



Strengthening the Blue Economy: the Economic Case, Science-Informed Policy, and Transparency

Part I: Project Information

GEF ID

10424

Project Type

MSP

Type of Trust Fund

GET

CBIT/NGI

☐ CBIT

☐ NGI

Project Title

Strengthening the Blue Economy: the Economic Case, Science-Informed Policy, and Transparency

Countries

Global

Agency(ies)

UNEP

Other Executing Partner(s):

World Resources Institute

Executing Partner Type

Donor Agency

GEF Focal Area

International Waters

Taxonomy

Climate Change, Climate Change Adaptation, Ecosystem-based Adaptation, Small Island Developing States, Focal Areas, Large Marine Ecosystems, SIDS : Small Island Dev States, International Waters, Coastal, Pollution, Nutrient pollution from Wastewater, Nutrient pollution from all sectors except wastewater, Plastics, Fisheries, Participation, Type of Engagement, Stakeholders, Partnership, Consultation, Communications, Strategic Communications, Awareness Raising, Sustainable Development Goals, Learning, Information Dissemination, Knowledge Generation and Exchange, Gender results areas, Gender Equality, Influencing models, Convene multi-stakeholder alliances, Capacity, Knowledge and Research, Knowledge Exchange, Knowledge Generation

Rio Markers**Climate Change Mitigation**

Climate Change Mitigation 0

Climate Change Adaptation

Climate Change Adaptation 0

Submission Date

10/24/2019

Expected Implementation Start

12/2/2019

Expected Completion Date

12/31/2020

Duration

13In Months

Agency Fee(\$)

188,100

A. FOCAL/NON-FOCAL AREA ELEMENTS

Objectives/Programs	Focal Area Outcomes	Trust Fund	GEF Amount(\$)	Co-Fin Amount(\$)
IW-1-1	Objective 1. Strengthening Blue Economy Opportunities	GET	1,980,000	9,048,000
		Total Project Cost(\$)		1,980,000 9,048,000

B. Project description summary

Project Objective

Governments and businesses commit to and begin implementing policies, programs, and investments that advance the transition to the Blue Economy (sustainable ocean economy).

Project Component	Financing Type	Expected Outcomes	Expected Outputs	Trust Fund	GEF Project Financing(\$)	Confirmed Co-Financing(\$)
Component 1: "Building a Sustainable Ocean Economy"	Technical Assistance	Outcome 1: Governments and businesses are developing policies, programs and making investments based on the adopted recommendations from the HLP .	Output 1.1 Documented general consensus achieved and outcomes shared amongst leading actors in the public, private, finance, and civil society sector about the economic case for transitioning to a sustainable ocean economy and about science -based practices and policies to achieve it. Output 1.2 Public, private, finance, and civil society sector leaders capacitated and motivated to implement new policies, programs, and/or investments due to the recommendations of the HLP Report in order to achieve a more sustainable ocean economy ("Blue Economy").	GET	924,409	4,397,003

Project Component	Financing Type	Expected Outcomes	Expected Outputs	Trust Fund	GEF Project Financing(\$)	Confirmed Co-Financing(\$)
Component 2: “Blue Papers” substantiating “Building a Sustainable Ocean Economy” recommendations	Technical Assistance	Outcome 2 Improved understanding of the state-of-the-art thinking around transitioning towards a sustainable ocean economy, informing both the High Level Panel report and other targeted audiences.	Output 2.1. Insights and recommendations developed, disseminated, and up taken regarding the 6 Blue Papers <i>(likely covering ocean plastics, new models for sustainable fisheries/aquaculture, climate and the ocean, next generation technology solutions for ocean governance/management, ocean finance, and making the economic case for marine protected areas)</i>	GET	398,543	3,450,997

Project Component	Financing Type	Expected Outcomes	Expected Outputs	Trust Fund	GEF Project Financing(\$)	Confirmed Co-Financing(\$)
Component 3: “Ocean Watch” beta - online monitoring system to support monitoring of impacts of policies and practices.	Technical Assistance	Outcome 3: Improved monitoring of the status, health, and trends of the Ocean	Output 3.1 Ocean Watch beta ^[1] version developed and implemented meeting audience needs and technology potential. <hr/> ^[1] Ocean Watch is an online platform for users to easily find datasets and systems, overlay additional data, conduct analyses, and develop “dashboards” for tracking their areas of interest (e.g., country-specific, issue-specific, marine area-specific)]	GET	353,453	1,200,000
Component 4: Knowledge management and sharing	Technical Assistance	Outcome 4: Increased visibility and awareness about the economic case and the transition path towards achieving a sustainable ocean economy.	Output 4.1 Communications products (visual materials), outreach/public awareness campaigns, and influence strategy for the HLP Report, Blue Papers, and Ocean Watch Output 4.2 IW LEARN - International Waters knowledge products, including website development, experience and results notes, and participation in GEF IW signature events (IWC)	GET	123,594	
Sub Total (\$)					1,800,000	9,048,000

Project Management Cost (PMC)

GET	180,000	
Sub Total(\$)	180,000	0
Total Project Cost(\$)	1,980,000	9,048,000

C. Sources of Co-financing for the Project by name and by type

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Investment Mobilized	Amount(\$)
Donor Agency	Norwegian Ministry of Foreign Affairs	Grant	Investment mobilized	7,848,000
Donor Agency	Good Energies Foundation	Grant	Investment mobilized	400,000
Donor Agency	Swedish International Development Agency	Grant	Investment mobilized	800,000
Total Co-Financing(\$)				9,048,000

Describe how any "Investment Mobilized" was identified

WRI won a competitive bidding process for Norwegian MFA funds to serve as secretariat of the high level panel on a sustainable ocean economy. WRI also won grants from Good Energies Foundation and from the Swedish International Development Agency to support the building of an “Ocean Watch” system.

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

Agency	Trust Fund	Country	Focal Area	Programming of Funds	Amount(\$)	Fee(\$)
UNEP	GET	Global	International Waters	International Waters	1,980,000	188,100
Total Grant Resources(\$)					1,980,000	188,100

E. Non Grant Instrument

NON-GRANT INSTRUMENT at CEO Endorsement

Includes Non grant instruments? **No**

Includes reflow to GEF? **No**

F. Project Preparation Grant (PPG)

PPG Amount (\$)

PPG Agency Fee (\$)

Agency	Trust Fund	Country	Focal Area	Programming of Funds	Amount(\$)	Fee(\$)
Total Project Costs(\$)					0	0

Core Indicators

Indicator 7 Number of shared water ecosystems (fresh or marine) 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				
Count	0	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)
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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)
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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)
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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)
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Indicator 11 Number of direct beneficiaries disaggregated by gender as co-benefit of GEF investment

	Number (Expected at PIF)	Number (Expected at CEO Endorsement)	Number (Achieved at MTR)	Number (Achieved at TE)
Female		2,500		
Male		2,500		
Total	0	5000	0	0

Part II. Project Justification

1a. Project Description

1) Global environmental and/or adaptation problems, root causes and barriers that need to be addressed

The Ocean is the ultimate resource for all. It is the foundation for life and a healthy planet. Covering 70% of the Earth's surface, the Ocean is the planet's largest biosphere and is home to 50-80% of life on Earth. The Ocean generates 50% of the Earth's oxygen, absorbs 25% of all carbon dioxide emissions, and captures 90% of the additional heat generated from those emissions—making it the largest carbon sink on the planet.[1]¹

The Ocean is also the foundation for vibrant economies. Goods and services from the Ocean amount to about \$2.5 trillion each year[2]²—an amount expected to double by 2030.[3]³ This makes the Ocean at least the seventh largest economy in the world today in terms of Gross Domestic Product. It supports a multitude of industries that generate jobs, make the modern economy possible, and bolster economic well-being. These include global transportation, tourism, fishing, energy generation, and more. Moreover, the Ocean feeds 3 billion people who depend on the sea for their primary source of protein, a figure that in 20 years could double, as well.⁴

The Ocean, however, is in trouble. Approximately 90% of fish stocks are now either fully fished or overfished.[4]⁴ Acidification and warming seas are causing widespread death of coral reefs and, if these trends continue, all coral reefs could be unrecognizable by 2050. With 80% of people living within 100 kilometres of the Ocean and three-quarters of the world's mega-cities by the sea, 80% of pollution in the Ocean is from land-based sources. In fact, should practices not change within 10 years, the Ocean will contain an estimated 1kg of plastic for every 3kg of fish.

These trends not only threaten the environmental health of the Ocean, but also the economic vitality of the Ocean. They negatively impact the fishing industry, tourism, the ability of coastal-dependent communities to thrive, and the prospects of small island and developing states to sustainably develop. Nowhere is this clearer than coral reef ecosystems. “Business-as-usual” will likely cause such a decline in reef health and structure by 2050 that the result will be loss of food, jobs, and storm protection for several hundred million people.[5]⁵ This decline will impact entire sectors. For instance, some estimate potential losses of \$30 billion per year globally by 2050 from lost tourism revenue.[6]⁶ This decline will impact entire countries, as well. For instance, if all the coral reefs around Bermuda were lost, the property damage from waves and storms would increase from \$500 million to \$2 billion in just ten years.[7]⁷

Acidification alone could have devastating consequences for the global seafood industry, which is worth \$190 billion and depends on a healthy Ocean. A 2009 report by FAO and the World Bank estimated that poor fisheries management results in global marine fisheries being worth \$50 billion per year less than what they could be—a sum equivalent to more than half the value of the global seafood trade.[8]⁸ Illegal, unreported, and unregulated fishing is costing \$23 billion per year in lost income.[9]⁹

A “business-as-usual” trajectory forecasts a catastrophic, long-term economic and environmental outlook for the Ocean, resulting in immeasurable harm for people and the planet. The Ocean—once considered vast and inexhaustible—is now facing limits to growth in ways that were not imagined just a decade ago.

Increasing demand for resources, technological advances, overfishing, climate change, pollution, biodiversity and habitat loss—along with inadequate policies, governance, business practices, and law enforcement—are contributing to the Ocean’s decline. This “business-as-usual” trajectory is based on the misguided assumption by governments and companies that economic development requires over-extracting and polluting the Ocean. In other words, in order to achieve economic growth and prosperity, the conventional argument goes, “production” from the Ocean is paramount and “protection” is secondary at best. “One can either generate wealth from the Ocean or have a healthy Ocean, but not both,” is the reigning paradigm. The drive for jobs and prosperity—however well-motivated—is leading to today’s Ocean crisis.

Several features underpin this misguided assumption. Among them is that many policymakers, business leaders, financial institutions, civil society, and other Ocean stakeholders currently lack:

- A shared understanding of the relationship between the Ocean and the economy

- An evidence-based understanding of how sustainable use of the Ocean and its resources can enable higher value creation, generate equitable economic growth, and contribute to meeting multiple Sustainable Development Goals (SDGs) (including those relating to poverty alleviation, job/livelihood creation, gender equity, and climate mitigation)

- A recognition that economic production and Ocean protection *must* be mutually supporting to ensure long-term prosperity—the world must “produce *and* protect”, striking a balance between use and conservation of the Ocean

- A near-term “to do list” plus a longer-term roadmap for the suite of innovations in policy, governance, markets, and incentives that would align robust and equitable economic development (especially in the developing world) with protection of the underlying natural capital of the Ocean

- A coalition of political (and business) leaders willing to demonstrate leadership by communicating how Ocean “production and protection” go together and by starting to implement the “to do list” and longer-term roadmap

- Monitoring systems that tell the world how the Ocean is doing and provide feedback on the efficacy of actions to achieve a more sustainable ocean future.

Given the importance of the Ocean, the world cannot afford to continue on its current “business-as-usual” trajectory. New market and policy approaches are required—where profitability and sustainability can operate *together* to the benefit of people and the planet. In short, the world needs a new narrative on what a “Sustainable Ocean Economy” (or “Blue Economy”) is and how to achieve it.

2) The baseline scenario and any associated baseline projects

Relative to the proposed project’s areas of work, the current baseline includes the following:

- **Ocean economics:** Some work has been conducted to show how the Ocean contributes to economic development. The most important of these was a report by the OECD, “The Ocean Economy in 2030”, published in 2016. Portions of the proposed project will pick up where that report left off and delve more deeply into ocean economics, and even be more “prescriptive” than “descriptive” than the OECD report. Some of the OECD author team of the 2016 report will be commissioned to help write portions of the High Level

Panel report. Likewise, several “Blue Economy” conferences are starting to emerge. The proposed project does not propose to create additional summits, but rather leverage existing summits as vehicles for delivering project messages to target audiences.

