature illegal dumping at sea is not reported) so project efforts to improve data collection and associated decision-support tools for management and environmentally sound disposal of SBMPL, whether by marking/geo-tagging of fishing gear or improving monitoring and reporting of plastics entering and leaving individual ships at target ports by port authorities (under Component 2), are innovative. More effective integration of SBMPL into domestic plastics reuse, repair, recycling, repurposing and waste management systems through promotion of partnerships between environmental authorities, waste management/recycling companies, maritime, fisheries and port authorities for recycling/repurposing or safe environmentally sound disposal of MPL from ships (under Component 2) and achieving reductions of SBMPL through improved planning to manage potential SBMPL risk from ships coming into and exiting ports or traversing environmentally sensitive marine areas (also under Component 2), are similarly largely untried and innovative. Piloting a market approach for behavioural change to move maritime/fisheries sectors to more environmentally safe disposal (under Component 3) is also a relatively new approach, especially in developing countries.

### **Coordination and Cooperation with Ongoing Initiatives and Project.**

Does the GEF Agency expect to play an execution role on this project?

If so, please describe that role here. Also, please add a short explanation to describe cooperation with ongoing initiatives and projects, including potential for co-location and/or sharing of expertise/staffing

The project will work with several ongoing initiatives, building on their achievements and ownership, particularly those where IMO or FAO is already part of, including:

The GloLitter Partnerships Project is implemented by IMO in partnership with FAO funded by the Governments of Norway, Australia, Saudi Arabia (and Korea from 2024). It supports 30 developing countries from 5 regions in identifying opportunities to prevent and reduce MPL within the shipping and fisheries sectors. GloLitter is the first global initiative that tackles SBMPL from shipping and fisheries with specific focus on implementation of IMO Action Plan to Address Marine Plastic Litter from Ships, and FAO VGMFG. Private sector is engaged through the GloLitter Global Industry Alliance (GIA) established in cooperation with UN Global Compact (UNGC). The PRO-SEAS project will support implementation of existing national action plans (NAPs developed under GloLitter) to address SBMPL, including establishing environmentally sound SBMPL management systems in selected ports.

The Joint Group of Experts on the Scientific Aspects of Marine Environmental Protection (GESAMP) will provide scientific advice to PRO-SEAS project, particularly GESAMP Working Group (43) on sea-based sources of marine litter which is co-sponsored by FAO and IMO and aims to build a broader understanding of SBMPL, particularly from the shipping and fishing sectors.

Global Partnership for Marine Litter (GPML), with the UNEP as its secretariat is a partnership of diverse stakeholders that seeks to reduce and manage marine litter and link relevant stakeholders, as well as to the UNEP-related marine litter processes. IMO and FAO lead the focal area on sea-based sources of marine debris.

The Global Ghost Gear Initiative (GGGI) is the only cross-sector stakeholder alliance focused on addressing the problem of ALDFG worldwide. FAO has partnered with GGGI on a several initiatives, including a pilot project on gear marking in SSF and recommendations for the Development of the Guidelines for the Marking

of Fishing Gear. Under the GloLitter project IMO and FAO has partnered with GGGI to implement small grants program for women-led projects.

The Regional Seas Programme of UN Environment . The PRO-SEAS project, in collaboration with UNEP and through GPML, will provide a vehicle to complement efforts through the Regional Sea Convention secretariats to address SBMPL, including harmonization with regional action plans.

The Regional Fishery Body Secretariats' Network (RSN) which includes all RFBs (and RFMOs). Through this Network, the PRO-SEAS project will disseminate information on the use of plastics in fisheries, ALDFG and ghost fishing, options to reduce plastics in fishing gears, and measures to increase collection and recycling or repurposing of end-of-life/obsolete gears and waste from fishing vessels.

The project will also link with the Blue Ports Initiative through its activities related to Port Reception Facilities, and a variety of CSOs and NGO such as the ALPESCAS connecting with its fishing net recycling programme.

## Core Indicators

### Indicator 5 Area of marine habitat under improved practices to benefit biodiversity (excluding protected areas)

Ha (Expected at PIF)	Ha (Expected at CEO Endorsement)	Ha (Achieved at MTR)	Ha (Achieved at TE)
3,532,900.00			

### Indicator 5.1 Fisheries under third-party certification incorporating biodiversity considerations

Number (Expected at PIF)	Number (Expected at CEO Endorsement)	Number (Achieved at MTR)	Number (Achieved at TE)

### Type/name of the third-party certification

### Indicator 5.2 Large Marine Ecosystems with reduced pollution and hypoxia

Number (Expected at PIF)	Number (Expected at CEO Endorsement)	Number (Achieved at MTR)	Number (Achieved at TE)

LME at PIF	LME at CEO Endorsement	LME at MTR	LME at TE

### Indicator 5.3 Marine OECMs supported

Name of the OECMs	WDPA-ID	Total Ha (Expected at PIF)	Total Ha (Expected at CEO Endorsement)	Total Ha (Achieved at MTR)	Total Ha (Achieved at TE)

