



## **Part I: Project Information**

### **GEF ID**

10800

### **Project Type**

FSP

### **Type of Trust Fund**

GET

### **CBIT/NGI**

CBIT No

NGI No

### **Project Title**

Protecting and Restoring the Ocean's natural Capital, building Resilience and supporting region-wide Investments for sustainable Blue socio-Economic development (PROCARIBE+)

### **Countries**

Regional, Colombia, Costa Rica, Panama, Bahamas, Belize, Cuba, Dominican Republic, Guatemala, Guyana, Honduras, Jamaica, St. Kitts and Nevis, St. Lucia, Suriname, Trinidad and Tobago, Antigua and Barbuda, Brazil, Haiti, Venezuela

### **Agency(ies)**

UNDP

### **Other Executing Partner(s)**

UNOPS

### **Executing Partner Type**

Others

### **GEF Focal Area**

International Waters

### **Sector**

## **Taxonomy**

International Waters, Focal Areas, SIDS : Small Island Dev States, Marine Protected Area, Learning, Biomes, Seagrasses, Mangrove, Coral Reefs, Strategic Action Plan Implementation, Fisheries, Aquaculture, Freshwater, River Basin, Pollution, Nutrient pollution from all sectors except wastewater, Nutrient pollution from Wastewater, Large Marine Ecosystems, Coastal, Transboundary Diagnostic Analysis and Strategic Action Plan Preparation, Biodiversity, Rivers, Sea Grasses, Mangroves, Wetlands, Financial and Accounting, Payment for Ecosystem Services, Natural Capital Assessment and Accounting, Conservation Finance, Species, Wildlife for Sustainable Development, Threatened Species, Protected Areas and Landscapes, Productive Seascapes, Coastal and Marine Protected Areas, Community Based Natural Resource Mngt, Mainstreaming, Tourism, United Nations Framework Convention on Climate Change, Climate Change, Enabling Activities, Nationally Determined Contribution, Paris Agreement, Climate Change Mitigation, Financing, Agriculture, Forestry, and Other Land Use, Climate Change Adaptation, Ecosystem-based Adaptation, Small Island Developing States, Sea-level rise, Least Developed Countries, Disaster risk management, Climate resilience, Forest, Forest and Landscape Restoration, Land Degradation, Land Degradation Neutrality, Carbon stocks above or below ground, Sustainable Land Management, Integrated and Cross-sectoral approach, Community-Based Natural Resource Management, Ecosystem Approach, Deploy innovative financial instruments, Influencing models, Strengthen institutional capacity and decision-making, Transform policy and regulatory environments, Demonstrate innovative approaches, Convene multi-stakeholder alliances, Beneficiaries, Stakeholders, Private Sector, SMEs, Individuals/Entrepreneurs, Non-Grant Pilot, Local Communities, Indigenous Peoples, Type of Engagement, Participation, Partnership, Consultation, Information Dissemination, Communications, Behavior change, Education, Public Campaigns, Awareness Raising, Civil Society, Non-Governmental Organization, Community Based Organization, Academia, Gender Mainstreaming, Gender Equality, Gender-sensitive indicators, Sex-disaggregated indicators, Women groups, Gender results areas, Participation and leadership, Access to benefits and services, Knowledge Generation and Exchange, Access and control over natural resources, Capacity Development, Capacity, Knowledge and Research, Knowledge Generation, Theory of change, Adaptive management, Indicators to measure change, Knowledge Exchange, Innovation

## **Rio Markers**

### **Climate Change Mitigation**

Principal Objective 2

### **Climate Change Adaptation**

Principal Objective 2

### **Biodiversity**

Significant Objective 1

### **Land Degradation**

No Contribution 0

## **Submission Date**

8/18/2022

**Expected Implementation Start**

1/1/2023

**Expected Completion Date**

12/31/2027

**Duration**

60In Months

**Agency Fee(\$)**

1,388,683.00

**A. FOCAL/NON-FOCAL AREA ELEMENTS**

<b>Objectives/Programs</b>	<b>Focal Area Outcomes</b>	<b>Trust Fund</b>	<b>GEF Amount(\$)</b>	<b>Co-Fin Amount(\$)</b>
IW-1-1	Strengthen blue economy opportunities through sustainable healthy coastal and marine ecosystems	GET	9,278,137.00	75,775,345.00
IW-1-2	Strengthen blue economy opportunities through catalyzing sustainable fisheries management	GET	3,914,811.00	31,972,599.00
IW-1-3	Strengthen blue economy opportunities by addressing pollution reduction in marine environments	GET	2,236,869.00	18,268,702.00
<b>Total Project Cost(\$)</b>			<b>15,429,817.00</b>	<b>126,016,646.00</b>

## B. Project description summary

### Project Objective

Protecting, restoring and harnessing the natural coastal and marine capital of the Caribbean and North Brazil Shelf Large Marine Ecosystems to catalyze investments in a climate-resilient, sustainable post-covid Blue Economy, through strengthened regional coordination and collaboration, and wide-ranging partnerships.

Project Component	Financing Type	Expected Outcomes	Expected Outputs	Trust Fund	GEF Project Financing (\$)	Confirmed Co-Financing(\$)
COMPONENT 1: Region-wide multi-stakeholder cooperation, coordination, collaboration and communication for the protection, restoration and sustainable use of marine and coastal ecosystems in the Caribbean and North Brazil Shelf Large Marine Ecosystems (EBM approach)	Technical Assistance	Coordinated, collaborative and synergistic implementation of regional, sub-regional and national (Strategic) Action Programmes and Plans in support of the CLME+ Vision, enabled through a regional Ocean Coordination Mechanism (OCM) and complementary, (thematic) partnership(s), and a regional programmatic approach	<p>1.1.1.a. A regional Ocean Coordination Mechanism (OCM), with operations commencing by latest 2023 and ongoing throughout (and beyond) the PROCARIBE+ Project lifespan</p> <p>1.1.1.b. Wide-ranging multi-stakeholder partnership(s) operational by latest end of 2023</p> <p>1.1.2. New 10-year (2026-2035), broadly supported multi-stakeholder regional Strategic Action Programme (including ministerial-level endorsements)</p>	GE T	2,076,469.00	16,958,701.00

Project Component	Financing Type	Expected Outcomes	Expected Outputs	Trust Fund	GEF Project Financing (\$)	Confirmed Co-Financing(\$)
COMPONENT 2: Enabling national environments for the protection, restoration and sustainable use of coastal and marine resources (EBM/EAF)	Technical Assistance	National-level capacity, enabling conditions and commitments for EBM/EAF and marine-based, climate and disaster-resilient ?green-blue? socio-economic development	<p>2.1.1. National Intersectoral Coordination Mechanisms (NICs) operational in at least 75% of OCM member countries, connected to the OCM (supporting national-level BE and MSP efforts)</p> <p>2.1.2. 2 National integrated ?State of the Marine Environment? (SOME) reports, 2 Blue Economy (BE) Scoping Studies and 1 Marine and Coastal Natural Capital Accounting pilot/enhancement, delivered by end of 2025; extraction and dissemination of lessons learned and recommended way forward</p> <p>2.1.3. Training delivered and/or made permanently accessible for all 44 CLME+ OCM States &amp; Territories, supporting the integration of IWRM/IRBM, ICZM/MSP and Natural Capital Accounting, and underpinning the implementation of the LBS and SPAW Protocols, the source-to-sea approach, NDCs, 30x30 conservation targets, and related Regional and National Action Plans (incl. min. 30</p>	GE T	1,997,869.00	16,316,769.00

Project Component	Financing Type	Expected Outcomes	Expected Outputs	Trust Fund	GEF Project Financing (\$)	Confirmed Co-Financing(\$)
COMPONENT 3: Catalyzing actions by all sectors of society, at different spatial scales, for the protection, restoration and sustainable use of marine and coastal natural capital (?blue economies ?)	Technical Assistance	3.1 Civil Society and MSME contributions to ocean conservation and ocean-based sustainable development & livelihoods/blue economies, upscaled	<p>3.1.1. Micro-financing schemes, supporting the implementation of key regional/national ocean instruments (SAPs, RSAPs, marine/coastal component of NDCs,...) through Civil Society and MSME action:</p> <p>(a) min. USD 2.5 million (of which USD 1 million from UNDP/GEF SGP) invested in (replicable) small grants/micro-finance initiatives supportive of the PROCARIBE+/SAP/RSAP objectives (incl. associated gender objectives)</p> <p>(b) on-the-ground stress reduction/restoration and/or enhanced management practices at min. 30 coastal/marine sites, in min 5 countries. Priorities: nature-based solutions, ecosystem conservation/restoration, sustainable harvesting of ecosystem goods (incl. small-scale fisheries), development of sustainable ?blue? businesses (incl. technological innovation), post-covid and post-hurricane, post-earthquake recovery, climate change</p>	GE T	1,391,674.00	11,348,411.00

Project Component	Financing Type	Expected Outcomes	Expected Outputs	Trust Fund	GEF Project Financing (\$)	Confirmed Co-Financing(\$)
COMPONENT 3: Catalyzing actions by all sectors of society, at different spatial scales, for the protection, restoration and sustainable use of marine and coastal natural capital (?blue economies ?)	Technical Assistance	3.2. Increased mobilization of private capital supporting environmental stress reduction and sustainable climate-smart blue economy initiatives, supporting CLME+ SAP implementation and post COVID-19 recovery, enabled	3.2.1. Enabling conditions to implement carbon credits-based sustainable financing instruments for seagrasses and tropical peatlands: (pre-)feasibility studies including carbon stock assessments developed in 1 country (Panama, 3 pilot sites); methodologies tested and fine-tuned for blue carbon project development and regional replication/up-scaling.	GE T	505,664.00	4,129,802.00

Project Component	Financing Type	Expected Outcomes	Expected Outputs	Trust Fund	GEF Project Financing (\$)	Confirmed Co-Financing (\$)
COMPONENT 3: Catalyzing actions by all sectors of society, at different spatial scales, for the protection, restoration and sustainable use of marine and coastal natural capital (?blue economies ?)	Technical Assistance	3.3. Expansion and integration of ?Blue Economy?, Marine Spatial Planning and MPA/OECM efforts across the region (ecosystem approach), supporting ocean-based socio-economic development, recovery and resilience (covid19, hurricanes) and progressive delivery on international targets in the fields of: marine conservation and climate change mitigation and adaptation	3.3.1.a. BE and MSP planning in at least 8 countries, integrating blue economy (incl. sustainable fisheries and post-covid19 recovery), climate change mitigation and adaptation and ocean conservation objectives, and source-to-sea considerations  3.3.1.b. exchange of experiences + advocacy for accelerated progress towards regional target of 10% of CLME under MSP  3.3.2. Enhanced area-based ocean conservation (MPA/OECM) in 5-6 countries, targeting at least 4,000,000 ha (safe force majeure) of coastal/marine space, through: expansion of, or newly created MPA?s, and/or MPA?s with increased protection levels/demonstrated enhanced management effectiveness, and/or equivalent amounts of marine space under Other Effective area-based Conservation Measures (OECMs)	GE T	5,296,223.00	43,202,171.00

Project Component	Financing Type	Expected Outcomes	Expected Outputs	Trust Fund	GEF Project Financing (\$)	Confirmed Co-Financing(\$)
COMPONENT 3: Catalyzing actions by all sectors of society, at different spatial scales, for the protection, restoration and sustainable use of marine and coastal natural capital (?blue economies ?)	Technical Assistance	3.4. Generalized implementation across the Wider Caribbean/WEC AFC region of traceability systems is enabled for key fisheries and seafood products, as a key measure for sustainability and against IUU fishing	<p>3.4.1. (a) traceability systems in place for 3 selected key fisheries and 1 aquaculture products in min. 8 countries; by Project End</p> <p>% of exports (and equivalent approx. volume) from WECAFC region commercialized under regional traceability standard: min. 30% of regional spiny lobster exports (approx. 5.200 tons/yr) + min 39% of queen conch exports (approx. 400 tons/yr) + min 31% of shrimp (fisheries &amp; aquaculture) exports (approx. 50.300 tons/yr); total = 55.900 tons/yr.</p> <p>(b) enabling conditions to replicate/expand the traceability systems across the wider WECAFC countries, with the aim of achieving a total export volume of 94,800 tons/yr traceable by 2030 (i.e. 52% of all regional spiny lobster+queen conch+shrimp exports)</p>	GE T	910,829.00	7,508,868.00

Project Component	Financing Type	Expected Outcomes	Expected Outputs	Trust Fund	GEF Project Financing (\$)	Confirmed Co-Financing(\$)
COMPONENT 3: Catalyzing actions by all sectors of society, at different spatial scales, for the protection, restoration and sustainable use of marine and coastal natural capital (?blue economies ?)	Technical Assistance	3.5. Region-wide reduction of ghost fishing and negative habitat impacts from unsustainable spiny lobster fishing gear & practices, enabled	3.5.1. (a) on-the-ground solutions developed and tested to reduce negative environmental, resource stock and socio-economic impacts from unsustainable fishing gear and practices in industrial spiny lobster fisheries (with special attention to ?ghost fishing?/lost and abandoned fishing gear).  (b) provisions for the implementation of measures against ghost fishing and negative habitat impacts from spiny lobster fishing gear and practices, covering all countries active in the fishery in the WECAFC region (average regional annual total spiny lobster catch volume = approx. 28.000 tons)	GE T	627,408.00	5,124,095.00

Project Component	Financing Type	Expected Outcomes	Expected Outputs	Trust Fund	GEF Project Financing (\$)	Confirmed Co-Financing(\$)
COMPONENT 4: Region-wide data/knowledge generation, management and sharing mechanisms supporting cooperation, coordination, collaboration and synergistic action	Technical Assistance	4.1 A well-articulated marine data, information and knowledge management infrastructure/network is enabled, (a) providing a science-policy interface; (b) supporting the development/updating, implementation and M&E of regional Action Programmes and Plans; (c) boosting and increasing the impacts of marine & coastal investments	4.1.1. Online Regional Knowledge Management HUB on the Marine Environment of the Caribbean and North Brazil Shelf LME's fully developed and operational, facilitating collaborative knowledge management by the OCM and partnership(s) (with well-articulated linkages to third-party data/information/knowledge sources/products)  4.1.2. (a) Formally adopted 'blueprint' for a regional Marine Data/Information/Knowledge Infrastructure (MDI);  (b) MDI implementation enabled, and key elements put in place, through commitments and collaborative action by the Secretariat and Members of the OCM and partnership(s)  4.1.3. Comprehensive, updated regional Transboundary Diagnostic Analysis (TDA): fully developed regional 'State of the Marine Environment and associated Economies' (SOMEE), finalized by 2024/mid-25 and informing preparation	GE T	1,188,824.00	9,868,601.00

Project Component	Financing Type	Expected Outcomes	Expected Outputs	Trust Fund	GEF Project Financing (\$)	Confirmed Co-Financing(\$)
COMPONENT 4: Region-wide data/knowledge generation, management and sharing mechanisms supporting cooperation, coordination, collaboration and synergistic action	Technical Assistance	4.2. Increased regional and global impacts from GEF IW investments through global dissemination and sharing of experiences, and by forging synergies with other Regional Seas/LME/Regional Fisheries programmes and the wider community of International Waters/Ocean practitioners & stakeholders	<p>4.2.1. Strategic Alliance with IW:LEARN developed and implemented, piloting innovative approaches within (and beyond) the IW Portfolio and providing means for its replication (e.g. data &amp; information management (DIM), use of Remote Sensing, integrated environmental &amp; socio-economic assessments, TDA paradigm shift and BE, SAP implementation progress tracking, etc. (to be further fine-tuned/prioritized and adaptively managed during Project Inception/implementation phase)</p> <p>4.2.2 Support for and participation in GEF IW:LEARN and other Global Marine/LME community events (e.g. IW:LEARN conferences and workshops, twinning events/twinning visits among GEF IW projects), including the 8th 'Our Oceans Conference' (Panama, March 2023)</p> <p>4.2.3. At least 6 best/good practice examples in coastal and marine ecosystem management and blue economies showcased/documente d, exchanged and promoted through</p>	GE T	395,557.00	3,071,175.00

Project Component	Financing Type	Expected Outcomes	Expected Outputs	Trust Fund	GEF Project Financing (\$)	Confirmed Co-Financing(\$)
COMPONENT 5: Project Monitoring & Evaluation (M&E)	Technical Assistance	5.1. Project-level monitoring and evaluation, in compliance with UNDP and mandatory GEF-specific M&E requirements	5.1. Inception Workshop and Report  5.2. Annual GEF Project Implementation Review (PIR), and M&E of GEF core Indicators, Gender Plan, Safeguards Frameworks and Action Plans  5.3. Independent Mid-Term Review  5.4. Independent Final Evaluation	GET	306,455.00	2,502,845.00
<b>Sub Total (\$)</b>					<b>14,696,972.00</b>	<b>120,031,438.00</b>
<b>Project Management Cost (PMC)</b>						
			GET	732,845.00	5,985,208.00	
			<b>Sub Total(\$)</b>	<b>732,845.00</b>	<b>5,985,208.00</b>	
			<b>Total Project Cost(\$)</b>	<b>15,429,817.00</b>	<b>126,016,646.00</b>	

Please provide justification

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

<b>Sources of Co-financing</b>	<b>Name of Co-financier</b>	<b>Type of Co-financing</b>	<b>Investment Mobilized</b>	<b>Amount(\$)</b>
Other	National Oceanic and Atmospheric Administration (USA)	In-kind	Recurrent expenditures	24,007,556.00
Other	Ministry of Agriculture, Nature and Food Quality, the Netherlands	In-kind	Recurrent expenditures	500,000.00
Other	Ministry of Agriculture, Nature and Food Quality, the Netherlands	Grant	Investment mobilized	19,500,000.00
Recipient Country Government	Ministry of Blue Economy and Civil Aviation, Belize	Grant	Investment mobilized	867,000.00
Recipient Country Government	Ministry of Blue Economy and Civil Aviation Belize	In-kind	Recurrent expenditures	750,000.00
Recipient Country Government	Ministry of Environment and Sustainable Development, Colombia	Grant	Investment mobilized	6,736,614.00
Recipient Country Government	Ministry of Environment and Sustainable Development, Colombia	In-kind	Recurrent expenditures	744,235.00
Recipient Country Government	Ministry of Environment and Energy, Costa Rica	Grant	Investment mobilized	3,000,000.00
Recipient Country Government	Ministry of Environment and Natural Resources, Dominican Republic	Grant	Investment mobilized	3,120,000.00
Recipient Country Government	Ministry of Environment and Natural Resources, Dominican Republic	In-kind	Recurrent expenditures	780,000.00

<b>Sources of Co-financing</b>	<b>Name of Co-financier</b>	<b>Type of Co-financing</b>	<b>Investment Mobilized</b>	<b>Amount(\$)</b>
Recipient Country Government	Fisheries and Aquaculture Regulations Directorate, Guatemala	In-kind	Recurrent expenditures	65,000.00
Recipient Country Government	Secretariat of Natural Resources, Environment and Mines, Honduras	In-kind	Recurrent expenditures	813,568.00
Recipient Country Government	National Institute for Forest Conservation and Development, Protected Areas and Wildlife, Honduras	Grant	Investment mobilized	11,494,505.00
Recipient Country Government	Ministry of Agricultural Development, Panama	In-kind	Recurrent expenditures	274,280.00
Recipient Country Government	Institute of Marine Affairs, Trinidad and Tobago	Grant	Investment mobilized	300,000.00
Recipient Country Government	Institute of Marine Affairs, Trinidad and Tobago	In-kind	Recurrent expenditures	700,000.00
Other	Central American Fisheries and Aquaculture Organization (OSPESCA)	In-kind	Recurrent expenditures	1,595,955.00
Other	Central American Fisheries and Aquaculture Organization (OSPESCA)	Grant	Investment mobilized	1,844,120.00
GEF Agency	United Nations Development Programme (Climate Promise)	Grant	Investment mobilized	6,615,460.00
GEF Agency	United Nations Development Programme (Climate Promise)	In-kind	Recurrent expenditures	85,000.00

<b>Sources of Co-financing</b>	<b>Name of Co-financier</b>	<b>Type of Co-financing</b>	<b>Investment Mobilized</b>	<b>Amount(\$)</b>
Other	Summit Foundation	Grant	Investment mobilized	6,500,000.00
Other	Gulf and Caribbean Fisheries Institute (GCFI)	Grant	Investment mobilized	3,487,000.00
Other	Gulf and Caribbean Fisheries Institute (GCFI)	In-kind	Recurrent expenditures	1,800,000.00
Other	Nationally Determined Contributions (NDC) Partnership	In-kind	Recurrent expenditures	1,930,700.00
Other	Nationally Determined Contributions (NDC) Partnership	Grant	Investment mobilized	2,896,052.00
Other	Meso American Reef (MAR) Fund	Grant	Investment mobilized	4,100,000.00
GEF Agency	United Nations Development Program (Barbados Sub-regional Office)	Grant	Investment mobilized	12,129,479.00
Other	Central American Commission for Environment and Development (CCAD)	In-kind	Recurrent expenditures	1,500,000.00
Other	Caribbean Regional Fisheries Mechanism (CRFM)	In-kind	Recurrent expenditures	600,000.00
Other	European Space Agency (ESA)	In-kind	Recurrent expenditures	400,000.00
Recipient Country Government	Ministry of Environment and Natural Resources, Guatemala	In-kind	Recurrent expenditures	1,725,315.00

<b>Sources of Co-financing</b>	<b>Name of Co-financier</b>	<b>Type of Co-financing</b>	<b>Investment Mobilized</b>	<b>Amount(\$)</b>
Recipient Country Government	National Institute for Forest Conservation and Development, Protected Areas and Wildlife, Honduras	In-kind	Recurrent expenditures	437,247.00
Recipient Country Government	Ministry of Environment, Panama	In-kind	Recurrent expenditures	2,742,117.00
Recipient Country Government	Ministry of Economy and Finance, Panama	In-kind	Recurrent expenditures	1,200,000.00
Recipient Country Government	Environmental Management Authority, Trinidad and Tobago	In-kind	Recurrent expenditures	143,623.00
Recipient Country Government	Ministry of Agriculture, Land and Fisheries, Trinidad and Tobago	In-kind	Recurrent expenditures	350,980.00
Recipient Country Government	Ministry of Agriculture, Land and Fisheries, Trinidad and Tobago	Grant	Investment mobilized	280,840.00
<b>Total Co-Financing(\$)</b>				<b>126,016,646.00</b>

**Describe how any "Investment Mobilized" was identified**

Co-financing for the Project which were identified as investment mobilized (Grants) include non-recurring expenditures associated with projects and initiatives in non-GEF eligible ?donor? countries, recipient country governments, UN agencies, regional organizations, academic, research and other civil society organizations. This co-financing is directly related to/aligned with the outcomes/outputs and/or objective of the PROCARIBE+ Project, as summarized below. More details on the specific alignment of the co-financing activities classified as ?grant? and the PROCARIBE+ Project can be found in Table 7. - Ministry of Agriculture, Nature and Food Quality, The Netherlands: Protection and restoration of key marine habitats through the implementation of the Nature and environment policy plan for the Caribbean Netherlands 2020-2030; - Ministry of Blue Economy and Civil Aviation, Belize: Enhancing adaptation planning and increasing climate resilience through the Green Climate Fund Project and improving the management of the Marine Reserve Network through the Belize Protected Areas Conservation Trust; - Ministry of environment and Sustainable Development, Colombia: coastal marine environmental planning,

management of biodiversity and marine protected areas; - Ministry of Environment and Energy, Costa Rica: management of protected areas and interventions in coastal areas of the Costa Rican Caribbean. - Ministry of Environment and Natural Resources, Dominican Republic: protection and conservation policies for the sustainable use of coastal and marine resources through the national program on the sustainable management of coastal and marine resources; - National Institute of Forest Conservation and Development, Protected Areas and Wildlife, Honduras: Strengthening the national system of protected areas and wildlife within the framework of the LifeWeb Initiative; - Ministry of Agriculture, Land and Fisheries, Trinidad and Tobago: Implementation of an ecosystem approach to fisheries management, incorporating a participatory approach, development of a marine geospatial database, participation in activities of regional fisheries bodies and implementation of an action plan to address illegal, unreported and unregulated fishing; - Institute of Marine Affairs, Trinidad and Tobago: work on Integrated Coastal Zone Management, the Blue Economy, Marine Spatial Planning and Coastal Monitoring; - Central American Fisheries and Aquaculture Organization (OSPESCA): work in the areas of fishing and sustainable aquaculture, the blue economy, marine spatial planning and sectoral and integrated ocean governance; - United Nations Development Programme (Climate Promise): work on the NDC Support Programme, Stockholm+50 Consultations, NDC implementation and enhancement under the Climate Promise portfolio and work on Forest Land and Nature through the Department for Environment, Food and Rural Affairs (DEFRA-UK) initiative; - Summit Foundation: work on restoring and protecting the health and resilience of the Mesoamerican Reef; - Gulf and Caribbean Fisheries Institute (GCFI): Work on regional ocean partnerships (through MPACONnect marine protected areas network and the Caribbean Node of the Global Partnership on Marine litter), strengthening of the science-policy interface, support of blue-economy efforts, and other activities focused on SDG14; - NDC Partnership: Work on country engagement that focus on NDC enhancement and implementation, Long Term Low Emission Development and capacity building support; - MAR Fund: Work in support of protected marine and coastal areas management, and the Reef Rescue Program; - UNDP (Barbados Multi-Country Office): work on increasing capacity for removing, transporting and disposing of sargassum invasions, enabling national environments for managing the protection, restoration and sustainable use of coastal and marine resources and catalyzing actions across all sectors for the movement, protection, storage and restoration of coastal and marine natural resources through the ?Project to Improve Sargassum Management Capacities in the Eastern Caribbean?.

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

<b>Agency</b>	<b>Trust Fund</b>	<b>Country</b>	<b>Focal Area</b>	<b>Programming of Funds</b>	<b>Amount(\$)</b>	<b>Fee(\$)</b>	<b>Total(\$)</b>
UNDP	GE T	Regional	International Waters	International Waters	15,429,817	1,388,683	16,818,500.00
<b>Total Grant Resources(\$)</b>					<b>15,429,817.00</b>	<b>1,388,683.00</b>	<b>16,818,500.00</b>

**E. Non Grant Instrument**

NON-GRANT INSTRUMENT at CEO Endorsement

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Includes Non grant instruments? **No**

Includes reflow to GEF? **No**

**F. Project Preparation Grant (PPG)**

PPG Required **true**

**PPG Amount (\$)**

350,000

**PPG Agency Fee (\$)**

31,500

<b>Agency</b>	<b>Trust Fund</b>	<b>Country</b>	<b>Focal Area</b>	<b>Programming of Funds</b>	<b>Amount(\$)</b>	<b>Fee(\$)</b>	<b>Total(\$)</b>
UNDP	GET	Regional	International Waters	International Waters	350,000	31,500	<b>381,500.00</b>
<b>Total Project Costs(\$)</b>					<b>350,000.00</b>	<b>31,500.00</b>	<b>381,500.00</b>

Please provide justification

Reflecting the EBM/LME-based approach of the proposed project together with the complex geopolitical diversity of the region, the PROCARIBE+ Project has an unusually large number of stakeholders by the standards of any IW LME project: the project's geographic scope includes not just one but two of the World's LME's, 26 countries and 18 overseas territories including a large number of SIDS, and covers several linguistic and politically and culturally diverse sub-regions, several geopolitical integration mechanisms, and a sizeable number of IGO's and non-governmental organizations with a formal mandate for, and/or actively involved in the project and marine resources management, across a variety of sectors and sub-regions. Successful delivery of the PROCARIBE+ Project Document and corresponding annexes within the limited available time frame will therefore demand exceptionally strong, high-capacity, multi-lingual PPG leadership and larger-than-usual project preparation, coordination and stakeholder consultation efforts. For this reason, an exception to the normal USD 300,000 cap on the PPG grant size (exclusive of GEF Agency fees) is being requested for this project (\$350,000).