•**Programmatic work:** UNEP is pursuing a number of efforts on the Ocean that the proposed project could provide benefits to and benefit from (but they are not doing the same thing as the proposed project). For example, the project can work closely with UNEP's Regional Seas Programme, which is addressing the accelerating degradation of the world's oceans and coastal areas through a “shared seas” approach, and engages neighboring countries in comprehensive and specific actions to protect their common marine environment. More than 143 countries have joined 18 Regional Seas Conventions and Action Plans for the sustainable management and use of the marine and coastal environment. Typically, each Action Plan is underpinned by a strong legal framework in the form of a Regional Convention and associated Protocols on specific problems.[10]¹⁰ Priority focal areas of the Programme include addressing land-based pollution, protecting coral reefs and other vulnerable ecosystems, enabling ecosystem-based management including effective marine protected areas, and fighting for clean seas (tackling marine debris).[11]¹¹ UNEP's Sustainable Blue Economy Initiative can both support and use the proposed project work and outputs, including developing sustainable blue economy ‘decision-support and enabling framework’ to assist countries develop and implement policy pathways and actions towards sustainable, resilient and inclusive blue economies. Other related work includes blue carbon methodology and policy guidance, hosting of the Sustainable Blue Economy Financing Principles (jointly with EC, EIB, WRI and WWF), and work on trade to reduce harmful fisheries subsidies.

• **Political attention:** Fortunately, the Ocean has been rising rapidly up the international agenda in recent years. For example, in 2015, the UN's 2030 Agenda for Sustainable Development agreed to a stand-alone “Goal 14” dedicated toward a vision to conserve and sustainably use the Ocean, seas, and marine resources. The UN has appointed a Special Envoy for the Ocean, Peter Thomson. And the UN has proclaimed 2021-2030 the “Decade of Ocean Science for Sustainable Development” to gather ocean stakeholders worldwide behind a common framework that will ensure ocean science can fully support countries in the achievement of the Sustainable Development Goal 14 on the Ocean. The Ocean also has become a topic of interest within various other high-level fora. For example, the ubiquitous problem of marine plastics has been highlighted within the presidencies of the G7, the G20, and the United Nations Environment Assembly. The first UN Ocean Conference was held in June 2017, with the next one scheduled for June 2020.

Launched in 2018, the Friends of Ocean Action is a group of more than 40 leaders dedicated to inspiring ambition, mobilizing action, and accelerating progress toward achieving SDG 14 by 2020. These leaders form an informal, multi-stakeholder group composed of some of the world's most committed and influential business executives, civil society activists, and thought-leaders helping to implement global action on ocean issues.

But amidst this burgeoning interest, convincing evidence of the need for combining Ocean production and Ocean protection is still missing, as is a vision of what a sustainable ocean economy is and how to get there. These processes are missing the economic and political economy case for action, and the corresponding “to do list”.

•**High Level Panel:** A coalition of political leaders has formed which can serve as the anchor for much of the proposed project. Launched in 2018 by the Prime Minister of Norway and the President of Palau, the High Level Panel for a Sustainable Ocean Economy brings together world leaders who seek to make the case that economic production and

ocean protection must be mutually supporting if the world is to "produce, protect, and prosper." It is an initiative of standing heads of government committed to catalyzing bold, pragmatic solutions for Ocean health and wealth that support the Sustainable Development Goals and build a better future for people and the planet. Members of the Panel are the Head of Government of Australia, Canada, Chile, Fiji, Ghana, Indonesia, Jamaica, Japan, Kenya, Mexico, Namibia, Norway, Palau, and Portugal, as well as the UN Special Envoy for the Ocean. The Panel seeks to shape the global debate on the conservation and sustainable use of the ocean and introduce a new narrative on what a "Sustainable Ocean Economy" is and how to achieve it. Tapping into an esteemed Expert Group (25+ world renowned experts in ocean science and economics) and Advisory Network (30+ leaders from private sector, international organizations, and civil society), the Panel will produce cutting-edge knowledge, generate recommendations, engage top-level political and business leaders, and leverage high-profile platforms to get its message to those who can act. The Expert Group co-chairs are Jane Lubchenco (former administrator of NOAA and currently at Oregon State University), Mari Pangestu (former Minister of Tourism and Trade for Indonesia), and Peter Haugan (Professor at University of Bergen and Chair of the Intergovernmental Oceanographic Commission).

•**Ocean monitoring:** Monitoring of the ocean is starting to improve. For instance, a few years ago Global Fishing Watch was launched, helping strengthen monitoring of wild catch fisheries and tackle illegal fishing. In 2018, WRI and partners launched Resource Watch, a free, open access, online platform that displays monitoring data about a plethora of natural resources (including some on the Ocean). Moreover, UNEP is planning to have an online Environment Situation Room (the next generation of UNEP Live) that monitors a variety of environmental issues. The "Ocean Watch" portion of the proposed project plans to build on these. For instance, it will build on the back-end architecture of Resource Watch. Global Fishing Watch is already a partner in Resource Watch. And the outputs of Ocean Watch will be made available to the Environment Situation Room.

•**Country policies:** Of course, to varying degrees countries around the world have some policies already on the books regarding Ocean protection or sustainable management (e.g., fishing laws, coastal zoning laws). What the proposed project seeks to do, among other things, is help advance new adoption of policies, programs, and investments beyond what is already there. To illustrate, suppose country X already has policies A, B, C, and D on the books. Then suppose the proposed project recommends policies D, E, F, and G. If country X were to adopt and start implementing policies E and F, only E and F would "count" as changes relative to the baseline (policy D, although part of the recommendations, was already in place in country X).

3) The proposed alternative scenario with a description of outcomes and components of the project

The proposed project, *Strengthening the Blue Economy: the Economic Case, Science-Informed Policy, and Transparency*, is designed to tackle the features underpinning the misguided assumption that "one can either generate wealth from the Ocean or have a healthy Ocean, but not both" (see section 1). The proposed project will do so by supporting development of (A) the High Level Panel's landmark 2020 report on "Building a Sustainable Ocean Economy", (B) at least six underlying Blue Papers, and (C) a beta version "Ocean Watch" monitoring system. In so doing, the proposed project will build upon and contribute value-added to many of the efforts outlined in the baseline (see section 2). The near-term outcome of this effort is that governments of at least 8 countries and 5 businesses adopt specific recommendations of the High Level Panel (HLP) report, and take a step

towards transitioning into a sustainable ocean economy through creating processes that start implementing these recommendations (e.g., new policies, new investments, new programs).

By the term “sustainable ocean economy” (which we sometimes interchange with “Blue Economy”) we mean an economic system where the public and private sectors implement policies, programs, and investments that enable ocean protection at the same time as ocean production. A sustainable ocean economy is one where a number of critical transformations get underway, including for instance (but not limited to):

- *Stable, efficient, and equitable wild-catch fisheries* (e.g., new fishery management analytics and methods to respect MEY levels, consumer demand shifts and new value chain transparency, stock ownership and fleet consolidation)
- *Protection/restoration of coastal community ocean incomes* (e.g., restoration of coastal, multi-species, opportunistic, multi-gear fisheries and stocks; protection of traditional access rights; integration with near shore (multi/low trophic) aquaculture)
- *Productive and restorative aquaculture* (e.g., new business models for low-trophic/ seaweed/ bi-valve production at zero carbon and benign ecological impact; multi-trophic production systems; new feed technologies for large scale finfish farming; dietary changes towards more ocean (low trophic) food; seaweed as a new source of bio materials)
- *Closed loop on the land based leakage* (e.g., new plastic economy; reducing agricultural runoff)
- *Climate-resilient, biodiverse and economically robust coastlines* (e.g., coastal eco-tourism and biodiversity hot spots protection (mangroves and reefs); pristine wetlands and estuaries for bi-valve and finfish aquaculture; “managed retreat” from flood zones/SLR impact areas; new business models to finance coastal protection and restoration (insurance, blue carbon credits))
- *Carbon neutral ocean industries* (e.g., ocean energy/ offshore wind; opportunities for storage of carbon captured from terrestrial energy production; decoupling of renewable and fossil fuel infrastructure; green shipping (efficiency gains, zero-carbon fuels))
- *Ports infrastructure supporting a sustainable ocean economy* (e.g., fishery port state controls; ballast solutions; efficient value chains and integration with land based supply systems (e.g., trains); new fuel infrastructure for shipping (ammonia, etc.))

A. Component 1 - "Building a Sustainable Ocean Economy"

The project would contribute to the research and writing of the High Level Panel's landmark publication, "Building a Sustainable Ocean Economy" (the rest of the financing comes from the Norwegian Ministry of Foreign Affairs). This report will be released in June 2020 in conjunction with the next UN Ocean Conference. The report will articulate:

- ***The Ocean Economy.*** A shared understanding of the relationship between the ocean and the economy (e.g., in relation to job creation, poverty alleviation, resilience for at-risk communities, and development of vibrant sustainable industries)
- ***The Urgency of Today.*** A recognition that a Sustainable Ocean Economy is dependent on a clean and healthy Ocean, that economic production and Ocean protection must be mutually supporting (the world must “produce, protect, and prosper”), and that ocean use and conservation are interlinked
- ***The Possibility of Tomorrow.*** A suite of innovations in policy, governance, markets, technology, finance, and incentives that can align robust economic development (including poverty alleviation, gender equity, community resilience) with protection of the underlying natural capital of the Ocean
- ***Charting the Course Ahead.*** A “to do” list for governments (at international, regional, national, and subnational levels), the private sector (both Ocean-based industries and land-based industries that impact the Ocean), and civil society needed to catalyze the shift to the Sustainable Ocean Economy.

Accompanied by extensive outreach, engagement and initiatives, the report will set the global ambition and recommendations for how governments, the private sector, and civil society can create a transformational new ocean economy that contributes to achieving the Sustainable Development Goals (including SDG 1, 2, 3, 5, 7, 8, 9, 13, 14, 16, and 17), as well as supports multilateral environmental agreements (e.g., the CBD Aichi MPA target). The report will have the nexus of healthy ocean ecosystems and economic development at its heart. In particular, the report will highlight what needs to be done in order to ensure ocean ecosystems help lift people out of poverty and that a sustainable ocean economy does not leave anyone behind. Likewise, the report will highlight selected recommendations to support development and resilience of small island developing states and communities that depend on coastal ecosystems for their livelihoods. The report will build on the latest scientific research and other relevant knowledge, be deeply anchored in current debates, engage stakeholders who are governing the ultimate drivers of ocean decline, and draw lessons from other policy domains (e.g., climate change, energy sector) about how to pursue a transformation from the status quo to sustainable Oceanic economic development.

Key activities include:

- Conduct literature review, expert interviews, and original analyses (e.g., on economics, social impacts, development models) that will inform the HLP report narrative
- Draft an outline of the HLP report (including chapter titles, section headings, and general narrative)

- Write a first draft of the HLP report
- Submit the report into a peer review process and a consultation process (e.g., Expert Group members, Advisory Network members, HLP member representatives, the GEF, UNEPs Regional Seas Programme, and other target audience members)
- Update the HLP report with relevant input and suggestions of peer reviewers
- Professionally design and layout the report
- Print report and develop interactive online version of the report

B. Component 2 - “Blue Papers” substantiating “Building a Sustainable Ocean Economy” recommendations.

The project would conduct research and writing for at least 6 “Blue Papers” - of the 16 planned - over the next 12 months. Both the High Level Panel and Friends of Ocean Action propose to develop a series of papers (one released periodically) that explores specific themes of the Sustainable Ocean Economy. These “Blue Papers” would synthesize state-of-the-art thinking in order to articulate a baseline of knowledge, generate content for the final report, and offer opportunities for the High Level Panel, the Expert Group, and Friends of Ocean Action to conduct outreach on a rolling basis with target audiences during 2019. Each Blue Paper would be a stand-alone publication, and some content of which may end up in the HLP Report "Building A Sustainable Ocean Economy". [But note that the HLP Report is not just a compilation of Blue Papers and not just informed by the Blue Papers. Rather, the HLP Report will be based on other research and writing that occurs outside of the Blue Papers. Thus item A above is a different suite of activities, actors, and end products.]

We would commission selected people from the Expert Group to be lead researchers and authors for these papers, complemented where needed by other renowned experts. We seek the best-of-the-best experts per paper, and seek diversity (gender, geographic, disciplinary expertise) among the cohorts of authors. Doing so would help deepen engagement by Expert Group members and enable us to capture in writing their respective expertise. We identify the experts via WRI’s team knowledge of who the experts are per thematic area, via recommendations from the co-chairs of the Expert Group (two of the three are women), via suggestions of the Sherpas to the HLP (which helps diversify geographic presence and that some “home expertise” is included, and from experts themselves (experts suggesting other experts). We track gender, geography, and expertise, and seek balance. The project’s benchmark for the inclusiveness and diversity of the authorship is the recent IPCC special ocean report, which we have already exceeded.