### Indicator 7 Shared water ecosystems under new or improved cooperative management

	Number (Expected at PIF)	Number (Expected at CEO Endorsement)	Number (Achieved at MTR)	Number (Achieved at TE)
Shared water Ecosystem	Caribbean sea,Pacific Central American Coastal,Somali coastal current			
Count	3	0	0	0

**Indicator 7.1 Level of Transboundary Diagnostic Analysis and Strategic Action Program (TDA/SAP) formulation and implementation (scale of 1 to 4; see Guidance)**

Shared Water Ecosystem	Rating (Expected at PIF)	Rating (Expected at CEO Endorsement)	Rating (Achieved at MTR)	Rating (Achieved at TE)
Caribbean sea	4			
Pacific Central American Coastal	4			
Somali coastal current	4			

**Indicator 7.2 Level of Regional Legal Agreements and Regional management institution(s) (RMI) to support its implementation (scale of 1 to 4; see Guidance)**

Shared Water Ecosystem	Rating (Expected at PIF)	Rating (Expected at CEO Endorsement)	Rating (Achieved at MTR)	Rating (Achieved at TE)

**Indicator 7.3 Level of National/Local reforms and active participation of Inter-Ministeral Committees (IMC; scale 1 to 4; See Guidance)**

Shared Water Ecosystem	Rating (Expected at PIF)	Rating (Expected at CEO Endorsement)	Rating (Achieved at MTR)	Rating (Achieved at TE)

**Indicator 7.4 Level of engagement in IWLEARN through participation and delivery of key products(scale 1 to 4; see Guidance)**

Shared Water Ecosystem	Rating (Expected at PIF)	Rating (Expected at CEO Endorsement)	Rating (Achieved at MTR)	Rating (Achieved at TE)

**Indicator 8 Globally over-exploited fisheries moved to more sustainable levels**

Metric Tons (Expected at PIF)	Metric Tons (Expected at CEO Endorsement)	Metric Tons (Achieved at MTR)	Metric Tons (Achieved at TE)
8,750.00			

**Fishery Details**

Figure calculated as the 25% of the overall catch in the target fisheries (landings: 25,915 tons; discards: 8,903 tons, combined 34,818 tons). Target fisheries include gillnets and longlines targeting demersal and pelagic resources (crustaceans, tuna and finfish), pot and trawl fisheries targeting demersal resources (crustaceans), boat seines and purse seines targeting pelagic resources (tuna and finfish), handlines targeting demersal and pelagic resources (tuna and finfish). Source: Source: Pérez Roda, M.A. (ed.), Gilman, E., Huntington, T., Kennelly, S.J., Suuronen, P., Chaloupka, M. and Medley, P. 2019. A third assessment of global marine fisheries discards. FAO Fisheries and Aquaculture Technical Paper, No. 633. Rome, FAO. 78 pp.

**Indicator 9 Chemicals of global concern and their waste reduced**

Metric Tons (Expected at PIF)	Metric Tons (Expected at CEO Endorsement)	Metric Tons (Achieved at MTR)	Metric Tons (Achieved at TE)
0.00	0.00	0.00	0.00

**Indicator 9.1 Solid and liquid Persistent Organic Pollutants (POPs) removed or disposed (POPs type)**

POPs type	Metric Tons (Expected at PIF)	Metric Tons (Expected at CEO Endorsement)	Metric Tons (Achieved at MTR)	Metric Tons (Achieved at TE)

**Indicator 9.2 Quantity of mercury reduced (metric tons)**

Metric Tons (Expected at PIF)	Metric Tons (Expected at CEO Endorsement)	Metric Tons (Achieved at MTR)	Metric Tons (Achieved at TE)

**Indicator 9.3 Hydrochlorofluorocarbons (HCFC) Reduced/Phased out (metric tons)**

Metric Tons (Expected at PIF)	Metric Tons (Expected at CEO Endorsement)	Metric Tons (Achieved at MTR)	Metric Tons (Achieved at TE)

**Indicator 9.4 Number of countries with legislation and policy implemented to control chemicals and waste (Use this sub-indicator in addition to one of the sub-indicators 9.1, 9.2 and 9.3 if applicable)**

Number (Expected at PIF)	Number (Expected at CEO Endorsement)	Number (Achieved at MTR)	Number (Achieved at TE)

**Indicator 9.5 Number of low-chemical/non-chemical systems implemented, particularly in food production, manufacturing and cities (Use this sub-indicator in addition to one of the sub-indicators 9.1, 9.2 and 9.3 if applicable)**

Number (Expected at PIF)	Number (Expected at CEO Endorsement)	Number (Achieved at MTR)	Number (Achieved at TE)

**Indicator 9.6 POPs/Mercury containing materials and products directly avoided**

Metric Tons (Expected at PIF)	Metric Tons (Expected at CEO Endorsement)	Metric Tons (Achieved at MTR)	Metric Tons (Achieved at TE)

**Indicator 9.7 Highly Hazardous Pesticides eliminated**

Metric Tons (Expected at PIF)	Metric Tons (Expected at CEO Endorsement)	Metric Tons (Achieved at MTR)	Metric Tons (Achieved at TE)

**Indicator 9.8 Avoided residual plastic waste**

Metric Tons (Expected at PIF)	Metric Tons (Expected at CEO Endorsement)	Metric Tons (Achieved at MTR)	Metric Tons (Achieved at TE)
6,000.00			