## Core Indicators

### Indicator 2 Marine protected areas created or under improved management

Ha (Expected at PIF)	Ha (Expected at CEO Endorsement)	Ha (Achieved at MTR)	Ha (Achieved at TE)
1,000,000.00	4,368,052.00	0.00	0.00

### Indicator 2.1 Marine Protected Areas Newly created

Total Ha (Expected at PIF)	Total Ha (Expected at CEO Endorsement)	Total Ha (Achieved at MTR)	Total Ha (Achieved at TE)
500,000.00	1,055,505.00	0.00	0.00

Name of the Protected Area	WDP A ID	IUCN Category	Total Ha (Expected at PIF)	Total Ha (Expected at CEO Endorsement)	Total Ha (Achieved at MTR)	Total Ha (Achieved at TE)
			500,000.00	1,055,505.00		

### Indicator 2.2 Marine Protected Areas Under improved management effectiveness

Total Ha (Expected at PIF)	Total Ha (Expected at CEO Endorsement)	Total Ha (Achieved at MTR)	Total Ha (Achieved at TE)
500,000.00	3,312,547.00	0.00	0.00

Name of the Protected Area	WDP A ID	IUCN Category	Total Ha (Expected at PIF)	Total Ha (Expected at CEO Endorsement)	Total Ha (Achieved at MTR)	Total Ha (Achieved at TE)	METT score (Baseline at CEO Endorsement)	METT score (Achieved at MTR)	METT score (Achieved at TE)
			500,000.00	3,312,547.00	0.00				

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

Ha (Expected at PIF)	Ha (Expected at CEO Endorsement)	Ha (Achieved at MTR)	Ha (Achieved at TE)
	440,000,000.00		

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

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

Type/name of the third-party certification

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

Number (Expected at PIF)	Number (Expected at CEO Endorsement)	Number (achieved at MTR)	Number (achieved at TE)
0	2	0	0

LME at PIF	LME at CEO Endorsement	LME at MTR	LME at TE
	Caribbean sea		
	<u>North Brazil Shelf</u>		

**Indicator 5.3 Marine OECMs supported**

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

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

	<b>Number (Expected at PIF)</b>	<b>Number (Expected at CEO Endorsement)</b>	<b>Number (Achieved at MTR)</b>	<b>Number (Achieved at TE)</b>
<b>Shared water Ecosystem</b>	North Brazil Shelf, Caribbean sea	North Brazil Shelf, Caribbean sea		
<b>Count</b>	<b>2</b>	<b>2</b>	<b>0</b>	<b>0</b>

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

<b>Shared Water Ecosystem</b>	<b>Rating (Expected at PIF)</b>	<b>Rating (Expected at CEO Endorsement)</b>	<b>Rating (Achieved at MTR)</b>	<b>Rating (Achieved at TE)</b>
North Brazil Shelf	4	4		
Caribbean sea	4	4		

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

<b>Shared Water Ecosystem</b>	<b>Rating (Expected at PIF)</b>	<b>Rating (Expected at CEO Endorsement)</b>	<b>Rating (Achieved at MTR)</b>	<b>Rating (Achieved at TE)</b>
Caribbean sea	4	4		
North Brazil Shelf	4	4		

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

<b>Shared Water Ecosystem</b>	<b>Rating (Expected at PIF)</b>	<b>Rating (Expected at CEO Endorsement)</b>	<b>Rating (Achieved at MTR)</b>	<b>Rating (Achieved at TE)</b>
Caribbean sea		4		
North Brazil Shelf		4		

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

<b>Shared Water Ecosystem</b>	<b>Rating (Expected at PIF)</b>	<b>Rating (Expected at CEO Endorsement)</b>	<b>Rating (Achieved at MTR)</b>	<b>Rating (Achieved at TE)</b>
Caribbean sea		4		

Shared Water Ecosystem	Rating (Expected at PIF)	Rating (Expected at CEO Endorsement)	Rating (Achieved at MTR)	Rating (Achieved at TE)
North Brazil Shelf		4		

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

Metric Tons (Expected at PIF)	Metric Tons (Expected at CEO Endorsement)	Metric Tons (Achieved at MTR)	Metric Tons (Achieved at TE)
55,900.00	515.00		

**Fishery Details**

directly: 55,900 tons/yr by project end (3 fisheries); enabled: 94,800 tons/yr by 2030 The over-exploited queen conch fishery is brought to more sustainable levels through application of traceability to annual exports corresponding to 515 metric tons/yr Note: the export volume of shrimp and spiny lobster to be brought under traceability by PE was added to this target in the PIF; however, those fisheries have been removed from the target considering that (1) current data do not allow to separate between wild-caught shrimp and shrimp originating from aquaculture - for this reason and until a clear split in the origin of exports can be obtained, the volume of shrimp exports have been removed from the target, and (2) it was noted during the PPG that the Caribbean spiny lobster fishery is evaluated as "fully exploited", based on current data, and as a result should not be counted in the target since it aims at measuring "over exploited" stocks.

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

	Number (Expected at PIF)	Number (Expected at CEO Endorsement)	Number (Achieved at MTR)	Number (Achieved at TE)
<b>Female</b>	162,328	162,327		
<b>Male</b>	259,328	259,328		
<b>Total</b>	421656	421655	0	0

Provide additional explanation on targets, other methodologies used, and other focal area specifics (i.e., Aichi targets in BD) including justification where core indicator targets are not provided

## Part II. Project Justification

### 1a. Project Description

#### *Summary of changes*

There are no changes in alignment with the current project design from the original PIF. Through consultations with participating countries and project partners during the PPG, the outputs included in the PIF were further developed and specific intervention sites were selected.

The following summarizes the progress made in defining the project outputs from the PIF:

? For Outcome 3.2: *Increased mobilization of private capital supporting environmental stress reduction and sustainable climate-smart blue economy initiatives, supporting CLME+ SAP implementation and post COVID-19 recovery*, the project will work on creating enabling conditions to implement a carbon credits-based sustainable financing instrument for seagrasses and tropical peatlands in Panama.

? For outcome 3.3: *Expansion and integration of ?Blue Economy?, Marine Spatial Planning and MPA/OECM efforts across the region (ecosystem approach), supporting ocean-based socio-economic development, recovery and resilience (covid19, hurricanes) and progressive delivery on international targets in the fields of: marine conservation and climate change mitigation and adaptation MSP/MPA targets*, intervention sites and associated targets were defined. In total, the Project will aim at advancing MSP in 7 countries (with the intention of adding an additional MSP effort during implementation) and work towards enhancing area-based ocean conservation (through MPA/OECM) in 5 countries (with the intention of adding an additional participating country during implementation).

? For outcome 3.4: *Generalized implementation across the Wider Caribbean/WECAFC region of traceability systems is enabled for key fisheries and seafood products, as a key measure for sustainability and against IUU fishing*, a change was proposed to the related GEF Core Indicator 8 (Globally over-exploited marine fisheries moved to more sustainable levels) which is now only a fraction of what was originally set forward at PIF stage. . In the PIF, the indicator was presented as:

*directly: 55,900 tons/yr by project end (3 fisheries: queen conch, spiny lobster and shrimp); enabled: 94,800 tons/yr by 2030*; however, following consultations with regional fisheries experts it was decided that the volume of shrimp and spiny lobster exports should be removed from the target. This was proposed since (1) current data do not allow to separate between wild-caught shrimp and shrimp originating from aquaculture - for this reason and until a clear split in the origin of exports can be obtained, the volume of shrimp exports have been removed from the target, and (2) it was noted during

the PPG that based on current data, the Caribbean spiny lobster fishery is evaluated as "fully exploited" and as a result the fishery would not be counted towards the target since it aims at measuring "over exploited" stocks only.

## **1a. Project Description**

The CLME+ region (Caribbean and North Brazil Shelf LME's) constitutes one of the geopolitically most diverse and complex sets of LMEs in the world. There are twenty-six independent States and eighteen dependent/associated territories, located within or bordering the CLME+. The region supports a multitude of globally important economic activities (e.g. global tourism, shipping, fishing and oil and gas industries), and ecological processes that underpin the livelihoods and socio-economic well-being of the inhabitants of the CLME+ region and far beyond.

The UNDP/GEF project *Protecting and Restoring the Ocean's natural Capital, building Resilience and supporting region-wide Investments for sustainable Blue socio-Economic development?* (PROCARIBE+) (GEF-ID 10800, 2023-2027) is a 5-year project that aims at protecting, restoring and harnessing the natural coastal and marine capital of the Caribbean and North Brazil Shelf Large Marine Ecosystems (CLME+) to catalyze investments in a climate-resilient, sustainable post-covid Blue Economy, through strengthened regional coordination and collaboration, and wide-ranging partnerships. The project seeks to achieve this by enabling and developing sustainable and resilient ocean-based (blue) economies (through Marine Spatial Planning, marine conservation, sustainable fisheries and addressing land-based sources of pollution); while taking into account cross-cutting issues such as climate change, gender and post COVID-19 recovery. The project will build on the results from the UNDP/GEF CLME (2009-2014) and CLME+ (2015-2021) Projects, and catalyze the next iteration of key regional processes, such as the Transboundary Diagnostic Analysis (TDA) / Strategic Action Programme (SAP). The project will operationalize a region-wide ocean coordination mechanism that seeks to enhance collaboration and coordination for the conservation and sustainable use of living marine resources in the Caribbean and North Brazil Shelf Large Marine Ecosystems.

### **1) the global environmental and/or adaptation problems, root causes and barriers that need to be addressed (systems description)**

#### **Environmental and socio-economic context, and global significance**

##### Geography and Environment

The Atlantic Ocean's [Caribbean and North Brazil Shelf Large Marine Ecosystems](#) (also jointly referred to as: 'CLME+ region'; 4.4 million km<sup>2</sup>) constitute one of the most geopolitically complex and biodiversity-rich sets of Large Marine Ecosystems (LME's) in the world (Figure 1). Comprising 26 independent States and 18 dependent/associated territories[1]<sup>1</sup> (Table 1), [of which 25 are Small Island Developing States \(SIDS\)](#), they represent a largely shared source of ecosystem goods & services, supporting a multitude of economic activities.

The CLME+ region showcases a dichotomy of high marine-based socio-economic potential and social-ecological vulnerability. Its culturally diverse countries and territories range from among the largest (e.g. Brazil, United States of America) to among the smallest (e.g. Barbados, St. Kitts and Nevis), and from the most developed to the least developed in the world. Several of the CLME+ countries, namely Colombia, Costa Rica, Guatemala, Honduras, Mexico, Nicaragua and Panama have coasts on both the Atlantic and Pacific Ocean (Pacific Central American Coastal LME).

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[1] This includes overseas dependent territories, associated states, departments and islands with a special status.



**Figure 1.** The CLME+ region is composed of the Caribbean and North Brazil Shelf LME's and coincides to a large extent with the area covered by the Cartagena Convention for the Protection and Development of the Marine Environment (wider Caribbean - UNEP Regional Seas); note however that the CLME+ region does not include the Gulf of Mexico LME. (source: CLME+ Project)

**Table 1. CLME+ Countries and Territories (GEF-eligible countries are in bold)**

<b>Independent states</b>	<b>continental</b>	<b>Independent island states</b>	<b>Overseas territories, departments and island with a special status<sup>1</sup></b>
<b>Belize<sup>2</sup></b>		<b>Antigua &amp; Barbuda<sup>2</sup></b>	Anguilla (United Kingdom) <sup>2</sup>
<b>Brazil</b>		<b>Bahamas<sup>2</sup></b>	Aruba, Curacao, St. Maarten <sup>2,3</sup>
<b>Colombia</b>		<b>Barbados<sup>2</sup></b>	British Virgin Islands (United Kingdom)
<b>Costa Rica</b>		<b>Cuba<sup>2</sup></b>	Cayman Islands (United Kingdom) <sup>2</sup>
<b>Guatemala</b>		<b>Dominica<sup>2</sup></b>	French Guiana (France)
<b>Guyana<sup>2</sup></b>		<b>Dominican Republic<sup>2</sup></b>	Guadeloupe (France) <sup>2</sup>
<b>Honduras</b>		<b>Grenada<sup>2</sup></b>	Montserrat (United Kingdom) <sup>2</sup>
<b>Mexico</b>		<b>Haiti<sup>2</sup></b>	Martinique (France) <sup>2</sup>
<b>Nicaragua</b>		<b>Jamaica<sup>2</sup></b>	Puerto Rico (United States of America) <sup>2</sup>
<b>Panama</b>		<b>St. Kitts &amp; Nevis<sup>2</sup></b>	Bonaire, St. Eustatius, Saba <sup>2,3</sup>
<b>Suriname<sup>2</sup></b>		<b>Saint Lucia<sup>2</sup></b>	St. Barthélemy (France) <sup>2</sup>
<b>Venezuela</b>		<b>St. Vincent &amp; the Grenadines<sup>2</sup></b>	St. Martin (France) <sup>2</sup>
United States of America		<b>Trinidad &amp; Tobago<sup>2</sup></b>	Turks and Caicos (United Kingdom) <sup>2</sup> U.S. Virgin Islands (United States of America) <sup>2</sup>

Table notes:  
<sup>1</sup>As of 10 October 2010, the Netherlands, Aruba, Curacao and St. Maarten are partners in the Kingdom of the Netherlands. The Islands of Bonaire, Saba and St. Eustatius have become "special municipalities" of Holland  
<sup>2</sup>Low-lying coastal and/or Small Island Development States (SIDS)  
<sup>3</sup>Special municipalities of Holland

Combined with the adjacent Gulf of Mexico LME and Southeast US Continental Shelf LME (see also the maps in Annex 3), the region largely coincides with the [Wider Caribbean Region](#) (UNEP Regional Seas/Cartagena Convention, IOCARIBE).

The Caribbean and North Brazil Shelf LME's (CLME and NBSLME) receive the outflows from many rivers, incl. 23 transboundary river basins (see Prodoc Annex 3). Massive quantities of fresh water and sediments enter the LME's from three great South American river systems: the Amazon, Orinoco, and Magdalena Rivers.

The complex interaction of riverine discharge and coastal and ocean processes promotes high marine ecological and biological diversity. Among the region's marine ecosystems are coral reefs, mangroves, seagrass beds, beaches, wide expanses of muddy continental shelf, and pelagic systems, as well as all of the biodiversity associated with these ecosystems. The coral reef-mangrove-seagrass complex in the CLME+ has been described as one of the most biologically diverse and productive systems in the world:

- ? It contains an estimated 26,000 km<sup>2</sup> of coral reefs, ?10% of the world's total;
- ? Mangroves in the Wider Caribbean represent ?20% of global mangrove coverage (10,429 km<sup>2</sup> in the NBSLME alone, the most of any LME);
- ? Seagrass coverage in 2010 was estimated to be ?66,000 km<sup>2</sup> (UNEP-CEP, 2020); together with mangroves they constitute important carbon sinks.

Coral reefs are generally found along insular and continental coastlines throughout the wider Caribbean, including the Mesoamerican Reef system which is the largest transboundary barrier reef and second largest barrier reef in the world. Few small reefs are found along the North Brazil Shelf coastline. Mangroves are widespread along the coasts of the wider Caribbean, especially in the North Brazil Shelf. Seagrasses are located throughout the wider Caribbean, growing in lagoons between beaches and coral reefs or forming extensive meadows in protected bays and estuaries. These habitats host significant species diversity, including endemic and threatened species, as well as commercially valuable species. The [UNEP 'State of Nearshore Marine Habitats in the Wider Caribbean' \(2020\)](#) provides maps with the estimated distribution of coral reefs, mangroves and seagrasses in the Wider Caribbean Region.

In the area of the Caribbean Sea, a total of 12,046 marine species (approx. 1,400 species of fish) were identified by the Census of Marine Life (Miloslavich et al. 2010), with well over 90% of the fish, coral and crustacean species being endemic to the area (WRI, 2011).

A dominant climatic feature of the CLME is the existence of an annual hurricane season from (historically) 1st June to 30th November, with an increase in both frequency and intensity of storms considered to be associated with due to climate change.

#### Socio-economics

The [UNEP State Of the Cartagena Convention Area report \(2019\)\[1\]](#) provides Human Development Index and associated metrics for countries in the Wider Caribbean Region, averaged over the period 2011-2015. Overall, most countries of the Wider Caribbean scored a high HDI, with only Haiti demonstrating a low HDI. Guatemala, Honduras, Nicaragua and Guyana ranked as having a Medium HDI.

In 2015, population of the terrestrial drainage area of these LMEs was 174 million, with 95 million living within 100 km of the coastline (see Prodoc Annex 3). Data reported by IOC-UNESCO and UNEP in 2015 indicated that about 32% of the coastal population in the Caribbean LME was considered poor (IOC-UNESCO & UNEP, 2015a) compared to 22% for the NBSLME (IOC-UNESCO & UNEP, 2015b).

There are more than 50 indigenous and tribal peoples geographically located in the coastal areas of the countries participating in the PROCARIBE+ Project, and/or making use of the lands and territories, and/or their coastal and/or marine resources. The participating countries with higher indigenous populations located in the main areas of influence of the PROCARIBE+ Project activities are the Central American countries, Colombia, Venezuela and Brazil. For more information, we refer to the PROCARIBE+ Indigenous Peoples Planning Framework (IPPF included in Prodoc Annex 10 ESMF).

The blue economy is expected to become an increasingly important driver of the economies in the countries of the CLME+/wider Caribbean region, with most countries having at least some well established marine and coastal sectors. The main sectors involved in the blue economy in the region are capture fisheries, coastal aquaculture, shipping & ports, marine and coastal tourism, and offshore oil and gas exploitation. Emerging sectors like marine aquaculture and marine renewable energy are still being explored.

[UNEP's State of Nearshore Marine Habitats in the Wider Caribbean \(2020\)](#) states that the Caribbean Sea accounts for 14 to 17 percent of the global ocean economy and provided approximately US\$407 billion in 2012.

### Fisheries

Fisheries are a significant provider of food, livelihoods and income in the region. It is estimated that more than 900,000 people are employed directly in capture fisheries, with another 3 million jobs in ancillary activities such as processing, net-making and boat building (CLME+ SAP). Within the wider setting of the Western Central Atlantic, countries and territories of these LMEs caught an estimated 1.4 million tons of fish in 2019 (FAO, 2021). The fisheries sector in the wider Caribbean earns close to US\$ 5 billion annually (Patil et al., 2016).

Notably, the region's spiny lobster, conch and shrimp fisheries are economically important. Given the high commercial value and the importance of international trade for Caribbean spiny lobster products (around 350 - 400 thousands USD annually), this fishery is an important source of jobs, including for artisanal and industrial fishers, processors and the tourism industry, and it could account for more than 1% of the gross domestic product in countries such as Cuba, The Bahamas, Brazil, Nicaragua, and Honduras (Prada et al., 2017). Estimates for queen conch indicate that the regional annual production could be valued at between 50 to 70 million US dollars, with exports to the United States of America accounting for approximately 20% of this value (M. Prada, personal communication)[2].

The Caribbean spiny lobster reached its maximum production in the 1990s with an average of 41 thousand tons annually, and decreased after the 2000's by around 9% (to approximately 37 thousand tons).

The fishery of the Caribbean endemic queen conch has a variable annual production which according to data from FAO reported in 2014 amounted to approximately 7,800 tons of 100% clean meat filets

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(FAO 2017). However, there is high uncertainty of its regional annual production levels due to data quality issues. The international trade of this species has been regulated by CITES since 1992, in an effort to increase the sustainability of this fishery.

The shrimp stocks in the CLME+ region have been subjected to an intense and valuable fishery for more than six decades, especially in Central and South America, including Northern Brazil. This fishery includes several species, such as the southern brown shrimp (*Farfantepenaeus subtilis*), the pink spotted shrimp (*F. brasiliensis*), the southern pink shrimp (*F. notialis*), the white shrimp (*L. schmitti*), and the smaller seabob shrimp (*Xiphopenaeus kroyeri*). In the last 15 years, shrimp catches have exhibited a negative trend, decreasing from 3,019 tons to 1,019 tons in Guyana, from 3,267 tons to 624 tons in Suriname, from 3,940 tons to 732 tons in French Guiana, and from 6,224 tons to 2,482 tons in Northern Brazil (FAO 2017).

Considering the importance of these fisheries for the economies of the region, and for local livelihoods, fishing activity has been increasingly regulated, however fisheries managers in the CLME+ region still face challenges in determining the status of the stocks being exploited and the potential for their recoveries in light of data quality issues and an important presence of increase of Illegal, Unreported and Unregulated (IUU) fishing activity, the increase in fishing mortality of juvenile individuals, habitat degradation and climate change impacts.

The true regional importance of fisheries is not fully reflected in the above figures: in most CLME+ countries, a large proportion of the population has access to the sea and there is a preponderance of small-scale fisheries that are under-reported (Dunn et al., 2010). Thus the role of fisheries in terms of livelihoods and food security to the Caribbean population is substantial, but poorly known. Many fishing communities continue to be highly vulnerable to poverty (CRFM, 2012).

## Tourism

The region of the insular Caribbean is more dependent on tourism than any other part of the world (CRFM, 2016). The Caribbean Tourism Organization (CTO) reported that Caribbean destinations received an estimated **32 million international tourists in 2019**, contributing a total of USD\$ 58.4 billion (14.6% of total Gross Domestic Product (GDP)) to the economies of Caribbean countries (World Travel and Tourism Council, 2021). However, as with other regions of the world, the tourism industry suffered great losses during the COVID-19 pandemic. In the Caribbean, it appears that the sector suffered disproportionately compared to other regions with Travel & Tourism GDP dropping by 58% due to its strong reliance on international tourism which decreased significantly due to COVID measures (World Travel and Tourism Council, 2021). Considering that the sector accounts for a large share of the overall economies of the region, travel and tourism will play a key role in driving the socio-economic recovery post COVID-19.

Visitors to the region are largely attracted by its climate and nature, particularly the marine environment. Tourism therefore depends on the capacity of the marine ecosystems to continue

providing the ecosystem services which make the region such a popular destination. The Caribbean is also the world's premier cruise tourism destination, commanding the largest cruise market share worldwide (World Travel and Tourism Council, 2004).

### Maritime transport

The CLME+ is also important for shipping. Within the Caribbean region, shipping represents 76.4% of the economy (Patil et al., 2016) and tens of thousands of cargo vessels, cruise ships, fishing and recreational vessels pass through the waters of the Caribbean Sea each year. The expansion of the Panama Canal in 2016 has increased maritime transport activity across the entire wider Caribbean, particularly in the north, an area of intense maritime cargo freight traffic between the Atlantic and Pacific Oceans. A total movement of about 104,000 ships and averages of over 8,500 ships per month and approximately 300 ships per day have been reported in the CLME and adjacent regions (Vila et al., 2004). Much of the ship traffic in the Caribbean Sea is related to oil transportation with the Caribbean Sea second in oil traffic only to the Persian Gulf (CLME Project, 2011).

### Oil and gas

The CLME+ region holds significant potential as a major producer of hydrocarbons.

Trinidad and Tobago is the most established and largest oil and gas producer in the CLME, with the energy sector contributing approximately 40% of the country's GDP (Halcrow Group Ltd, 2016). While countries like Belize and Costa Rica have banned oil exploration, others like Aruba, The Bahamas and Jamaica are at various stages of exploration (UNEP-CEP, 2020).

In the NBSLME, exploration activities have intensified in recent years. [Oil production in Brazil in 2020 was ranked ninth in the world](#) and the country was the only oil-producing country in South America to report an increase in crude oil in 2020 (EIA, 2021).

In Guyana, oil production started in late 2019 (Seefeldt, 2022) with oil reserves estimated to be worth over US\$200 billion (Krauss, 2017). The country's coastal waters are said to contain one of the richest oil and natural gas discoveries in decades and could lead to Guyana becoming one of the principal oil-producing countries in the Western Hemisphere (Krauss, 2017). Suriname has also discovered hydrocarbon basins that offer potential and has started small operations with major projects expected to start by 2025 (Seefeldt, 2022).

## **Global environmental problems and root causes**

### **The environmental problem and its associated socio-economic impact**

**Pressures** on the marine environment in the region have grown significantly, with ecosystem capacity to provide goods and services increasingly impacted, and further **aggravated by climate change**. Economic recovery from the COVID-19 pandemic and development of a resilient blue economy are set against a baseline of 3 interlinked trends: **(i)** growing ocean-based activities with increasing and accumulating environmental stressors/impacts; **(ii)** increasing impacts from natural disasters, and **(iii)** overall decline in natural ocean resources and ocean health.

With a complex post-COVID recovery ahead, harnessing the marine natural capital to underpin recovery and resilience-building efforts will be critical. Threats to the ocean are to be addressed in a thorough and comprehensive way. Areas of particular concern remain: **(i) habitat degradation; (ii) unsustainable fishing; (iii) marine pollution** - all highlighted in the UNDP/GEF CLME Project Transboundary Diagnostic Analyses (TDA's, 2011), and the **(iv)** cross-cutting concern of **climate change**.

#### Root Causes of Environmental Degradation

The TDA's identified *inter alia* the following cross-cutting root causes of the aforementioned persistent threats to the marine environment in the region: **(1) limited human and financial resources; (2) inadequate (access to) data and information; (3) inadequate public awareness and involvement; (4) inadequate consideration of the value of ecosystem goods and services; (5) population and cultural pressures; and (vi) trade and external dependencies**. This notwithstanding, the TDA's clearly identified **(6) weaknesses in ocean governance as the overarching root cause**.

Examples of the [causal chain analyses](#) leading to the identification of these root causes, such as for example the causal chain analysis for [habitat degradation](#) and for [pollution](#) of the reef and pelagic ecosystems in the wider Caribbean, can be consulted online on the [CLME+ Hub](#).

Dealing with these root causes has been a core consideration in the development under the first CLME Project of the **10-year *Strategic Action Programme for the Sustainable Management of the shared Living Marine Resources of the Caribbean and North Brazil Shelf LMEs (2015-2025)*** (the **CLME+ SAP** or **SAP**).

The creation of a regional Ocean Coordination Mechanism, complemented by **wider-ranging partnership(s)**, and the **proposed paradigm shift** from a 'problem-focused' approach to a more aspirational outlook centered on the region's wealth of **opportunities and potential for positive change**, are now expected to further put the region on the path towards dealing with these root causes in a **more holistic, integrated way, with contributions from all sectors of society**.

#### Barriers to be addressed

While the Transboundary Diagnostic Analyses (TDA?s) conducted with the support of the CLME Project identified the root causes on which action is to be taken, several barriers may hamper the successful removal of these root causes.

These include:

**Absence of trust (barrier #1)** among stakeholders constitutes a critical barrier.

Absence of trust makes it difficult, for example, to optimize the use of limited human and financial resources (root cause 1) through coordination and collaboration, and to ensure adequate access to data and information (root cause 2); it also hampers the collaboration among countries and organizations required to achieve synergies and avoid antagonistic action by different stakeholder groups; overall, it thus constitutes a barrier to the elimination of weaknesses in ocean governance (over-arching root cause, 6).

Trust-building across sectors and sub-regions was initiated under the CLME Project (GEF ID 1032), and continued with increasing levels of collaboration within and among countries, and among a core set of inter-governmental organizations and development partners under the CLME+ Project (GEF ID 5542). PROCARIBE+ (GEF ID 1800) will continue and further upscale this effort.