Per thematic area, these 20- to 30-page sub-reports would (a) summarize the current science, (b) describe the challenges and opportunities for addressing the issue, (c) explore the latest thinking about innovative solutions, (d) profile implications for the environment, economic development, and social welfare (there will be a particular emphasis on making sure that the analyses look at impacts/benefits on the poor and women, and look at distributional effects), and (e) highlight case examples or any emerging evidence of possible success. Candidate topics/themes include (but are not limited to):

* Sustainable fisheries/aquaculture * Ocean plastics * Other marine pollution * Ocean-based tourism * Shipping * Ocean-based energy * Bioprospecting * Costs of inaction and benefits of action * Economics of Marine Protected Areas * Ocean finance * Next generation ocean governance * Ocean and food security * Climate and the ocean * Next generation technology solutions * Ecosystem services and the ocean * Integrated ocean management * Illegal fishing and related security issues * How to distribute the benefits of the ocean equitably (this paper in particular will look at how to ensure the benefits of the ocean are equitably spread and “no one is left behind”)

GEF funding would support papers on the following topics (note that GEF can adjust its selection during first 6 months of the project): Next generation approaches to tackling ocean plastics, new models for sustainable fisheries/aquaculture, climate and the ocean, next generation technology solutions for ocean governance/management, ocean finance, and the economics of marine protected areas.

Key activities include:

- An expert team per Blue Paper will outline their respective Blue Paper
- The outlines will be approved by the Expert Group co-chairs
- Expert teams will write the Blue Papers
- Each Blue Paper will undergo a rigorous peer review process
- The Blue Papers will also be shared with UNEPs Regional Seas Programmes for their feedback.
- The expert teams will revise the Blue Papers to incorporate the review comments and suggestions
- Each Blue Paper will be professionally designed and laid out (for online pdf and printed versions)

C. Component 3 - “Ocean Watch” beta - online monitoring system to support monitoring of impacts of policies and practices.

Both the High Level Panel and Friends of Ocean Action have identified “better and more integrated monitoring of the status, health, and trends of the Ocean” as a critical gap to be filled. There are multiple datasets already available about oceanic phenomena, including novel ones monitoring human impacts on the ocean (e.g., Global Fishing Watch). What is needed is a platform where users are able to easily find these datasets and systems, overlay additional data and conduct analyses, and develop “dashboards” for easily tracking their areas of interest (e.g., country-specific, issue-specific, marine area-specific). On behalf of the Panel and Friends, we propose to start building the base architecture for such an Ocean Watch system, leveraging previous investments in Resource Watch infrastructure and technologies. We also will propose what datasets and monitoring systems are missing (relative to the agendas of the Panel and Friends) that need further investment. Partners in designing this system would include UN agencies, Google, RevOcean, Global Fishing Watch, regional development banks and the World Bank, and others.

Data ultimately on the system will include some which is open source (thus easy for us to access and repurpose as long as we give proper attribution), some generated by partners, and some commissioned by us (where there are gaps that are not being filled). Entities will want their datasets and monitoring information on Ocean Watch because (a) Ocean Watch will invest in outreach and communications and thus will be a means by which data originators can get their data out into the world and used, (b) Ocean Watch will have additional datasets that can be overlaid on the originator's data and thus provide additional value-added to the latter, (c) Ocean Watch does not preclude the originator's data from being posted elsewhere, and (d) every effort will be made to use data which is provided realtime (e.g. satellite based sea surface temperature, chlorophyll a concentrations, ship movements, etc.). The experiences of Resource Watch and Global Forest Watch indicate that data originators have no qualms in providing data that gets posted on free, online system that has been developed by another entity or consortia of entities. Both systems have had a lot of data provided by originators. FAO, for instance, has some of its data on Global Forest Watch, and other FAO datasets are on Resource Watch. Furthermore, the data it gathers, curates, and displays will be shared both with IW LEARN's spatial lab and UNEP's Environment Situation Room.

Key activities include:

- Conduct a target audience/user “needs assessment” (structured by audience and including synthesis of needs and implications for system design) – *part of component 4.1 activities.*
- Write up at least five “use case” descriptions of target audiences. This will help hone thinking about system design and functionality
- Conduct a landscape assessment (e.g, of existing ocean data available online, technology potential, online technology functionality tools from other systems like Global Forest Watch)

- Prepare a description (and prioritization) of desired features, functionalities, and datasets for the beta version of Ocean Watch
- Draft how Ocean Watch will build on the underlying “back-end” architecture, data layers, and coding of Resource Watch
- Develop a “wireframe” of the Ocean Watch system
- Write the code to convert the “wireframe” into an online, password-protected prototype
- Gather and prepare (with appropriate user rights) the datasets to go on the prototype. Data will include biophysical data, socio-economic data (including distributional effects related to poverty and gender if/where data is available), context-setting overlays (e.g., boundaries), historic data and near-real-time data (where possible), and more
- Garner user feedback and then refine the backend and user interface of the system Release Beta version of the Ocean Watch
- Once live, get some of the output from Ocean Watch on to other data platforms (e.g., Environmental Situation Room).

D. Component 4 - Knowledge Management and Sharing

Based on the outputs of the three areas above, the project will ensure that the knowledge developed is captured and shared to advance the blue economy agenda. For instance, the project seeks to improve knowledge on policies, investments, and programs that advance opportunities to transition to the Blue Economy. Activities under component 4 will help raise the visibility of the HLP report, the Blue Papers and Ocean Watch. These outputs include the communications products, outreach/public awareness campaigns, and influence strategy for HLP Report, Blue Papers, and Ocean Watch. Key activities include;

HLP Report

- Develop communications and outreach strategy
- Write up key messages, talking points (for HLP members and others), social media content, infographics, and more
- Conduct outreach including major launch event (June 2020 at UN Ocean Conference) and subsequent launch rollout on multiple continents over course of six months

- Conduct media outreach just prior to the launch (to build interest), a press event at the UN Ocean Conference, and continuous media outreach for six months after the launch

Blue Papers

- Communications and outreach strategies for each Blue Paper will be developed, including key messages, talking points (for authors, members of the Advisory Network, and HLP members), infographics, events, target media, lined-up messengers, etc.
- Launch “events” for Blue Papers will be held and media outreach/engagement conducted.

Ocean Watch

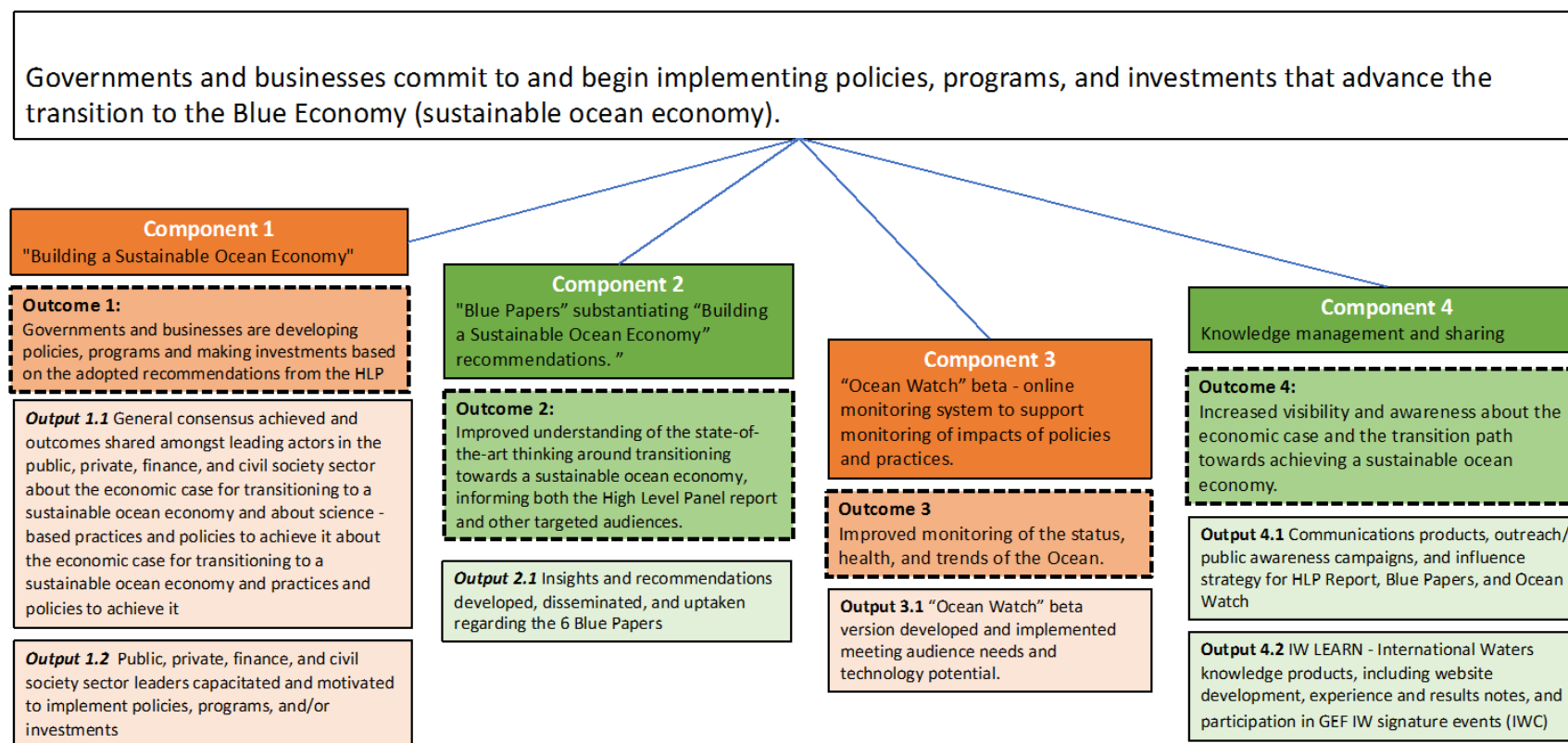
- Conduct interviews of target users to identify their needs
- Articulate how system will inform the public and decision-makers of status/trends, and how it can hold decision-makers accountable for follow through on policies/practices/investments
- Based on the above, write the influence and impact strategy for Ocean Watch (as well as implications of this strategy for the system’s design)
- Launch Ocean Watch beta (provisionally in conjunction with the HLP Report (fall back is in Q4 2020))

In addition to the above, the proposed project will also disseminate the knowledge products via existing global information sharing platforms such as GEF International Waters Learning and Resource Exchange Network (IW:LEARN). Project will facilitate uptake of key research findings, as well as lessons learned and knowledge exchange at the High-Level dialogues. The following key activities are planned to ensure effective knowledge and experience exchange across the GEF IW community:

- Participation in the GEF International Waters Conferences (landmark biannual events of the GEF IW portfolio) – once within the life-time of the Project. The first contribution is expected for the 10th edition of the IWC in 2020.
- Production of experience and results notes (short case studies based on the research conducted and outcomes of High-Level dialogues) to showcase key findings to be disseminated through IW:LEARN channels and other global and regional platforms.

- Participation in IW:LEARN Twinning with other GEF relevant projects and programs, whenever relevant.
- Contribution to IW:LEARN.net with specific content (i.e. data visualization – Spatial Lab).
- Contribution to knowledge, newsletters, stories, audio, and visual materials in social media, events, etc.
- Participation in GEF Communities of Practice (CoPs) on International Waters related topics, whenever relevant.
- Development of an IW LEARN compliant project website.

Figure 1 Project Structure



4) Alignment with GEF focal area and/or impact program strategies

The project directly supports GEF's International Waters Focal Area Objective 1, "Strengthening Blue Economy Opportunities". In addition, the research will contribute to the best-practice thinking and strategies to inform GEF's work on improving ocean governance via transboundary partnerships and regional institutional structures, implementing ecosystem-based approaches to managing fisheries, addressing land-based sources of pollution, and designating marine protected areas.

Moreover, the project will contribute to concrete steps taken by the High Level Panel and the Friends of Ocean Action—actions that advance outcomes aligned with GEF’s mission and aspirations. Examples may include policies and innovations to address ocean plastics, greater adoption of international policies (e.g., Port State Measures Agreements), a renewed push to increase MPA designations, new business models, new global commitments that ratchet up ambition over time, more equitable distribution of ocean benefits (e.g., coastal communities, women), and more.

5) Incremental/additional cost reasoning and expected contributions from the baseline, the GEFTF, LDCF, SCCF, and co-financing

Annex N. Incremental Costs Analysis

This annex presents incremental cost reasoning. Incremental reasoning defines the role for the GEF in the context of the expected global environmental benefits that will accrue following the implementation of the Project. It is based on an assessment of the value added to the current efforts through the financial support of the GEF. The contribution of GEF can thus be considered to be catalytic in its nature. Annex L (Budget), Annex M (Co-finance budget) provides the GEF and co-finance investments and Annex A provides quantifiable indicators in the Results Framework to support the incremental cost analysis.