### Indicator 11 People benefiting from GEF-financed investments

	Number (Expected at PIF)	Number (Expected at CEO Endorsement)	Number (Achieved at MTR)	Number (Achieved at TE)
<b>Female</b>	970			
<b>Male</b>	1,070			
<b>Total</b>	<b>2,040</b>		<b>0</b>	<b>0</b>

Explain the methodological approach and underlying logic to justify target levels for Core and Sub-Indicators (max. 250 words, approximately 1/2 page)

Core Indicator (CI) 5: The CI target is calculated the area the project will have greatest impact. This is considered as the inshore fishing areas of the 3 countries identified for pilot projects at national level (Costa Rica - 16,607 km<sup>2</sup> (Pacific coast); 2,207 km<sup>2</sup> (Caribbean coast); Kenya – 8,282km<sup>2</sup>; and Vanuatu – 8,233km<sup>2</sup>; source <https://www.searoundus.org>), noting that other countries might be identified during PPG phase. This reflects the areas where most of the coastal fisheries of the three countries operate and where there is a concentration of shipping lanes around ports. However, it should be noted that project benefits will have indirect benefits over a wider area as the project would be providing SBMPL management guidance for the LME Strategic Action Programme (SAP) for each of the LMEs which if implemented would mean that plastics pollution of the marine habitat would be improved potentially over the whole LME. In addition, SBMPL entering the ocean doesn't stay where it is thrown overboard (which is why it is a global problem), so SBMPL dumped in the waters of say Costa Rica will also impact neighbouring and other national (and ABNJ) waters.

CI 7: Costa Rica, one of the initial set of target countries of Costa Rica, Kenya and Vanuatu, has a coastline which includes two LMEs. Note: other countries might be identified during PPG phase which will increase this target. The target reflects that the results of the project will be integrated into LME-wide planning and management processes, with, for example, information and guidance on managing SBMPL provided to national and regional implementation of SAPs associated with each LME (e.g. through Components 1 and 4). Also, in terms of the project activities directed at addressing ALDFG in fisheries, the project will engage RFMOs in the project which cover a wide geographic area, although the specific RFMOs to be involved will only be confirmed during the PPG phase. Again, therefore, this target will be reviewed and further refined if needed during the PPG phase, as additional countries (within different LMEs) may join the project.

CI 8: Figure calculated as the 25% of the overall catch in the target fisheries (landings: 25,915 tons; discards: 8,903 tons, combined 34,818 tons). The target of 25% was based on 'expert knowledge' (from FAO Fisheries staff) of the fisheries of Costa Rica, Kenya and Vanuatu with the potential to be targets for fisheries gear marking systems, and based on previous FAO experience of what is possible to achieve when introducing new fisheries management techniques, tools and systems within a 4-year project. However, it should be noted that which fisheries gear marking systems will be applied to which specific fisheries in the target countries will be clarified during the PPG phase (and additional countries may be added) so this target will be refined by submission of the Project Document for GEF CEO endorsement.

CI 9: Estimate based on the increase in plastic litter arriving at target PRFs above the baseline (to be established during the PPG phase) and disposed of in environmentally sound manner. Based on an estimate from the ALPESCAS initiative.

CI 11: Estimate based on 4 capacity building workshops per country each year for 4 years with 40 participants as an average, which gives 640 for each country, under Components 1 and 2. The PRO-SEAS project currently has three participating countries, so the



total of ‘direct beneficiaries’ is 1,920. Based on the estimate of males and females working in the fisheries sector in Costa Rica and Kenya, the gender breakdown would be 49% male (314) and 51% female (326) in Costa Rica; 45% males (288) and 55% females (352) in Kenya. There is no data from Vanuatu so an estimate of 50% male (320) and 50% female (320) has been used. In addition, an estimated 120 people (30 per year, 10 per country per year) will be direct beneficiaries of the project’s small business development activities under Component 3 (training, mentoring, other support but a likely smaller number going on to establish viable businesses). This group will have an expected mix of 40% male (48) and 60% female (72), based on FAO Fisheries experience of fisheries value chains and developing small business ventures with fisher communities and likely opportunities for SBMPL recycling and repurposing enterprises. Consequently, the total number of people expected to benefit is: 2,040 comprising 970 males and 1070 females. Again, this target will be reviewed and further refined if needed during the PPG phase, as additional countries (within different LMEs) may join the project, and particularly as details of Component 3 SBMPL small business development are developed

## Risks to Project Preparation and Implementation

Summarize risks that might affect the project preparation and implementation phases and what are the mitigation strategies the project preparation process will undertake to address these (e.g. what alternatives may be considered during project preparation—such as in terms of consultations, role and choice of counterparts, delivery mechanisms, locations in country, flexible design elements, etc.). Identify any of the risks listed below that would call in question the viability of the project during its implementation. Please describe any possible mitigation measures needed. (The risks associated with project design and Theory of Change should be described in the “Project description” section above). The risk rating should reflect the overall risk to project outcomes considering the country setting and ambition of the project. The rating scale is: High, Substantial, Moderate, Low.