Financial constraints (root cause), accentuated by the COVID-19 crisis, mean that at this particular moment **discontinuity of the required GEF?s transitional support (barrier #2) for the aforementioned efforts** would constitute a critical obstacle to securing the positive long-term impacts of these initial investments. The CLME+ Project culminated with the finalization, at its final Project Steering Committee Meeting in October 2021, of the full text of the Memorandum of Understanding (see ProDoc Annex 22), i.e. the document that will allow to establish the regional Ocean Coordination Mechanism (OCM, see Output 1.1.1a). The creation of such regional coordination mechanism was one of the highest-ranking priority actions under the politically-endorsed CLME+ SAP, and is seen as key to resolving the weaknesses in ocean governance arrangements in the region, with the latter cited as the over-arching root cause (6) of environmental degradation at the LME-level in the CLME TDA?s and SAP. Absence of transitional GEF support for the OCM would jeopardize operationalization of the OCM.

**Absence of a paradigm shift (barrier # 3)** in the application of the TDA/SAP concept in the region, from a 'problem'-focussed approach towards a more balanced focus on 'challenges and opportunities' would be another important barrier: a failure to more explicitly link the ocean, and its protection and restoration, to socio-economic development would contribute to a perpetuation of distrust among different ocean stakeholder groups, in particular those advocating for ocean protection and conservation, and those seeking to exploit and use its resources (i.e. feedback loop with barrier # 1) and negatively impact efforts to remove/resolve several of the root causes, including root cause 3 (inadequate public awareness and involvement), 4 ( inadequate consideration of the value of ecosystem goods and services) and 5 (cultural pressures); it would hence also jeopardize the construction of the wide-ranging societal **partnerships and the successful engagement of key ocean-using sectors (barrier # 4)** in the development and implementation of the new SAP. With successful governance demanding concerted and complementary action from all sectors of society, barrier #4 would lead to a perpetuation of the over-arching root cause (6) of weak governance.

**Absence of systematic mainstreaming of climate change mitigation and adaptation considerations** in decision-making, management actions and investments would also constitute an important barrier (**barrier # 5**) to the selection of actions, and the prioritization of decisions and investments that are most prone to lead to solutions that combine cost-effectiveness with sustainability of outcomes. Systematic screening of all proposed PROCARIBE+ actions on their 'robustness' (*i.e. will the proposed solution ensure positive impacts, even under different potential manifestations of climate change?*) and their contributions to enhancing the resilience of the socio-ecological systems in the CLME+ region, will help lifting this barrier.

With the region being hit particularly hard by natural disasters (e.g. hurricanes, volcanic/seismic activity) and the coronavirus (COVID-19) pandemic, the pressure to deploy and fully focus on short-term emergency measures is high. In this context, **disregard of longer-term, strategic considerations (barrier # 6)** becomes a real threat, making it likely that a unique chance to implement more sustainable solutions will be missed.

Now, more than ever, does the introduction, exploration and implementation of the concept of [sustainable ocean-based economies, or 'blue economies'](#) provide a singular opportunity.

2) the baseline scenario and any associated baseline projects;

**The TDA/SAP approach and the Wider Caribbean/CLME+ region**

For the CLME+ region, a first-ever, 10-year **region-wide umbrella Strategic Action Programme, the ?CLME+ SAP? (2015-2024)**, was developed in 2013, with as associated **long-term (~20 years) Vision: *A healthy marine environment that provides benefits and livelihoods for the well-being of the people.***

The SAP - **endorsed** by 26 Countries and 8 Overseas Territories - addresses **habitat degradation, unsustainable fisheries, pollution and climate change**, and associated **root causes** including the key root cause of **weaknesses in ocean governance**. It consists of **6 Strategies and 4 Sub-Strategies**, providing a roadmap for collective action.

The SAP is to be implemented through a **series of projects and initiatives**. This demands **strong coordination, collaboration and synergies** among **numerous stakeholders and organizations, and a strong data/knowledge base**. The call made under SAP Strategy # 3 for the long-term deployment of **regional ocean coordination mechanisms** is therefore **considered central and of critical importance for its successful implementation**.

The UNDP/GEF **?CLME+? Project (2015 -2021)** has played a central role in **kick-starting SAP implementation**, and was key to enabling **substantive progress towards** the creation of the aforementioned **coordination mechanisms**. The **value of this achievement, as well as the need to give continuity to the work undertaken by the CLME+ Project, are fully recognized in the CLME+ Project Terminal Evaluation**.

The prototype online **SAP Progress Tracking Portal**, embedded on the **CLME+ Hub** aims to provide a dynamic overview of SAP implementation efforts and of remaining implementation gaps. The **online Projects Database** contains detailed information on **baseline projects** supporting the implementation of the SAP.

A **limited number of selected key SAP implementation achievements**, of particular relevance to the present proposal, are highlighted below:

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#### **Coordination and cooperation arrangements at the regional level**

1) In 2017, the **CLME+ SAP Interim Coordination Mechanism (ICM)** was created through an MoU between 8 IGOs with an oceans? related mandate (SAP Action 3.1), and with the CLME+ PCU as its interim Secretariat.

2) Recognising the need to transition the ICM into a long-term arrangement, the core aspects of such regional **Ocean Coordination Mechanism (OCM)** were agreed on at the June 2020 CLME+ Project

Steering Committee (PSC) Meeting. The [detailed Memorandum of Understanding \(MoU\)](#) that will create the Mechanism, specifying its **substantial responsibilities**, was endorsed at the February 2021 CLME+ PSC Meeting. OCM operations will be transitionally supported by PROCARIBE+.

3) In support of the OCM objectives, work has advanced through the CLME+ Project towards the adoption of a **long-term, regular collaborative regional reporting approach on the marine environment and its (potential) contributions to socio-economic development**: the [?CLME+ SOME?](#) reporting mechanism.

4) It is the **combined actions by all sectors of Society** that will ultimately lead to the achievement of the long-term Vision. For this reason, and in alignment with the objectives of the proposed OCM, preparatory work was undertaken towards the creation of global, **broad-ranging multi-stakeholder partnership(s)**.

5) The CLME+ Project facilitated, through [CANARI](#), the development of the complementary [?People Managing Oceans? or ?C-SAP?](#). This C-SAP has been endorsed by [51 civil society organizations](#); conditions now exist for substantially upscaling civil society action through GEF small-grants funding.

6) The CLME+ Project developed a [baseline inventory of \(potential\) public and private blue finance investors](#), and an [analysis of potential innovative \(private sector/blended\) financing schemes](#) that can support regional-level ocean-based socio-economic development.

#### **Strengthening national inter-sectoral coordination for EBM/EAF**

Notwithstanding the importance of transboundary collaboration, on-the-ground action to achieve the regional Vision needs to take place nationally. Solid enabling conditions must arise from national-level capacity-building and competencies, and participatory planning. For these to be effective, efficient communication among national agencies and sectors, and between the national and regional levels is required.

National Intersectoral Coordination Mechanisms (NICs) continue to be critically important (SAP Actions 4.7, 5.5, 6.8). A key focus has been to raise awareness of the importance of, and providing support towards the creation/consolidation of NICs. This has been achieved in collaboration with other projects, e.g. IWECO, CROP.

In 2019, operational NICs or their equivalent(s) were reported for more than [60% of participating CLME+ countries](#). Further work is required to continue to strengthen many of the existing NICs, and to support the creation of such mechanisms where these currently remain absent.

A strong linkage between the national NICs and the regional OCM is needed for the OCM to function effectively.

The importance of national intersectoral coordination was pointed out during the [CLME+ Terminal Evaluation](#).

### **Unsustainable fisheries**

A large number of activities have advanced the fisheries-specific SAP Strategies, through well-documented interventions by the CLME+ Project as well as by other related initiatives. A few of these are mentioned below:

- 1) A ***Regional Plan of Action to Prevent, Deter and Eliminate Illegal, Unreported and Unregulated Fishing (RPOA-IUU)***, prepared with support from the CLME+ Project, endorsed at WECAFC 17 (SAP Action 2.5).
- 2) By end of 2020, **13 CLME+ countries** were party to the Port State Measures Agreement (SAP Action 2.12).
- 3) A ***second Joint CRFM-OSPESCA Action Plan*** was adopted at the Second High-Level Joint Ministerial Meeting in 2020, calling for continued collaboration and **harmonization of actions** on matters pertaining to **key fisheries** including **spiny lobster** and **queen conch, aquaculture** and **IUU**, and **seafood fraud**.
- 4) Other achievements include but are not limited to:
  - a) development and initial implementation of **regional fisheries management plans** for the **spiny lobster** (SAP Action 4A.3) and **queen conch** (SAP Action 4B.3), a.o.;
  - b) **development of the approach to apply traceability** to spiny lobster fisheries; testing at pilot-scale and adoption of a regional OSPESCA/OIRSA regulation, as **preliminary steps towards a major roll-out** of traceability as a **key means to reduce IUU and seafood fraud** (SAP Actions 4A.3, 4A.4);
  - c) a **State of Fisheries Report** for the WECAFC region (SOMEE building block) (SAP Action 2.14);
  - d) **gender mainstreaming and empowerment in fisheries** and development of **viable alternatives** to reduce stress from traditional fishing practices (seamoss farming) (SAP Actions 2.7 and 2.8);

The CLME+ Project Terminal Evaluation referred to the 'transition from wild capture fisheries to fish farming, and the creation of alternative livelihoods for fisherfolks' as so far not having received

noticeable attention - something that is to be considered in the development of the region's blue/ocean-based economies.

### **Habitat Degradation and Marine Pollution**

Through the CLME+ Project, UNEP CEP (Cartagena Convention) has prepared its first-ever regional *State of the Convention Area* Assessments: *State of Nearshore Marine Habitats*, *SPAW Protocol*, and *Assessment of Pollution from Land-Based Sources*, *LBS Protocol*. These reports satisfy existing but previously unmet formal reporting obligations, and constitute important *building blocks for the integrated SOME*, to be implemented by the forthcoming OCM, and informing the next iteration of the regional SAP.

The reports have supported the development of *Regional Strategies and Action Plans (RSAP, 2021-2030)*, respectively for *the Valuation, Protection and/or Restoration of Key Marine Habitats* and for *the Reduction of Nutrient Inputs into the marine environment*; these RSAPs now provide further practical guidance for the implementation and upscaling of actions under SAP Strategies 1, 4 and 6, and will also guide the further development of PROCARIBE+, and other SAP-implementing projects.

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### **Ocean-based/blue economies**

While no regional or regionally uniform definitions of the 'blue economy' have been formally adopted to date, expressions of interest and incipient actions towards the planning for, and development of blue or ocean-based economies have been steadily growing. The unleashing of diversified, ocean-based opportunities in the region holds substantive potential for supporting and accelerating the post-COVID19 recovery process.

Recently, there have been a number of initiatives in the region that are either underway or upcoming that give effect to the blue economy concept at some level.

Under the OECS, the Eastern Caribbean Regional Oceans Policy and Action Plan was adopted in 2013, providing a framework that guides the planning and development of marine activities in the Eastern Caribbean region in a rational and sustainable manner. Since the adoption of this policy, multiple projects are being implemented in the area of Ocean Governance and Blue Economy in the Eastern Caribbean by the OECS Commission and others. Notably the [CROP](#) and [ReMLIT](#) projects have supported the acceleration of the development of the blue economy in the Eastern Caribbean.

The [Commonwealth Marine Economies Programme](#) aims to support Commonwealth Small Island Developing States (SIDS) identify the potential of, and develop, their marine economies in a sustainable, resilient, and integrated way. Under this programme, several countries of the Caribbean have significantly advanced their efforts towards shifting to a Blue Economy.

The Central American Integration System (SICA) has adopted a [Regional Strategy for the Blue Economy](#) (ERCA) in 2020. Under the guiding framework of this strategy, a [Regional Blue Economy Protocol with a Ridge to Reef Approach \(PREA-R2R\)](#) is also being developed.

There are also a number of country-specific initiatives currently underway. The following countries of the region have adopted strategies/plans/policies that support the transition to a sustainable ocean economy: [Antigua and Barbuda](#), [Grenada](#) ([Maritime Economy Plan](#), [Blue Growth Coastal Management Plan](#)), [Bahamas](#), [St. Kitts and Nevis](#) and [Mexico](#). In addition, [Trinidad and Tobago](#) and [Panama](#) are currently working on developing national ocean policies with proposed Blue Economy components. Several other [countries](#) have completed Blue Economy scoping studies detailing the economic contributions of marine sectors in their countries. For example, the [UNDP Blue Economy for Green islands Approach](#), led by UNDP Barbados and the Eastern Caribbean, has assisted [Barbados](#), [Dominica](#), [British Virgin Islands](#) and [Montserrat](#) develop scoping studies.

Under the Joint SDG Fund project [?Harnessing Blue Economy Finance for SIDS Recovery and Sustainable Development?](#), Barbados, Grenada, and St. Vincent and the Grenadines have worked on identifying the binding constraints to Blue Economy investments.

Despite rising interest in the region towards developing a strong blue economy, further progress is needed if we are to move towards a more inclusive and sustainable ocean economy, and recover from the wide-ranging impacts of the COVID-19 pandemic. In addition to the PROCARIBE+ project, the following projects will also support Blue Economy-related activities in the CLME+ region in the near future: the [GEF/CAF/FAO/CRFM BECLME+ project](#), the [World Bank/OECS UBEC project](#) and the [GEF/CBF Caribbean BluEFin project](#). Close collaboration with these initiatives will be needed to ensure that the region as a whole applies a coherent and coordinated approach towards building the blue economy.

### **Marine Spatial Planning**

The pursuit of well-informed and broadly supported **marine spatial plans**, tied to regional or national-level Blue Economy Strategies and Plans will benefit not only from enhanced **inter-sectoral coordination mechanisms (NICs)** and an enhanced **marine data and information infrastructure**, but also from the previously described (sub-)regional and national-level **blue economy scoping efforts**.

In recent years, MSP efforts have been supported in the CLME+ region by e.g. World Bank/OECS (CROP Project), UK JNCC, WAITT Institute, EU/WWF and under the IOC MSP global project. MSP work is also being called for under, a.o., the SICA's Regional Blue Economy Strategy (SICA/ERCA).

A [desktop analysis on the status of MSP in the CLME+ region](#) has found that MSP has been initiated in fifteen countries and eight overseas territories. A [2019 status update of MSP efforts in the Wider Caribbean region](#) based on information from informants including the IOC of UNESCO estimated the area in the CLME+ region under MSP was approximately 5%.

Notably, under the CROP project, [five countries of the Eastern Caribbean have completed marine spatial plans \(St. Kitts and Nevis, Saint Lucia, Dominica, St. Vincent and the Grenadines, and Grenada\)](#). The OECS is now working on a [Regional Marine Spatial Plan Framework](#) to complement those national endeavors. [Montserrat](#) and [Mexico](#) have also made significant advances with MSP.

A few countries have initiated MSP pilot projects, presenting important lessons learned for upscaling MSP in the region. Trinidad and Tobago piloted an MSP project in the Northwestern peninsula of Trinidad, where important conflicts between marine users from the yachting, shipping and fishing sectors exist. Jamaica has also developed a sub-national marine spatial plan for the Pedro Bank, a [submarine plateau in an important reef ecosystem area more than three quarters the size of mainland Jamaica](#), and a [zoning design was completed for Samaná Bay in the Dominican Republic in 2014 but has not been implemented](#).

While certain countries have not yet initiated the development of marine spatial plans, some have developed or are in the process of developing integrated coastal zone management policies that can provide a policy framework for MSP activities when those are compatible. For example, [Barbados](#), [Belize](#), [Colombia](#), [Grenada](#), and [Guatemala](#) have approved ICZM plans. In addition, [Trinidad and Tobago](#) and [Venezuela](#) have draft ICZM policies that are pending final approval by their respective governments. Given the high relevance of land-sea interactions, it is important that MSP be linked with ICZM as this can significantly facilitate the overall planning process and improve the efficiency of implementation of marine spatial plans.

Despite recent advances within the region on MSP, important challenges still remain and further progress is needed to move beyond the sectoral management of marine resources and ocean space towards a more integrated cross-sectoral approach. As a result, in addition to the PROCARIBE+ project, several upcoming projects will also help the region further advance with MSP: the [GEF/CAF/FAO/CRFM BECLME+ project](#), the [World Bank/OECS UBEC project](#), the GIZ "Caribe Mexicano" project and the EU "Advancing Maritime Spatial Planning in Outermost Regions" project.

**Global knowledge management** on MSP exercised by the **IOC of UNESCO**, and the availability of an online, **multi-lingual MSP Toolkit and Training Programme** through **IW:LEARN**, constitute an **important baseline on which to build PROCARIBE+ interventions to further accelerate and advance MSP in the region.** In addition, relevant technical guidance, notably those developed under the MSPglobal project such as the [MSPglobal International Guide on Marine/Maritime Spatial Planning](#) will also serve as an important tool for the implementation of MSP in the region.

A **2019 status update of MSP efforts in the Wider Caribbean region** based on information from informants including the IOC of UNESCO is available from the [CLME+ HUB's Documents Library](#). Updates will be periodically uploaded (*the map does not yet reflect EU/WWF and planned **BE CLME+** efforts*).

MSP will be important in advancing the CLME+ SAP and the **Regional Action Plans**, such as those developed under the SPAW (**Habitats**) and LBS (**Nutrients**) Protocols, the Regional Plan of Action on **IUU** (WECAFC-CRFM-OSPESCA), and several other more specific plans demanding area-based interventions.

The need for a **stronger linkage** between **Integrated Coastal Zone Management (ICZM)/MSP processes**, and **Integrated Water Resources Management/Integrated River Basin Management (IWRM/IRBM)**, as well as between the **marine conservation (e.g. MSP and MPA/OECM work) and the climate change agenda (e.g. Blue Carbon, NDC's)** is increasingly being recognized by stakeholders in the region, but further capacity building and practical experience through pilot initiatives will be needed to help achieving such important goals.

#### **Marine Conservation in the Caribbean and North Brazil Shelf LME's (MPAs/OECMs)**

Through **Aichi Target 11** and UN SDG14, the target had been set to have, by 2020, **10 percent** of coastal and marine areas conserved. Through the **Caribbean Challenge Initiative (CCI)** a number of countries from the region committed to achieving a more ambitious **20x20** target. At the sub-regional level, the Caribbean Biodiversity Fund and the **MARFund** were set up to drive regional funding and partnerships for marine conservation.

The science-backed need to substantially increase the total area of land and seas under protection has now gained increasing global recognition, and has led to strong advocacy and support for achieving 30% of marine space protected by 2030 (the **30x30** target; e.g. the **2016 IUCN World Conservation Congress**, the **High Ambition Coalition (HAC) for Nature and People**, the **Global Ocean Alliance**, USA January 2021 pledge; see also: [countries with marine space in the CLME+ region that have subscribed to the 30x30 pledge](#)).

The upcoming **CBD Strategic Plan and associated post-2020 Biodiversity Targets to be adopted in 2022**, the ongoing '**Ocean Decade**' and the **2022 United Nations Climate Change Conference (UNFCCC COP27)** will likely lead to new targets for the protection of the oceans that will require increased support by the global community.

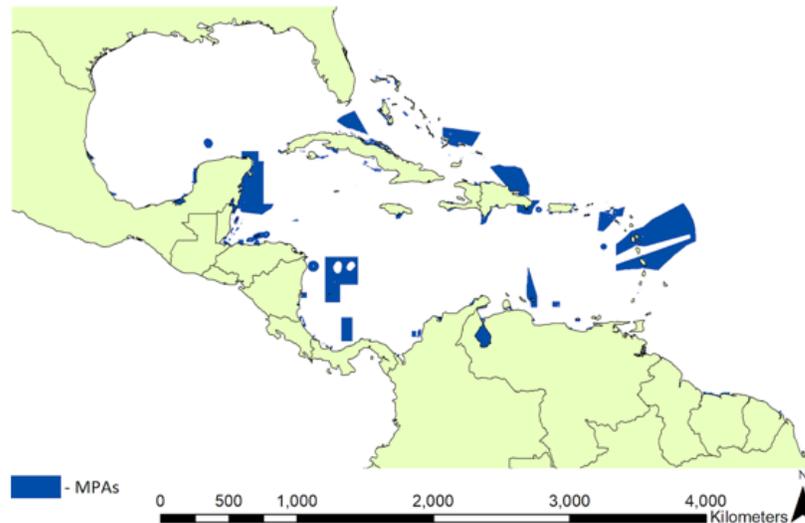
The [World Conservation Monitoring Center's World Database on Protected Areas](#) (WCMC-WDPA), [Marine Conservation Institute's Marine Protection Atlas](#), the BIOPAMA **Caribbean Gateway** and the [SPAW-listed Protected Areas database](#) (UNEP CEP, SPAW Protocol) are global and regional platforms providing baseline information and insights into the status of MPA-based conservation efforts at global, regional and national levels. A '**State of Protected Areas**' (SOPACA) Report for the wider Caribbean region is currently under preparation by IUCN through the BIOPAMA programme, and provides information on MPA's including management effectiveness.

The draft '**State of Protected and Conserved Areas**' (SOPACA, IUCN/BIOPAMA) report documents a total of 767 protected areas with a marine component in the Wider Caribbean, covering 319,154.6 km<sup>2</sup> which equates to a total marine area under protection of approximately 8.6% of the full Wider Caribbean Region (Figure 2) (J. Walcott, personal communication). No marine Other Effective area-based Conservation Measures (OECM) have been formally declared/registered as such for the wider Caribbean to date (May 2022).

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[1] In Annex 4.3

[2] The value of the Queen conch fishery for the Caribbean was estimated based on expanded landings (weight of the meat plus weight of the shell) using global databases (FAO and Sea around us).



**Figure 2. Protected Areas with a marine component in the Wider Caribbean which meet the IUCN definition of a protected area and that have been legally designated by countries (Source: Caribbean Protected Areas Gateway).**

Considering the momentum to further increase the marine area under protection, several global and regional initiatives are underway that will support the creation and/or improvement of marine protected areas in the Wider Caribbean/CLME+ region. The Blue Nature Alliance is set to [expand and improve conservation of 1.25 billion hectares of ocean ecosystems globally](#). Part of the Alliance's work will focus on supporting countries of the Caribbean region to achieve their marine conservation targets and on increasing collaboration between donors to help deliver more effective MPAs in the region.

The [BECLME+ project](#), poised to start implementation in 2022/2023, will support Barbados, Belize, Guyana, Jamaica, Panama and Saint Lucia with promoting blue economy development in the CLME+ through marine spatial planning and marine protected areas, ecosystem approach to fisheries, and sustainable seafood value chains. The project will work towards (1) creating new marine protected areas or Other Effective Conservation Measures (OECM) in targeted countries and (2) enhance marine protected areas management capacity in select countries of the CLME+ region.

In terms of capacity building for MPA managers, the **National Marine Protected Areas Center** leads international partnerships for the **NOAA Office of National Marine Sanctuaries**. The **UNEP CEP/GCFI-supported Caribbean MPA Management Network and Forum (CaMPAM)** and the **NOAA/GCFI MPACoConnect** networks aim at strengthening MPA practitioners across the region.

The concept of **OECMs** applied to the marine environment is only more recently gaining traction. Its relevance is expected to substantially increase in the context of the combined and inter-related targets

of 'conserving the natural resource base that underpins the development of resilient societies benefiting from sustainable blue economies'.

Recently, the Secretariat for the Convention on Biological Diversity, under its sustainable Ocean Initiative and in collaboration with various regional partners, organized a [Capacity-building workshop on OECMs for the Wider Caribbean and Central America](#) to enhance the capacity of countries to identify, designate and report on OECMs in the marine fishery sector. According to the [Protected Planet webpage](#), the Wider Caribbean region has not designated/registered any OECMs, providing an important opportunity for countries wishing to achieve area-based conservation outcomes through alternative means.

Countries and organizations in the region acknowledge the dual challenge of **(a)** further expanding the area currently under protection; and **(b)** sustainably and effectively managing existing MPA's. While it is clear that increasing the effectiveness, and level of protection offered by existing MPA's is a high priority for many countries in the region, it is also evident that, with the 30x30 pledges being made, and with increasing attention for the 'blue economy', the deployment of tools such as **Marine Spatial Planning** is becoming of critical importance.

In ['The Business Case for Marine Protection and Conservation'](#) Impact Report, the **Friends of Ocean Action** propose a 3-tiered approach towards upscaling marine conservation, strategically combining action on: **MPA's, MSP and 'conservation-productivity win-wins' in ocean-using industries.**

[Linkages between the Nationally Determined Contributions \(NDCs\) under the Paris Agreement \(UNFCCC\) and SDG14 \('Life below Water'\)](#) are only gradually becoming more explicit in the region, despite the vast advantages, on multiple fronts, that can be obtained from such integration: upscaling the protection/conservation, restoration and wise use of the vast areas of mangroves and seagrass beds in the region, holds the potential to contribute to: better fisheries, livelihoods, climate change mitigation and adaptation, as well as biodiversity conservation.

### **Oceans, and Coastal and Marine Natural Capital in support of Climate Change Mitigation and Adaptation, and enhanced resilience to external shocks**

Interest in **Blue Carbon** as a climate solution is growing. In the first round of NDCs, 28 countries (globally) included some kind of reference to coastal wetlands in their mitigation actions, while 59 countries included coastal ecosystems or coastal zones in their adaptation strategies. Yet, given the gravity of the situation, and the high potential of **Blue Carbon to offer triple value benefits in adaptation, mitigation and resilience**, it makes sense for **countries with substantive extension of**

**mangroves and seagrass beds and coastal wetlands, such as many CLME+ countries, to now seek inclusion of Blue Carbon in their 2025 NDCs.**

Until recently, 'ocean and coast' requests accounted for only 2% of total country requests received globally by the partnerships. Sequestering, on average, 10 times more carbon per hectare than terrestrial ecosystems, blue carbon offers many co-benefits including: increased fishery production and food supplies, traditional medicine, support for local communities, and biodiversity conservation. There is untapped potential in the CLME+ region at the country and regional/LME level related to the implementation of Blue Carbon in NDCs, with important cross-linkages to national and regional fisheries, blue economy and conservation targets.

Currently **16 countries** from the region are **members of the NDC Partnership**, in addition to the USA, France, the Netherlands and the UK. As part of UNDP's support to countries, through the 'Climate Promise' NDCs' ambition, including adaptation and mitigation actions, is being increased in **13 countries in the region.**

Climate change action in the region is also supported through the **UNDP Accelerator Labs** and through the CARICOM/OECS/IDB **Caribbean Climate-Smart Accelerator.**

There is **important scope, by harnessing these baseline initiatives, to progressively build on the region's marine and coastal capital for climate change mitigation and adaptation/resilience building, with important positive cross-linkages with conservation, livelihoods and blue economy targets.**

The **mangrove component of the 'Mapping Ocean Wealth' (TNC) platform** provides a value first baseline for informing blue carbon action in the region. In addition, an increasing number of countries are working on their **national mangrove inventories**. A **regional mangrove strategy for the MAR sub-region** was developed with the support of **MARFund**, while countries such as Colombia have been defining their **Blue Carbon agenda and roadmap**. Substantive **guidance materials** have been produced, with the support of a.o. **UNDP** and **IUCN**, and reference to mangrove scoping work conducted by IUCN and CI along the NBSLME was already made.

UNDP is supporting Caribbean countries channelling funds from the **Green Climate Fund** and the **Adaptation Fund**, and has prepared a **covid-19 offer to support countries around the globe.**

**Knowledge Management, and regional Marine Data/Information Infrastructure**

Key root causes flagged under the SAP include: (a) a general **lack of awareness**; (b) a **lack of (access to) adequate data on the marine environment and related governance processes**, and (c) a lack of understanding of how the status of the marine environment contributes to, or jeopardizes, sustainable, climate-resilient socio-economic development (**valuation of ecosystem goods & services**).

Several SAP Actions call for **enhanced monitoring and reporting on the marine environment**, for the enhanced valuation of ecosystem goods and services, and for **the uptake of monitoring and research for decision-making**.

The usefulness of past reporting efforts has been plagued by 'missing data', at least in part a consequence of the **lack of investments in a well-articulated, regional marine data & information infrastructure** and of **regular, standardized data and information generation procedures**.