Baseline Scenario (business as usual)	Alternative Scenario (what the GEF project will contribute)	Key Benefits (outcomes expected with alternative scenario)
Component 1: "Building a Sustainable Ocean Economy"		
The economic case for transitioning to a Blue Economy (and the practices and policies to achieve it) is not well articulated, communicated, or believed by government and business decision-makers.	Public and private sector decision-makers are convinced that there is an economic and political economy case for transitioning to a Blue Economy. This case is bolstered by sound economic analyses that demonstrate job, income, GDP, market, and human wellbeing benefits created by the Blue Economy, all communicated by persuasive messengers (e.g., government and business leaders).	The ocean is increasingly managed to both “produce and protect”. Thus, ocean ecosystem conservation is bolstered (politically and financially) because protection is seen as a contributor to production.
Component 2: “Blue Papers”		

Baseline Scenario (business as usual)	Alternative Scenario (what the GEF project will contribute)	Key Benefits (outcomes expected with alternative scenario)
Absence of research on how aspects of ocean management can contribute to (or need to change to contribute to) a Blue Economy.	New world-class research demonstrates how various changes to ocean management can contribute to a Blue Economy (e.g., next generation approaches to tackling ocean plastics, new models for sustainable fisheries/aquaculture, climate and the ocean, next generation technology solutions for ocean governance/management, ocean finance, and the economics of marine protected areas)	Adoption of research recommendations contributes to wise political and business steps contribute to a Blue Economy, leading to reduced ocean pollution levels, more sustainable fisheries models, more financing for the ocean, etc.
Component 3: “Ocean Watch” beta		
Data about the status and trends in the ocean (and its contribution to sustainable development) is dispersed on the internet, absent (for some issues), and not reaching those who need this information if the Blue Economy is to be mainstreamed into government and private sector decision-making	Data about the status and trends in the ocean easily found, easily used for analysis, and accessible to critical decision-makers to inform efforts to shift to a Blue Economy	Improved information and monitoring empower decision-makers to improve protection of and sustainable production from the ocean. This results in both more biodiversity conservation benefits and economic development benefits
Component 4: Knowledge management and sharing		
Latest developments in the economic, political economic, and physical science “case for action” on a Blue Economy not captured and shared with relevant stakeholders	Latest developments in the economic, political economic, and physical science “case for action” on a Blue Economy captured and disseminated with stakeholders	Increased shared knowledge, evidence, and Blue Economy “narrative” empowers more actors (e.g., governments, private sector, civil society, international institutions) to become effective at advancing progress toward the Blue Economy.

6) Global environmental benefits (GEFTF) and/or adaptation benefits (LDCF/SCCF)

The proposed project is designed to contribute to many global environmental benefits. These benefits include:

- More sustainable wild-catch fish levels and more sustainable aquaculture
- Political support for and ultimate expansion of marine protected areas

- More coordinated, sustainable management of seascapes (within a country's EEZ and between country EEZs)
- Decrease in pollution from land-based runoff, ship waste, and plastic waste
- Increased carbon sequestration potential from the ocean (e.g., via restored mangroves and seagrass beds, below seafloor CCS)
- Increased ocean-based renewable energy capacity

The project will do so by building the economic and political economic case of why public and private sector policies and investments that lead to these kind of results are actually good for economic development and jobs. The project also will do so by getting a handful of governments and companies to start implementing recommendations that, in turn, lead to these results. In short, the project's analyses created, recommendations developed, implementation begun, coalition of actors mobilized, and monitoring put in place will help drive this.

Please note that given the nature of the project, we currently do not know the exact location of any of these global benefits being realized. That will be more possible once we know which 8 countries and which 5 businesses are the pioneers in adopting and implementing the recommendations of the HLP process.

In addition, note that the project will contribute to increased global knowledge about policies, programs, and investments needed to achieve a sustainable ocean economy, as well as contribute to global leadership on the issue.

7) Innovativeness, sustainability and potential for scaling up

Innovativeness

The proposed project is innovative in a number of ways. For instance, it seeks to do for the Ocean what the "New Climate Economy" did for climate change back in 2014: make the case that economic growth and sustainability can go hand in hand and that it is not an "either/or" situation. In particular, the proposed project will make the economic and political economy "case" for public and private sector action on the Oceans, showing that steps to protect the Ocean are actually good for the economy and for jobs. This is a means of building political will toward ocean action. No "new ocean economy" research and political-coalition building has been done before.

The recommendations in the Report and the Blue Papers will include not only “do what we know needs to be done just better and faster” but also a number of transformational, breakthrough ideas (e.g., big push for diet shift to lower on the food chain generally and lower on the seafood chain to displace carbon-intensive land-based proteins, big push on new circular economy business models, 5 big changes that would enable the ocean to better contribute to combatting climate change). These systems transformations or breakthroughs (what the team is currently considering as a “CHARTER”) will be first-of-their kind proposals, designed to set agendas for the next decade.

Another novelty is that the HLP is the only Ocean initiative made up of sitting heads of government (the Global Ocean Commission from a number of years ago had some *former* heads of government on it). As such, it is the only Ocean initiative with built in political leadership and momentum: The Panel members will be “first movers”, demonstrating accelerated action on the Ocean. [Note that WRI will manage transitions between leaders due to elections by ensuring there is buy-in on national engagement in the HLP by civil servant level staff (e.g., some of the Sherpas or Sous Sherpas are civil servants), by directly engaging the newly elected leader, and by having one of the HLP co-chairs (i.e., Prime Minister of Norway, President of Palau) directly contact the new leader to invite them to fill the slot previously held by their predecessor. That this approach can work has already been proven in the case of Mexico and Australia, where the previous president and prime minister (respectively) was the initial member of the HLP but now President Obrador and Prime Minister Morrison are.]

Given the high-profile nature of the Panel, the HLP Report, Blue Papers, and Ocean Watch will get high-profile billing and exposure at the upcoming UN Ocean Conference (Lisbon, June 2020). In fact, the leaders of the two countries hosting the UN Ocean Conference (Portugal and Kenya) are members of the High Level Panel. This helps ensure that the communications and outreach around the HLP, its report, and its follow-up actions will be innovative in its own right, too, in terms of profile and link to major international processes.

Sustainability

The project has a number of features to ensure sustainability of results after the end of the project.

For example, the HLP report seeks to be a landmark, agenda-setting effort for the next decade, helping define a new economic development pathway that advances ocean sustainability at the same time. Much like the New Climate Economy has been agenda setting, so will the HLP process.

The project results or outcomes are sustainable in that they are policies, programs, and/or investments made by national governments and companies that see that sustaining the ocean is in their self-interest. Moreover, they can be monitored (via Ocean Watch) and thus the actors could be held to account (at least in the court of public opinion) for failure to follow through.

The project will catalyse a suite of “action coalitions” (see next section). Each action coalition is a fundable project (from philanthropy to business investment to blended finance) in its own right. These action coalitions will live on way beyond the life of the proposed project. WRI is already in conversations with a few governments about follow on work to help with implementation of the recommendations and action coalitions.

Ocean Watch's long-term financing plan involves (a) building "apps" on top of Ocean Watch that will have funders (e.g., governments, foundations) that want to build out the functionality of Ocean Watch to address specific issues, such as coral reef conservation (this approach has been successful for Global Forest Watch), (b) securing a long-term grant from a high-net worth individual who is interested in Ocean issues (and the system draws on the interest earned by the grant each year much like an endowment), (c) securing contributions from countries and companies that use the system to inform their decisions (and thus they don't have to invest in recreating from scratch the same datasets and functionality), (d) driving down the costs of Ocean Watch so that operations & maintenance costs are low, (e) drawing selected data from other ocean and related data systems (e.g., GOOS) so that data acquisition for Ocean Watch is free (and doing so provides additional benefits of information sharing and interoperability), and (f) “piggy back” development and maintenance costs on Resource Watch, which receives institutional funding from WRI as an anchor information system. To illustrate that this is possible, Global Forest Watch (managed by WRI) has had a sustainable financing model since 2012, and it involves approaches a, c, d, and f.

Section 5 includes additional approaches for ensuring sustainability of results (by addressing risks to the outcomes becoming a reality).

Scalability

The project has built in a number of features to facilitate scalability. One is the Advisory Network which consists of a large number of leaders from the private sector and civil society, with representation from all six inhabited continents. The project will be engaging this Advisory Network throughout its process to ensure the Network members are “bought in” to the recommended policies, programs, and investments so that they are more likely to implement them themselves.

The proposed project is closely aligned with the Friends of Ocean Action (WRI is the secretariat of the High Level Panel and co-secretariat of the Friends of Ocean Action). This cross fertilization increases the likelihood that Friends of Ocean Action adopt some of the recommendations coming from the Panel. The proposed project will link up with a variety of UNEP and GEF projects on the ocean and blue/green economy and cross fertilize, as well.

The proposed project is engaging a number of global financial institutions including the World Bank and private banks and insurers. Getting these institutions engaged with and adopting the recommendations helps scale the amount of financing flowing into actions that drive a more sustainable ocean economy.

Finally, and very importantly, accompanying the recommendations to be made by the High Level Panel will be the formation in June 2020 of a number of “action coalitions”. An action coalition is a partnership of entities (from public, private, financial, research, and civil society sectors) that collaborates to implement a specific HLP recommendation. Each coalition will feel some personal “ownership” or “vested interest” in selected recommendations and seek to turn them into fruition over the course of the next decade. There would be at least one coalition per HLP recommendation. Some of these coalitions may already exist (but would benefit from a political boost by the HLP), while others may need to be created (and could be catalysed by the HLP’s Advisory Network). The focus of each aspired action coalition will be determined over the course of the next ~6 months while the HLP recommendations are being scoped, developed, and honed with the Sherpas. Candidate types of coalitions include *by issue* (e.g., ocean-based renewable energy, IUU), *by region* (e.g., African west coast, Caribbean), and/or by *integrated transformation* (e.g., marine spatial planning) which are cross-cutting and integrated. As candidate recommendations emerge, WRI will conduct a landscape analysis to identify whether an action coalition per recommendation already exists. For those that do, the analysis will assess its status, progress to date, and needs that the HLP (or Expert Group and Advisory Network) could fill. For those that do not, the analysis will assess which entities need to be involved, who within the Advisory Network could serve as a “seed” for the coalition, and what the coalition should do.

[1] IPCC, 2014: Climate Change 2014: Synthesis Report. Contribution of Working Groups I, II and III to the Fifth Assessment Report of the Intergovernmental Panel on Climate Change [Core Writing Team, R.K. Pachauri and L.A. Meyer (eds.)]. IPCC, Geneva, Switzerland, 151 pp.

[2] [2] Hoegh-Guldberg, O. et al., (2015), Reviving the Ocean Economy: the case for action - 2015. WWF International, Gland, Switzerland., Geneva, 60 pp.

[3] OECD (2016), The Ocean Economy in 2030, OECD Publishing, Paris, <http://dx.doi.org/10.1787/9789264251724-en>.

[4] FAO (2014) The State of World Fisheries and Aquaculture, <http://www.fao.org/3/a-i3720e.pdf>

[5] Burke, L.; Reytar, K.; Spalding, M.; Perry, A. (2011). Reefs at risk revisited. World Resources Institute: Washington, DC. ISBN 978-1-56973-762-0. 115 pp.

[6] Cesar H, Burke L, and Pet-Soede L., (2003), *The Economics of Worldwide Coral Reef Degradation*. Cesar Environmental Economics Consulting, Arnhem, and WWF-Netherlands, Zeist, The Netherlands. 23 pp.

[7] Bermuda Department of Conservation Services (2010)

[8] World Bank and FAO (2009). *The Sunken Billions: The Economic Justification for Fisheries Reform*. Washington, DC: The International Bank for Reconstruction and Development, Agriculture and Rural Development - Sustainable Development Network.

[9] Potts, J., Wilkings, A., Lynch, M., & McFatridge, S. (2016). Standards and the Blue Economy: State of Sustainability Initiatives Review.

[10]<https://www.unenvironment.org/explore-topics/oceans-seas/what-we-do/working-regional-seas/why-does-working-regional-seas-matter>

[11] <https://www.unenvironment.org/explore-topics/oceans-seas/what-we-do>

1b. Project Map and Coordinates

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

Global

1c. Child Project?

If this is a child project under a program, describe how the components contribute to the overall program impact.

N/A

2. Stakeholders

Please provide the Stakeholder Engagement Plan or equivalent assessment.