Risk Categories	Rating	Comments
Climate	Low	Risk: Long-term risk to oceans and marine environment undermining results of project but no immediate risks presented during project lifetime, although extreme climate events, such as hurricanes and tropical cyclones in some target regions may temporarily affect project execution. Mitigation: The project will employ an adaptive management approach to project execution with a funded M&E system in place from the start.
Environment and Social	Low	Risk: Continuing COVID pandemic may lead to lower engagement, fewer in-person meetings, and delays in project execution, particularly for developing country project partners where staffing and capacity are less available. No environmental risks expected. Mitigation: The project will use online platforms to

		<p>implement activities to the extent feasible (employing practices and lessons gained during the first 2-3 years of COVID pandemic). Component 4 will particularly address effective communication.</p>
Political and Governance	Low	<p>Risk: Low commitment and engagement in project (poor political support, staffing, co-financing, and/or changed priorities due to adverse economic conditions) from key partners and government institutions to engage in design of the full project and in implementing activities to address SBMPL.</p> <p>Mitigation: The PRO-SEAS project is being designed to respond to, and directly support, the priorities of participating countries and to meet regional (LME) level priorities to address SBMPL. For instance, the project explicitly supports national and regional fisheries priorities addressing ALDFG including helping to strengthen capacity of the national fisheries authorities as well as the needs of local fishing communities and associations. The project builds upon the GloLitter Partnerships project which has been developing National Action Plans (NAPs) on MPL in the partner countries. The project will address priorities identified by the national governments in their NAPs. The project will include partner countries which have already been involved in the GloLitter initiative and expressed commitment to participate in the PRO-SEAS project. In addition, IMO and FAO have long-established relationships with the selected countries' lead maritime and fisheries institutions on which the project will build. The project will also leverage existing coordinating</p>

		and cross-cutting intergovernmental and transboundary mechanisms that address marine pollution to ensure participation remains strong.
Macro-economic	Low	Risk: in case of global recession impacting the amount of the government and donors' contribution to the project. Mitigation: the project is structured so that if there is a cut in funding the scope of the project can be revised/or reduced respectively, e.g. virtual capacity building activities in case of in-person to save funds, decreasing number of demo projects or fewer targeted pilots, etc.
Strategies and Policies	Low	Risk: the policy reforms proposed under the project (through Component 1) may not be approved, fully adopted and under implementation by participating governments within the 4 years of the project, due to the short timescale or because there are insufficient Government resources. Mitigation: participating Governments have already shown their commitment (partly evidenced by the previous engagement in the GloLitter and other relevant initiatives – see above), and because implementation of the policy reforms is clearly seen as a priority by the Governments themselves.
Technical design of project or program	Low	Risk: There are few technical risks to the project, as most of the technological approaches adopted by the project are well tested. However, one of the project goals is to collect data on the amount and source of SBMPL in selected areas to enable establishment of the efficient SBMPL management and monitoring system. The risk exists that some key stakeholders, e.g. vessels of small scale fisheries may not be eager to

		<p>participate in surveys on the amount of and type of plastic as they may feel they will be penalized for any adverse findings. Mitigation: IMO and FAO have strong leverage with the national governments and member states, as well as shipping and fisheries stakeholders to encourage them contribute the required information, and most of the key stakeholders, including the fishing and shipping companies have an interest in moving away from use of plastics following their CSR policies and general public concern over the amount of plastic entering the oceans.</p>
Institutional capacity for implementation and sustainability	Low	<p>Risk: Lack of institutional expertise on the national and regional level to deliver capacity building activities. Mitigation: Assessments of institutional (both national and local) expertise and resources will be undertaken during the PPG phase with recommendations to address these built into project activities (through training workshops, etc). In addition, IMO and FAO will provide capacity support to the project through their technical divisions.</p>
Fiduciary: Financial Management and Procurement	Low	<p>Risk: Mismanagement of donor funds Mitigation: IMO and FAO have comprehensive financial management and procurement systems in place that ensure no misuse of GEF funds occurs. FAO and IMO will be fully responsible for administering the funds in accordance with their financial regulations, rules, policies and procedures, and administrative instructions, in accordance with the common UN practices.</p>
Stakeholder Engagement	Low	<p>Risk: Women may be less able to participate and benefit from the</p>

		<p>project due to generally greater child-care and family responsibilities compared with men, especially in some of the partner countries due to cultural norms. Also, in general, the shipping and fisheries sectors have been historically male dominated so ensuring women are equally represented is more of a challenge than for many other sectors.</p> <p>Mitigation: Special attention will be paid to ensuring that social and cultural barriers do not prevent women from effectively participating in the project. The project will focus on promoting and facilitating participation of women, especially in trainings and workshops, and pilot projects. Some activities will specifically target women, for example establishing women-led SBMPL recycling businesses for plastics derived from shipping and fisheries sectors. A project-specific Gender Action Plan will be developed during the PPG phase and a gender specialist will be employed as part of the project management team (details to be developed during the PPG stage).</p>
Other		
Financial Risks for NGI projects		
Overall Risk Rating	Low	All the risk Categories analyzed above indicate a LOW rating.