Under business-as-usual, opportunities to provide decision-makers with updated knowledge and information will continue to be missed. Recognising this, the region has spearheaded the process of engineering and implementing a regional, collaborative long-term integrated reporting mechanism on the *'State of the Marine Environment and associated Economies' (CLME+ SOMEE)*. SOMEE development (part of the OCM mandate) will trigger action, track progress and support decision-making, and give long-term continuity to the cyclical TDA/SAP approach.

SOMEE, which responds to *inter alia* SAP Actions 1.11, 2.14 and 3.7, will build on organizational mandates and integrate existing reporting efforts, such as those under the Cartagena Convention and FAO WECAFC.

Some serious obstacles to full-fledged regional SOMEE reporting have become clear from CLME+ pilot work: (1) the persistence of very substantial, remaining data and knowledge gaps; (2) the difficulties in collating the (national-level) data and information needed to accurately produce a regional status update; to help addressing the former, parallel, compatible **national-level 'SOMEE' reporting efforts** will need to be progressively promoted.

The SOMEE approach cannot be fully successful if it is not supported by an **enhanced, progressively maturing regional marine data, information and knowledge management landscape and infrastructure** which will ensure adequate data and information flows, originating from authoritative sources.

Knowledge generated from Remote Sensing holds great potential for assisting marine management processes.

Through the CLME+ Project substantive effort was put in creating a prototype for a regionally owned, OCM-driven, **online collaborative knowledge management platform and gateway: the CLME+ HUB**. An important scope exists for further expansion of initial, preliminary linkages between this regional HUB and relevant global platforms including the GEF-supported **LME:LEARN**.

### **Land-Ocean interface (Source-to-Sea (S2S), Ridge-to-Reef (R2R))**

If left undealt with, pressures from activities on land may undo to a large extent the value and positive impacts of (GEF) investments made in the marine environment.

This critical land/sea connection has been increasingly recognized, and pilot initiatives adopting the S2S/R2R approach have been introduced to the region, e.g through the GEF-supported MAR2R and IWECO projects.

Yet, with a **vast drainage area** and a **multitude of river basins** draining into the LME's, the need for capacity building of national stakeholders, and subsequent action, remains very high.

Initiatives such as the Source-to-Sea Platform managed by SIWI, and CAPNET, a globally important capacity building provider on IWRM/ICZM active in the CLME+ region, are giving increasing attention to the consideration of the adjacent marine and coastal zone in IWRM/IRBM (S2S/R2R). Likewise, IW:LEARN has also introduced efforts to increasingly link up the freshwater and marine IW stakeholder and practitioner communities.

Experts have explicitly pointed to the need to give attention to terrestrial drainage areas in MSP efforts.

3) the proposed alternative scenario with a brief description of expected outcomes and components of the project;

### **Strategy**

As already highlighted under the previous section, a 10-year region-wide Strategic Action Programme (2015-2025) was developed and politically endorsed and, to date, continues to provide a strategic roadmap for collective, ocean-positive action. As such, the PROCARIBE+ Project strategy aligns with, continues to support and further enhances (*based on lessons learned*) the strategic approach to the development challenge for the CLME+ Region that was elaborated through the CLME+ SAP.

During the first 5 years of SAP implementation, the CLME+ Project has enabled region-wide progress towards better cooperation, communication, and collaboration. Simultaneously, initially modest and progressively increasing investments towards conservation measures, environmental stress-reduction and enhanced/alternative livelihoods have been implemented or prepared, through the CLME+ Project and many other parallel SAP-contributing projects (both GEF and non-GEF).

As per the CLME+ Project Terminal Evaluation (TE):

*?GEF interventions have been supporting the countries in creating (...) the governance frameworks needed to enable sustainable cooperative ecosystem-based management (...) of the CLME+ region: **continuity of action has been a critical factor of success.** Ahead lies the challenge of consolidating EBM and regional governance frameworks and moving on to systematic stress reduction?.*

Providing continuity to the efforts that were initiated and advanced under the CLME and CLME+ Projects and building on their success will be a key factor in ensuring that PROCARIBE+ is able to keep up the momentum achieved from the previous GEF investments in the region, notably with respect to the work on the regional Ocean Coordination Mechanism.

In line with these TE conclusions, PROCARIBE+ is now indeed specifically designed to: **(a) continue supporting and upscaling/accelerating** the coordinated and synergistic **implementation of both the CLME+ SAP and the ?People Managing Oceans? civil society SAP**, as well as of the **associated regional and sub-regional strategies and action plans**; **(b) tracking** and reviewing their **implementation progress**; and **(c) producing the next iteration of the regional SAP(s) by 2025.**

Such a strategic approach is deemed **essential to achieving the 20-year (2015-2035) Vision** of *?a healthy marine environment that provides benefits and livelihoods for the well-being of the people?,*

while simultaneously assisting the region in overcoming the impacts of natural disasters, including hurricanes and COVID-19.

PROCARIBE+ will build on and expand the **collaborative, multi-sectoral, multi-stakeholder approaches**. It will work with and progressively attract inter-governmental institutions, governments, donors/investors and civil society/private sector stakeholders at the global, regional, national and local levels, while bringing into full swing the proposed **International Waters paradigm shift**: away from a **problem-centered** approach, towards viewing the marine environment as a source of important **socio-environmental opportunities and challenges**.

In doing so, the proposed project will deliver on cost-efficient and effective, sustainable and concrete results in terms of: *planning and managing the marine space and its uses in order to protect, restore and sustain coastal and marine ecosystem goods and services, and to achieve ocean-based, climate-resilient, inclusive socio-economic recovery and development, through inter alia the development of blue economies.*

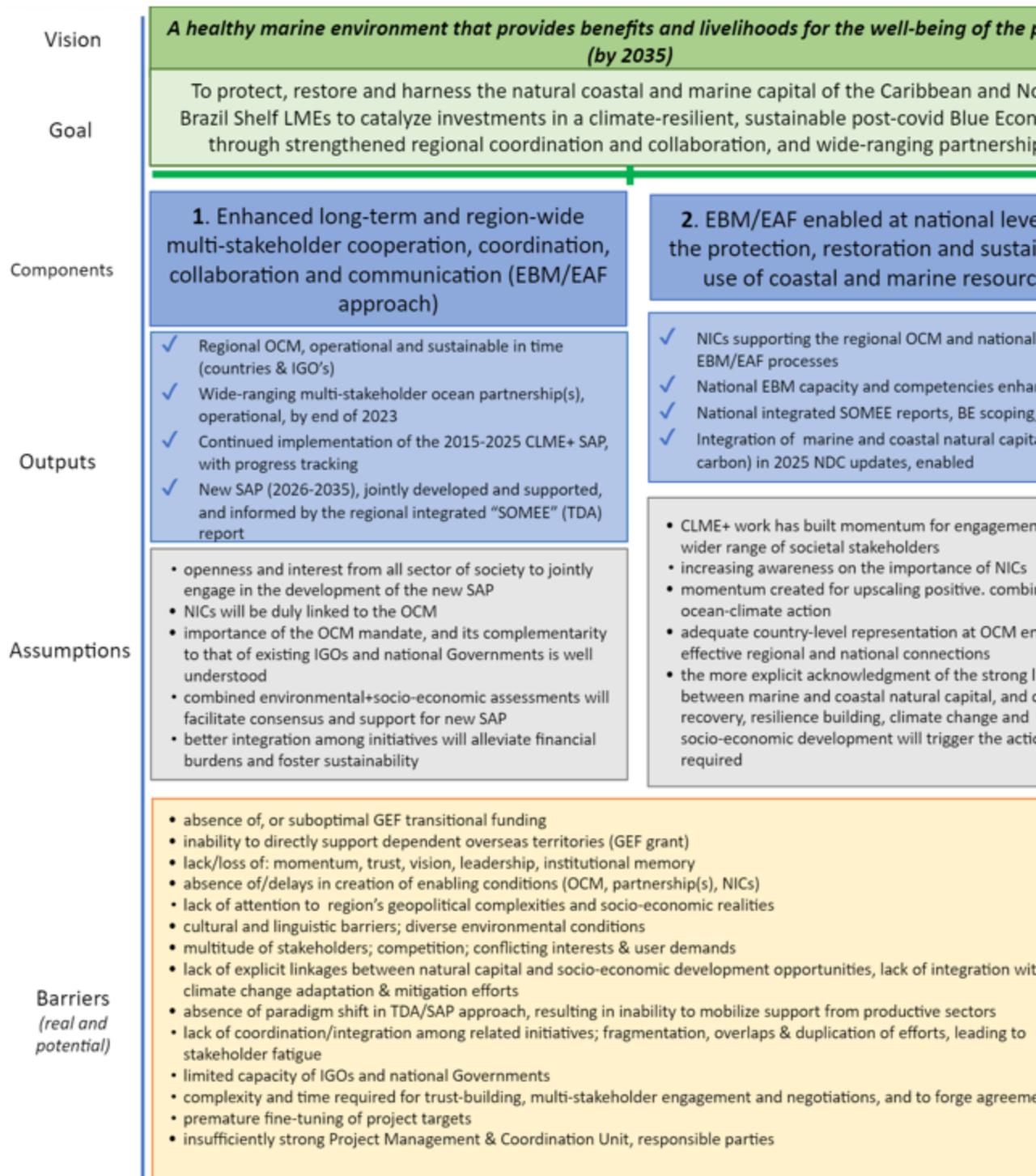
For this purpose, PROCARIBE+ embraces and will seek to further promote the 3-pronged approach proposed by **Friends of Ocean Action** (a coalition of 50+ global ocean leaders from business, civil society, international organizations, science,..) in their **World Economic Forum Impact Report on The Business Case for Marine Protection and Conservation** (2020), as a means to drive transformative, high-impact and scalable solutions to help addressing the pressing challenges the ocean is facing today.

	Targeted MPA designations	Sector-specific opportunities	Comprehensive business cases/Marine Spatial Plans
What is it?	<ul style="list-style-type: none"> <li>Protection of high priority, but more remote, areas of biodiversity</li> <li>Government-led with strong support from philanthropy</li> </ul>	<ul style="list-style-type: none"> <li>Biodiversity 'win-wins' by partnering with heavy ocean-using industries</li> <li>Potentially OECMs (rather than MPAs)</li> </ul>	<ul style="list-style-type: none"> <li>Ocean spatial mapping</li> <li>Area-based management</li> <li>Full Cost/Benefit/IRR analysis and scenarios</li> </ul>
Opportunity	<ul style="list-style-type: none"> <li>Typically large in scale</li> <li>Few competing stakeholders - option value/long-term security</li> <li>Single stakeholder (fisheries)</li> </ul>	<ul style="list-style-type: none"> <li>Tap into coming (large) wave of ocean capital</li> <li>Secure <i>de facto</i> protection and conservation outcomes</li> </ul>	<ul style="list-style-type: none"> <li>Long-term efficient use of capital and resources (public, private and local communities)</li> </ul>
Risk	<ul style="list-style-type: none"> <li>May not move the needle significantly in meeting ambitious global targets for protection</li> </ul>	<ul style="list-style-type: none"> <li>No existing regulatory frameworks or calculus</li> </ul>	<ul style="list-style-type: none"> <li>Complex, science-based plans (likely multi-year from design to implementation)</li> </ul>
Business case complexity			

**Figure 3. The three-pronged approach to upscaling marine conservation and protection in support of sustainable blue economies. (source: [WEF Impact Report by Friends of Ocean Action](#))**

PROCARIBE+ will consist of **4 complementary, inter-linked and mutually supportive technical components** (see Section IV of the ProDoc), designed to collectively deliver on the project objective: **Protect, restore and harness the natural coastal and marine capital to catalyze investments in support of climate-resilient blue economies and related recovery efforts (COVID-19, hurricanes,...), through enhanced regional cooperation and wide-ranging partnerships.**

Cross-cutting considerations that will be mainstreamed across all components include: the projects contributions to/impacts on: gender and youth, indigenous people and local communities, climate change adaptation and mitigation, and resilience of the socio-ecological system to climate variability and change, economic recovery from natural disaster (including COVID19) and regional food supply and food security.



**Figure 4. Theory of change diagram for the PROCARIBE+ Project.**  
(source: PROCARIBE+ PPG team)

M&E  
Supports  
implementation

Component 5: Project-level monitoring and evaluation, in compliance with UNDP and mandatory GEF-specific requirements

Outputs:

- ✓ Inception Workshop and Report
- ✓ Annual GEF Project Implementation Review (PIR), and M&E of GEF core Indicators, Gender Plan, Safeguards Frameworks and Action Plans
- ✓ Independent Mid-Term Review
- ✓ Independent Final Evaluation

Enables the collection of information to identify and mitigate any issues that could impact the delivery of project

Figure 4. Theory of change diagram for the PROCARIBE+ Project (cont'ed).  
(source: PROCARIBE+ PPG team)

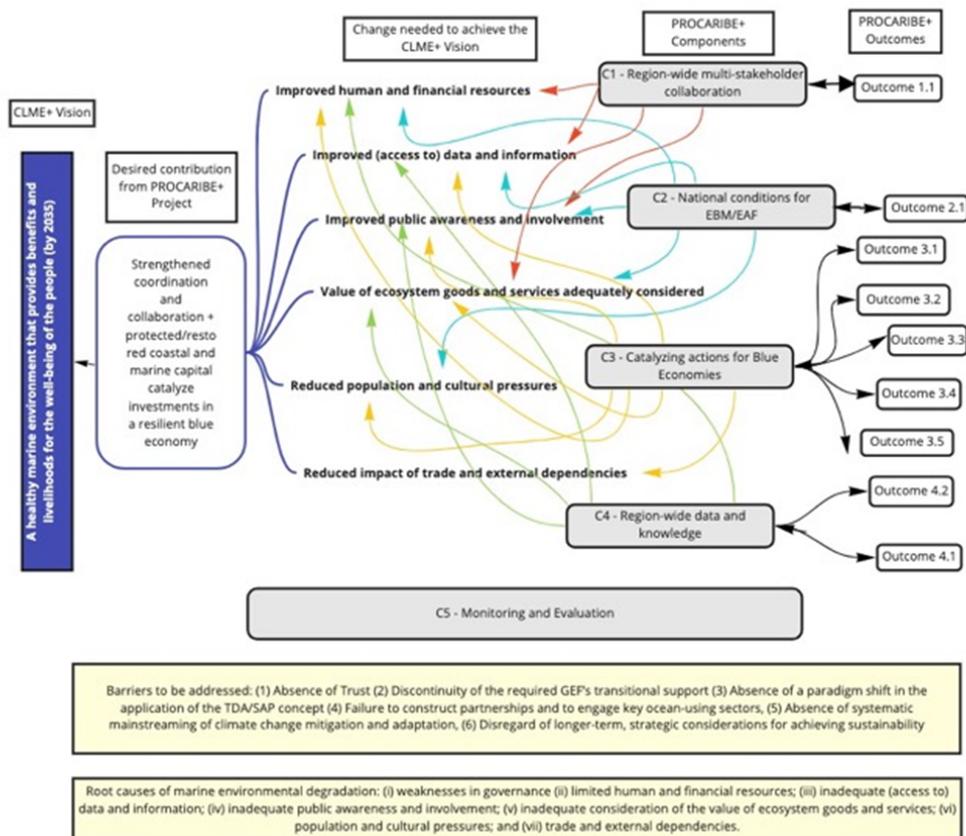


Figure 5. Contribution of the project interventions to address the barriers and root causes of environmental degradation. (source: PROCARIBE+ PPG team)

The Theory of Change (ToC) diagrams shown in Figures 4 and 5, while flagging the underlying assumptions and pointing out potential barriers, reflects how the project's delivery on the different Outputs under the Project Results Framework will contribute to the achievement of the expected Outcomes under each of the 4 technical Project Components and as such, collectively advance the project objective.

Figure 5 also shows how these different Components, being specifically designed (together with solid project management and coordination arrangements, see section 6 on Institutional Arrangement and Coordination) to help lift the listed barriers, will collectively tackle the root causes of environmental degradation listed in the CLME+ SAP (see also the description of the main barriers under Section 1a. Project Description as well as the detailed description of outputs and activities under each Project Component).

Following a recommendation from the GEF Scientific and Technical Advisory Panel (STAP), a more in-depth analysis has been made of the assumptions underlying the project strategy and documented in the ToC representation in Figure 4. ProDoc Annex 13 therefore documents the risks/potential that at any point during execution an assumption may not/no longer hold, and proposes associated preventive, remedial and/or mitigative actions in order to ensure that, should such happen, the project objective and outcomes do not become jeopardized.

It is clear at this point that the Strategy towards the successful achievement of the Project Objective does not only depend on the **design of the technical aspects** of the proposed project, but **also on the design and configuration of the project governance, management, coordination & (technical) support arrangements**.

In this context, reference is made, once more, to the CLME+ Terminal Evaluation (TE), where it is mentioned that:

*? ?The (CLME+) project has excelled in adaptive management, monitoring, and reporting of progress. This appears to be due to the quality and commitment of the PCU staff, and to the project's execution arrangements which facilitated monitoring of progress, dialogue among all actors (UNDP, UNOPS, the PCU, and all executing partners), and decision making (...). These management settings were instrumental in overcoming the obstacles that the project had to overcome?*

? ?Despite the challenging conditions under which the project had to operate, the execution modalities of the project have proven successful, and could serve as example for other similar projects characterized by multi-country transboundary settings and multiple executing partners. Two elements of the execution arrangements are worth noting: the strong PCU, established by UNOPS ? the principal executing agency providing also administrative/procurement backstopping; the Project Executive Group (PEG), formally established and including the PCU.

*This is consistent with finding from the predecessor CLME TE, where it was stated:*

? Adaptive management: The PCU was remarkable in its ability to implement adaptive management through effective interactions with other management bodies such as the Steering Committee, and advisory groups and panels, and the client countries. Without this capacity to re-structure the project and adjust it to emerging situations, the project would have failed.

Consequently, best practice and lessons learned from the CLME and CLME+ Projects, and related findings from the TE, were fully considered in the shaping of project governance, management, coordination & support arrangements: PROCARIBE+ is to fully embrace an adaptive management approach, with frequent stock-taking through solid, collaborative M&E approaches and early detection mechanisms (see also, e.g., Section VII of the Prodoc).

Notably, the establishment of a strong and adequately staffed Project Management & Coordination Unit (PMCU, for further details see Section 6. Institutional Arrangement and Coordination and ProDoc Annex 8) will be a key ingredient for the PROCARIBE+ success formula: as highlighted in the CLME+ Project Terminal Evaluation, a strong PCU has been (...) ?critical in maintaining focus on the achievement of the main expected outcomes (...)?. In the context of PROCARIBE+, such PMCU, in addition to project governance and management-related tasks, is to be given a very substantive advocacy and ?visionary leadership?/technical support role.

## **Expected results**

The **objective** of the project is: *to protect, restore and harness the natural coastal and marine capital of the Caribbean and North Brazil Shelf Large Marine Ecosystems to catalyze investments in a climate-resilient, sustainable post-covid Blue Economy, through strengthened regional coordination and collaboration, and wide-ranging partnerships.*

The project is organized in **four technical components** with **nine** associated **outcomes**. In total, **eighteen technical outputs** will be generated (Table 2). A fifth component focuses on Monitoring and Evaluation for the project.

**Table 2. Project Components, Outcomes and Outputs.**

Outcomes	Outputs
<b>Component 1: Region-wide multi-stakeholder cooperation, coordination, collaboration and communication for the protection, restoration and sustainable use of marine and coastal ecosystems in the Caribbean and North Brazil Shelf Large Marine Ecosystems (EBM approach)</b>	
Outcome 1.1. Coordinated, collaborative and synergistic implementation of regional, sub-regional and national (Strategic) Action Programmes and Plans in support of the CLME+ Vision, enabled through a regional Ocean Coordination Mechanism (OCM) and complementary, (thematic) partnership(s), and a regional programmatic approach	<p>1.1.1.a. A regional Ocean Coordination Mechanism (OCM), with operations commencing by latest 2023 and ongoing throughout (and beyond) the PROCARIBE+ Project lifespan</p> <p>1.1.1.b. Wide-ranging multi-stakeholder partnership(s) operational by latest end of 2023</p> <p>1.1.2. New 10-year (2026-2035), broadly supported multi-stakeholder regional Strategic Action Programme (including ministerial-level endorsements)</p>
<b>Component 2: Enabling national environments for the protection, restoration and sustainable use of coastal and marine resources (EBM/EAF)</b>	
Outcome 2.1. National-level capacity, enabling conditions and commitments for EBM/EAF and marine-based, climate and disaster-resilient ?green-blue? socio-economic development	<p>2.1.1. National Intersectoral Coordination Mechanisms (NICs) operational in at least 75% of OCM member countries, connected to the OCM (supporting national-level BE and MSP efforts)</p> <p>2.1.2. 2 National integrated ?State of the Marine Environment? (SOMEE) reports, 2 Blue Economy (BE) Scoping Studies and 1 Marine and Coastal Natural Capital Accounting pilot/enhancement, delivered by end of 2025; extraction and dissemination of lessons learned and recommended way forward</p> <p>2.1.3. Training delivered and/or made permanently accessible for all 44 CLME+ OCM States &amp; Territories, supporting the integration of IWRM/IRBM, ICZM/MSP and Natural Capital Accounting, and underpinning the implementation of the LBS and SPAW Protocols, the source-to-sea approach, NDCs, 30x30 conservation targets, and related Regional and National Action Plans (incl. min. 30 trainers-of-trainers, targeting key stakeholders engaged in: MSP, SOMEE and NDC development, and IRBM; with special attention to gender balance and including practitioners from min. 10 of the 23 transboundary river basins draining into the CLME and NBSLME)</p>

	<p>2.1.4. Marine and coastal natural capital/Blue Carbon integrated in national-level climate change mitigation and adaptation commitments/efforts:</p> <p>(a) verifiable (initial or upscaled) integration of coastal and marine natural capital/blue carbon in a minimum of five 2025 NDC updates from OCM member/PROCARIBE+ participating countries, enabled;</p> <p>(b) 1 early draft 'best practice' NDC with strong marine component, regionally disseminated (by 2024) through the OCM and/or partnership(s), to promote upscaling and replication;</p> <p>(c) integration of NDC, MSP/MPA and/or BE development efforts in at least 1 country, demonstrated.</p>
<p><b>Component 3: Catalyzing actions by all sectors of society, at different spatial scales, for the protection, restoration and sustainable use of marine and coastal natural capital ('blue economies?')</b></p>	
<p>Outcome 3.1 Civil Society and MSME contributions to ocean conservation and ocean-based sustainable development &amp; livelihoods/blue economies, upscaled</p>	<p>3.1.1. Micro-financing schemes, supporting the implementation of key regional/national ocean instruments (SAPs, RSAPs, marine/coastal component of NDCs,...) through Civil Society and MSME action:</p> <p>(a) min. USD 2.5 million (of which USD 1 million from UNDP/GEF SGP) invested in (replicable) small grants/micro-finance initiatives supportive of the PROCARIBE+/ SAP/RSAP objectives (incl. associated gender objectives)</p> <p>(b) on-the-ground stress reduction/restoration and/or enhanced management practices at min. 30 coastal/marine sites, in min 5 countries. Priorities: nature-based solutions, ecosystem conservation/restoration, sustainable harvesting of ecosystem goods (incl. small-scale fisheries), development of sustainable 'blue' businesses (incl. technological innovation), post-covid and post-hurricane, post-earthquake recovery, climate change mitigation and adaptation/resilience, and enhanced/alternative livelihoods; with special attention to gender, youth and households.</p>
<p>Outcome 3.2. Increased mobilization of private capital supporting environmental stress reduction and sustainable climate-smart blue economy initiatives, supporting CLME+ SAP implementation and post COVID-19 recovery, enabled</p>	<p>3.2.1. Enabling conditions to implement carbon credits-based sustainable financing instruments for seagrasses and tropical peatlands : (pre-)feasibility studies including carbon stock assessments developed in 1 country (Panama,for 3 pilot sites); methodologies tested and fine-tuned for blue carbon project development and regional replication/up-scaling</p>

<p>Outcome 3.3. Expansion and integration of 'Blue Economy', Marine Spatial Planning and MPA/OECM efforts across the region (ecosystem approach), supporting ocean-based socio-economic development, recovery and resilience (covid19, hurricanes) and progressive delivery on international targets in the fields of: marine conservation and climate change mitigation and adaptation</p>	<p>3.3.1.a. BE and MSP planning in at least 8 countries, integrating blue economy (incl. sustainable fisheries and post-covid19 recovery), climate change mitigation and adaptation and ocean conservation objectives, and source-to-sea considerations.</p> <p>3.3.1.b exchange of experiences + advocacy for accelerated progress towards regional target of 10% of CLME under MSP</p> <p>3.3.2. Enhanced area-based ocean conservation (MPA/OECM) in 5-6 countries, targeting over 4,000,000 ha of coastal/marine space, through: expansion of, or newly created MPA's, and/or MPA's with increased protection levels/demonstrated enhanced management effectiveness, and/or equivalent amounts of marine space under Other Effective area-based Conservation Measures (OECMs)</p>
<p>Outcome 3.4. Generalized implementation across the Wider Caribbean/WECAFC region of traceability systems is enabled for key fisheries and seafood products, as a key measure for sustainability and against IUU fishing</p>	<p>3.4.1. (a) traceability systems in place for 3 selected key fisheries and 1 aquaculture products in min. 8 countries; by Project End % of exports (and equivalent approx. volume) from WECAFC region commercialized under regional traceability standard: min. 30% of regional spiny lobster exports (approx. 5.200 tons/yr) + min 39% of queen conch exports (approx. 400 tons/yr) + min 31% of shrimp (fisheries &amp; aquaculture) exports (approx. 50.300 tons/yr); total = 55.900 tons/yr.</p> <p>(b) enabling conditions to replicate/expand the traceability systems across the wider WECAFC countries, with the aim of achieving a total export volume of 94,800 tons/yr traceable by 2030 (i.e. 52% of all regional spiny lobster+queen conch+shrimp exports)</p>
<p>Outcome 3.5. Region-wide reduction of ghost fishing and negative habitat impacts from unsustainable spiny lobster fishing gear &amp; practices, enabled</p>	<p>3.5.1. (a) on-the-ground solutions developed and tested to reduce negative environmental, resource stock and socio-economic impacts from unsustainable fishing gear and practices in industrial spiny lobster fisheries (with special attention to 'ghost fishing'/lost and abandoned fishing gear).</p> <p>(b) provisions for the implementation of measures against ghost fishing and negative habitat impacts from spiny lobster fishing gear and practices, covering all countries active in the fishery in the WECAFC region (average regional annual total spiny lobster catch volume = approx. 28.000 ton)</p>
<p><b>Component 4: Region-wide data/information/knowledge generation, management and sharing mechanisms supporting cooperation, coordination, collaboration and synergistic action</b></p>	
<p>Outcome 4.1 A well-articulated marine data, information and knowledge management infrastructure/network is enabled, (a) providing a science-policy interface; (b) supporting the development/updating, implementation and M&amp;E of regional Action Programmes and Plans; (c) boosting and</p>	<p>4.1.1. Online Regional Knowledge Management HUB on the Marine Environment of the Caribbean and North Brazil Shelf LME's fully developed and operational, facilitating collaborative knowledge management by the OCM and partnership(s) (with well-articulated linkages to third-party data/information/knowledge sources/products)</p>

<p>increasing the impacts of marine &amp; coastal investments</p>	<p>4.1.2. (a) Formally adopted 'blueprint' for a regional Marine Data/Information/Knowledge Infrastructure (MDI); (b) MDI implementation enabled, and key elements put in place, through commitments and collaborative action by the Secretariat and Members of the OCM and partnership(s)</p>
<p>Outcome 4.2. Increased regional and global impacts from GEF IW investments through global dissemination and sharing of experiences, and by forging synergies with other Regional Seas/LME/Regional Fisheries programmes and the wider community of International Waters/Ocean practitioners &amp; stakeholders</p>	<p>4.1.3. Comprehensive, updated regional Transboundary Diagnostic Analysis (TDA): fully developed regional 'State of the Marine Environment and associated Economies' (SOMEE), finalized by 2024/mid-25 and informing preparation of the new 2026-2035 regional Strategic Action Programme (SAP)</p> <p>4.2.1. Strategic Alliance with IW:LEARN developed and implemented, piloting innovative approaches within (and beyond) the IW Portfolio and providing means for its replication (e.g. data &amp; information management (DIM), use of Remote Sensing, integrated environmental &amp; socio-economic assessments, TDA paradigm shift and BE, SAP implementation progress tracking, etc. (to be further fine-tuned/prioritized and adaptively managed during Project Inception/implementation phase)</p> <p>4.2.2 Support for and participation in GEF IW:LEARN and other Global Marine/LME community events (e.g. IW:LEARN conferences and workshops, twinning events/twinning visits among GEF IW projects), including the 8th 'Our Oceans Conference' (Panama, March 2023)</p> <p>4.2.3. At least 6 best/good practice examples in coastal and marine ecosystem management and blue economies showcased/documentated, exchanged and promoted through IW:LEARN (e.g. experience notes)</p>
<p><b>Component 5: Project Monitoring &amp; Evaluation (M&amp;E)</b></p>	
<p>5.1. Project-level monitoring and evaluation, in compliance with UNDP and mandatory GEF-specific M&amp;E requirements</p>	<p>5.1.1 Inception Workshop and Report</p> <p>5.1.2 Annual GEF Project Implementation Review (PIR), and M&amp;E of GEF core Indicators, Gender Plan, Safeguards Frameworks and Action Plans</p> <p>5.1.3 Independent Mid-Term Review</p> <p>5.1.4. Independent Final Evaluation</p>

When working on the delivery of these project outputs and in seeking to advancing the project outcomes, the following cross-cutting considerations will be systematically and consistently<sup>[1]</sup> mainstreamed, across all project outputs and activities:

- ? gender equality and empowerment of women and youth
- ? rights of and benefits for indigenous people groups and local communities
- ? different stakeholders? considerations
- ? robustness of the proposed/selected solutions in the face of climate change, and their contributions to enhanced resilience of the socio-ecological system
- ? regional food supply and food security

As can be seen from Table 2, the project considers both regional-level activities, such as (but not limited to) those under Components 1 and 4, and in which all CLME+ countries will be able to participate, as well as activities, such as especially those under Component 3, for which, due to limitations inherent to the size of the project grant, it will only be possible to conduct these in 1 or a limited number of PROCARIBE+-participating countries. For many of these however, the country-level activities will be complemented by enabling activities and/or the exchange of best practices and lessons learned, engaging and benefiting, also in these cases, the wider set of participating countries.