Stakeholders were engaged during the design of this project. These stakeholders included representatives from government agencies (e.g., Norwegian Ministry of Foreign Affairs), international institutions (e.g., United Nations Environment Programme (UNEP), World Economic Forum), research institutions (e.g., World Resources Institute), nongovernmental organizations (e.g., WWF), universities (e.g., at least 15 universities from around the world), and the private sector (e.g., tourism, shipping, fisheries, energy, finance, high technology). This interaction came during the early meetings of the Friends of Ocean Action, the 2018 Our Ocean Summit (Bali, Indonesia) and World Ocean Summit (Mexico), side meetings of the UN General Assembly (New York), the Science for Ocean Actions Summit (Bergen, Norway), and other venues.

Stakeholders providing input (just prior to the Science for Ocean Action Summit) to the Blue Paper themes and design included:

- Benioff Ocean Initiative, University of California, Santa Barbara
- Bren School of Environmental Science & Management, University of California, Santa Barbara
- Centre for Fisheries & Aquaculture Management & Economics, University of Southern Denmark
- Centre for Marine Sciences
- Centre for the Ocean and the Arctic
- Commonwealth Scientific and Industrial Research Organisation
- Department of Economics, University of Iceland
- Department of Public Law, Institute of Comparative and International Law in Africa
- Department of Zoology, University of Oxford
- Donald Bren School of Environmental Science and Management at University of California, Santa Barbara
- Dynamic Planet
- Environment and Natural Resources Global Practice, World Bank
- Faculty of Law, University of Indonesia
- Fisheries Development Institute
- Fisheries Economics Research Unit, Institute for the Oceans and Fisheries, University of British Columbia
- Food and Agriculture Organization of the United Nations
- Global Change Institute, University of Queensland
- The Indonesian Institute of Sciences
- Institute for Environment and Sanitation Studies

- Institute for the Oceans and Fisheries, Nippon Foundation-UBC Nereus Program, Changing Ocean
- Institute of Polar Law and Politics, Ocean University of China
- Institute for Sustainable Development and International Relations
- Instituto de Ciencias del Mar y Limnología, Universidad Nacional Autónoma de México
- Japan Agency for Marine-Earth Science and Technology
- Nekton Oxford Deep Ocean Research Institute
- Ocean Research and Conservation Group, Oxford University
- Red Sea Research Center, King Abdullah University of Science and Technology
- Research Unit, University of British Columbia
- The Palau International Coral Reef Center
- Portuguese Institute of Sea and Atmosphere
- Representatives from the Norwegian Government
- School of Biological Sciences, The University of Hong Kong
- School of International and Public Affairs; Columbia University
- School of Marine Studies, International Ocean Institute Pacific Islands, University of the South Pacific
- Shipping Faculty at Institut Teknologi Sepuluh Nopember
- Stockholm Resilience Centre
- United Nations' Group of Experts of the Regular Process for World Ocean Assessment
- UN Environment
- Woods Hole Oceanographic Institution

- Woods Institute for the Environment, Stanford University
- World Bank and Asian Development Bank
- WorldFish Center

Among other things, this stakeholder input led to the following aspects of or changes to Blue Paper design (not an exhaustive list):

- Settling on the themes of the 16 papers (after entertaining 30+ possible themes). This was arrived at via several rounds of participatory rotating workshops (in person, virtual)
- Splitting paper 15 (on illegal fishing) into two papers (one on illegal fishing and another on sea crime) given that, albeit related, they are different issues that require dedicated attention
- Settling on the suite of co-authors for the papers. Given input, we are paying special attention to ensuring diversity among the suite of co-authors by gender and by geography of origin. Blue Papers will be authored by a strongly diverse suite of experts from around the planet.
- Encouraging as many papers as possible to include economic analyses (e.g., cost of inaction, benefits of action)
- Settling on the peer review process to follow
- Settling on how the Blue Papers would be branded vis-à-vis the High Level Panel
- Agreeing to a preliminary schedule of launch timing (rolling launches from autumn through spring (northern hemisphere timing))
- Role of the 16 suites of co-authors (each is a different team), the secretariat, the HLP sherpas, the Expert Group co-chairs, the Advisory Network, and the HLP itself defined in terms of who writes, who provides input, who reviews, who signs off (e.g., HLP does not sign off), and who are messengers.

Those involved (during side meetings of the UN General Assembly and the Our Ocean Summit) in the early design/outline/purpose of the High Level Panel Report include:

- Senior representatives, officials and aides from the Governments of: Australia, Chile, Fiji, Ghana, Indonesia, Japan, Jamaica, Mexico, Namibia, Norway, Palau and Portugal
- Country permanent representatives to the UN

- Representatives from and to the UN, associated with either the Ocean or the countries listed above
- World Economic Forum
- World Resources Institute

Among other things, this stakeholder input led to the following aspects of or changes to the design of the High Level Report (not an exhaustive list):

- Agreement on the four-part structure of the report (the four major “parts” within which there will be 2-3 chapters each)
- Agreement on the “arc of the narrative” of the report
- Agreement on the “levels” of recommendations the report should provide (e.g., 6-10 high level, thematic recommendations complemented by a more detailed “to do list” per type of actor).
- Push for the need for real-world case examples of the “blue economy” already in action in order to “make it real” for readers and give a chance to profile early movers to inspire others
- Ensuring that sufficient attention is paid to the role of women (and need for increased role of women), indigenous, and other marginalized groups in ocean-related decision-making and benefits sharing.
- Ensuring strong articulation of how the new ocean economy being espoused will benefit the poor and those most dependent on the ocean for their survival (e.g., small-scale fishers, low-income coastal communities)
- Agreement on what the High Level Panel needs to sign off on
- Role of the writing team, the secretariat, the sherpas, the expert group, the advisory network, and the HLP itself defined in terms of who writes, who provides input, who reviews, who signs off, and who are messengers.
- Need for multilingual translations.

In addition, provide a summary on how stakeholders will be consulted in project execution, the means and timing of engagement, how information will be disseminated, and an explanation of any resource requirements throughout the project/program cycle to ensure proper and meaningful stakeholder engagement.

The project has built in stakeholder engagement throughout. For instance, two of the institutional structures are designed to facilitate this. The High Level Panel's Expert Group is comprised of 25+ world renowned marine scientists, economists, and social scientists from 6 continents who will contribute content to the High Level Report, serve as peer reviewers of the Report, and serve as authors of the Blue Papers. The Advisory Network is comprised of 30+ leaders from the private sector, international organizations, and civil society from across 6 continents. The Advisory Network will provide perspectives on what the Report and Blue Papers need to cover, serve as reviewers of the Report and Blue Papers, and will be first round candidates for action coalitions that would adopt some of the recommendations to work to make them a reality.

Members of these two bodies will meet at least once every quarter in 2019 and 2020. The location of the meetings will rotate across continents (to make it easier for people to attend at least some of the gatherings). The results of the stakeholder engagement will be embedded in the Report and Blue Papers.

For Ocean Watch, the project will engage target users to give input into the system's design, architecture, and desired functionalities. Target users include (but are not limited to) MPA managers, marine-dependent communities, nongovernmental organizations, ocean researchers, and relevant government agencies. In addition, the project will engage scientists, international organizations, intergovernmental organizations, and nongovernmental organizations to identify and gather relevant data for the system. Engagement will occur via design charettes, "use case" workshops, and webinars.

Select what role civil society will play in the project:

Consulted only;

Member of Advisory Body; Contractor;

Co-financier;

Member of project steering committee or equivalent decision-making body; Yes

Executor or co-executor;

Other (Please explain) Yes

Civil society representatives will constitute around 1/3 of the membership of the Advisory Network (described above) and help fulfill the role of the Network. Representatives of civil society outside of the Advisory Network will also serve as reviewers of the High Level Panel Report and the Blue Papers via a peer review process. Likewise, civil society is one of the intended users of the Ocean Watch system.

3. Gender Equality and Women's Empowerment

Provide the gender analysis or equivalent socio-economic assesment.

Much like with other natural resources, women typically are disadvantaged when it comes to ocean or marine management. For instance, when it comes to fisheries, women are overwhelmingly (in some cases up to 90%) involved in secondary fields such as fish processing, intertidal invertebrate harvesting, marketing and fishing machinery maintenance. These jobs are often low paid or unpaid, and women face significant barriers to accessing bank credit, financial resources, technology, market information and entrepreneurial support (FAO, 2016).

Other issues related to the fishing industry also negatively impact women. For example, investigations by the US Department of State have found that illegal, unregulated or unreported fishing often coexists with trafficking of women to service fishing fleets (US State Department, 2015). In addition, WWF report that it is rare for women to be in top management positions in the fishing industry. This is not necessarily due to a lack of education or qualifications, but rather due to social conventions, cultural traditions and, in some cases, restrictive property rights laws that create invisible barriers to women's leadership.

The literature indicates that areas of women's inequality with regard to the ocean often relate to women being denied a fair role in participating in marine resource decision-making, lack of access to and control of marine resources, and disproportionately low benefits from sustainably managed marine resources. The project's research will address this in its recommendations.

Gender inequality is not just an issue in the fishing industry either. According to a report in the journal *Marine Policy*, "gendered biases still influence our interactions with the ocean" (Gissia et al. 2018). This study highlights a number of cases where gender biases are hindering progress on ocean conservation. For example, it states that "women have advocated for the common good in marine conservation, raising important (and often neglected) concerns" and that "women are often regarded as major actors driving sustainable development because of their inclusiveness and collaborative roles." The study illustrates that without gender equality, progress on ocean conservation, as well as broader environmental preservation, will not be as successful as it could be. Given the critical state of the ocean, the world must ensure that gender equality is firmly embedded in policy-making and ocean governance processes.

Gender considerations were factored into the project's design from the start. We consulted with gender experts from WRI and external organizations. We consulted the literature as well as experiences of past ocean-related projects. Based on this input, we designed the project to incorporate gender considerations in a number of ways in order to advance women empowerment in the recommendations and outcomes. These include (but are not limited to):

- **Recommendations advancing women's empowerment.** The High Level Panel report on a "Sustainable Ocean Economy" will include recommendations on how to ensure women can play a stronger role in participating in marine resource decision-making, can gain greater access to and control of marine resources, and can better share in the benefits from sustainably managed marine resources.

- **Blue papers.** Some of the Blue Papers will delve into issues relating to women's role in fisheries, including papers about IUU and associated crime (e.g., trafficking). Overall, Blue Papers will highlight where greater women's rights and access (to decision-making and resources) would help shift marine management onto a more sustainable path.

- **Women's outreach.** The project will conduct outreach on the Report, Blue Papers, and Ocean Watch in a manner that accesses and engages communities where women could play a bigger role.

- **Women as stakeholders.** Women are stakeholders in the project in terms of aspired beneficiaries of the recommendations, contributors of content, providers of feedback, and implementers of recommendations.

Institutional arrangements with respect to the high-level panel. The institutional architecture of the Panel process itself signals advancement of women's empowerment. In fact, women hold a predominance of the positions. For instance, of the two co-chairs of the Panel, one is a woman (the Prime Minister of Norway). Of the three co-chairs of the Expert Group, two are women. And of the three co-chairs of the Advisory Network, two are women. Thus five of the top eight positions are women. Likewise, the Expert Group has experts in social and gender issues, and the Advisory Network has representatives bringing a gender perspective.

Does the project expect to include any gender-responsive measures to address gender gaps or promote gender equality and women empowerment?

No

Closing gender gaps in access to and control over natural resources; Yes

Improving women's participation and decision making Yes

Generating socio-economic benefits or services or women Yes

Will the project's results framework or logical framework include gender-sensitive indicators?

No

4. Private sector engagement

Elaborate on private sector engagement in the project, if any

The private sector will be involved in the project in several ways.

First, the private sector will be heavily represented in the Advisory Network for the High Level Panel. The Advisory Network will give input to the types of issues to be addressed by the Report and Blue Papers, and will review (and give feedback on) the emerging drafts of the Report and Blue Papers. As such, they will serve as a periodic “sounding board” for emerging findings and recommendations. Private sector members of the Advisory Network will represent the following:

Sector	Institution
Aquaculture	Aquaculture Stewardship Council

Sector	Institution
Aquaculture	Marine Harvest
Business	Ocean Outcomes
Finance	Bank of America
Finance	Ecobank - The Pan African Bank
Finance	GITI Group
Finance	Global Environment Facility
Finance	Tata Trusts
Finance	Willis Towers Watson
Fisheries/Seafood	Luen Thai Fishing Venture Limited
Fisheries/Seafood	Marine Stewardship Council
Fisheries/Seafood	Nissui
Fisheries/Seafood	Thai Union Frozen Products PCL
Fisheries/Seafood	Zoneco Group
Marine and seabed mining	International Seabed Authority
Maritime & coastal tourism	Stena Line
Maritime communications	Inmarsat
Ocean renewable energy	Siemens Gamesa Renewable Energy
Offshore oil and gas	Equinor (formerly Statoil)
Offshore wind energy	MHI Vestas Offshore Wind
Retailer	Aeon Co. Ltd

Sector	Institution
Retailer	Alibaba Group
Retailer	Metro AG
Shipping	Maersk
Shipping	Rolls-Royce Marine
Technology	Dell Technologies
Technology	Ellen MacArthur Foundation
Technology	Global Fishing Watch
Technology	Salesforce.com
Tourism	Wyndham Hotel Group

Second, these private sector members in the Advisory Network will serve as “ambassadors” of the ultimate findings and recommendations of the Report and Blue Papers.