**C. ALIGNMENT WITH GEF-8 PROGRAMMING STRATEGIES AND COUNTRY/REGIONAL PRIORITIES**

Describe how the proposed interventions are aligned with GEF- 8 programming strategies and country and regional priorities, including how these country strategies and plans relate to the multilateral environmental agreements.

Confirm if any country policies that might contradict with intended outcomes of the project have been identified, and how the project will address this.

For projects aiming to generate biodiversity benefits (regardless of what the source of the resources is - i.e., BD, CC or LD), please identify which of the 23 targets of the Kunming-Montreal Global Biodiversity Framework the project contributes to and explain how. (max. 500 words, approximately 1 page)

The project will contribute to meeting the GEF-8 IW objective to ‘accelerate joint action to support Sustainable Blue Economic Development’ (IW-1), and its sub-objectives of ‘sustaining healthy blue

ecosystems’ through preventing and reducing SBMPL from the maritime and fishing sectors and ensuring more effective environmentally responsible disposal of SBMPL, and ‘advancing sustainable fisheries management’ through the implementation of the VGMFG . The project also contributes to the GEF Biodiversity Focal Area through helping to reduce ALDFG impacts, particularly ‘ghost fishing’ of ETP species, fisheries target and non-target species, and the Chemicals and Waste Focal Area through removing waste plastic from the marine system that is harmful to marine life and habitats. This is reflected in the contribution of the project to GEF-8 Core Indicators 5, 7, 8, 9 and 11. The project also contributes to the GEF-8 integrated program ‘Circular Solutions to Plastic Pollution’.

The project will contribute to meeting priority actions to address marine pollution in the SAPs of the three LMEs associated with the target countries. For example, the Caribbean LME+ SAP explicitly mentions that maritime transport in the region is an important source of pollution and calls for a range of actions to address both land-based and sea-based sources of marine pollution in the region. The SAP also calls for actions to move fisheries to more sustainable management. The PRO-SEAS project addresses both these priorities. All countries selected for implementation of activities at national level identified priorities around FAO VGMFG, MARPOL Annex V, and LC/LP. The project is designed to meet key partner country priorities for addressing SBMPL, particularly in relation to their NAPs for SBMPL. The project will help deliver national requirements including supporting development of domestic implementing legislation (e.g. regulating on-board garbage management plans and record books, crew/passenger awareness, adequate PRFs, inspection regimes and penalties, etc) to give effect of the international regulations under MARPOL Annex. The project also helps meet participating countries needs to address ALDFG (identified through the GloLitter project NAPs) including: (i) capacity building support on the implementation of the VGMFG; (ii) awareness raising materials on the causes, impacts and solutions to ALDFG; (iii) technical support to establish ALDFG assessment and monitoring systems; (iv) facilitation of partnerships at national and regional levels to prevent and reduce ALDFG.

The project will also help support the implementation of the new international legally binding instrument under the United Nations Convention on the Law of the Sea on the conservation and sustainable use of marine biological diversity of areas beyond national jurisdiction, which recognizes in its preamble "...the need to address, in a coherent and cooperative manner, biodiversity loss and degradation of ecosystems of the ocean, due to,... pollution, including plastic pollution...".

### Contribution to the Kunming-Montreal Global Biodiversity Framework

2030 Targets of the Post-2020 Global Biodiversity Framework	GEF TF core indicators	PRO-SEAS project links
<p><b>TARGET 7</b></p> <p>Reduce pollution risks and the negative impact of pollution from all sources, by 2030, to levels that are not harmful to biodiversity and ecosystem functions and services, considering cumulative effects, including: reducing excess nutrients lost to the environment by at least half including through more efficient nutrient cycling and use; reducing the overall risk from pesticides and highly hazardous chemicals by at least half including through integrated pest management, based on science, taking into account food security and livelihoods; and also preventing, reducing, and working towards eliminating plastic pollution.</p>	<p>9</p>	<p>The PRO-SEAS project will contribute to eliminating Sea Based Marine Plastic Litter (SBMPL) and its impacts on biodiversity (and knock on effects on human health) mainly through:</p> <p><b>Component 1: Strengthening legal, policy and institutional frameworks to reduce SBMPL, at national, regional and global levels</b> which will support the development and implementation of National Action Plans (NAPs), as well as regional coordination, to address SBMPL; and <b>Component 2: Improving systems, facilities, tools and information to effectively manage SBMPL</b>, through resources to better</p>