Table 3 provides an overview of all project outputs listed in Table 2, listing how the different GEF-eligible countries from the CLME+ region will directly participate<sup>[2]</sup> in/benefit from the different project outputs (a legend, to be used with the table, is included in the upper left corner). It is noted how for a few outputs (e.g. 2.1.2. on SOME, ...), additional beneficiaries will further be determined collaboratively during the project inception phase. Due care has been taken in this sense to ensure that all participating countries will stand to benefit substantially from the project activities.

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<sup>[1]</sup> whenever deemed meaningful and feasible (limitations inherent to the project grant size and timeframe are to be considered in this context)

<sup>[2]</sup> whereas all CLME+ countries will be able to participate in the activities, direct financial support from the PROCARIBE+ project grant will be available for this purpose to GEF-eligible countries that provided a GEF OFP letter for the PROCARIBE+ PIF and/or that signed the UNDP PROCARIBE+ Project Document.



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In advancing the implementation of **Action 3.3** (*Adopt and operationalise the coordination mechanism?*) of the **10-year, 2015-2025 CLME+ SAP**, the Final Regular Project Steering Committee (PSC) Meeting of the UNDP/GEF CLME+ Project provisionally finalized, on 12 October 2021, the **Memorandum of Understanding (MOU) Enabling the Creation of a Coordination Mechanism to Support Integrated Ocean Governance in the Caribbean and North Brazil Shelf Large Marine Ecosystems?**(Prodoc Annex 22). The PSC decided that this *Ocean Coordination Mechanism?* MOU (OCM MOU) is to be opened for signature once the language reconciliation of the English, Spanish and French versions of the MOU has been concluded?. At such point the MOU will be formally opened for signatures by the prospective Parties (*countries and IGO?s with a marine-related mandate*) listed in [MOU Annex 1](#)).

As per its **Article XX.3**, the OCM MOU is expected to commence on the date that a minimum of twenty-three (23) States/Territories and IGOs listed in MOU Annex I, including no fewer than seventeen (17) States and/or Territories, and six (6) IGOs, have signed the MOU. . A progress tracker is available on the [CLME+ Hub Home Page](#) (see the Interactive Timeline, mid-page).

Through [Decision # 18 of the October 2021 UNDP/GEF CLME+ final Project Steering Committee Meeting \(see also Prodoc Annex 23\)](#), countries and organizations from the region reaffirmed the importance of simultaneously and expeditiously moving towards operationalizing the PROCARIBE+ Project and commencing the coordination mechanism MoU, noting that the PROCARIBE+ Project is anticipated to financially support the work of the coordination mechanism and its organs. It is noted in this context that swift, more or less synchronized operationalization of both the OCM and the PROCARIBE+ Project will be important for ensuring the continuity, maximum buy-in for and impact of the GEF-supported, cyclical TDA-SAP process and that of associated past, present and future GEF investments, and for the achievement of pressing global and regional targets under existing international commitments.

As per the OCM MOU, the OCM will consist of a **Steering Group (SG, membership = countries)**, an **Executive Group (EG, membership = IGO?s)** and a **Secretariat**. The work of the OCM may be further supported by (thematic) **Working Groups**.

Note: The predecessor CLME+ Interim Coordination Mechanism (ICM), created with the support of the CLME+ Project and whose membership consists of 9 IGO?s with an oceans-related mandate, will continue to exist until the OCM becomes established.

List of Proposed Activities to be supported by the PROCARIBE+ Project:

## The OCM Secretariat

? Appointment, and subsequent approval of the appointment[1], of the PROCARIBE+ Project Management and Coordination Unit (PMCU) as (interim) **Secretariat** of the Ocean Coordination Mechanism (OCM) through the OCM organs;

? PROCARIBE+ PMCU exercises the role of OCM Secretariat for the duration of the PROCARIBE+ Project, unless a different (long-term) OCM Secretariat solution is identified, decided upon by the OCM and implemented prior to the project end;

? Throughout its appointment as OCM Secretariat, the PROCARIBE+ PMCU will support the OCM - *to the extent that it is enabled to do so through its installed capacity and the financial means at its disposition* - by executing tasks in alignment with the specifications included for this purpose under **Article XII (?Secretariat?) of the OCM MOU**, and the relevant decisions of the OCM organs.

## The OCM Executive Group

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? First meeting of the OCM **Executive Group** (EG), no later than six months after the commencement of the MoU or as soon as practicable (see **Article XI, Item 2.a. of the OCM MOU**; the Executive Director of the first IGO Signatory to sign the MOU will convene the first meeting of the Executive Group); appointment of the EG Chair.

? Ordinary meetings of the Executive Group (in person or virtual) will be convened by the EG Chair at regular intervals; the frequency of the ordinary meetings is to be defined by the OCM Executive Group, but a total of 5 ordinary meetings may be anticipated throughout the PROCARIBE+ lifespan

? Extraordinary meetings of the Executive Group will be convened as needed or deemed beneficial and feasible, to advance the OCM objectives and Work Plan -e.g. dedicated EG meetings in support of the TDA-SAP development process, and/or pursuing the technical (pre-)clearance by EG members of the new SAP (see **Article X, Item 2.c. of the OCM MOU**)

## The OCM Steering Group

? First meeting of the OCM **Steering Group**, no later than one year after the commencement of the MoU or as soon as practicable (see **Article X, Item 2.a. of the OCM MOU**; the Chair of the Executive Group will convene the first meeting of the Steering Group); appointment of the SG Chair.

? Ordinary meetings of the Steering Group (in person or virtual) will be convened by the Chair of the Steering Group at regular intervals; a minimum of 3 ordinary meetings can be anticipated throughout the PROCARIBE+ lifespan

? Extraordinary meetings of the Steering Group will be convened as needed or deemed beneficial and feasible, to advance the OCM objectives and Work Plan -e.g. dedicated SG meetings in support of the TDA-SAP development process, and/or pursuing the technical clearance by OCM member states of the new SAP (see **Article X, Item 2.c. of the OCM MOU**)

Some of the activities that will be undertaken or supported by the OCM, through collaborative efforts among the OCM Secretariat, the EG and the SG, each with their own differentiated responsibilities as per the OCM MOU, include:

? Development and approval of the biennial OCM Work Programmes & Budget; M&E of Work Programme implementation

? Participatory, ongoing/periodic SAP Implementation Progress M&E + final evaluation + the OCM is to commission and oversee the independent review process of the first iteration of the GEF-supported TDA-SAP process in the region (this includes e.g. TOR development & approval) (see also Output 1.1.2)

? Development and adoption, as appropriate, of (a) the regional OCM knowledge management Hub (see Output 4.1.1.), (b) the Blueprint for a regional marine data, information and knowledge management infrastructure (see Output 4.1.2), and (c) the integrated ?State of the Marine Environment and associated Economies (SOME)? report (see Output 4.1.3)

? Development, adoption and implementation of long-term sustainable financing strategy and long-term Secretariat solution for the OCM - by project end, latest

? Creation of and supporting the operations of OCM Working Groups (either permanent or temporary/Ad Hoc), in line with **Article IX.2 of the OCM MOU** and subject to deliberations by the OCM organs and taking into account financial constraints

? Exploration and identification of potential ?networking? activities, and inclusion of such activities in the OCM Work Programme, that will allow to link PROCARIBE+ efforts under Output 1.1.1.a (the Ocean Coordination Mechanism, with as members countries and IGO?s) with those to be conducted under PROCARIBE+ Output 1.1.1.b. (wider-ranging societal Partnership(s)), with the purpose of advancing Objective 1.d. of the OCM (OCM MOU Article II. ?Objectives?): *?To promote partnerships with stakeholders from civil society and the private sector to facilitate and enhance efforts for the ecosystem-based conservation and sustainable use of marine and coastal resources and to support intersectoral coordination and collaboration?.*

OCM Working Groups

Working Groups may be created by the OCM Governing Structures to operate indefinitely or for a period of fixed duration, once the OCM has been established. Whereas the decision as to which Working Group(s) will be created and maintained for the duration of the PROCARIBE+ Project lays with the OCM, it can be anticipated that creation of the following Working Groups (a.o.) would be supportive of the achievement of key OCM objectives, and the delivery of associated outputs under the PROCARIBE+ Results Framework:

? A ?SOMEE? Working Group, supporting (a) the OCM Core Function of *?coordination of the periodic assessment of and reporting on the state of the marine environment and associated economies in the MOU Area?*, as stipulated under the OCM MOU Section VII. *?Core Functions?*, 1.a.i., and (b) the associated delivery of PROCARIBE+ **Output 4.1.3** (regional SOMEE)

? A cross-sectoral SAP Development Working Group, supporting (a) the OCM Core Function of *?Providing a platform for cyclical Transboundary Diagnostic Analysis/Strategic Action Programme (?TDA/SAP?) processes?*, as stipulated under the OCM MOU Section VII. *?Core Functions?*, 1.a.i., and (b) the associated delivery of PROCARIBE+ **Output 1.1.2** (new 10-year SAP)

? A Marine Data/Information/Knowledge Management Working Group, supporting (a) the OCM Complementary Function of (a.o.) *?Coordinated knowledge management and facilitate data and information sharing?*, stipulated under the OCM MOU Section VIII. *?Complementary Functions?*, 1.a, and (b) the associated delivery of PROCARIBE+ **Outputs 4.1.1.** (regional OCM Knowledge Hub) and **4.1.2.** (Blueprint for a Marine Data Infrastructure), and, through these, also the Outputs 4.1.3 and 1.1.2 mentioned above

? A ?Gender and Youth in Oceans Governance? Working Group, supporting the cross-cutting PROCARIBE+ Project Objective of mainstreaming gender considerations in all project-supported activities, and the OCM-related elements of the PROCARIBE+ Gender Action Plan (ProDoc Annex 11).

*Output 1.1.1.B: Wide-ranging multi-stakeholder partnership(s) operational by latest end of 2023*

In general, it will be the complementary roles and distinct comparative advantages of the different societal groupings (government, academia, civil society and private sector) that will allow societies to achieve their aspirations and ambitions, such as, e.g, those set under the CLME+ SAP and its associated long-term vision.

The operationalization of an Ocean Coordination Mechanism (OCM, **Output 1.1.1.A**), called for under the CLME+ SAP, constitutes an important step to overcome the weaknesses in regional ocean governance processes identified in the CLME TDA's (delivered through the UNDP/GEF CLME Project). However, true progress will require the commitment and active engagement of all sectors of

society towards achieving the long-term vision on the marine environment articulated in the CLME+ SAP.

To this effect, the CLME+ SAP also makes a call, e.g through SAP Action 1.5., for *enhancing the capacity of the regional, sub-regional and national governance arrangements for the involvement of civil society in the implementation of the EBM/EAF approach (IGOs, NGOs, CBOs, private sector...)?*. In addition and through the support of the UNDP/GEF CLME+ Project, a complementary *civil society version of the CLME+ SAP?* was also collaboratively developed and jointly endorsed by numerous civil society groups. **Recommendations were formulated in this context, for a more immediate integration of different societal groups and other existing regional and sub-regional initiatives in the development (and subsequent implementation) of the next iteration of the 10-year regional SAP.**

It is indeed well known that many initiatives have been launched in the region, at both regional and sub-regional levels, that expand the ability of, and complement the contributions made by governmental actors. Many of these initiatives engage different societal groups in positive ocean action and thus contribute, in one way or another, to the over-arching CLME+ vision and the implementation of the wide-ranging regional SAP. To just give 2 practical examples, we can refer e.g. to the [Caribbean Challenge Initiative \(CCI\)](#) and the [Caribbean Biodiversity Fund \(CBF\)](#). Further, a better integration among actions geared towards the protection, conservation and sustainable use of oceans, and those geared towards integrating coastal and marine natural capital in climate change mitigation and adaptation action, by articulating a stronger connection between the latter efforts (e.g. NDC Partnership and UNDP Climate Promise) and the regional Ocean Coordination Mechanism and its membership.

What has remained lacking, thus, to date, is a means to better coordinate and articulate actions among these different initiatives, stakeholders and sectors, with a view of optimizing the use of available capacity and resources, avoiding duplication of efforts and/or antagonistic action, and, instead, exploit and maximize the potential synergies.

In line with this, the OCM MOU states as one of its objectives under MOU Section II: *To promote partnerships (...) to facilitate and enhance efforts for the ecosystem-based conservation and sustainable use of marine and coastal resources and to support intersectoral coordination and collaboration?*.

List of Proposed Activities to be supported by the PROCARIBE+ Project:

? Review of the draft proposal for a "wide-ranging CLME+ Partnership", developed under the CLME+ Project, as well as the feedback received, and concerns expressed, relative to this initial proposal (including the idea of multiple, thematic partnerships)

? Inventory and analysis/mapping of existing regional/sub-regional thematic partnerships and/or stakeholder groupings[2] within the CLME+ region, and/or supra-regional/global partnerships, supporting marine-related objectives in the CLME+ region, extraction of best practices and lessons learned from other existing partnerships and partnership models in other LME's and/or Regional Seas

? SWOT analysis: comparing the advantages and disadvantages of multiple, thematic "ocean" partnerships, versus a holistic, integrative partnership model

? Discussion and decision-making process with the OCM and prospective and/or existing partnership leaders on the way forward for the region (including the identification of concrete, first-priority action points)

? Adoption of a partnership(s) model/blueprint for the region, with special attention to the linkages of such partnership(s) with, and their role(s) vis-a-vis the regional Ocean Coordination Mechanism, and other relevant regional bodies in the region

? Organization of 2 Regional Partnership(s) Fora: *"Together We Achieve More: working together towards the achievement of the CLME+ Vision"*

? Engagement of the Partnership(s) in SOMEE (Output 4.1.3.) and SAP development (Output 1.1.2), and SAP Monitoring & Evaluation - with special attention to the upfront identification (i.e. during its development and political negotiation) of financing modalities for the new 10-year regional SAP (*including through -but not limited to- the engagement of development banks and international development partners in the SAP development process*)

? Engagement of the Partnership(s) in the development and subsequent progressive implementation and sustainable management of the regional data/information/knowledge management infrastructure blueprint (see also Output 4.1.2.), including the regional OCM Knowledge Management Hub (see also Output 4.1.1.)

*Output 1.1.2. New 10-year (2026-2035), broadly supported multi-stakeholder regional Strategic Action Programme (including ministerial-level endorsements)*

As described under Section 2 of the Project Document, implementation of a first iteration of the GEF-promoted cyclical TDA-SAP approach in the CLME+ region was supported by the UNDP/GEF CLME (2009-2014) and CLME+ (2015-2021) Projects.

The resulting (first-ever) politically-endorsed regional SAP, the "CLME+ SAP", adopted a long-term (20+ years) regional "Vision" of *"a healthy marine environment in the CLME+ region that provides benefits and livelihoods for the well-being of its people"* (short version). The more fully elaborated

version of this 'CLME+ Vision' statement reads: *'healthy marine ecosystems that are adequately valued and protected through robust, integrative and inclusive governance arrangements at regional, sub-regional, national and local levels, which in turn effectively enable adaptive management that maximizes, in a sustainable manner, the provision of goods and services in support of enhanced livelihoods and human well-being?'*.

In line with this Vision, and following comments on the limited participation of civil society in the preparation of this first SAP, the CLME+ Project supported the development of a separate, but complementary and compatible ['People Managing Oceans' Civil Society version of the SAP](#), (the 10+ year 'C-SAP', 2018-2030). This C-SAP, which was delivered in 2018, shares the main CLME+ SAP's over-arching objectives and contributes to the same over-arching regional Vision.

Considering that the planned implementation period for the main CLME+ SAP will come to an end in 2025, a new iteration of the TDA/SAP cycle will allow the region to continue coordinated progress towards the aforementioned long-term Vision.

This next iteration of the SAP process is now expected to more fully embrace the concept of robust, wide-ranging stakeholder engagement, across the different societal sectors (*government, civil society, private sector, academia, the development aid community, International Financial Institutions (IFI's), and others*), as an essential condition for **(a)** substantive, meaningful progress towards the regional Vision articulated under the original SAP, as well as for **(b)** the successful achievement of the related, specific ambitions to be set under this new 10-year (2026-2035) SAP. The development of the SAP will use an inclusive approach, including gender and cultural considerations, and will promote the participation of indigenous and local communities to ensure that the SAP addresses the particular needs of vulnerable communities.

With the first SAP delivering the regional Oceans Coordination Mechanism, 'OCM' (*see also PROCARIBE+ Output 1.1.1.A and SAP Action 3.3*), and in line with the OCM's Objectives and Core Functions, articulated under respectively Sections II and VII of the OCM MOU, this new iteration of the TDA/SAP process for the CLME+ region can now be strongly anchored in this new, formally created regional Coordination Mechanism.

At the same time, Component 1 of PROCARIBE+ also aims to support existing and/or newly created, or re-vitalized, wider-ranging societal partnership(s) that can help achieve the CLME+ Vision on the marine environment (See **Output 1.1.1.b**). Engagement of such partnerships during the next iteration of the GEF-supported TDA/SAP process in the region can facilitate a broader involvement of different

(non-governmental) sectors of society in the next SAP, anticipating and mitigating as such the shortcomings flagged in the context of the development of the first SAP. Such action will be supportive of Objective 1.d. of the OCM (OCM MOU Article II. Objectives?): *To promote partnerships with stakeholders from civil society and the private sector to facilitate and enhance efforts for the ecosystem-based conservation and sustainable use of marine and coastal resources and to support intersectoral coordination and collaboration?*

Hence, PROCARIBE+ Outputs 1.1.1.a and b are expected to facilitate strong and complete<sup>[3]</sup> regional ownership as well as full consistency/complementarity of the new SAP with other relevant regional, sub-regional and national-level programming and planning efforts.

Further, and in order to better prepare for, and enable, the large-scale mobilization of resources that will be required to support SAP implementation, PROCARIBE+ will, to the extent possible, seek to directly engage bilateral and multi-lateral development partners (e.g. GEF, FFEM, AFD, GIZ, KfW, AECID, SIDA, NORAD,...), IFI's (e.g. World Bank, Inter-American Development Bank, Caribbean Development Bank, Latin-American Development Bank,...), and private sector financing mechanisms (e.g. corporate social responsibility investments, carbon credit schemes, debt swaps?), in the SAP development process.

Early on in the PROCARIBE+ Project, an independent review of the first iteration of the TDA/SAP process in the CLME+ region will be commissioned by the OCM. Support will be sought from IW:LEARN with the aim of expanding this review to also (a) include other TDA/SAP processes in the region and their linkages with the CLME+ SAP and (b) identify best practices and lessons learned from other TDA/SAP processes and other marine-based programmatic approaches around the globe.

Findings from the review will be condensed in a PROCARIBE+ GEF Experience Note (see Project **Output 4.2.3.**), and, if possible, in a separate, more detailed IW:LEARN Report. As such, the PROCARIBE+-supported TDA/SAP review will not just serve the CLME+ region, but also the wider GEF IW/LME and global marine stakeholder communities and beyond.

Content-wise, the development of the new SAP will build on the findings from the regional-level <sup>[4]</sup> reporting efforts to be undertaken through PROCARIBE+ Component 4. <sup>[4]</sup> or

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"State of the Marine Environment and associated Economies" is a reporting/diagnostics process that consists of a regional implementation of the GEF-promoted TDA process, and which was partially trialed through the development of "prototype" SOMEE "building blocks" under the CLME+ Project. PROCARIBE+ will provide the opportunity to further fine-tune and improve this approach through the OCM, aiming at its formal adoption as a regional long-term, collaborative and integrated reporting (periodically updated diagnostics & progress monitoring) mechanism.

For this second iteration of the TDA/SAP process, PROCARIBE+ will embrace the **paradigm shift** proposed to the GEF IW/LME community by the CLME+ Project Coordination Unit[5]<sup>5</sup>, consisting of a shift from a "problem-centered" TDA/SAP process to a **process focusing on the "challenges and opportunities" associated with the CLME+ Vision of a healthy marine environment, and the GEF7 IW Strategy's focus on "Blue Economy"**.

List of Proposed Activities to be supported by the PROCARIBE+ Project:

***Note:** the mentioned activities leading to the development and adoption of the new SAP are preliminary/indicative and may still be revised/modified during the project inception and execution phase, based on: (a) the advice/requests from the OCM organs and relevant OCM Working Groups, (b) the outcome of consultations with a wider range of societal stakeholders (e.g. through the marine partnership(s), once established - see Output 1.1.1.B) and (c) the findings (conclusions, recommendations,...) from the aforementioned independent review.*

? Independent review of the first iteration of the TDA/SAP process in the CLME+ region[6]<sup>6</sup>, extraction of lessons learned and formulation of recommendations for the second regional TDA/SAP iteration, for consideration by the OCM[7]<sup>7</sup>; the review will also look at other TDA/SAP processes in the region (incl. their linkages with the CLME+ SAP); findings from the review will be condensed in a PROCARIBE+ GEF Experience Note and shared with the global community (Output 4.2.3.); PARALLEL ACTIVITY: in coordination with PROCARIBE+, and if possible, through IW:LEARN the review process will be expanded to also identify best practices and lessons learned from other TDA/SAP processes and other marine-based programmatic approaches around the globe;

? Creation and operations of a SAP development Working Group by the OCM, to be overseen and supported by the OCM interim Secretariat (i.e. the PROCARIBE+ Project Coordination Unit), and responding to the OCM EG (IGO's) and SG (countries); adequate linkages with the marine

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partnership(s) (see Output 1.1.1.B), and/or participation by representatives from the wider-ranging set of non-governmental stakeholders (representing also the interests of women, youth and indigenous people) will be sought, to ensure adequate co-ownership/buy-in, and engagement of the key non-governmental stakeholders groups in both the development and subsequent implementation of the new SAP. The SAP development process will apply a Strategic Environmental and Social Assessment (SESA) approach to identify and help assess whether any proposed SAP actions could give rise to adverse social and environmental effects. Wherever possible, the SAP will build upon and align with/support and strengthen other strategies developed in the region by IGOs and other entities.

? Technical review, revision and subsequent technical clearance of the new SAP by the OCM Executive Group (IGO?s) and Steering Group (States & Territories), and relevant non-governmental societal stakeholders (e.g. through the engagement in the process of the wider-ranging partnership(s))

? Development and adoption, by the OCM (and relevant, interested non-governmental stakeholders) of a M&E approach for the new SAP; implementation of the M&E approach and development of post-PROCARIBE+ project sustainability strategy

? Project support for the high-level, political (Ministerial) endorsement of the new 10-year SAP

? Project support for enabling wide-ranging stakeholder contributions ??to the development of, and buy-in for the new 10-year SAP

The PROCARIBE+ Gender and Safeguards Specialist(s) will, as applicable and feasible, support and/or provide advisory services for the integration of considerations relative to gender, youth and indigenous and local communities in the development of the SAP (We further also refer back to the proposal to create a ?Gender and Youth in Oceans Governance? Working Group under Output 1.1.1a.).

## **COMPONENT 2: Enabling national environments for the protection, restoration and sustainable use of coastal and marine resources (EBM/EAF)**

Project activities under Component 2 seeks to contribute to achieve the following outcome:

Outcome 2.1. National-level capacity, enabling conditions and commitments for EBM/EAF and marine-based, climate and disaster-resilient ?green-blue? socio-economic development

*As per the table at the beginning of this Section, 4 outputs are described under this Outcome.*

*Output 2.1.1. National Intersectoral Coordination Mechanisms (NICs) operational in at least 75% of OCM member countries, connected to the OCM (supporting national-level BE and MSP efforts)*

While during the past decade substantive progress was achieved in the region towards the creation and consolidation of National Intersectoral Coordination Mechanisms (NICs) (as reflected in e.g. [the progress reports created under the CLME+ Project](#)), achieving truly functional and sustainable NICs in all countries from the Wider Caribbean region remains an important goal and has acquired additional relevance in the current context of blue economy aspirations in the region and, also concretely, in the context of the operationalization and adequate functioning of the regional Ocean Coordination Mechanism (OCM, Output 1.1.1.a). In the case of the latter, it is to be pointed out that countries are expected to be represented on the OCM's Steering Group through a single country representative. It will therefore be critical to the success of the OCM that country representatives can speak on behalf of their country as a whole, i.e. integrating the views of the different sectors of government with a stake in and/or mandate relating to the marine environment.

For this reason, and while it is currently not anticipated that project funds will be used to directly support the working of NICS in any given country, advocacy will be exercised by the project, both through the OCM as well as through the Project Board/Steering Committee and Project Management and Coordination Unit (PMCU), for a strong linkage between the OCM and well-established national-level intersectoral coordination mechanisms.

Acknowledging that 'advancing NICs' has generally been an action point for all or most GEF-funded IW projects in the region, coordination and synergies with other projects will continue to be sought for this purpose.

Well-functioning NICs will also substantially contribute to the success of several of the PROCARIBE+ Project Outputs, for which activities are undertaken at the country-level: e.g. Output 2.1.2. on integrated reporting on the marine environment and associated socioeconomics, Output 2.1.4. on Nationally Determined Contributions (Paris Agreement) and Output 3.3.1. on Marine Spatial Planning.