Third, private sector members of the Friends of Ocean Action can also serve as “ambassadors” of the ultimate findings and recommendations of the Report and Blue Papers. These private sector members already have been accepted in a program (Friends of Ocean Action) that is co-chaired by the UN Secretary General’s Special Envoy on the Ocean, Peter Thomson. As such, they have already approved for engagement by the UN system. Private sector members of the Friends include:

- Marc R. Benioff, Chairman and Chief Executive Officer, Salesforce, USA
- Richard Branson, Founder, Virgin Group, United Kingdom
- Jeremy Darroch, Chief Executive Officer, Sky Plc, United Kingdom
- Patricia Dwyer, Founder and Director, The Purpose Business, Hong Kong SAR
- Raymond Fitzgerald, President, Wallenius Wilhelmsen, USA

- Gloria Fluxà, Vice-Chairman & Executive Board Member, Iberostar Group
- Svein Tore Holsether, President and Chief Executive Officer, Yara International, Norway
- Kenneth MacLeod, Chairman, Stena, United Kingdom
- Cherie Nursalim, Vice-Chairman, GITI Group, Indonesia
- James Quincey, President and CEO, The Coca-Cola Company, USA

Fourth, the private sector will play an important role with Ocean Watch. For instance, some companies will provide technologies such as cloud computing and data storage (e.g., Google's Google Earth Engine). Some may provide datasets into the system. And others will be users of the Ocean Watch system (along with civil society, local communities, and government agencies).

5. Risks

Elaborate on indicated risks, including climate change, potential social and environmental risks that might prevent the project objectives from being achieved, and, if possible, the proposed measures that address these risks at the time of project implementation.(table format acceptable):

Risk Statement	Impact	Likelihood	Overall Risk	Risk Mitigation Strategy	Residual Risk
Risk 1: Non-delivery of research outputs or deliver of poor quality outputs	Major	Minor	Moderate	Have top-calibre, proven Lead Writers for the High Level Panel Report and top-calibre authors of the Blue Papers. Prepare clear workplans for drafting of the Report and Blue Papers with a detailed timeline and names of responsible individuals. Conduct monthly check ins and conduct progress reviews every 8 weeks. Tie subgrants to satisfactory delivery of agreed work. Subject the Report and Blue Papers to a rigorous peer-review process	Minor

Risk Statement	Impact	Likelihood	Overall Risk	Risk Mitigation Strategy	Residual Risk
Risk 2: Members of the High-Level Panel and Expert Reference Group cannot agree upon a shared set of findings, recommendations, and or narrative for the High Level Report and Blue Papers	Moderate	Moderate	Moderate	Design the Report and Blue Paper development process such that there is frequent engagement with the High Level Panel and their handlers, the Expert Group, and an Advisory Network such that they agree upon an initial framing, see emerging analyses and storyline, and have frequent opportunities to contribute their own perspectives, recommendations, and issues. This will enable us to identify concerns as they arise and engage those raising concerns in a real-time, continuous fashion to resolve those concerns. In addition, create a "parking lot" for issues where there is residual disagreement. The Report and Blue Papers need not cover every specific issue and there need no be agreement among all involved parties on everything.	Minor
Risk 3: Ocean Watch platform development hits back-end technical snags or there isn't enough information to make it useful	Moderate	Minor	Minor	Utilize the existing Resource Watch engineering, application programming interface (API), data sets, and design when developing Resource Watch. Thus, this project will leverage something that is already tested and the investment already made in the Resource Watch system).	Minor
Risk 4: No national government adopts and starts to implement any of the recommendations from the Report or Blue Papers	Major	Moderate	Moderate	Have members of the High Level Panel be the first to commit to (and start implementing) some of the policy recommendations at the time of the launch of the Report (June 2020). This way some already start adopting the recommendations, and it encourages peers to subsequently start adopting. WRI's close engagement with the HLP leaders should help make this a distinct possibility (since they will "own" the recommendations and need to demonstrate leadership by "walking the talk"). Furthermore, we will leverage the Ocean Watch system over time to keep the world abreast of the state of (and threats facing) the Ocean and of national action (and inaction) to sustain the Ocean; this consistent monitoring should help build some accountability toward national action on the recommendations.	Minor

Risk Statement	Impact	Likelihood	Overall Risk	Risk Mitigation Strategy	Residual Risk
Risk 5: No private sector entity adopts and starts to implement any of the recommendations of the Report or Blue Papers	Moderate	Moderate	Moderate	Have private sector members of the Advisory Network be the first to commit to (and start implementing) some of the recommendations at the time of the launch of the Report (June 2020). The plan is to have a series of “action coalitions” announced at the launch of the recommendations, with each coalition committed to (and already starting) to pursue at least one of the recommendations. By having the Advisory Network involved from the beginning, they will feel some ownership of and responsibility for the recommendations. WRI’s close engagement with the Advisory Network leaders should help make this a distinct possibility. Furthermore, we will leverage the Ocean Watch system over time to keep the world abreast of the state of (and threats facing) the Ocean and of private sector action (and inaction) to sustain the Ocean; this consistent monitoring should help build some accountability toward private sector action on the recommendations.	Minor
Risk 6. Lack of political will to implement the plans and investments toward a blue economy	Major	Moderate	Moderate	Encourage members of the High Level Panel be the first to implementing some of the policy recommendations at the time of the launch of the Report (June 2020). Once one HLP member generates the political will, he/she can help generate this among the others since they already are part of a tight group that has made bold public commitment already to take progressive actions on the ocean. So this is a form of peer pressure. And as more heads of government do this, it might build a sense of a movement toward these plans and investments, thus building political will among others. WRI’s close engagement with the HLP leaders should help make this a distinct possibility. Moreover, we will be building business support for the HLP recommendations. Where we can get domestic business support, that should help create a “safe space” for the political leaders to take proactive steps on the Blue Economy agenda.	Moderate

Risk Statement	Impact	Likelihood	Overall Risk	Risk Mitigation Strategy	Residual Risk
Risk 7. Lack of business interest or incentive to implement the plans and investments toward a blue economy	Moderate	Moderate	Moderate	<p>By having business leaders as part of the Advisory Network, we aspire to ensure that the “business case” for the Blue Economy gets baked in to the project early on. Likewise, we aspire to ensure that the needed policies that in turn would create a favorable business environment for the Blue Economy get identified and recommended.</p> <p>Here again, the action coalitions will play a role, with each coalition committed to (and already starting) to pursue at least one of the recommendations. This means that a clear business case will already have to have been made via the project process.</p> <p>As mentioned above, for both risks 6 and 7 we seek to leverage the Ocean Watch system to keep tabs on progress (or not) on the Ocean. This consistent monitoring should help build some accountability of public and private sector action on the recommendations.</p>	Moderate

6. Institutional Arrangement and Coordination

Describe the institutional arrangement for project implementation. Elaborate on the planned coordination with other relevant GEF-financed projects and other initiatives.

United Nations Environment Programme (UNEP) will be the Implementing Agency. World Resources Institute (WRI) will be the Executing Entity. WRI is well positioned to be the Executing Entity given its role as the Secretariat of the High Level Panel for a Sustainable Ocean Economy, the Co-Secretariat of the Friends of Ocean Action, and the convenor of the Resource Watch partnership. WRI will coordinate the writing teams (which come from multiple institutions) for the Report and the Blue Papers, as well as manage the consortium of marine scientists, data scientists, and engineers developing the architecture of Ocean Watch. For more information on the Project Steering Committee (PSC), Project Coordinating Unit (PCU), co-executing partners and other information on the institutional arrangement for this project, please refer to Annex O. **See Road map option in the portal and refer to file 01 - CEO endorsement for annexes A to W.**

WRI was selected by the Norwegian Ministry of Foreign Affairs to be the Secretariat of the High Level Panel via a competitive proposal process. WRI’s proposal included SystemIQ as part of the lead writing team for the HLP Report and the concept of having an Expert Group, a suite of experts (from natural sciences, economics, politics, governance) from which teams of co-authors would be drawn for authoring the Blue Papers, and an Advisory Network of stakeholders. Refinements to this design were discussed among representatives to the

HLP during meetings in September 2018 (during UNGA) and October 2018 (at the Our Ocean summit in Bali). These refinements included adding additional co-chairs to the Expert Group and Advisory Network, adding new members to the Expert Group to increase gender and geographic diversity, and more. During a HLP Sherpa meeting in March 2019 (in Abu Dhabi), representatives of the HLP recommended additional participants in the Advisory Network. Workshops with stakeholders in 2018 also generated recommendations on who to include in the Expert Group and who to partner with in the development of an Ocean Watch partnership.

The proposed project will ensure coordination with ongoing GEF projects (listed below), and ensure that there is no duplication of efforts.

Relevant GEF financed projects –

This project will be of significance to the entire GEF Large Marine Ecosystem (LME) Portfolio. Through component 4 and activities targeting engagement with IW LEARN, the project will ensure that the outcomes are shared with this LME community and the blue papers help inform other GEF initiatives, and thereby helping countries to transition into a blue economy. For those countries that are part of the High Level Panel and also part of an LME constituency (e.g. Jamaica, Kenya and Fiji), participation in this project will further benefit their projects and activate transition to a blue economy.

- *Addressing Marine Plastics - A Systemic Approach (GEF ID 9681)*: UNEP, GEF, and other partners are working to capitalize on a growing baseline of knowledge on marine plastics sources, pathways and environmental impacts to inform the development of the GEF 7 Strategy and the application of a systemic approach to global plastic issues[1]. Project components focus on: 1) catalyzing a systemic change towards a circular economy for plastics – a New Plastics Economy; 2) mobilizing investment, science, governments and civil society in implementing effective waste management to address current waste streams; 3) examining and identifying strategic intervention points in moving linear and wasteful plastic economies to circular systems within the broader rubric of sustainable consumption and production that is essential to curbing plastic flows to the ocean.
- *The Coastal Fisheries Initiatives Global Partnership (GEF ID 9128)*: The objective of this project is to coordinate, support, strengthen and consequently add value to the efforts of the CFI Partners in the achievement of the CFI Program goal.

The Coastal Fisheries Initiative Challenge Fund (GEF ID 9125): Enabling Sustainable Private Sector Investment in Fisheries (CFI-CF): This project aims to strengthen the capacity of government institutions, private sector and local fishing communities to generate a pipeline of return-seeking responsible investments in selected coastal fisheries.

[1] <https://www.thegef.org/project/addressing-marine-plastics-systemic-approach>

7. Consistency with National Priorities

Describe the consistency of the project with national strategies and plans or reports and assessments under relevant conventions from below:

NAPAs, NAPs, ASGM NAPs, MIAs, NBSAPs, NCs, TNAs, NCSAs, NIPs, PRSPs, NPFE, BURs, INDCs, etc.

- National Action Plan for Adaptation (NAPA) under LDCF/UNFCCC
- National Action Program (NAP) under UNCCD
- ASGM NAP (Artisanal and Small-scale Gold Mining) under Mercury
- Minamata Initial Assessment (MIA) under Minamata Convention
- National Biodiversity Strategies and Action Plan (NBSAP) under UNCBD
- National Communications (NC) under UNFCCC
- Technology Needs Assessment (TNA) under UNFCCC
- National Capacity Self-Assessment (NCSA) under UNCBD, UNFCCC, UNCCD
- National Implementation Plan (NIP) under POPs
- Poverty Reduction Strategy Paper (PRSP)
- National Portfolio Formulation Exercise (NPFE) under GEFSEC
- Biennial Update Report (BUR) under UNFCCC
- Others

The project will support national strategies for creating and maintaining marine protected areas, and will support international agreements such as the Port State Measures Agreement (against illegal, unreported and unregulated fishing) and the United Nations Convention on the Law of the Sea.

8. Knowledge Management

Elaborate the "Knowledge Management Approach" for the project, including a budget, key deliverables and a timeline, and explain how it will contribute to the project's overall impact.