2030 Targets of the Post-2020 Global Biodiversity Framework	GEF TF core indicators	PRO-SEAS project links
		manage SBMPL including improving port reception facilities, and <b>Component 3 Developing and promoting practical opportunities and incentives for environmentally sound management of SBMPL</b> through developing and supporting incentives and small business opportunities addressing SBMPL.
<p><b>TARGET 14</b></p> <p>Ensure the full integration of biodiversity and its multiple values into policies, regulations, planning and development processes, poverty eradication strategies, strategic environmental assessments, environmental impact assessments and, as appropriate, national accounting, within and across all levels of government and across all sectors, in particular those with significant impacts on biodiversity, progressively aligning all relevant public and private activities, fiscal and financial flows with the goals and targets of this framework.</p>	No core indicators	The PRO-SEAS project will contribute to this target largely through <b>Component 1 Strengthening legal, policy and institutional frameworks to reduce SBMPL, at national, regional and global levels</b> , through project actions to support the updating/strengthening of national policies and legislation incorporate relevant regulations on SBMPL (MARPOL Annex V <sup>[1]</sup> , LC/LP <sup>[2]</sup> and FAO VGMFG <sup>[3]</sup> ) in selected countries.
<p><b>TARGET 15</b></p> <p>Take legal, administrative or policy measures to encourage and enable business, and in particular to ensure that large and transnational companies and financial institutions:</p> <p>Regularly monitor, assess, and transparently disclose their risks, dependencies and impacts on biodiversity, including with requirements for all large as well as transnational companies and financial institutions along their operations, supply and value chains and portfolios;</p> <p>Provide information needed to consumers to promote sustainable consumption patterns;</p> <p>Report on compliance with access and benefit-sharing regulations and measures, as applicable;</p> <p>in order to progressively reduce negative impacts on biodiversity, increase positive impacts, reduce biodiversity-related risks to business and financial institutions, and promote actions to ensure sustainable patterns of production.</p>	No core indicators	The project will address this Target through <b>Component 3 Developing and promoting practical opportunities and incentives for environmentally sound management of SBMPL</b> , particularly through the development and promotion of small business opportunities to address SBMPL in selected countries and engagement with the Global Industry Alliance (GIA).
<p><b>TARGET 16</b></p>	No core indicators	The project will address the elements of this target through all four components, particularly

2030 Targets of the Post-2020 Global Biodiversity Framework	GEF TF core indicators	PRO-SEAS project links
<p>Ensure that people are encouraged and enabled to make sustainable consumption choices including by establishing supportive policy, legislative or regulatory frameworks, improving education and access to relevant and accurate information and alternatives, and by 2030, reduce the global footprint of consumption in an equitable manner, including through halving global food waste, significantly reducing overconsumption and substantially reducing waste generation, in order for all people to live well in harmony with Mother Earth.</p>		<p>Components 1 which address policy, legislative and regulatory frameworks and <b>Component 4 Increasing knowledge and awareness of SBMPL and potential solutions to reduce and eliminate SBMPL among key stakeholders</b>, which includes an emphasis on knowledge dissemination to decision-makers and ‘plastic consumers’.</p>
<p><b>TARGET 18</b></p> <p>Identify by 2025, and eliminate, phase out or reform incentives, including subsidies, harmful for biodiversity, in a proportionate, just, fair, effective and equitable way, while substantially and progressively reducing them by at least 500 billion United States dollars per year by 2030, starting with the most harmful incentives, and scale up positive incentives for the conservation and sustainable use of biodiversity.</p>	<p>No core indicators</p>	<p>The project will support development of policies, regulations and incentives that foster elements of the circular economy for the plastic industry through <b>Component 1 Strengthening legal, policy and institutional frameworks to reduce SBMPL, at national, regional and global levels</b>, and <b>Component 3 Developing and promoting practical opportunities and incentives for environmentally sound management of SBMPL</b>.</p>
<p><b>TARGET 19</b></p> <p>Substantially and progressively increase the level of financial resources from all sources, in an effective, timely and easily accessible manner, including domestic, international, public and private resources, in accordance with Article 20 of the Convention, to implement national biodiversity strategies and action plans, by 2030 mobilizing at least 200 billion United States dollars per year</p>	<p>No core indicators</p>	<p>Project <b>Component 2: Improving systems, facilities, tools and information to effectively manage SBMPL</b> will specifically contribute this Target through mobilizing investment to upgrade and/or establish PRF systems to sustainably manage SBMPL in selected countries.</p>
<p><b>TARGET 20</b></p> <p>Strengthen capacity-building and development, access to and transfer of technology, and promote development of and access to innovation and technical and scientific cooperation, including through South-South, North-South and triangular cooperation, to meet the needs for effective implementation, particularly in developing countries, fostering joint technology development and joint scientific research programmes for the conservation and sustainable use of biodiversity and strengthening scientific research and monitoring capacities, commensurate with the ambition of the goals and targets of the framework.</p>	<p>No core indicators</p>	<p>All components of the project include activities to strengthen capacity (technology/tools, skills/training, knowledge), particularly <b>Component 2: Improving systems, facilities, tools and information to effectively manage SBMPL</b>, which has a focus on tools and technologies including PRFs, and <b>Component 1: Strengthening legal, policy and institutional frameworks to reduce SBMPL, at national, regional and global levels</b>, which includes measures to strengthen national and regional institutional frameworks.</p>
<p><b>TARGET 21</b></p> <p>Ensure that the best available data, information and knowledge, are accessible to decision makers, practitioners and the public to guide effective and equitable governance, integrated and participatory management of biodiversity, and to strengthen communication, awareness-raising, education, monitoring, research and knowledge management and,</p>	<p>No core indicators</p>	<p>Data and knowledge for decision-makers including the general public will be delivered through <b>Component 4 Increasing knowledge and awareness of SBMPL and potential solutions to reduce and eliminate SBMPL among key stakeholders</b> with its focus on Knowledge Management and lesson learning.</p>