The Project will seek to promote 'well-functioning' or best-practice national level (and sub-regional level) intersectoral mechanisms with a view to build and replicate those best examples, a.o. National Ocean Governance Committees (NOGC's) established in OECS member countries.

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List of Proposed Activities to be supported by the PROCARIBE+ Project:

? Advocacy, through the OCM Secretariat, Executive Group and Steering Group (see **Output 1.1.1.a**), and through the PROCARIBE+ Project Board/Steering Committee and PMCU, for

strengthened and consolidated national intersectoral coordination mechanisms in the OCM member/PROCARIBE+-participating countries.

? Engagement of the NICs in activities relevant to the decision-making processes of the OCM

? Engagement of the NICs in relevant PROCARIBE+ Project Output-related activities (country-level Outputs such as e.g. **Output 3.3.1**).

? Production of a status report on NICs in the wider Caribbean/CLME+ countries (to be integrated in the regional SOMEE, **Output 4.1.3**)

*Output 2.1.2. 2 National integrated ?State of the Marine Environment? (SOMEE) reports, 2 Blue Economy (BE) Scoping Studies and 1 Marine and Coastal Natural Capital Accounting pilot/enhancement, delivered by end of 2025; extraction and dissemination of lessons learned and recommended way forward*

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Defining meaningful and cost-effective action to achieve the PROCARIBE+ Project Objective of *?Protecting, restoring and harnessing the natural coastal and marine capital (...) to catalyze investments in a climate-resilient, sustainable post-covid Blue Economy?* at the country level demands that it is underpinned by sufficient and solid national data and information, and a good understanding of the (national) baseline situation, in terms of the status of the marine environment, the associated governance processes, and current and potential contributions of marine and coastal natural capital to human societies (*?the blue economy?*).

While acknowledging that substantive national-level investments in additional (field) data gathering on the marine environment and associated socioeconomics remain a critical need in the majority of the PROCARIBE+ countries, it is also to be recognized that this is something that falls beyond the scope and capabilities of an individual, regional multi-country and multi-faceted project such as PROCARIBE+.

Nonetheless, PROCARIBE+ is well positioned to facilitate part of the needed *?information transition?* by supporting the development and implementation of information-based decision support systems and processes that cut across various geographic scales: from national (Output 2.1.1) to regional (Output 4.1.3).

Through Output 2.1.2 PROCARIBE+ will support the piloting, in a limited number of countries, of innovative scoping and reporting exercises: PROCARIBE+ will support the development of 2 national 'State of the Marine Environment and associated Socio-Economics' (SOMEE) prototype reports, 2 national Blue Economy scoping studies, and 1 Natural Capital Accounting pilot/enhancement.

Several countries in the region have indeed already undertaken, or do regularly undertake, (sectoral) marine environmental reporting efforts - but integrated, multi-sectoral reporting and explicit linkage with the blue economy is generally still lacking. Likewise, an increasing number of countries have recently conducted blue economy scoping; still, a large number of countries in the region are yet to initiate such exercise. Natural capital accounting (NCA) efforts are also on the rise, and the current context (see further below for a more expanded baseline on NCA) provides a unique opportunity to pursue a further piloting and expansion of the three mentioned efforts across the region.

While work under this Output will need to largely build on already existing, or readily collectable data, an important aspect of the pilot efforts is that they will help with the mapping and visualization of critical data, knowledge and capacity gaps - the enhanced clarity and insights into the 'data / information / capacity challenge', and how it affects a country's blue economy aspirations, can then provide an important stimulus for the upscaling of investments in priority data collection efforts (e.g. through parallel/complementary initiatives).

In promoting the aforementioned approach, where possible, the integration of the 3 elements of the approach (SOMEE reporting, Blue Economy Scoping, and Natural Capital Accounting) will be sought. Related efforts should also be linked to, and/or steered by the country's national inter-sectoral committee (NIC) ? Output 2.1.1.

In line with the approach promoted for the regional-level SOMEE, the national-level SOMEE reporting effort is meant to go beyond the mere description of status and trends of marine environmental variables, but also analyze indicators related to governance and above all, the reports should seek to articulate the connection between marine and coastal natural capital and socioeconomics (the blue economy). As such, the report would result and summarize findings from an 'analysis of status, opportunities, challenges and risks' as it seeks to support and underpin national efforts aligned with the PROCARIBE+ project objective.

In the execution of this output, the project will seek alignment with existing regional and subregional initiatives supporting countries with national reporting efforts on the marine environment, such as for example UNEP-CEP, which is working to develop National Environmental Information Systems, the

IWEco project (GEF ID 4932 and the OECS sub-regional platforms, and consider the integration of data and information from relevant existing regional reports.

Due to limitations related to the size of the GEF grant, PROCARIBE+ will only be able to directly support national-level efforts under this Output in a limited number of countries. However, the achieved results will allow for the extraction of lessons and best practices that can then be regionally disseminated through the OCM and/or associated mechanisms, with the aim of stimulating replication and a progressive expansion of related efforts.

More specifically, on natural capital accounting:

In 2017, the *WAVES (Wealth Accounting and the Valuation of Ecosystem Services) Partnership* indicated that Latin America and Caribbean (LAC) countries were increasingly using natural capital accounting (NCA) to inform decision making on policies and planning in areas such as natural resource extraction and estimating the economic values of ecosystem services. WAVES noted that, in the wider Caribbean, Colombia, Costa Rica, Guatemala and Mexico had implemented environmental accounts, and that five other countries from the region (Brazil, the Dominican Republic, Jamaica, Panama and Saint Lucia) had undertaken their first pilot accounts.

Also in the region, the United Kingdom (UK)'s *Caribbean Overseas Territories Regional Natural Capital Accounting Programme* (April 2020 - March 2022) aimed to establish national systems of accounting for the benefits that the environment provides in five UK Caribbean Overseas Territories (*Anguilla, British Virgin Islands, Cayman Islands, Montserrat, Turks and Caicos Islands*). The UK's Joint Nature Conservation Council (JNCC) produced *A guide to Natural Capital Accounting for the UK Overseas Territories*.

In March 2021 the new economic and environmental framework, the *UN System of Environmental-Economic Accounting - Ecosystem Accounting* (SEEA EA), was adopted by the UN Statistical Commission and has now become the accepted international standard for environmental-economic accounting. SEEA is a framework that integrates economic and environmental data to provide a more comprehensive and multipurpose view of the interrelationships between the economy and the environment. It helps to demystify the relationship between the environment and the economy and provide consistent and comparable data at the national level. It provides guidance on accounting for the extent and condition of natural assets, the size of stocks (reductions and additions), and flows (e.g. use of ecosystems services) in both physical and monetary terms. The framework allows countries to answer questions such as 'who benefits and who is impacted by natural resource use?' and 'how is the wealth of nations developing over time?'. It is a flexible system that can be adapted to countries'

priorities and policy needs while at the same time providing a common framework, concepts, terms and definitions.

NCA and ecosystem accounting are now clearly on the global (marine) agenda. For example, in Europe, OSPAR[8]'s North-East Atlantic Environment Strategy (NEAES) 2030 which was adopted at OSPAR's Ministerial meeting on 1 October 2021, states under its Strategic Objective 7.03: *'By 2025 OSPAR will start accounting for ecosystem services and natural capital by making maximum use of existing frameworks in order to recognise, assess and consistently account for human activities and their consequences in the implementation of ecosystem-based management?.'*

In that context, the UK and the [Netherlands have been leading countries in terms of marine natural capital accounting](#). In this sense, the experience from The Netherlands - with a substantive co-financing commitment to PROCARIBE+, and having an important stake in the health of the marine environment of the region through the Caribbean territories of Saba, St. Eustatius, Bonaire, Sint Maarten, Aruba and Curacao, as well as the experience from the OSPAR Commission, can be tapped to support work on NCA in the region through PROCARIBE+.

List of Proposed Activities to be supported by the PROCARIBE+ Project:

? Regional Workshop(s)/Stocktaking Seminar(s), analyzing and discussing 'Status, Approaches, regional and global Best Practices/Lessons Learned, Way Forward' and covering the following topics: **(a)** national-level (Marine & Coastal) Natural Capital Accounting (NCA)[9]; **(b)** national-level Blue Economy Scoping & Strategies; **(c)** national-level marine environmental reporting;

? Development and dissemination of (brief) workshop/seminar reports

? Review of preliminary SOMEE work conducted under the CLME+ Project, extraction of lessons learned, successes and challenges, and formulation of recommendations on the way forward - bearing in mind the concept of the interlinkage of regional and national-level SOMEE's (activity contributing to both Outputs 2.1.2. and 4.1.3.)

? Development of 2 prototype national SOMEE reports (1 English-speaking and 1 Spanish-speaking country, to be decided during project inception phase), trialing the integration of information originating from Natural Capital Accounting and/or Blue Economy Scoping; harmonization/articulation of linkages with the regional SOMEE (see Output 4.1.3)

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? Development of (min.) 2 Blue Economy scoping studies (Costa Rica + 1 OECS/CARICOM country, to be decided during the project inception phase)

? Implementation/enhancement of (min.) 1 national Marine and Coastal Natural Capital Accounting effort (country to be decided during project inception phase)

Note on gender mainstreaming:

The PROCARIBE+ Gender and Safeguards Specialist(s) will, as applicable and feasible, support and/or provide advisory services for the integration of considerations relative to gender, youth and indigenous communities in the above activities and outputs. Lessons learned and good practices from such integration efforts in the regional SOMEE (see Output 4.1.3) and the national-level SOMEE's can be exchanged.

*Output 2.1.3. Training delivered and/or made permanently accessible for all 44 CLME+ OCM States & Territories, supporting the integration of IWRM/IRBM, ICZM/MSP and Natural Capital Accounting, and underpinning the implementation of the LBS and SPAW Protocols, the source-to-sea approach, NDCs, 30x30 conservation targets, and related Regional and National Action Plans (incl. min. 30 trainers-of-trainers, targeting key stakeholders engaged in: MSP, SOMEE and NDC development, and IRBM; with special attention to gender balance and including practitioners from min. 10 of the 23 transboundary river basins draining into the CLME and NBSLME)*

Advancing Integrated Coastal Zone Management (ICZM) and Marine Spatial Planning (MSP) efforts in the region over the next decade will be vital for achieving regional and national conservation targets, enhancing the sustainable use of marine ecosystems, reducing negative impacts from land, defining effective management measures, and for creating a safe space for public and private investments in the blue economy.

MSP efforts are indeed becoming increasingly necessary in the wider Caribbean: the science-backed pledge to (strongly) protect 30% of ocean space by 2030 through area-based conservation measures comes while human uses of the marine and coastal environment are expected to substantially grow, as the aspirations to develop blue economies spread and rise across the region.

While MSP efforts have been advanced to different degrees in several countries in the region, and while support for additional MSP efforts is underway (through e.g. the PROCARIBE+ and BE CLME+ Projects (GEF ID 10211), vast gaps persist, and both awareness on the importance of MSP as well as training and capacity building for its use and implementation remain critically and urgently needed.

An increasing number of training opportunities on MSP are being offered, globally, through a variety of initiatives (including IW:LEARN). Given this tendency, it will be important for PROCARIBE+ to identify and harness such existing and newly planned efforts, and to scope for synergies and/or complementarity. This way, PROCARIBE+ will seek to avoid duplication of efforts, and to maximize delivery on Output 2.1.3 across the different training topics, while remaining within the very modest limits of the GEF PROCARIBE+ budget allocated for this output.

Investments in the marine environment will not reach their potential, or may even become undone and lost, if parallel and complementary action is not undertaken on land. For this reason, PROCARIBE+ will also seek to mobilize established service providers to help build and expand the capacity in the region to mainstream the Source-to-Sea (S2S)/Ridge-to-Reef(R2R) concept and approach in Integrated Water Resources/River Basin Management (IWRM/IRBM). For this purpose, PROCARIBE+ will also take note of and seek to coordinate efforts with the different GEF-supported International Water Projects targeting several transboundary river basins that drain into the Caribbean and North Brazil Shelf Large Marine Ecosystems. A preliminary indication (non-comprehensive) of prospective partnerships for Output 2.1.3 is also contained in Table 9 under the sub-section on "Stakeholders".

Ultimately, the persistent disconnect between the marine protection and conservation, the climate and ocean-based sustainable socio-economic development agendas is to be urgently resolved. This will however demand increased capacities across the region for Natural Capital Accounting (NCA), and for the integration of marine and coastal natural capital/blue carbon in future iterations of the Nationally Determined Contributions (NDC's, UNFCCC Paris Agreement).

A unique opportunity now exists, through PROCARIBE+, the OCM and partnership(s), and in collaboration with a.o. IW:LEARN/UNESCO, GWP/CAPNET, SIWI/the Source-to-Sea Platform, the European Space Agency (ESA), the NDC Partnership, UNDP Climate Promise, the Sustainable Ocean Initiative (SOI) of the Secretariat of the Convention on Biological Diversity (CBD), the Pew Charitable Trusts and others, to explore and harness the opportunities to provide for a more holistic set of training and capacity building opportunities for OCM member countries, and to install lasting national-level competency, facilitating the integration of IWRM/IRBM, ICZM/MSP, Blue Economy and Natural

Capital Accounting in national-level ocean action, and underpinning the implementation of the LBS and SPAW Protocols, S2S, the NDC's, the 30x30 targets.

The proposed approach to achieve the project targets associated with Output 2.1.3 will be based on 3 key principles: (1) strategic alliances; (2) the avoidance of duplication of efforts across different/parallel initiatives, and (3) the optimal use of pre-existing capacity building/training resources, expertise and materials.

List of Proposed Activities to be supported by the PROCARIBE+ Project:

? Brief desk review of existing, online, preferentially freely accessible and permanently available capacity building opportunities and training courses and materials, in languages of relevance to the region, and assessment of their continued relevance and usefulness, bearing in mind the PROCARIBE+ target public and regional conditions (online search, complemented by a questionnaire targeting strategically chosen networks, e.g. IW:LEARN/UNESCO,..., and established platforms/ mailing lists, e.g. [OCTOGroup's MPAHelp](#), [EBMHelp](#),...)

? Engagement with other (potential) providers/facilitators of capacity building and training services, materials & resources (PROCARIBE+ co-financing partners and other relevant GEF and non-GEF projects, organizations and initiatives, for example: IW:LEARN, OceanTeacher, ESA, GWP/CapNet, SIWI, NDC Partnership, UNDP Climate Promise, Pew Charitable Trusts, CAF/FAO BE CLME+ Project, CBD SOI, IODE-UNESCO, IBERMAR, UNDESA...), to develop and map a collaborative, cost-effective approach for the delivery of Output 2.1.3; Implementation of these activities will be supported by the PROCARIBE+ Gender Specialist(s), with a view of securing the incorporation of gender-related targets and promoting the participation from indigenous and vulnerable communities.

? Organization of a minimum of 3 dedicated regional training events, or, alternatively online courses (guided and/or self-paced), to be directly (co-)financed by PROCARIBE+ (potential topics: Blue Carbon and NDC's, Natural Capital Accounting, Ridge-to-Reef approach in MSP, Remote Sensing of the Marine Environment)

? Selection and implementation of an online solution(s) to provide permanent access to the training/course and capacity building materials (linked to the OCM Hub, see Output 4.1.1), including through the screening of, and collaborative action with existing platforms (e.g. [CapNet Virtual Campus](#), [CLME+ training portal \(prototype\)](#), [Ocean Teacher Global Academy](#),...)

? Install lasting national-level competencies by linking *-to the extent possible and as allowed by the project timeline-* the training/capacity building support to be provided under this output to the

delivery, in selected pilot countries, of other PROCARIBE+ outputs such as for example: Marine Spatial Plans, SOMEE reports, 2025 NDCs.

*Output 2.1.4. Marine and coastal natural capital/Blue Carbon integrated in national-level climate change mitigation and adaptation commitments/efforts: (a) verifiable (initial or upscaled) integration of coastal and marine natural capital/blue carbon in a minimum of five 2025 NDC updates from OCM member/PROCARIBE+ participating countries, enabled; (b) 1 early draft 'best practice' NDC with strong marine component, regionally disseminated (by 2024) through the OCM and/or partnership(s), to promote upscaling and replication; (c) integration of NDC, MSP/MPA and/or BE development efforts in at least 1 country, demonstrated.*

Coastal ecosystems are some of the most productive on Earth: mangrove forests, seagrass meadows and saltwater marshes are home to a wealth of biodiversity and provide many essential ecosystem services, such as coastal protection from storm surges, waves and floods, and nursery grounds for fish. Extractive (e.g. fishing) and non-extractive (e.g. ecotourism) uses of living natural resources from these systems can support livelihoods and the development of blue economies.

The three aforementioned ecosystems are also known to sequester and store substantial amounts of 'blue' carbon from the atmosphere and can thus play an important role in both climate adaptation and mitigation efforts.

Some 151 countries around the world contain at least one coastal blue carbon ecosystem. Globally, coastal habitats cover less than 2% of the total ocean areas, but account for approximately half of the total carbon sequestered in ocean sediments. According to ['Mapping Ocean Wealth'](#), the Caribbean by itself (i.e. the Caribbean LME alone) contains 18 percent of seagrass beds, and 12 percent of mangrove forests.

As the primary implementation mechanism for the Paris Agreement (United Nations Framework Convention on Climate Change, UNFCCC), the 'Nationally Determined Contribution' (NDC) reflects the ambitions and embodies the efforts by a country to reduce national emissions and adapt to the impacts of climate change. Parties to the Paris Agreement are required to submit NDCs every five years; each successive NDC is expected to represent an increasing level of ambition. As such, Parties were requested to submit their new or updated NDCs by 2020 and will be expected to continue to do so

every five years (e.g. by 2025, 2030,..) regardless of the implementation time frames of prior NDC?s. The periodic updating turns the NDC?s into a dynamic instrument and makes it possible for countries to embrace the latest advances in knowledge and technology, and shifting economic trends, to further upscale their climate action.

Both globally and regionally, integration of carbon-sequestering marine and coastal habitats in the first iteration(s) of the NDC?s remained relatively limited. This is even though the destruction of blue carbon ecosystems, which continues to occur globally and at alarming rates, results in substantive emissions of greenhouse gases into the ocean and atmosphere, while the integration of blue carbon into the NDC?s can serve the dual goal of helping countries meet and increase climate-change related targets while simultaneously protecting a valuable resource base for the development of their blue economies.

While several countries made reference to coastal wetlands in their first round of NDCs, only a minority discussed ocean actions as climate solutions (Herr and Landis, 2016). A positive trend is however appearing through the 2020 iteration of the NDCs, with an increasing recognition, by a rising number of countries, of the important linkages between positive action on oceans and the climate change agenda. The 2025 updates will offer a renewed opportunity for countries to increase ambitions by enhancing the role of nature, including blue carbon, in climate change mitigation and adaptation efforts.

The PROCARIBE+ Project, with its focus on *“Protecting and Restoring the Ocean?s natural Capital, building Resilience and supporting region-wide Investments for sustainable Blue socio-Economic development?”* is well positioned to support a continuation and further acceleration of such positive trend across the region.

In the CLME+/wider Caribbean region, countries have indeed started to progressively integrate blue carbon and/or coastal and marine ecosystems in the NDC?s; as of January 2021, Antigua and Barbuda, Belize, Colombia, Costa Rica, Cuba, Dominican Republic, Mexico, and Panama had integrated, to some extent, blue carbon, and Saint Kitts and Nevis, Honduras, Jamaica, Grenada, Bahamas and Suriname had integrated marine and coastal ecosystems in their NDC?s.

In particular, [Costa Rica](#) and [Belize](#) significantly raised ambitions, by making strong commitments for respectively the protection of coastal wetlands, and the protection and restoration of mangrove and seagrass habitats.

Over the past few years, more solid guidance has indeed become available on how to integrate blue carbon in the development of the NDC's. Reference can for example be made to, e.g., the Blue Carbon Initiative's *Blue Carbon and Nationally Determined Contributions: Guidelines on Enhanced Action*. A range of organizations and initiatives have been providing, and plan to continue providing support to countries for the development and implementation of their NDC's. While past support may have put limited emphasis on the blue carbon options, a clear change can be observed since UNFCCC COP 25 (2019).

### Project Interventions

Considering the globally relevant presence of blue carbon habitats, as well as the huge (potential, and still largely untapped) value of the broader range of coastal and marine natural capital in the region, both from a conservation perspective and for the development of (blue) ocean-based economies, as well as from a climate change adaptation and mitigation perspective, the PROCARIBE+ Project will seek to enable, in collaboration and coordination with other supporting initiatives and organizations (e.g. UNDP Climate Promise, NDC Partnership Support Unit and Partnership Members, Pew Charitable Trusts,...) a further expansion of the integration of coastal and marine natural capital in general, and, specifically, blue carbon, in the 2025 NDC updates in the region.

Recognizing that the PROCARIBE+ GEF grant by itself would be far from sufficient to independently and fully fund the activities required to directly deliver a major upscaling of marine and coastal natural capital and blue carbon-based ambitions across multiple NDC's, and acknowledging the existence of several parallel, though often still disconnected supporting initiatives, PROCARIBE+ will instead focus on a set of strategically selected enabling activities that can lead to the delivery of 2025 NDC's with enhanced marine ambitions. For this purpose, the project will seek to mobilize, channel and harness support for the region through strategic alliances. Both during the development of the PROCARIBE+ PIF and during the PROCARIBE+ PPG phase, options for collaborative action with a number of NDC-supporting initiatives have been scoped to this effect, and are reflected in the strong co-financing commitments received to date.

In this context, PROCARIBE+ funds will support the consolidation of an updated regional baseline (existing NDC's, existing institutional arrangements/capacities,...) against which progress by project end can be measured, and help identify and disseminate best practices from past NDC development efforts. PROCARIBE+ will further support awareness raising and advocacy actions, including through the OCM and associated mechanisms and platforms created and/or supported under PROCARIBE+

Components 1 and 4, and seek to directly financially support NDC development efforts in at least 1 country.

In coordination/collaboration with global and regional partners, the project will seek to enable the target of having at least five 2025 NDC updates in the CLME+/wider Caribbean region with a demonstrated substantial increase in national climate change mitigation and adaptation commitments that are based on/relate to marine and coastal natural capital, in particular blue carbon.

With the exception of Panama, where the development of the 2025 NDC will be directly supported by the project, with cross-linkages to respectively blue carbon field work to be supported in the country under Output 3.2.1, and Costa Rica, where the Pew Charitable Trusts is planning to support enabling conditions around the implementation of the country's coastal wetland commitments in its 2020 NDC, which in turn could feed into the development of the 2025 NDC update, and where PROCARIBE+ would seek to support the linking of the NDC updating efforts to PROCARIBE+ support for national blue economy scoping and strategy development in the country, the engagement with additional countries with the purpose of enabling the (min.) 75 by 2025 target set under this Output will be further planned in collaboration and coordination with the enabling/PROCARIBE+ co-financing partners (e.g. Pew Charitable Trusts, NDC Partnership, others) and PROCARIBE+ participating countries, and taking into account readiness and replicability & upscaling considerations, during the project's initial phase.

By 2024, the project will seek to disseminate a best-practice draft NDC through the OCM and its membership, with a view to promote replication and the exchange of good/best practice, among the countries from the wider Caribbean. In addition, the project will seek to make the case for an enhanced integration of national level NDC, marine spatial planning (MSP), marine conservation (MPA/OECMs) and Blue Economy scoping, planning and development efforts.

List of Proposed Activities to be supported by the PROCARIBE+ Project:

1 Consolidate an updated baseline reflecting the status of integration (and related levels of ambition), at project start, of marine and coastal natural capital/blue carbon in the NDCs from OCM member countries/PROCARIBE+ participating countries, and (resources allowing) of the enabling institutional arrangements and capacity

2 Awareness-raising (e.g. through the OCM, the OCM Hub and OCM membership) on: (a) the linkages between, on one hand, ocean conservation and the blue economy, and on the other hand,

actions supporting climate mitigation and adaptation, and: **(b)** the region's current baseline, and further potential, for dual-purpose synergistic action aiming at protecting coastal and marine natural capital and developing the blue economies while simultaneously setting/increasing national-level climate change mitigation and adaptation ambitions

? Advocacy for **(a)** the (upscaled) integration of marine/coastal natural capital and blue carbon in the 2025 NDCs for the countries from the wider Caribbean (e.g. through the OCM and partnership(s), and other fora as appropriate), and for **(b)** the incorporation of related, post-2025 action, in the next iteration of the regional SAP

? Stimulate the expression of requests for support from OCM member/PROCARIBE+ participating countries to upscale/improve the integration of marine and coastal natural capital/blue carbon in the 2025 NDC's; help channel such requests for support to relevant enablers, and help mobilize such support through collaborative arrangements between the PROCARIBE+ Project and/or the OCM, and initiatives and organizations such as the UNDP Climate Promise the NDC Partnership, the PEW Charitable Trusts, etc.

? Organization of a regional workshop in support of the aforementioned activities, and to; **(a)** showcase regional/global best practice and success stories (e.g. the Costa Rica and Belize 2020 NDC), and to **(b)** facilitate discussion and exchange of ideas on the way forward to achieve a wide-spread upscaling through the 2025 (and/or subsequent) NDCs; building upon the results from the aforementioned baseline analysis, and engaging enabling partners (i.e. providers of technical and/or financial support for NDC development) in the workshop (linked with Output 2.1.3)

? Through the aforementioned activities:

- o directly financially support the (early) development of one 2025 NDC update, in one PROCARIBE+ participating country (Panama),
- o Link the 2025 NDC development support activities in Costa Rica to PROCARIBE+'s support for blue economy scoping and strategy development in the country
- o help enable the overall target of a minimum of five 2025 NDC's for the region, with a measurable, either (a) first-time integration, or (b) substantially upscaled integration (i.e. compared to the 2020 NDC), of marine and coastal natural assets/blue carbon for enhanced climate mitigation ambitions (while acknowledging the environmental and livelihoods/blue economy co-benefits)

**COMPONENT 3: Catalyzing actions by all sectors of society, at different spatial scales, for the protection, restoration and sustainable use of marine and coastal natural capital (?blue economies?)**

Project activities under Component 3 seek to contribute to 5 distinct outcomes (Outcomes 3.1-3.5):

Outcome 3.1 Civil Society and MSME contributions to ocean conservation and ocean-based sustainable development & livelihoods/blue economies, upscaled

*As per Table 2, **1 output** will be produced by the PROCARIBE+ Project in support of this Outcome. The output will have 2 distinct elements.*

In addition to fostering a growing, innovating and accelerated incursion of civil society groups and MSME into the blue economy, Outcome 3.1. will also contribute to the implementation of the [2020-2030 ?People Managing Oceans? Civil Society version of the regional SAP \(C-SAP\)](#). This C-SAP was developed under the lead of the Caribbean Natural Resources Institute (CANARI) with the support of the CLME+ Project, and endorsed by over 50 civil society groups from the region. Activities under Outcome 3.1. will also seek to enable contributions from civil society and private sector to the implementation of the Regional Strategies and Action Plans, which were prepared with the support of the CLME+ Project by regional IGO?s with an oceans-related mandate: the [Regional Plan of Action to Prevent, Deter and Eliminate Illegal, Unreported and Unregulated \(IUU\) Fishing in WECAFC Member Countries](#) (FAO-WECAFC/CRFM/OSPESCA), and the Regional Strategies and Action Plans (RSAPs) [on Nutrients](#), and [on Coastal Habitats](#) (UNEP CEP, Cartagena Convention). Civil society and MSME actions that help implement marine elements of Nationally Determined Contributions (NDCs) under the Paris Agreement may also be supported.

In contributing to this Outcome, the starting point for PROCARIBE+ will consist of: **(a)** achievement of the specific PROCARIBE+ Results Framework targets associated with **Output 3.1.1** (copied also here below), combined with: **(b)** a strategic alliance with the [UNDP Ocean Innovation Challenge \(OIC\)](#), as explained further down, and **(c)** the pursuit of synergies with the [UNDP Accelerator Lab for Barbados and the Eastern Caribbean](#) (also explained further below). During project inception and execution, other elements may be added to this strategic ?joining of forces? approach, as deemed feasible and beneficial, with the aim of achieving a further upscaling of the overall, combined contributions to Outcome 3.1.