The knowledge that is generated by the research conducted during this project will be managed and fully captured in the end products of the project: the High Level Panel Report, the Blue Papers, and the architecture of an Ocean Watch. All knowledge management related activities for the proposed project are part of Component 4. Detailed information about Component 4 activities and the rationale is listed in Part II (1a.) above. Please refer to Annex A (Project Results Framework), J (Key Deliverables and benchmarks), K (workplan and timetable) and L (detailed budget). [See Road map option in the portal and refer to file 01 - CEO endorsement for annexes A to W.](#)

9. Monitoring and Evaluation

Describe the budgeted M and E plan

The proposed deliverables include written contributions to the High Level Panel report, at least 6 Blue Papers, and the architecture for Ocean Watch (plus a suite of initial data layers). Each of these deliverables is tangible and measurable -making determination of whether or not the deliverable has been achieved relatively easy. The project team will monitor and report progress toward achieving these deliverables every quarter via a "progress check in" as part of the team's regular management and meeting process. The assessment will be conducted relative to the results framework in Annex A. Annex A provides indicators of project implementation along with corresponding means of verification. These will serve as the basis for the project's M&E reporting. Please refer to Annex R for a detailed costed M& E. [See Road map option in the portal and refer to file 01 - CEO endorsement for annexes A to W.](#)

Annex R. Costed Monitoring and Evaluation Plan

Background

The project will follow UN Environment standard monitoring, reporting and evaluation processes and procedures. Reporting requirements and templates are an integral part of the UN Environment legal instruments to be signed by project partners. For the purposes of M&E activities (and the reading of this document), the Project Director and Deputy Project Director will fulfil the M&E needs.

The project M&E plan is consistent with the GEF Monitoring and Evaluation policy. The Project Results Framework presented in Annex A includes Specific, Measurable, Achievable, Relevant and Time-bound (SMART) indicators and targets for each expected outcome. These indicators along with the key deliverables and benchmarks included in Annex J will be the main tools for assessing project implementation progress and whether project results are being achieved. The means of verification and the costs associated with

obtaining the information to track the indicators are summarized in the tables at the end of this appendix (sections 4 and 5 of this appendix). M&E related costs are presented and are fully integrated in the overall project budget.

The M&E plan will be presented to the first meeting of the Project Steering Committee (PSC) to ensure project stakeholders understand their roles and responsibilities vis-à-vis project monitoring and evaluation. The PSC will be responsible for proposing to UN Environment management any necessary amendments to the M&E plan during project implementation. Indicators and their means of verification may also be fine-tuned by the PSC. Day-to-day project monitoring is the responsibility of the PCU, but other project partners will have responsibilities to collect specific information to track the indicators. It is the responsibility of the Project Co-ordinator to inform the UN Environment Task Manager of any delays or difficulties faced during implementation so that the appropriate support or corrective measures can be adopted in a timely fashion.

The PSC will receive periodic reports on progress and will make recommendations to UN Environment concerning the need to revise any aspects of the Results Framework or the M&E plan. Project oversight to ensure that the project meets UN Environment and GEF policies and procedures is the responsibility of the UN Environment Task Manager. The Task Manager will also review the quality of draft project outputs, provide feedback to the project partners, and establish peer review procedures to ensure adequate quality of scientific and technical outputs and publications.

The Deputy Project Director will develop a project supervision plan at the inception of the project, which will be communicated to the project partners during the first meeting of the PSC. The Project Co-ordinator will also be responsible for initial screening of the financial and administrative reports from the partners prior to their submission to the UN Environment Task Manager and Finance and Management Officer. Progress *vis-à-vis* the delivery of agreed project outputs will be endorsed by the PSC at least annually. Project risks and assumptions will be regularly reviewed both by project partners and the PCU on behalf of UN Environment. Risk assessment and rating is an integral part of the annual Project Implementation Review (PIR), preparation of which will be the responsibility of the Project Co-ordinator. The quality of project monitoring and evaluation will be reviewed and rated as part of the PIR, which will be approved by the PSC. Key financial parameters will be monitored quarterly to ensure cost-effective use of financial resources.

An independent terminal evaluation will take place at the end of project implementation in accordance with UN Environment and GEF procedures. The Evaluation Office of UN Environment will manage the terminal evaluation processes.

Monitoring and Evaluation Responsibilities and Activities

At the first meeting of the PSC the Project Co-ordinator will present a full 24 month schedule including (i) tentative time frames for Management Steering Committee and Advisory Groups meetings, and (ii) project related Monitoring and Evaluation activities.

Day to day monitoring of implementation progress will be the responsibility of the Project Co-ordinator based on the Project's Annual Work Plan and its indicators. The Project Co-ordination Unit will inform UN Environment and the Executing Agency of any delays or difficulties faced during implementation so that the appropriate support or corrective measures can be adopted in a timely and remedial fashion. The Project Co-ordinator will fine-tune the progress and performance/impact indicators of the Project in consultation with the full Project team and with support from UN Environment and the partners. These indicators will be used to assess whether implementation is proceeding at the intended pace and in the right direction and will form part of the Annual Work Plan (AWP). Targets and indicators for the second year will be defined as part of the internal evaluation and planning processes undertaken by the Project Team and will be approved by the PSC.

Periodic monitoring of implementation progress will be undertaken by UN Environment and the component leads through the provision of half-yearly reports submitted by the PCU. Furthermore, specific meetings can be scheduled between the PCU, UN Environment, the PSC and other pertinent stakeholders as deemed appropriate and relevant. Such meetings will allow parties to address problems pertaining to the Project in a timely fashion and to ensure smooth implementation of project activities.

Project Monitoring Reporting

The Project Co-ordinator will be responsible for the preparation and submission of the following reports that form part of the monitoring process, in collaboration with UN Environment, and partners.

Inception Report

At the start of the project an ‘Inception Meeting’ will be held, at which time the PSC will meet to discuss the Work Plan. Immediately following this meeting, a Project Inception Report (IR) will be prepared, including a detailed First Year Work Plan divided in quarterly time-frames detailing the activities and progress indicators that will guide implementation during the Project. This Work Plan will include the proposed dates for any visits and/or support missions from UN Environment, executing partners or consultants, as well as time-frames for meetings of the PSC. The Report will also include the detailed project budget, prepared on the basis of the Annual Work Plan, and including any monitoring and evaluation requirements to effectively measure project performance during the Project.

The Inception Report will include a detailed narrative on the institutional roles, responsibilities, coordinating actions and feedback mechanisms of project related partners. In addition, a section will be included on progress to-date on project establishment and start-up activities and an update of any changed external conditions that may affect project implementation, including any unforeseen or newly arisen constraints.

Progress reports

The **Half-yearly Progress Report** is a self-assessment report by the PCU to the UN Environment Office and provides them with input to the reporting process as well as forming a key input to the Project Review undertaken by the PSC.

The Project Implementation Review is an annual monitoring process mandated by the GEF, to be conducted by the UN Environment Task Manager (TM) in consultation with the EA. It has become an essential monitoring tool for project managers and offers the main vehicle for extracting lessons from ongoing projects. In addition, the UN Environment Task Manager will submit to UN Environment Evaluation Office an annual project report, which is a UN Environment self-evaluation tool.

An **Annual Project Report** (APR) is prepared on an annual basis. The purpose of the Annual Project Report is to reflect progress achieved in meeting the project's Annual Work Plan and assess performance of the project in contributing to intended outcomes through outputs and partnership work. The Annual Project Report and Project Implementation Review (PIR) are discussed and approved in the PSC meetings.

The items in the APR/PIR to be provided include the following:

- An analysis of project performance over the reporting period, including outputs produced and, where possible, information on the status of the outcome;
- The constraints experienced in the progress towards results and the reasons for these;
- The three (at most) major constraints to achievement of results;
- Annual Work Plans and related expenditure reports;
- Lessons learned; and
- Clear recommendations for future orientation in addressing key problems in lack of progress.

UN Environment analyses the Annual Project Report and Project Implementation Review for results and lessons. The Reports are also valuable for the Independent Evaluators who can utilize them to identify any changes in project structure, indicators, Work Plan, etc. and view a past history of delivery and assessment.

Periodic Thematic Reports

As and when called for by UN Environment, the PCU in collaboration with the relevant project partners will prepare Specific Thematic Reports, focusing on specific issues or areas of activity. The request for a Thematic Report will be provided to the PCU in written form by UN Environment and will clearly state the issue or activities that need to be reported on. These reports can be used as a form of lessons learnt exercise, specific oversight in key areas, or as troubleshooting exercises to evaluate and overcome obstacles and difficulties encountered.

Project Terminal Report

During the last three months of the project the PCU in collaboration with the PSC will prepare the Project Terminal Report. This comprehensive report will summarize all activities, achievements and outputs of the Project, lessons learnt, objectives met, or not achieved, structures and systems implemented, etc. and will be the definitive statement of the Project's activities during its lifetime. It will also lay out recommendations for any further steps that may need to be taken to ensure sustainability and replicability of the Project's activities.

Technical Reports

Technical Reports are detailed documents covering specific areas of analysis or scientific specializations within the overall project. As part of the Inception Report, the project team will prepare a draft Reports List, detailing the technical reports that are expected to be prepared on key areas of activity during the course of the Project, and tentative due dates. Where necessary this Reports List will be revised and updated and included in Annual Project Reports.

Project Publications

Project Publications will form a key method of crystallizing and disseminating the results and achievements of the Project. These publications on the activities and achievements of the Project, in the form of journal articles, multimedia publications, etc. A number of reports are already planned within the project, detailed in the results framework (Annex A). The PSC will determine if any further Technical Reports merit formal publication. In consultation with UN Environment and other relevant stakeholder groups, the production of these publications will be handled in a consistent and recognizable format.

Independent Evaluation

In-line with UN Environment Evaluation Policy and the GEF's Monitoring and Evaluation Policy the project will be subject to a Terminal Evaluation (TE).

The independent TE will take place at the end of project implementation. The Evaluation Office of UN Environment will manage the terminal evaluation process. A review of the quality of the evaluation report will be done by EOU and submitted along with the report to the GEF Evaluation Office not later than 6 months after the completion of the evaluation. The standard terms of reference for TE are included in Annex S. These will be adjusted to the special needs of the project.

The Evaluation Office responsible for the Terminal Evaluation (TE) will liaise with the Task Manager and Executing Agency and Project partners throughout the process. The TE will provide an independent assessment of project performance (in terms of relevance, effectiveness and efficiency), and determine the likelihood of impact and sustainability. It will have two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UN Environment, the GEF, executing partners and other stakeholders. The direct costs of the evaluation will be charged against the project evaluation budget. TE will be initiated immediately after technical completion of the Project.

The draft TE report will be sent by the UN Environment Evaluation Office to project stakeholders for comments. Formal comments on the report will be shared by the UN Environment Evaluation Office in an open and transparent manner. The project performance will be assessed against standard evaluation criteria using a six-point rating scheme. The final determination of project ratings will be made by the UN Environment Evaluation Office when the report is finalized and further reviewed by the GEF Independent Evaluation Office upon submission. The evaluation report will be publicly disclosed and may be followed by a recommendation compliance process. The standard terms of reference for the terminal evaluation are included in Appendix 9. These will be adjusted to the special needs of the project.

Audit Clause

The Executing Agency will provide UN Environment with quarterly financial reports as well as certified annual financial statements with an audit of the financial statements relating to the status of UN Environment (including GEF) funds according to the established procedures to be set out in the project document. The Audit will be conducted by the legally recognized auditor, or by a commercial auditor.

Learning and Knowledge Sharing

Results from the project will be disseminated within and beyond the demonstration areas through a number of existing information sharing networks including GEF IW:LEARN and forums. In addition:

- The project will participate, as relevant and appropriate, in UN Environment/GEF sponsored networks, organized for Senior Personnel working on projects that share common characteristics; and
- The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to project implementation though lessons learned.

The project will identify, analyze, and share lessons learned that might be beneficial in the design and implementation of similar future projects. Identifying and analyzing lessons learned is an ongoing process, and the need to communicate such lessons as one of the project's central contributions is a requirement to be delivered not less frequently than once every 12 months. UN Environment shall provide a format and assist the project team in categorizing, documenting and reporting on lessons learned. To this end a percentage of project resources will need to be allocated for these activities.

Objectively verifiable indicators shown in the logical framework will be utilized in all evaluations.

Monitoring and Evaluation Plan

Indicative M&E activities and responsibilities are shown below.