2030 Targets of the Post-2020 Global Biodiversity Framework	GEF TF core indicators	PRO-SEAS project links
also in this context, traditional knowledge, innovations, practices and technologies of indigenous peoples and local communities should only be accessed with their free, prior and informed consent, in accordance with national legislation.		
<p><b>TARGET 23</b> Ensure gender equality in the implementation of the framework through a gender-responsive approach where all women and girls have equal opportunity and capacity to contribute to the three objectives of the Convention, including by recognizing their equal rights and access to land and natural resources and their full, equitable, meaningful and informed participation and leadership at all levels of action, engagement, policy and decision-making related to biodiversity.</p>	11	<p>Gender equality will be ensured through the project’s gender-responsive approach, captured through the project Gender Action Plan, with special attention, for instance, ensuring there are gender-specific opportunities offered through <b><i>Component 3 Developing and promoting practical opportunities and incentives for environmentally sound management of SBMPL.</i></b></p>

[1] International Convention for the Prevention of Pollution from Ships (Annex V relates to Regulations for the prevention of pollution by garbage from ships)

[2] Convention on the Prevention of Marine Pollution by Dumping of Wastes and Other Matter, 1972 and its 1996 Protocol

[3] Voluntary Guidelines on the Marking of Fishing Gear

#### D. POLICY REQUIREMENTS

##### **Gender Equality and Women’s Empowerment:**

We confirm that gender dimensions relevant to the project have been addressed as per GEF Policy and are clearly articulated in the Project Description (Section B).

Yes

##### **Stakeholder Engagement**

We confirm that key stakeholders were consulted during PIF development as required per GEF policy, their relevant roles to project outcomes and plan to develop a Stakeholder Engagement Plan before CEO endorsement has been clearly articulated in the Project Description (Section B).

Yes

##### **Were the following stakeholders consulted during project identification phase:**

Indigenous Peoples and Local Communities:

Civil Society Organizations: Yes

Private Sector: Yes

### **Provide a brief summary and list of names and dates of consultations**

In terms of a summary of the consultations held, initial exploratory (and in some cases follow-up) meetings were held with the key stakeholders and partners during the period August 2022 to April 2023. The proposed project was explained to the stakeholders during these meetings and feedback considered and where relevant incorporated into the development of the PIF. All those stakeholders listed have expressed an interest in participating in both the development (PPG phase) and implementation of the project if the PIF is approved. A reflection of this is the various amounts of co-financing offered by these stakeholders (see co-financing table in Annex A). Discussions at national level (with the three participating countries) have been very positive (reflected in their Letters of Endorsement and provisional co-financing offered) as the countries see the project as an opportunity to support their own priorities on the management of SBMPL. Similarly, the global level stakeholders/partners recognised the benefits of engaging with the IMO and FAO led initiative to further their own agenda and to work with IMO and FAO as recognised global leaders in their respective areas (IMO shipping, FAO fisheries). A more detailed stakeholder analysis will be undertaken during the PPG phase and specific activities with which stakeholders and partners will be engaged will be defined. The project will also develop and implement a specific Stakeholder Engagement Plan.

The following national government institutions and organizations were consulted (several times during the PIF development process with the purpose of briefing and consulting on project development and obtaining LoEs:

#### **Government institutions**

Costa Rica: Maritime and Port Division, Ministry of Public Works and Transport (correspondence initiated on 10 August 2022) and Instituto Costarricense de Pesca y Acuicultura (INCOPECA), Dirección de Pesca del Ministerio de Agricultura y Ganadería on 30 March 2023;

Kenya: State Department for Shipping and Maritime, correspondence initiated on 10 August 2022;

Vanuatu: Permanent Mission of the Republic of Vanuatu to the IMO, correspondence initiated on 10 August 2022

#### **Other organisations**

All of the below have expressed an interest in partnering with the PRO-SEAS project:

Current GloLitter Strategic Partners: BIMCO consulted on 06 September 2022; GGGI, UNEP, Grid Arendal, Sustainable Seas Trust (SST), African Marine Environment Sustainability Initiative (AFMESI), World Maritime University (WMU), consulted on 21 March 2023;

ALPESCAS and Our Sea of East Asia Network (OSEAN) consulted on 22 March 2023; and the International Seafood Sustainability Foundation (ISSF), consulted on 23 March.

A more detailed stakeholder analysis will be undertaken during the PPG phase with development of a fully resourced project Stakeholder Engagement and Partnership Plan to be applied during the project implementation.

(Please upload to the portal documents tab any stakeholder engagement plan or assessments that have been done during the PIF development phase.)

#### **Private Sector**

Will there be private sector engagement in the project?

Yes

And if so, has its role been described and justified in the section B project description?

Yes

### Environmental and Social Safeguard (ESS) Risks

We confirm that we have provided indicative information regarding Environmental and Social risks associated with the proposed project or program and any measures to address such risks and impacts (this information should be presented in Annex D).