*Output 3.1.1. Micro-financing schemes, supporting the implementation of key regional/national ocean instruments (SAPs, RSAPs, marine/coastal component of NDCs,...) through Civil Society and MSME action: (a) min. USD 2.5 million (of which USD 1 million from UNDP/GEF SGP) invested in (replicable) small grants/micro-finance initiatives supportive of the PROCARIBE+/ SAP/RSAP objectives. (incl. associated gender objectives) (b) on-the-ground stress reduction/restoration and/or enhanced management practices at min. 30 coastal/marine sites, in min 5 countries. Priorities: nature-based solutions, ecosystem conservation/restoration, sustainable harvesting of ecosystem goods (incl.*

*small-scale fisheries), development of sustainable 'blue' businesses (incl. technological innovation), post-covid and post-hurricane, post-earthquake recovery, climate change mitigation and adaptation/resilience, and enhanced/alternative livelihoods; with special attention to gender, youth and households.*

Direct beneficiaries of the associated GEF investment: Civil Society groups in the following countries will be able to apply for the small grants support provided through PROCARIBE+: Antigua and Barbuda, Haiti, Jamaica, Saint Kitts & Nevis, Saint Lucia (1 additional country may be added during project inception)

Potential indirect beneficiaries of the associated GEF investment: innovators from or working in the region (all countries) will be made aware of, and better enabled to successfully apply for financial support from the UNDP Ocean Innovation Challenge Initiative (OIC)

The project interventions will build from the following baseline:

? Politically endorsed regional SAP (2015-2025), complemented by a 'People Managing Oceans' civil society SAP endorsed by 50+ civil society groups, identifying priorities/needs for action

? 3 Regional Strategies and Action Plans, that can provide additional, more specific guidance, for high-priority actions (IUU, habitats, pollution)

? Existing NDC's (2020), a number of which already include provisions relating to the marine and coastal environment

? Well-established GEF Small Grants Programme

? The concept of a UNDP/GEF IW Project and UNDP/GEF SGP pooling resources and joining forces: successful experience and lessons learnt from UNDP/GEF IWECO, with operational mechanisms in place and tested in a number of IWECO countries: *Antigua and Barbuda, Barbados, Cuba, Dominican Republic, Jamaica, St. Kitts and Nevis, Saint Lucia, St. Vincent and the Grenadines, Trinidad and Tobago*

? Well-established UNDP Ocean Innovation Challenge (OIC), with existing experiences from a number of successful grantees from the region. Wider Caribbean countries: approved proposals from OIC Calls 1 (2020) and 2 (2021) , for a cumulative OIC grant amount of USD \$750,000

? Well-established UNDP Barbados & Eastern Caribbean Blue Economy Accelerator Lab

***Output 3.1.1.a: PROCARIBE+ Small Grants (to be matched by UNDP/GEF SGP small grants, safe force majeure)***

For the delivery of Output 3.1.1.a, PROCARIBE+ and the UNDP/GEF SGP will seek to match USD 1 million from the PROCARIBE+ GEF grant funds with an equivalent amount of financial resources from the GEF Small Grants Programme (SGP) and/or other small grants programmes operating in the region, for civil society/community-centered and/or MSME actions that will enhance local communities' capacity for, engagement in and contributions to marine and coastal resources protection, restoration and sustainable use. The matching support from the GEF SGP will further enhance the community component of the PROCARIBE+ intervention, while co-financing to be generated at the community level (grantees) will leverage additional support. Coordination will further be sought with additional small grants initiatives operating in the region (e.g. GCFI's Small Grants Fund supporting capacity building at site-specific marine protected areas (MPA) and marine litter prevention and reduction, to just name one), to further upscale the level of support dedicated to the achievement of Outcome 3.1.

The GEF Small Grants Programme will contribute knowledge through the global experience of the programme in building sustainable economic livelihoods through community-based initiatives. The Programme will foster replication of best practices in proposal development, capacity-building for enterprise development and implementation. GEF SGP will be a source of ready finance for small communal business enterprise development that will contribute to socio-economic development at the local and, through future replication and up-scaling, national level.

In alignment with the established GEF SGP model, small grants will be awarded (typically for values of up to US\$ 50,000), for community-based activities. Proposals/Grant requests will be screened for their contributions to, a.o., the implementation of the 'People Managing Oceans' C-SAP, and/or the Regional Strategies and Action Plans developed under the CLME+ Project. Priority areas for funding will include: nature-based solutions, ecosystem conservation/restoration, sustainable harvesting of ecosystem goods (incl. small-scale fisheries), development of sustainable 'blue' businesses (incl. technological innovation), post-covid and post-natural disaster (hurricane, earthquake, volcanic eruption,..) recovery, climate change mitigation and adaptation/resilience, and enhanced/alternative livelihoods; with special attention to gender, youth and households. The 'climatic robustness' of the proposed solutions and/or their contributions to enhanced resilience of the socio-ecological system, as well as the replication/up-scaling potential will be considered in the decision-making on the allocation of the available grant resources.

Actions will be taken to integrate gender and youth participation in the selection of initiatives to receive financial support under Output 3.1.1. A tentative target is therefore set of a minimum of 30% of the funds for small grants/micro finance to women-led projects, and a 10% to youth-led projects. As such, PROCARIBE+ will seek to promote the participation, access to benefits and economic empowerment of women and young people.

In order to effectively attract the submission of women and youth-led proposals, the call for proposals, guidelines and specific information related to the small grants programme will give due consideration to the particular needs and interests of women and youth. To this end, specific guidelines will be developed and aligned with the financing principles of the SGP. The PROCARIBE+ Gender Specialist will actively participate and support these affirmative actions.

To deliver this "community output" under the PROCARIBE+ Project, the following activities will be undertaken: (1) provision of (financial) support for the demonstration and piloting of (replicable/scalable) sustainable local "blue economy" solutions to the environmental problems identified in the C-SAP, and/or targeted through the aforementioned Regional Strategies and Action Plans (IUU, nutrient pollution, habitat degradation,...); (2) develop local stakeholders' capacities to contribute to the implementation of regional and national policies, strategies and plans, at the community level; (3) facilitate vertical exchanges of information between local, national and regional levels, and horizontal exchanges between communities beyond national boundaries.

List of Proposed Activities to be supported by the PROCARIBE+ Project:

- ? Regional Training Workshop for the National SGP Coordinators on the "People Managing Oceans" Civil Society SAP and other relevant Regional Strategies and Action Plan produced under the CLME+ Project, and that the Small Grants funding to be provided under this Output will seek to support.
  - ? Development and dissemination of specific guidelines on the achievement of gender and youth targets through Output 3.1.1.
  - ? National launching events
  - ? Issuance of calls for proposals, in the 5-6 target countries, clarification of priorities and selection criteria
  - ? Screening of proposals, and grants issuance and management
  - ? Issuance of a total of min. 34 grants, benefiting civil society groups in min. 5-6 countries, and targeting a minimum of 30 coastal/marine sites (tentative targets<sup>[10]</sup>)
  - ? Site visits (tentative number: 10, final number to be determined based on perceived needs/benefits and available budget)
  - ? Outreach and communication activities; incl. through SGP and PROCARIBE+ websites, and through OCM (HUB, OCM membership - as relevant)
-

- ? Monitoring & Evaluation (incl. in terms of contributions to the aforementioned C-SAP and Regional Strategies and Action Plans) of interim progress, and final achievements
- ? Evaluation of the PROCARIBE+ SGP investment
- ? Regional Learning and Experience Exchange: Closing Workshop
- ? Production of a publication highlighting the achievements, best practices and lessons learnt from the grant support provided under this output

***Output 3.1.1.b: Opportunities through the UNDP Ocean Innovation Challenge (OIC)***

The **UNDP Ocean Innovation Challenge (OIC)** is a unique new mechanism that has been designed to accelerate progress on SDG14 by identifying, financing, advising and mentoring truly innovative, entrepreneurial and creative approaches to ocean and coastal restoration and protection that sustains livelihoods and advances the 'blue economy'. The OIC seeks to support innovations - including technical, policy, economic and financial - that are transferable, replicable and scalable, and that can be sustained, in order to achieve maximum catalytic impact. The supported innovations will contribute directly to delivery of one or more SDG14 targets.

Each year, the OIC will be issuing a series of 'Ocean Challenges' or Requests for Proposals, each focused on a specific SDG14 target. Three such rounds of calls have been issued to date (2020, 2021 and 2022). Considering the duration of the PROCARIBE+ Project, 5 additional annual rounds of calls may thus be expected to be issued by the OIC during the project's implementation timeframe, creating as such multiple opportunities for innovators from or targeting the region, to mobilize valuable financial support which in turn can contribute to PROCARIBE+ Outcome 3.1.

Initial concepts for funding may be submitted by public or private entities, including governments, private companies (including start-ups), NGOs/CSOs, United Nations entities, academic institutions, and intergovernmental organizations. Innovators can request from 50,000 USD to 250,000 USD and project time frames can range from one to two years. Project proposals must be implemented in and benefit stakeholders in developing countries but may be submitted by applicants in either developing or developed countries. All proposals should include a special focus on gender mainstreaming, livelihood creation, and poverty reduction. The highly competitive and rigorous selection process takes approximately one year, and includes technical and operational mentoring for shortlisted proponents in the 6 months prior to contracting, making the overall engagement in the OIC Innovator a total of 32 months.

With the possibility of requesting grants of up to USD 250,000 and a 2-year (max.) implementation timeframe, concrete possibilities thus exist to leverage substantial financing in support of PROCARIBE+ Outcome 3.1, as well as, together with the GEF SGP element, to achieve and exceed the USD 2,5 million target set under Output 3.1.1.

Whereas no predetermined geographic allocations are made under the OIC in terms of the repartition of the total volume of available grants, the opportunity exists for the PROCARIBE+ Project and its partners, in collaboration with the OIC, to enhance awareness among innovators in the wider Caribbean about the opportunities provided through this mechanism.

It is important to clarify that none of the UNDP/GEF PROCARIBE+ funds will be implemented through the UNDP OIC. PROCARIBE+ funds allocated to the activities listed below will be exclusively dedicated to supporting regional stakeholders in more successfully mobilizing additional funding for Outcome 3.1.

List of Proposed Activities to be supported by the PROCARIBE+ Project:

? Harnessing the direct partners of the PROCARIBE+ Project, the regional Ocean Coordination Mechanism (OCM, Output 1.1.1.A) and the wider-ranging ocean partnership(s) (Output 1.1.1.B), and associated Regional Knowledge Management Hub (Output 4.1.1) to raise awareness, among innovators in or targeting the region, about the opportunities provided by the OIC and the wider Ocean Innovation Community;

? (Virtual) Workshop/materials, co-organized/co-produced by PROCARIBE+ and the OIC, to **(a)** share the experiences from selected OIC grantees from rounds 1-3, to extract lessons learned and to help identify possible opportunities for replication and/or upscaling in the region; and **(b)** stimulate and enhance the ability of regional entrepreneurs/innovators to successfully prepare and submit proposals to the OIC (in order to maximize return on this investment, and conditions allowing, collaboration for the execution of this activity may be further expanded to also include other (UNDP) GEF IW/LME initiatives, such as e.g. PACA (GEF ID 10076), Humboldt 2 (GEF ID 9592), Global Marine Commodities 2 (GEF ID 11011) and AIO SIDS (GEF ID 10865).

List of Parallel Activities supportive of Outcome 3.1

Among the activities in the region that will contribute to Outcome 3.1. and that are parallel to those that will be undertaken to specifically deliver Output 3.1.1.a, special reference is also made to the [UNDP Blue Economy Accelerator Lab](#).

The mission of the UNDP Accelerator Lab in Barbados and the Eastern Caribbean is to encourage and promote out-of-the-box thinking, experimentation and innovation in key sectors of the blue economy such as fisheries, waste management, renewable energy and responsible tourism. Through collaboration with grassroots innovators, the Lab is working to co-create solutions to challenges within these sectors that will lead to policy advice and behavioral change.

A **strategic alliance** between PROCARIBE+ and the **UNDP Ocean Innovation Challenge (OIC)**, as well the **pursuit of synergies** with the **UNDP Blue Economy Accelerator Lab**, is likely to increase the **opportunities for replication , upscaling and/or complementarity**, and to **pave the path for a substantive increase of Civil Society and MSME contributions** to regional ocean conservation and ocean-based sustainable development aspirations (?blue economy?) during the project implementation period (PROCARIBE+ Outcome 3.1.).

Outcome 3.2. Increased mobilization of private capital supporting environmental stress reduction and sustainable climate-smart blue economy initiatives, supporting CLME+ SAP implementation and post COVID-19 recovery, enabled

*As per the table 2, 1 output will be produced by the PROCARIBE+ Project in support of this Outcome.*

*Output 3.2.1: Enabling conditions to implement carbon credits-based sustainable financing instruments for seagrasses and tropical peatlands : (pre-)feasibility studies including carbon stock assessments in 1 country (Panama, 3 pilot sites); methodologies tested and fine-tuned for blue carbon project development and regional replication/up-scaling*

In its latest review of its Nationally Determined Contribution (UNFCCC NDC Registry, 2020), [Panama pledged to become carbon neutral by 2050](#). Within its NDCs, it placed ocean conservation as one of the top priorities on its environmental agenda and pledged to strengthen the management of its marine-coastal systems and to restore key areas of its coasts in both the Pacific and the Caribbean. Panama was the [second Latin-American nation to achieve the goal of protecting 30% of its marine areas](#).

As an integral part of its efforts to achieve carbon neutrality, Panama is working to provide greater effective protection for "blue carbon" ecosystems (such as mangroves, seagrasses and coastal wetlands), in this way increasing/safeguarding these important carbon sinks. It should be noted in this regard that worldwide, [despite their covering only 0.1% of the ocean floor, it is estimated that seagrasses can store up to 18% of the world's ocean carbon](#).

In 2022, the country aims to initiate the [integration of blue carbon into the national inventory of greenhouse gases \(GHGs\)](#), in recognition of the critical role played by these ecosystems in the removal of GHGs.

The [integration of Panama's \(and, by expansion, the wider region's\) blue carbon into carbon markets offers substantial opportunities to contribute to the CLME+ Vision](#): blue carbon markets are relatively new compared with markets for carbon sequestration on land; they are notwithstanding expected to have great potential as part of the global demand for carbon credits that is projected to increase fifteen-fold from 2020 levels and to be worth up to US\$ 50bn by 2030, according to the [Taskforce on Scaling Voluntary Carbon Markets \(TSVCM\)](#).

Globally, however, by 2022, [few projects have been certified to sell blue carbon credits](#); as a consequence, on e.g. the voluntary carbon market prices are currently high as demand vastly outstrips supply. Rapidly scaling up blue-carbon projects could be key to meeting the Paris Climate agreement target of keeping global temperatures within a 1.5-degree Celsius rise above pre-industrial levels. Mature nature-based solutions involving mangroves, seagrass and salt marshes could provide 1.4 GtCO<sub>2</sub>e of annual emissions reductions by 2050 out of the total 56 GtCO<sub>2</sub>e needed, according to the High Level Panel for a Sustainable Ocean Economy.

Integration of Panama's (and the region's) blue carbon ecosystems into the carbon markets will bring with it the accompanying economic incentives, through which coastal ecosystems will be able to receive investments for their restoration and conservation, thereby improving their capacity to sequester carbon, conserve associated biodiversity and to provide a range of other ecosystem services and goods that support local communities and allow the development of socio-economic activities within the blue economy.

In addition to the work on seagrasses, Panama will also seek to improve the protection and restoration of tropical peatlands along its coastline. In 2019, the Intergovernmental Panel on Climate Change (IPCC) defined peatland conservation and restoration as an immediate-impact alternative for mitigating carbon emissions into the atmosphere (IPCC, 2019). Also, in the case of peatlands, and emphasizing the "source-to-sea" concept, positive side effects could be generated for the marine-coastal environment, since the degradation and/or destruction of tropical peatlands entails the export of carbon and other nutrients, such as nitrogen, to the river network, coastal lagoons and, ultimately, the ocean, which can contribute to acidification and eutrophication.

The Coasts and Seas Directorate of the Panamanian Environment Ministry has now begun to map seagrasses in Panama and to generate knowledge about their status. While methodological guidance has increasingly become available internationally, to date, however, there are no specific data available for the country on seagrass and (coastal) peatland carbon sequestration and storage capacity, which is why advantage is still not being taken of the major opportunities to generate carbon credits, which would help providing funding to improve their management and protection.

PROCARIBE+ will therefore support (pre-)feasibility assessments for a number of selected sites on the Caribbean coast, including through the generation of quality carbon sequestration/storage data. In doing so, PROCARIBE+ will help create the enabling conditions that will allow Panama, and subsequently, based on the exchange of experiences and lessons learned, also other countries from the region to access the rapidly growing blue carbon markets.

#### Project Intervention Sites

In support of Outcome 3.2, through strategic collaborations with the NDC Partnership, UNDP Climate Promise, the Pew Charitable Trusts and other projects, such as the UNEP/GEF Caribbean BlueFin Project (GEF ID 10782), progress will thus be sought on the development of innovative (blended/private sector-based) financing mechanisms for the CLME+ region based on blue carbon.

In the context of Output 3.2.1, and mindful:

? that Panama's Caribbean and Pacific coasts have significant expanses of seagrass (179.39 km<sup>2</sup>) (Allen Coral Atlas) and coastal wetlands, including tropical peatlands.

? of the importance of these ecosystems for carbon storage and the opportunities that they present in the context of Nationally Determined Contributions (NDCs) for climate-change mitigation and adaptation

? of the high levels of degradation suffered by these ecosystems, for many decades now, in Panama and at the regional and global levels (it is estimated that in the last 50 years, more than half of Panama's mangrove forests and wetlands have been cleared)

? of the opportunity presented by the recent launch of the Sustainable System of National Greenhouse Gas Inventories, offering the tools needed for the development of Panama's National Inventory of Greenhouse Gases (GHG inventory)

PROCARIBE+, more specifically, will undertake key preparatory steps for the development and implementation of blue carbon/coastal peatland carbon projects for representative sites on the Caribbean coast of Panama, by:

In particular, and taking into account the limitations in terms of available resources under the PROCARIBE+ GEF grant, activities under Output 3.2.1. will focus on the identification, including through field studies, of carbon sequestration and storage capacity and volumes at the selected sites named below:

1. **Seagrass pastures** around the protected landscape of **Isla Escudo de Veraguas-Deg?** (Site 1), a marine protected area governed by the indigenous communities of the *Comarca* of Ng?be Bugl?. (**Category V IUCN**) (**WDPA ID 115101; 422.5 km<sup>2</sup>**), and
2. Tropical peatlands at two coastal Ramsar sites: **San San Pond Sak (WDPA ID 68135; 308.12 km<sup>2</sup>)** (Site 2) (Province of Bocas del Toro) and **Damani-Guariviara (Site 3) (WDPA ID 107289; 268.57 km<sup>2</sup>)** (Indigenous comarca of Ng?be-Bugle).

The waters near to the island of **Isla Escudo de Veraguas-Deg?** contain a significant area of **seagrass** considered mostly healthy, and this represents an important opportunity to develop an innovative blue carbon mechanism at this site. Almost the entire island is in its natural state, since most of it is uninhabited. In addition to its natural and biological value, the island is considered a valuable heritage landscape, mainly for the coastal Ng?be groups who have historically interacted with the island and its resources as a means of subsistence. Indigenous communities have expressed interest in and a commitment to conserving and rationally using the island's and the sea's resources. The site is considered a **national-level priority site for the conservation of seagrasses**.

**Two sites where the presence of peatlands is known are the two Ramsar Sites of San San Pond Sak and Damani-Guariviara.**

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[1] The appointment of the PROCARIBE+ PMCU as OCM Secretariat is to be approved by the OCM EG and SG at their first meeting; however, prior to this the PROCARIBE+ PMCU will already provide secretarial services to the OCM in order to facilitate the organization of these first meetings

[2] including, as applicable, those representing women, youth and/or indigenous interests

[3] Membership of the OCM is open to all States and Territories from the wider Caribbean/CLME+ region, and to relevant IGO's, with the membership of such IGO's including both Independent States as well as the Overseas Territories from the region. Participation in a SAP development process that is driven by the OCM is thus not limited to GEF-eligible countries, and will facilitate (a) full regional ownership over the SAP process; and (b) true application of the EBM approach (noting that, with 16 Overseas Territories, the region's LME's are shared by both GEF-eligible and non-GEF eligible parties).

[4] ?State of the Marine Environment and associated socio-Economics?

[5] see e.g. LME21: Building Partnerships Around LMEs in Support of the 2030 Sustainable Development Agenda (21st Meeting of the LME Community of Practitioners, Cartagena, Colombia, 2019).

[6] This will include a review of the (participatory) development, adoption, financing, implementation and monitoring & evaluation processes of both the main, governmentally/politically endorsed SAP as well as of the complementary ?People Managing Oceans? Civil Society SAP.

[7] Review to be commissioned by the OCM, with the OCM EG approving the TORs and the Secretariat reporting the findings of the review to both the OCM EG and SG

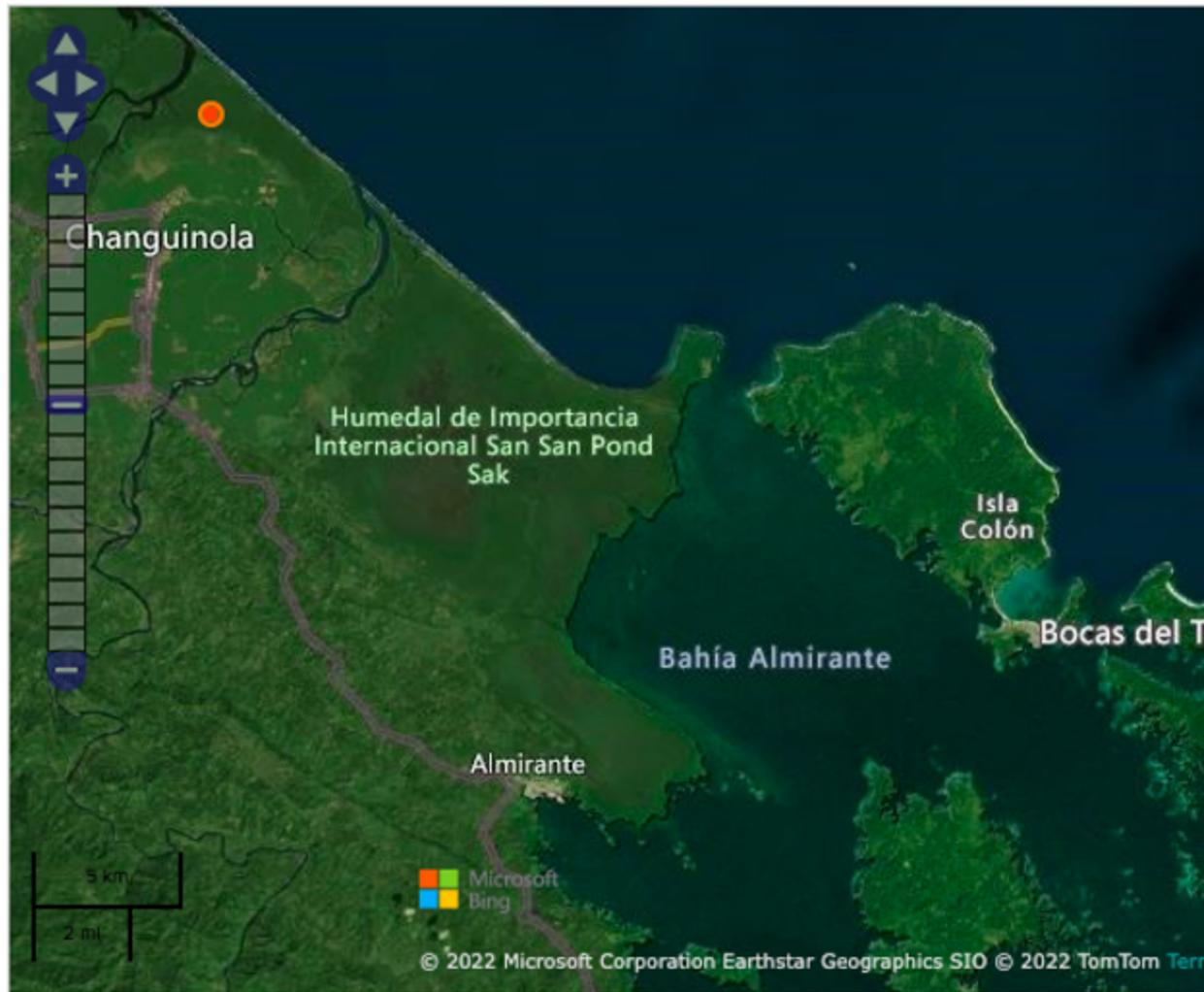
[8] Convention for the Protection of the Marine Environment of the North-East Atlantic

[9] Potential collaboration with the OSPAR Commission - to be confirmed

[10] If deviating from these original targets during project execution: sound justification will be provided (including assessment of cumulative impacts of the investments)



Figure 6. Damani-Guariviara Ramsar Site (source: Ministry of Environment Panama)



**Figure 7. San San Pond Sak (source: as indicated in the image)**

### Ramsar Site

Both sites have coastal and inland wetlands such as beaches, swamps (salt- and freshwater), lagoons (salt- and freshwater), rivers and mangroves. The wetlands are influenced both by the sea and the major rivers that cross them. They also have important biological value in terms of species of flora and fauna. The diversity of fauna is due to the interplay of systems of large rivers with lagoon and coastal ecosystems, which allows many species of fish to use these areas as reproduction and/or feeding areas. In addition, both sites include nesting areas of sea turtles and the presence of manatees (*Trichechus manatus*), an endangered species.

There is currently no quantification of carbon storage in Panama's peatlands. Work is under way in Panama to develop a methodology of its own for tropical peatlands in order to generate carbon credits from these peatlands.

It is estimated that the San San Pond Sak peatland contains approximately 80 MtCO<sub>2</sub> (Cohen et al., 1989) named in the scientific literature as "Changuinola Peat Deposit". San San Pond Sak is considered one of the most biodiverse protected areas in Panama and has been identified as a [Key Biodiversity Area](#). This wetland is also part of the La Amistad Biosphere Reserve (RBLA) next to the La Amistad International Park, the Volc?n Bar? National Park, the Lagunas de Volc?n Wetland, the Fortuna Forest Reserve, the Isla Bastimentos Marine Park and the Palo Seco Protective Forest.

There is still no estimate of the amount of carbon stored in the **Damani-Guariviara Wetland**, but it potentially contains even more peat than San San Pond Sak. The site's Ramsar entry states that the site has a [80km<sup>2</sup> peatbog](#). This system has coastal and inland wetlands such as beaches, swamps, fresh- and saltwater lagoons, rivers and mangroves. The site has high biological value due to its diverse habitats, for which reason it presents a wide diversity of flora and fauna. The area is also important as a nesting place for turtles, such as the critically-endangered hawksbill sea turtle (*Eretmochelys imbricata*), and is home to species such as the manatee (*Trichechus manatus*), howler monkey (*Aloutta palliata*), harpy eagle (*Harpia harpyja*), loggerhead sea turtle (*Caretta caretta*) and green sea turtle (*Chelonia mydas*), which are included in CITES Appendices I and II and the IUCN Red List. It has high ecotourism and ecotourism value since it is a place of life of the nomadic Ng?be and Bugl? people, one of the oldest in Panama (Ramsar, 2010).