Type of M&E Activity	Responsible Parties	GEF Budget (USD)	Time Frame
Inception Workshop	PCU, Project Partners PSC, UN Environment Task Manager	17,000	Within 3 months of project start-up
Inception Report	Project Director, Deputy Project Director, Project partners	15,000	1 month after project inception meeting

Type of M&E Activity	Responsible Parties	GEF Budget (USD)	Time Frame
Measurement of project indicators (outcome, progress and performance indicators, baselines) at various Project level	Project Director Deputy Project Director Project partners	None	Outcome indicators: start, mid and end of project Progress/perform. Indicators: annually
Semi-annual Progress/Operational reports to UNEP	Project Director Deputy Project Director	None	Within 1 month of the end of reporting period i.e. on or before 31 January and 31 July
Project Steering Committee (PSC) meeting	Project Director Deputy Project Director Project partners	20,000	At the start of the second year of project's implementation
Project Implementation Review (PIR)	Project Director Deputy Project Director UN Environment Task Manager	None	Annually, part of reporting routine
Monitoring and supervision visits	Project Director Deputy Project Director	10,000	As appropriate
Quarterly financial reports	Executing Agency to submit to UN Environment FMO	None	Quarterly
Terminal Evaluation	UN Environment External consultant(s) – to be recruited and managed by UN Environment's EO	40,000	Within 6 months of end of project implementation

Type of M&E Activity	Responsible Parties	GEF Budget (USD)	Time Frame
Project Final Report	Project Director Deputy Project Director	None	Within 3 months of the project completion date
Lessons learned	PCU/Partners UN Environment Task Manager	None	Yearly as part of the APR
Audit	UN Environment Task Manager PCU, Partners' accredited auditors	8,000 (PMC)	Yearly - charged to PMC
Co-financing report	Project Director Deputy Project Director	None	Within 1 month of the PIR reporting period, i.e. on or before 31 July
Total M&E Plan cost		110,000	

10. Benefits

Describe the socioeconomic benefits to be delivered by the project at the national and local levels, as appropriate. How do these benefits translate in supporting the achievement of global environment benefits (GEF Trust Fund) or adaptation benefits (LDCF/SCCF)?

The project will build political, business, and civil society support for policies, business models, and actions that will generate a number of socioeconomic benefits at national and local levels. These include but are not limited to:

- * Enhanced marine-based, sustainable tourism industry resulting from greater support for marine protected areas. This in turn will support more and better jobs.
- * Enhanced fisheries industry resulting from greater political support for clamping down on illegal, unreported, and unregulated fishing and governance/market models that support sustainable fisheries.
- * Growth in ocean-based renewable energy generation (e.g., offshore wind, wave).

The above will result in more and better jobs, economic growth, and social development (especially where the fruits of economic development are fairly shared).

Underpinning all of the above is greater investment in and protection of the natural capital of ocean ecosystems (e.g., coral reefs, mangroves, seagrass beds, open ocean). This investment in marine natural capital, in turn, will generate a number of global environmental benefits, including biodiversity conservation, climate change mitigation (e.g., increasing the biomass carbon sink in the ocean), and climate change adaptation (e.g., strengthening the resilience of community marine fisheries).

ANNEX A: PROJECT RESULTS FRAMEWORK (either copy and paste here the framework from the Agency document, or provide reference to the page in the project document where the framework could be found).

	Key Indicators	Baseline	Project end targets	Sources of verification	Risks and Assumptions
Objective Governments and businesses commit to and begin implementing policies, programs, and investments that advance the transition to the Blue Economy (sustainable ocean economy).	# of governments and businesses implementing policies, programs, and/or investments that advance the transition to the Blue economy. #of policies, programs and/or investments that advance the transition to the Blue economy	Despite the work that is being done in the Ocean economy space, there are still gaps such as: making the economic case for transitioning to a sustainable ocean economy, cohesive baseline information, and lack of easy-to-access, compelling monitoring data on the ocean and progress towards achieving a more sustainable ocean economy.	At least 8 countries and 5 businesses commit to and begin implementing policies, programs, and/or investments that advance the transition to the Blue economy. At least 13 policies, programs, and/or investments to advance the transition to the Blue Economy	Project-generated publications, meeting agenda and minutes. Project-generated online monitoring system Project-generated report	Risks <ul style="list-style-type: none"> · Non-delivery of research outputs or delivery of poor quality outputs · Members of the High-Level Panel and Expert Reference Group cannot agree upon a shared set of findings, recommendations, and or narrative for the High Level Report and Blue Papers · Ocean Watch platform development hits back-end technical snags or there isn't enough information to make it useful · Lack of political will to adopt and implement policies/programs/investments · Lack of business case to compel business leaders to implement steps to transition to Blue Economy Assumptions are given below and TOC (Annex I)

Component 1: Building a Sustainable Ocean Economy					
Component 1 Outcomes/Outputs	Indicators	Baseline	Project end targets	Sources of verification	Risks and Assumptions
Outcome 1 Governments and businesses are developing policies, programs and/or making investments based on the adopted recommendations from the HLP .	# of new policies, investments and/or programs that are being developed based on the adopted recommendations from the HLP	0 new policies, investments and/or programs developed based on the recommendations from the HLP since the report is not yet developed.	At least 8 countries each developing at least 1 new policy, program, and/or investment At least 5 businesses each developing at least 1 new investment or program.	Public announcements of new policy processes, investments, and/or programs by country leaders (e.g., heads of state, ministers) and businesses leaders, confirmed by HLP Secretariat	Risks <ul style="list-style-type: none"> · No government or business leader convinced to adopt recommendations · No government or business prioritizing development of new policies/plans based on the recommendations · Non-delivery of research outputs or deliver of poor-quality outputs · Members of the High-Level Panel and Expert Group cannot agree upon a shared set of findings,

Component 1 Outcomes/Outputs	Indicators	Baseline	Project end targets	Sources of verification	Risks and Assumptions
Output 1.1 Documented general consensus achieved and outcomes shared amongst leading actors in the public, private, finance, and civil society sector about the economic case for transitioning to a sustainable ocean economy and about science-based practices and policies to achieve it	# of HLP members signing off on the Executive summary of the report. # of Expert Group members signing off on the HLP report. # of Advisory Network members signing off on the HLP report. Publication and release of final report	0 HLP members 0 Expert Group members 0 Advisory Network members	14 HLP members At least 25 Expert Group members At least 25 Advisory Network members (which includes leading private, finance, and civil society) 1 completed HLP Report	Sign off on Executive Summary by HLP members Sign off on HLP Report by Expert Group and Advisory Network Print out of HLP Report and Report launch event	recommendations, and or narrative for the HLP Report Assumptions · Increased awareness of the economic case for a sustainable ocean will encourage public and private sector leaders to take action · Members of the High Level Panel and Advisory Network are persuasive messengers vis-à-vis their peers · Increasing appreciation of the economic case for sustainable ocean management will encourage public and

Component 2 Outcomes/outputs	Indicator	Baseline	Project-End Target	Sources of verification	Risks and Assumptions
Outcome 2 Improved understanding of the state-of-the-art thinking around transitioning towards a sustainable ocean economy, informing both the High Level Panel report and other targeted audiences.	Number of national/regional/global institutions and universities citing the Blue Papers to guide blue economy-related thinking, recommendations, and/or actions.	0 institutions	At least 10 institutions.	Blue paper citations in mass media Discussions with leading institutions working on Blue Economy	Risks <ul style="list-style-type: none"> · Delivery of research outputs for the Blue Papers that is either late or of poor quality Assumptions <ul style="list-style-type: none"> · The underlying science of the Blue Papers is sufficiently “cutting edge” to improve understanding of what a sustainable ocean economy is and how to get there · The findings of the Blue Papers are appreciated by the authors of the HLP Report and by other audiences outside of the HLP report
Output 2.1. Insights and recommendations developed, disseminated, and up taken regarding the 6 Blue Papers (<i>likely covering ocean plastics, new models for sustainable fisheries/aquaculture, climate and the ocean, next generation technology solutions for ocean governance/management, ocean finance, and making the economic case for marine protected areas</i>)	# of publication and release of Blue Papers # of insights from Blue Papers integrated into HLP Report	0 Blue Papers 0 insights	6 completed Blue Papers At least 10 insights	Print out and dissemination of the Blue Papers Analysis of Blue Paper insights and contents of HLP report	

Component 3: Ocean Watch beta (online system to support monitoring ocean state and impact of policies and practices)					
Component 3 Outcomes/outputs	Indicator	Baseline	Project-End Targets	Sources of verification	Risks and Assumptions
Outcome 3: Improved monitoring of the status, health, and trends of the Ocean	# of countries, businesses, and other relevant stakeholders using the Ocean Watch beta monitoring system to guide Blue Economy based decisions in different regions.	0	Use of the online “Ocean Watch” beta monitoring tool by at least 20 countries, businesses and other stakeholders.	Use of tools like Google analytics of site/system users (e.g., .gov, .com, .edu) and location	Risks <ul style="list-style-type: none"> · Ocean Watch system development hits back-end technical snags or there is not enough information to make it useful Assumptions <ul style="list-style-type: none"> · Relevant data on oceans and ocean-related social, economic, and demographic issues are available for free and can be standardized to fit into the system (for overlays) · Resource Watch back-end engineering can be leveraged · Transparency raises awareness, helps motivate action, and supports accountability
Output 3.1 Ocean Watch beta version developed and implemented meeting audience needs and technology potential.	Presence of the online system	0 Ocean Watch online system	1 free, online, interactive ocean monitoring system (i.e., Ocean Watch beta) available released for public use.	Operational URL and site	

Component 4: Knowledge management and sharing
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Component 4 Outcomes/outputs	Indicator	Baseline	Project-End Targets	Sources of verification	Risks and Assumptions
Outcome 4 Increased visibility and awareness about the economic case and the transition path towards achieving a sustainable ocean economy	A tailored and agreed communication strategy for the project. # of media mentions (post May 2020) that articulate there is an economic case for a sustainable ocean economy	0 communication strategy 0 0	1 robust communication strategy for the project developed. At least 10 media mentions	Availability of the communication strategy Acknowledgement in meeting notes, press releases, government statements, and/or the HLP Report itself Media searches using Cision or related software	Risks <ul style="list-style-type: none"> · Delivery of communications products, outreach event planning, and/or influence strategy is late or sub-quality Assumptions <ul style="list-style-type: none"> · These communications and influence materials are developed as the other outputs are being developed (and not an “afterthought”) · An influence strategy that leverages the High Level Panel and the Advisory Network will be sufficient to reach targeted decision-makers

Component 4 Outcomes/outputs	Indicator	Baseline	Project-End Targets	Sources of verification	Risks and Assumptions
Output 4.1 Communications products (visual materials), outreach/public awareness campaigns, and influence strategy for the HLP Report, Blue Papers, and Ocean Watch	# of knowledge and communications products designed and disseminated. # of outreach/public awareness events Presence and use of influence strategy # of media articles and press releases	0 communications products 0 outreach events 0 influence strategy 0 media articles and press releases	At least 5 communications products At least 3 outreach events 1 influence strategy At least 3 media articles and press releases	Print outs of the communications products Agenda for the events Written influence strategy Media articles and press releases about the project milestones and entities considering adopting recommendations.	

Component 4 Outcomes/outputs	Indicator	Baseline	Project-End Targets	Sources of verification	Risks and Assumptions
Output 4.2 IW LEARN - International Waters knowledge products, including website development, experience and results notes, and participation in GEF IW signature events (IWC)	# of knowledge products	0 new knowledge products	At least 3 knowledge products	Print out of plan	
	# of GEF IW events	0 events	Participation in at least 1 GEF international Waters conference	Agenda of event, project flyer and poster presented at the conference, and participation of the coordinator in blue economy related side events.	
				Project website URL	
	All project products and information/data available on the project website.	No project website	An IW:LEARN compliant project website developed.	Availability of results notes and experience notes on the IW LEARN website and project website.	
	# of experience and results notes	0 experiences and results notes	At least 3 experience and results notes. These will also be summarized in a final project report.	Specific insights and recommendations summary document	
	# of insights and recommendations (making an economic case for action) impacting GEF 7 IW Strategy.	0 insights and recommendations on the economic case for action	At least 3 insights and recommendations generated.		

ANNEX B: RESPONSES TO PROJECT REVIEWS (from GEF Secretariat and GEF Agencies, and Responses to Comments from Council at work program inclusion and the Convention Secretariat and STAP at PIF).

N/A

ANNEX C: Status of Utilization of Project Preparation Grant (PPG). (Provide detailed funding amount of the PPG activities financing status in the table below:

N/A

ANNEX D: CALENDAR OF EXPECTED REFLOWS (if non-grant instrument is used)

Provide a calendar of expected reflows to the GEF/LDCF/SCCF/CBIT Trust Funds or to your Agency (and/or revolving fund that will be set up)

N/A

ANNEX E: Project Map(s) and Coordinates

Please attach the geographical location of the project area, if possible.

N/A



Submitted to HQ

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