Yes

### Overall Project/Program Risk Classification

PIF	CEO Endorsement/Approval	MTR	TE
-----	-----------------------------	-----	----

Low

## E. OTHER REQUIREMENTS

### Knowledge management

We confirm that an approach to Knowledge Management and Learning has been clearly described in the Project Description (Section B)

Yes

## ANNEX A: FINANCING TABLES

### GEF Financing Table

#### Indicative Trust Fund Resources Requested by Agency(ies), Country(ies), Focal Area and the Programming of Funds

GEF Agency	Trust Fund	Country/ Regional/ Global	Focal Area	Programming of Funds	Grant / Non-Grant	GEF Project Grant(\$)	Agency Fee(\$)	Total GEF Financing (\$)
FAO	GET	Global	International Waters	International Waters: IW-1	Grant	7,105,936.00	675,064.00	7,781,000.00
<b>Total GEF Resources (\$)</b>						<b>7,105,936.00</b>	<b>675,064.00</b>	<b>7,781,000.00</b>

### Project Preparation Grant (PPG)

Is Project Preparation Grant requested?

true

PPG Amount (\$)

200000

PPG Agency Fee (\$)

19000

GEF Agency	Trust Fund	Country/ Regional/ Global	Focal Area	Programming of Funds	Grant / Non- Grant	PPG(\$)	Agency Fee(\$)	Total PPG Funding(\$)
FAO	GET	Global	International Waters	International Waters: IW-1	Grant	200,000.00	19,000.00	219,000.00
<b>Total PPG Amount (\$)</b>						<b>200,000.00</b>	<b>19,000.00</b>	<b>219,000.00</b>

Please provide justification

### Sources of Funds for Country Star Allocation

GEF Agency	Trust Fund	Country/ Regional/ Global	Focal Area	Sources of Funds	Total(\$)
<b>Total GEF Resources</b>					<b>0.00</b>

### Indicative Focal Area Elements

Programming Directions	Trust Fund	GEF Project Financing(\$)	Co-financing(\$)
IW-1-2	GET	7,105,936.00	49151264
<b>Total Project Cost</b>		<b>7,105,936.00</b>	<b>49,151,264.00</b>

### Indicative Co-financing

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Investment Mobilized	Amount(\$)
Recipient Country Government	Costa Rica, Kenya, Vanuatu	In-kind	Recurrent expenditures	7500000
GEF Agency	FAO	In-kind	Recurrent expenditures	5307464
Others	IMO	In-kind	Recurrent expenditures	7060000
Others	UNEP, UNGC	In-kind	Recurrent expenditures	1500000

Civil Society Organization	GloLitter Strategic Partners (GGGI, AFMESI, GRID Arendal, OSEAN, ALPESCAS)	In-kind	Recurrent expenditures	3383800
Private Sector	Seafood producers, shipping, waste management/ recycling/ repurposing companies.	In-kind	Recurrent expenditures	20000000
Donor Agency	Norway, Republic of Korea	In-kind	Recurrent expenditures	4000000
Others	GloLitter Strategic Partners (WMU)	In-kind	Recurrent expenditures	400000
<b>Total Co-financing</b>				<b>49,151,264.00</b>

Describe how any "Investment Mobilized" was identified

N/A

## ANNEX B: ENDORSEMENTS

### GEF Agency(ies) Certification

GEF Agency Type	Name	Date	Project Contact Person	Phone	Email
GEF Agency Coordinator	Jeffrey Griffin	4/11/2023	Lorenzo Paolo Galbiati	+393333981370	lorenzo.galbiati@fao.org

### Record of Endorsement of GEF Operational Focal Point (s) on Behalf of the Government(s):

Name	Position	Ministry	Date (MM/DD/YYYY)
Enid Chaverri Tapia	Costa Rica-GEF Operational Focal Point	Ministerio de Ambiente y Energia	9/16/2022
Mr. Ephantus Kimotho	Kenya-GEF Operational Focal Point-Principal Secretary	Ministry of Environment and Forestry	4/11/2023
Esline Garaebiti	Vanuatu-GEF Operational Focal Point-Director General	The Ministry of Climate Change Adaptation, Meteorology, Geo-Hazards, Environment, Energy and Disaster Management	4/5/2023

## ANNEX C: PROJECT LOCATION

Please provide geo-referenced information and map where the project interventions will take place

It should be noted that the PRO-SEAS is a global project and the three countries were chosen as representatives of countries that are seeking to address SBMPL, and, as of autumn 2022, they were among the most advanced in terms of SBMPL country assessments and NAP development (although other countries are

also advancing and may be included during the PPG phase). The three countries also represent a geographic spread representing several LMEs.

At the PIF stage selected ports for pilot activities have not been agreed. Also, additional countries are expected to be added for piloting activities (discussions already being held at PIF stage). However, the Project Document developed during the PPG phase will contain a detailed high-resolution map showing all project sites.

**ANNEX D: ENVIRONMENTAL AND SOCIAL SAFEGUARDS SCREEN AND RATING**

**(PIF level) Attach agency safeguard screen form including rating of risk types and overall risk rating.**

Title

FAO ESS Risk Identification–Screening Checklist

Risk Certification

**ANNEX E: RIO MARKERS**

Climate Change Mitigation	Climate Change Adaptation	Biodiversity	Land Degradation
No Contribution 0	No Contribution 0	Significant Objective 1	No Contribution 0

**ANNEX F: TAXONOMY WORKSHEET**

The Taxonomy worksheet is attached as PDF file in the roadmap of the submission.