Even though the San Pond Sak and Damani-Guariviara wetlands are of international importance (RAMSAR sites) representing biodiverse ecosystems with a wide variety of wildlife species, including some at critical risk of extinction, they both currently face deforestation, inappropriate agricultural practices, subsistence hunting, the over-exploitation of marine resources, mining and pollution. The presence of tropical peatlands in these coastal wetlands presents an important potential source of GHGs while at the same time offering, if they are under good management, conservation and restoration, a very high carbon storage capacity. Hence the importance of their selection as pilot sites for PROCARIBE+ and for the generation of better data and knowledge about this ecosystem in order to improve its effective management and conservation.

The application of methodologies for (blue) carbon accounting will seek to determine these sites' carbon sequestration and storage capacities/volumes with the goal of enabling the of sale carbon credits.

PROCARIBE+ will strengthen and expand these national efforts, through the Project's direct support for the development of (pre-)feasibility studies. Accordingly, the contributions to be made through

PROCARIBE+ for these pilot sites will also allow the evaluation and (going beyond the scope of the project) improvement and subsequent replication of the methodologies and improved practices in the country and, as applicable, throughout the wider Caribbean region.

Proposed project interventions:

**PROCARIBE+ will focus its support on the measures and activities needed to carry out the (pre-)feasibility studies, including the quantification of blue (seagrass) and peatland carbon in the identified sites, to provide the basis for blue carbon projects that will seek to mobilize and implement sustainable financing schemes based on the sale of carbon credits.** The studies will also seek to determine the health status and trends of these important ecosystems with a view to ensuring their protection.

In light of project funding limitations and to learn from and build synergies, avoid overlaps and achieve complementarities with related initiatives in the region, the project will seek to liaise with, a.o., Colombian stakeholders, based on recent progress and successes related to blue carbon credits achieved in the neighboring country, the UNEP/GEF Caribbean Blue Economy Financing Project (Caribbean BlueFin Project, GEF ID 10782) and AFD/FFEM "Caribbean Regional Architecture for Biodiversity" (CRAB) Project, both implemented by the Caribbean Biodiversity Fund (CBF) and focussing on conservation (including blue carbon-based) financing schemes, the PEW Charitable Trusts (blue carbon, NDC's,..), and the Smithsonian Institute (peatlands).

Of high relevance for this output and the associated PROCARIBE+ Outcome 3.2 is that one of the goals of the aforementioned Caribbean BlueFin Project is to develop a (sub-)regional "Blue Carbon Facility" to further help enable the sale of blue carbon bonds from the region to investors, supporting as such conservation targets for the region's blue carbon ecosystems.

Considering that some of the proposed intervention sites are located within indigenous territories, as indicated in the ESMF (Prodoc Annex 10), appropriate measures will be taken to ensure that indigenous communities are adequately considered in the further design of the project interventions. The eligibility criteria for the implementation of activities will rule out any intervention where significant negative impacts on indigenous peoples are identified. In the case that project activities are identified to have potential impacts on indigenous peoples or indigenous lands, the culturally appropriate consultations will be initiated with the objective of achieving agreement and FPIC, and an Indigenous Peoples Plan will be developed. If there is no consent of potentially affected communities in the implementation of activities that may result in restricted access to certain natural resources, these will not be implemented.

List of Proposed Activities to be supported by the PROCARIBE+ Project:

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? Exchange of experiences with one or more leading regional (e.g. Colombia) and/or global countries, and relevant partner organizations on (a) the quantification of carbon stocks in seagrass and tropical peatlands and on (b) the creation of blue carbon projects/development of carbon credits (building on existing global guidance from e.g. IUCN, the Blue Carbon Initiative, Silvestrum, AGEDI, UNEP/CIFOR, a.o.)

? Identify and adopt, or adapt and fine-tune, one or more existing and proven methodology/ies, based on successful regional and/or international experience, to quantify the carbon stocks of seagrasses and tropical peatlands, as an activity preparatory to the inventory process, and to the preparation of blue carbon projects

? Training of national and local officials/stakeholders on the application of the selected methodology/ies (e.g., through a national workshop)

? Develop and implement a participatory process for the engagement of indigenous communities

? Develop maps of the distribution of seagrass pastures and tropical peatlands at three selected sites on the Caribbean coasts of Panama (remote sensing + field validation)

? Determine the current status and threats against seagrass and peatland ecosystems at the three sites and identify potential management actions to enable the selected sites to maintain/improve their carbon-capture capacity, through protection and restoration measures (Driver-Pressure-State-Impact-Response (DPSIR) Framework)

? Apply the selected methodology/ies to quantify carbon stocks at the selected sites

? Integrate the results in pre-feasibility and/or feasibility studies to determine the blue carbon potentials, with the view of subsequently advancing (parallel funding allowing[1]) the design of blue carbon projects

? Carry out steps to integrate blue carbon into the new iteration of the NDCs (link with Output 2.1.4)

? As possible and depending on the parallel progress of the UNEP/GEF Caribbean BluEFin Project, seek to adopt a common standard for the development of blue carbon credit projects for the countries of the region that would facilitate the mobilization of funding through the BluEFin's Blue Carbon Facility (scaling/pooling of projects).

? Regional activity to disseminate lessons learned

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Outcome 3.3. Expansion and integration of 'Blue Economy', Marine Spatial Planning and MPA/OECM efforts across the region (ecosystem approach), supporting ocean-based socio-economic development, recovery and resilience (covid19, hurricanes) and progressive delivery on international targets in the fields of: marine conservation and climate change mitigation and adaptation

*As per the table 2, 2 (interlinked) outputs will be produced by the PROCARIBE+ Project in support of this Outcome.*

PROCARIBE+ will seek to contribute to this Outcome by delivering Outputs 3.3.1 and 3.3.2, which are described in further detail here below, and which consist of both country-specific as well as transboundary/multi-country interventions covering a total of at least 8 countries. Output 3.3.1 focuses on advancing marine spatial planning efforts and supporting blue economy planning in selected countries (element 'a' of the output), but will also pursue exchange of experiences and lessons learned (element 'b' of the output) through site visits and a regional workshop, and advocacy efforts (e.g. through OCM and partnerships) towards achieving the target of min. 10% of the CLME under MSP (note: achievement of the latter target NOT being the responsibility of PROCARIBE+).

Output 3.3.2 will work towards supporting area-based conservation in the marine environment through the creation of new and/or strengthening of existing MPAs and/or by developing/supporting Other Effective Area Based Conservation Measures (OECM), while duly considering the interests of local communities.

The implementation of the interventions under Outputs 3.3.1 and 3.3.2 will require the engagement of a wide range of stakeholders, at the regional, national and local levels. A preliminary analysis of the stakeholders with potential interests in the activities of the Project is included in the Stakeholder Analysis and Engagement Plan (Prodoc Annex 9), the IPPF (Section 9.3 of the ESMF (ProDoc Annex 10)) and the Gender Analysis and Action Plan (ProDoc Annex 11). A more complete analysis will be conducted during the project inception phase, with the support from the countries and local organisations, with a view of engaging all interested parties in a fair and equitable manner in any activity financed by the project that may affect them. For all engagement processes, the UNDP SES procedures will be applied, and where necessary, additional measures will be taken to ensure that the project does not cause negative impacts on local inhabitants or the environment. The ESMF (ProDoc Annex 10) provides guidance on the measures and complementary actions needed to meaningfully implement the UNDP SES standards.

The planned interventions for Outputs 3.3.1 and 3.3.2 have been structured by countries or sub-region (in the case of the Meso-American Reef region). The description of the different PROCARIBE+ on-the-ground interventions given here below is done at the site level rather than at the output level, as the site interventions often contain elements contributing to both Output 3.3.1 and 3.3.2.

**Table 4. Intervention sites and their contributions to the PROCARIBE+ Outputs 3.3.1 and 3.3.2**

Outputs	Participating countries	Products
<b>3.3.1.a Marine Spatial Planning (MSP)</b>	Dominican Republic	-Coarse-scale MSP covering a substantial part of the EEZ (min. 150,000 km <sup>2</sup> ) + (at least 1 additional), Finer-scale MSP, covering a ?high-priority? marine-coastal area, of no less than 1,400 km <sup>2</sup>
	Meso-American Reef (MAR) region: Belize, Guatemala, Honduras	MSP exercise for the MAR with focus on reconciling shipping with reef conservation, in support of the development and submission to the International Maritime Organization (IMO) of a proposal for the designation of part of the MAR region as a Particularly Sensitive Sea Area, tentative extension: approx. 56,097 km <sup>2</sup>
	Trinidad and Tobago	Multi-sector MSP covering 2,942 km <sup>2</sup> in the Gulf of Paria
	Venezuela	Multi-sector MSP covering 5,200 km <sup>2</sup> in the Gulf of Paria
	Colombia	Multi-sector MSP for the Bay of Cartagena and adjacent areas (~274km <sup>2</sup> )
	1 additional PROCARIBE+ -participating country (to be determined during Project Inception)	1 additional MSP effort is considered
	<b>3.3.1.a Blue Economy/Strategies/Plan</b>	Costa Rica
<b>3.3.2. Enhanced area-based ocean conservation (MPA/OECM)</b>	Colombia (MPA)	-Management plan and priority management actions for newly declared ?Reserva Natural Cordillera Submarina Beata? (Beata Ridge) MPA (extension: 33,125.47 km <sup>2</sup> )  -New Regional Protected Area (527.74 km <sup>2</sup> ) in Punta San Bernardo and Chichim?n - Rinc?n del Mar sector  -New MPA (27.31 km <sup>2</sup> ) for the Varadero sector (Mission Blue ?hope spot?) of the Bay of Catagena
	Dominican Republic (MPA/OECM)	-Inclusion of (part of the) ?Beata Ridge? seamount system (Dominican part) in the Dominican Republic?s system of MPAs (new/expanded MPA, tentative extension: 10,000 to 13,000 km <sup>2</sup> )  -Creation of (pilot) no-take/fish replenishment and/or management zones, cumulatively covering a marine area of no less than 35 km <sup>2</sup>

	Meso-American Reef region: Belize, Guatemala and Honduras (MPA/OECM)	-Community-based Fisheries Replenishment Zones (min. 100 km2) -Submission to IMO of proposal for the designation of part of the MAR region as a Particularly Sensitive Area under the International Maritime Organization (IMO), tentative extension: approx. 56,097 km2 (OECM)
	1 additional PROCARIBE+ -participating country (to be determined during Project Inception)	1 additional MPA/OECM effort is considered

For **element (b) of Output 3.3.1**, the following activities are being anticipated:

? in order to promote collaboration between the ongoing MSP processes in the CLME+ region, at least one MSP Regional Workshop will be organized to: (1) exchange MSP experience and methods among countries in the region, (ii) share information about the impacts of the COVID-19 pandemic and possible implications for MSP, and (iii) share workplans and coordinate actions among the different sites working on MSP;

? (an) exchange visit(s) between some of the MSP sites supported under the PROCARIBE+ project will be organized to have first-hand experience of the ongoing MSP processes;

? advocacy to promote and achieve the prioritization, among OCM member countries, of a further increase of MSP efforts in the region, or commitments to initiate MSP efforts in the short to medium-term, and to achieve a further mobilization of the required financial support through a coordinated approach (OCM/partnerships), visualizing the target of a minimum of 10% of the CLME under MSP (either initiated or completed)

As part of the Project's Environmental and Social Safeguards Management Framework (ESMF) and Gender Action Plan, affirmative actions for promoting the full participation and representation of local communities/stakeholders and of women in MSP and MPA/OECM activities will be included. Guidelines will be developed to support the full integration of local stakeholders (incl. indigenous, where applicable) and gender considerations in the design and implementation of the planning processes, including recommendations for organizing inclusive-consultations, producing sex-disaggregated data, analyzing socio-economic outcomes, and recommendations on opportunities for women in MSP.

*Output 3.3.1. BE and MSP planning in at least 8 countries, integrating blue economy (incl. sustainable fisheries and post-covid19 recovery), climate change mitigation and adaptation and ocean conservation objectives, and source-to-sea considerations.*

and

*Output 3.3.2. Enhanced area-based ocean conservation (MPA/OECM) in 5-6 countries, targeting over 4,000,000 ha of coastal/marine space, through: expansion of, or newly created MPA?s, and/or MPA?s with increased protection levels/demonstrated enhanced management effectiveness, and/or equivalent amounts of marine space under Other Effective area-based Conservation Measures (OECMs)*

The proposed country-level interventions on MSP, Blue Economy and MPA/OECM in each site is presented below (Outputs 3.3.1 and 3.3.2)

Site: Colombia

National context

Colombia, a biooceanic country (Caribbean and Pacific) committed to marine conservation due to its high intrinsic value, and to national and local socio-economic development through the blue economy, has signed up to both the **High Ambition Coalition for Nature and People (HAC)** and the **Global Partnership for Oceans**, two global initiatives that are promoting the goal of effectively protecting 30% of the seas by 2030, considered essential by many scientists to ensure the long-term health of global ecosystems and the provision of the resulting ecosystem services.

Reaffirming this **target at the COP26 Conference of the Parties on climate change (Glasgow, 2021)**, the Presidency of Colombia set itself the goal of fully achieving 30% already **during 2022**. For this purpose, and as far as it relates to the Caribbean, the national strategy envisaged expanding existing MPAs and creating new ones, including an oceanic 'Beata Ridge' MPA, as well as recognizing and implementing 'Other Effective Area-based Conservation Measures' (OECMs).

It is against this backdrop that the integrated Outputs 3.3.1 and 3.3.2 of the PROCARIBE+ Project have been designed to revolve around the following three lines of intervention for Colombia:

1. Implementation of the new **Beata Ridge** Marine Protected Area (MPA), (**33,000 km<sup>2</sup>**), in particular the process of drafting, and initiating the implementation of selected elements of its management plan.
2. Marine/Coastal Spatial Planning (MCSP) of the **Bay of Cartagena** and adjacent areas, covering an area of approximately **274 km<sup>2</sup>** corresponding to the area that forms part of the Bay's ecological restoration plan, and declaration of a new Marine Protected Area (MPA) in the **Varadero** sector (**27.31km<sup>2</sup>**) of the Bay.
3. Declaration of a new **Punta San Bernardo y Chichimón - Rincón del Mar** Regional Protected Area (Sucre department, **527.74 km<sup>2</sup>**) and production of its management plan.

For all activities described below, the UNDP SES guidelines will be followed. The ESMF (ProDoc Annex 10) provides guidance on the assessments and measures needed to comply with the SES.

Each line of intervention is described in more detail below:

Colombia Intervention 1: New **Reserva Natural Cordillera Submarina Beata** (Beata Ridge) Marine Protected Area (3,312,547 ha; IUCN Category I)

-

As part of its efforts to achieve the 30% target, Colombia conducted the **first expedition to a submarine mountain range in the Colombian Caribbean**, known as the **Beata Ridge Expedition**, between January and March 2022. This major scientific expedition took place under an agreement between the Ministry of Environment and Sustainable Development (Minambiente) and the Institute for Marine and Coastal Research (INVEMAR), at a cost of nearly **USD 2 million** (mostly contributed by **Minambiente**) and covering an area of 3.5 million hectares (**35,000 km<sup>2</sup>**) of the Colombian Caribbean.

As a **binational system** of the **oceanic Caribbean**, the Beata Ridge consists of a seamount system with important biodiversity values and oceanographic phenomena, as well as unique geological characteristics. It corresponds to a triangular space 450 km long by 300 km wide and covering a total area of approximately **57,300 km<sup>2</sup>** in the narrowest part of the Caribbean, between the peninsulas of La Guajira (Colombia) and Hispaniola (more precisely the **Dominican Republic**). Approximately **60%** of the area is located in **Colombian waters**, in the north-eastern corner of the country's maritime territory. Depths in the area range from 1,500 to 4,400 metres.

It is characterized by a permanent upwelling of cold and nutrient-rich waters that result in **high productivity**, supporting the **important biodiversity** of the seamount. This is reflected in its **fisheries** with species such as yellowfin tuna (*Thunnus albacares*), white tuna (*Thunnus alalunga*), blackfin tuna (*Thunnus atlanticus*), bigeye tuna (*Thunnus obesus*) and skipjack tuna (*Katsuwonus pelamis*), in addition to **species under varying degrees of threat** such as the whitetip shark (*Carcharhinus longimanus*), longfin maco shark (*Isurus paucus*) and silky shark (*Carcharhinus falciformis*), as well as blue (*Makaira nigricans*) and white (*Kajikia albida*) marlin.

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[1] PROCARIBE+ may support the identification/mobilization of required financial resources, see e.g. the Blue Natural Capital Financing Facility (BNCF; ICRI)



**Figure 8. Approximate location of the Cordillera Beata**

The expedition arose out of a recent analysis of the **Colombian Subsystem of Marine Protected Areas (SMPA)**, which identified a **lack of representation of underwater landscapes in the Colombian Caribbean, such as submarine plateaux, escarpments, hills, mountains and canyons**, which are all recognized for their high biodiversity values in the Convention on Biological Diversity (CBD) and by international organizations such as the World Commission on Protected Areas (WCPA) of the International Union for Conservation of Nature (IUCN), as well as government agencies such as the US National Oceanic and Atmospheric Administration (NOAA), among others.

It should be noted that these recognitions have also recently led other countries such as the USA, Canada and France to prioritize declaring this type of deep-sea ecosystem as an MPA. This may also be linked to the growth of offshore production activities such as mineral extraction, trawling, laying of submarine cables, hydrocarbon exploitation, etc., which if developed unsustainably would put the important natural capital associated with seamounts at risk.

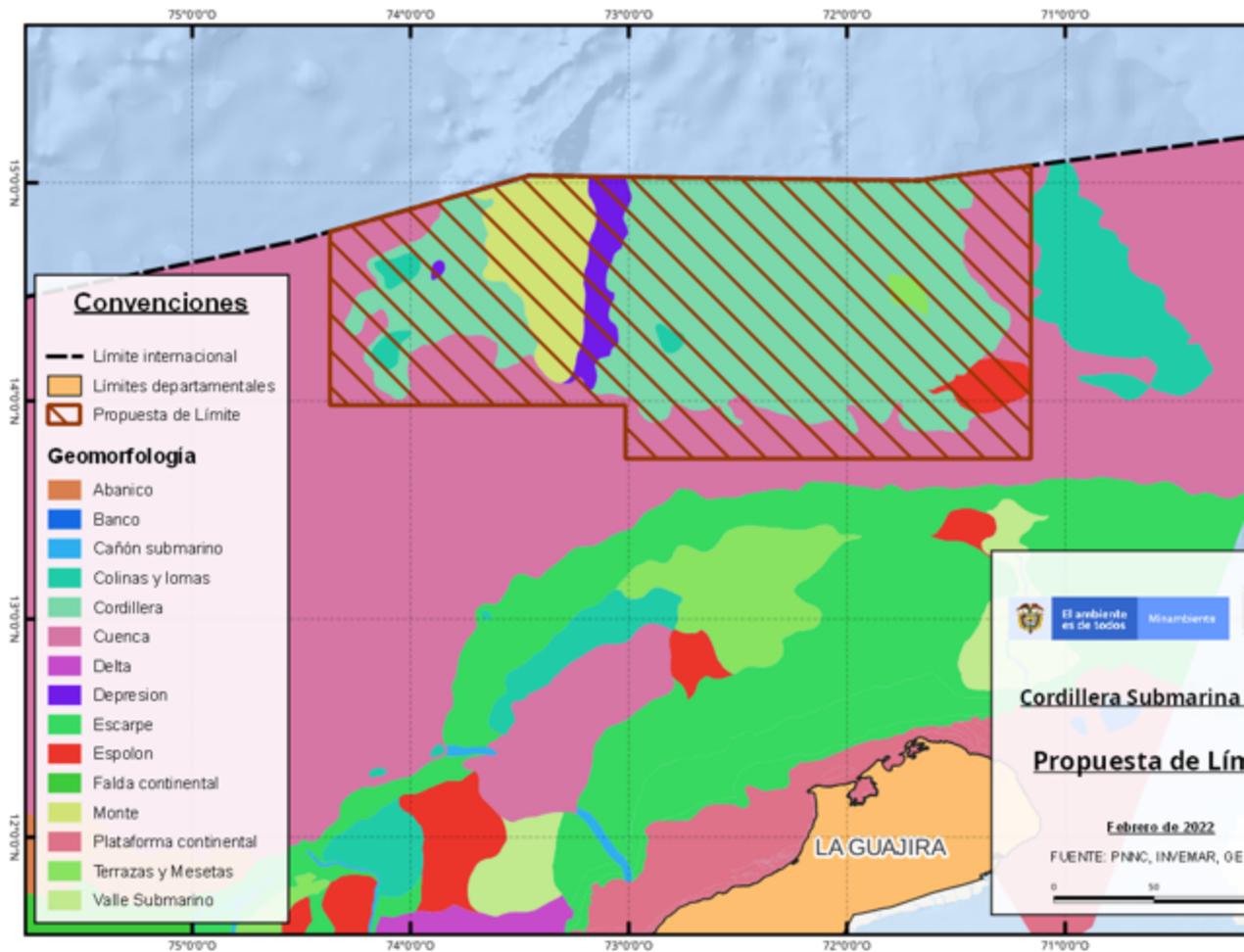
In terms of the socio-environmental risks and threats facing the Beata Ridge, we have thus far identified dynamics relating to hydrocarbons, fisheries, communications cabling, maritime transit, climate change and variability.

It is in this context that the scientific expedition from early 2022, together with the process of coordinating with relevant economic sectors, is helping to identify the objectives and conservation targets (determining factors in the delimitation of the area), and to prepare a summary document in support of the declaration, as well as the subsequent **declaration** of this area of the Colombian Caribbean as a **new Marine Protected Area (MPA)**. The declaration process was undertaken by the **Interinstitutional Technical Committee**, with the participation of various national-level entities that may be able to contribute to the declaration process as well as to its administration and management. The following are members of this Committee: Minambiente, National Parks of Colombia, INVEMAR and the Maritime Directorate (DIMAR). According to the current schedule, it is anticipated that the area will be declared an MPA before the PROCARIBE+ Project commences. At the time of writing (July 2022); the new 'Reserva Natural Cordillera Submarina Beata' ('Beata Ridge') Marine Protected Area (3,312,547 ha; IUCN Category I) had just been formally declared.

The information gathered by INVEMAR will be of **great importance in drawing up the corresponding management plans, an activity that will be supported by the PROCARIBE+ Project** and one that is necessary if the protection provided by this declaration is to be effective.

The design, creation and effective implementation of the Beata Ridge MPA follows a '**landscape-scale restoration strategy**', i.e. it seeks to advance our understanding of the landscape structure, its spatial heterogeneity and its biodiversity with the aim of maintaining its ecological functions on a national and regional scale.

It will protect sites in the Beata Ridge ecozone, strategic for ecological connectivity in the Central Caribbean. It will also preserve landscapes and ecosystems associated with mountains, escarpments, hills and plateaux and contribute to maintaining habitat conditions for the socially and environmentally sustainable use of species of commercial interest in this ecozone.



**Figure 9. Preliminary Reference Area for the Beata Ridge. (source: see map in ...)**

In conjunction with other planned measures (both in the Colombian Caribbean and the Colombian Pacific), this MPA will enable the country to comply with the international commitments that are expected to derive from the Convention on Biological Diversity's post-2020 Global Biodiversity Framework agreements. It will also contribute to the international commitments of Goal 14 'Marine Life' of the Sustainable Development Goals (SDGs, Agenda 2030) and to the actions of the 2021-2030 Decade of Ocean Sciences for Sustainable Development in relation to the challenge 'A healthy and resilient ocean in which marine ecosystems are mapped and protected', as well as the Decade on Ecosystem Restoration (2021-2030).

According to preliminary estimates by the Colombian authorities, the effective implementation of the area following its declaration will require around USD 800,000 over the first 3 years.

In June 2022, it was also announced that Colombia and the Dominican Republic would sign a cooperation agreement for joint marine-coastal research and pursue a joint research expedition for the

binational Cordillera Beata system (based on the results of which the Dominican Republic would advance towards the declaration of a new MPA adjacent to the recently declared ?Reserva Natural Cordillera Submarina Beata?).

List of Proposed Activities to be supported by the PROCARIBE+ Project:

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PROCARIBE+ will focus its support on the measures and activities necessary to ensure the effective and efficient management of the newly designated MPA. The proposed activities to be funded by the project include:

- ? Implementing the initial actions resulting from the declaration process, such as:
- ? Producing and disseminating informational materials on the new MPA to increase awareness among key stakeholders and the general public, with the ultimate goal of achieving compliance with conservation objectives
- ? Formulation of the Management Plan for the new MPA, with special emphasis on data collection/analysis and the development of a solid strategy to ensure the effectiveness of the management of the protected area
- ? Supporting the implementation of priority actions under the management plan (to be established during the project with the corresponding stakeholders) aimed at implementing monitoring, control and surveillance measures/systems
- ? Activities aimed at supporting a cross-border geographic extension of the protection area
- ? Creating a Binational working group for the Beata Ridge, involving Colombia and the Dominican Republic
- ? Binational meetings
- ? Exchanges of experiences
- ? Data and knowledge sharing
- ? Creating harmonized and/or unified data/information/knowledge management structures for the Beata Ridge

It should be noted that the management and administration of this new protected area will take place within the framework of the National System of Protected Areas (SINAP) and the Subsystem for Marine Protected Areas (SAMP).

Colombia Intervention 2: Marine/Coastal Spatial Planning (MSP) for the Bay of Cartagena and adjacent areas (~274km<sup>2</sup>), with a focus on protecting and restoring the marine/coastal natural capital, including declaring the Varadero sector a new Marine Protected Area (27.31km<sup>2</sup>) of global scientific importance

In the Bay of Cartagena and its area of influence, conservation and sustainable development are underpinned by heterogeneous mosaics incorporating production systems and natural ecosystems in which biodiversity is of great importance as one of the structuring elements (INVEMAR-CARDIQUE, 2014).

The Bay area and its adjacent zones consists of a set of ecosystems that include sandy beaches, mangroves, a wetland complex comprising marshes and coastal lagoons, dry forest relicts, sea grasses and coral reefs stretching from the continental landmass to the island areas (and including the archipelagos of the Rosario and San Bernardo Islands), the latter strongly linked to the tourist development of the Colombian Caribbean city of Cartagena.

It is worth noting in this context that Cartagena, the fourth largest seaport in Latin America in terms of cargo traffic and with an important industrial zone, already exceeds one million inhabitants; at the end of 2019, the Cartagena Tourism Information System (SITCAR) reported a total of more than 2.8 million passengers arriving at this destination during that year (pre-pandemic).

As a result of strong anthropogenic pressures, the Bay of Cartagena is a highly polluted system, receiving high loads of industrial waste and sewage every day, as well as sediments and inland water discharges from the Dique Canal, which connects the Bay with the Magdalena River (Martínez-Campo et al. 2017; INVEMAR, 2016; Restrepo et al. 2006).

The lack of specific integrated management strategies for the Bay is considered to be one of the main causes of the deterioration, vulnerability and loss of its ecosystems. This makes an exercise of this nature necessary, including land use and sectoral planning, and taking as a reference and inputs the following planning exercises already carried out involving the Bay area: (a) the Integrated Management Plan for the Magdalena River Coastal Environmental Unit, Dique Canal complex ? Ci?naga Grande de Santa Marta Lagoon System; (b) the 4C Climate Change Plan for Cartagena; (c) the portfolio of conservation priorities for the Colombian continental Caribbean, among others.

In this context, the **‘Ecological Restoration Master Plan for the Bay of Cartagena’** was drawn up in 2021 to be implemented over the **short (1 to 3 years)** and **medium (5 years) term** and an **Interinstitutional Environmental Committee for the Management of the Bay of Cartagena and Barbacoas Bay** was established as a *‘coordinating body for actions that contribute to preventing, correcting and mitigating the effects of environmental pollution occurring in the bays, as well as seeking to reduce the loss of ecosystem services and their rehabilitation in order to promote the welfare of coastal populations and promote sustainable development’*.

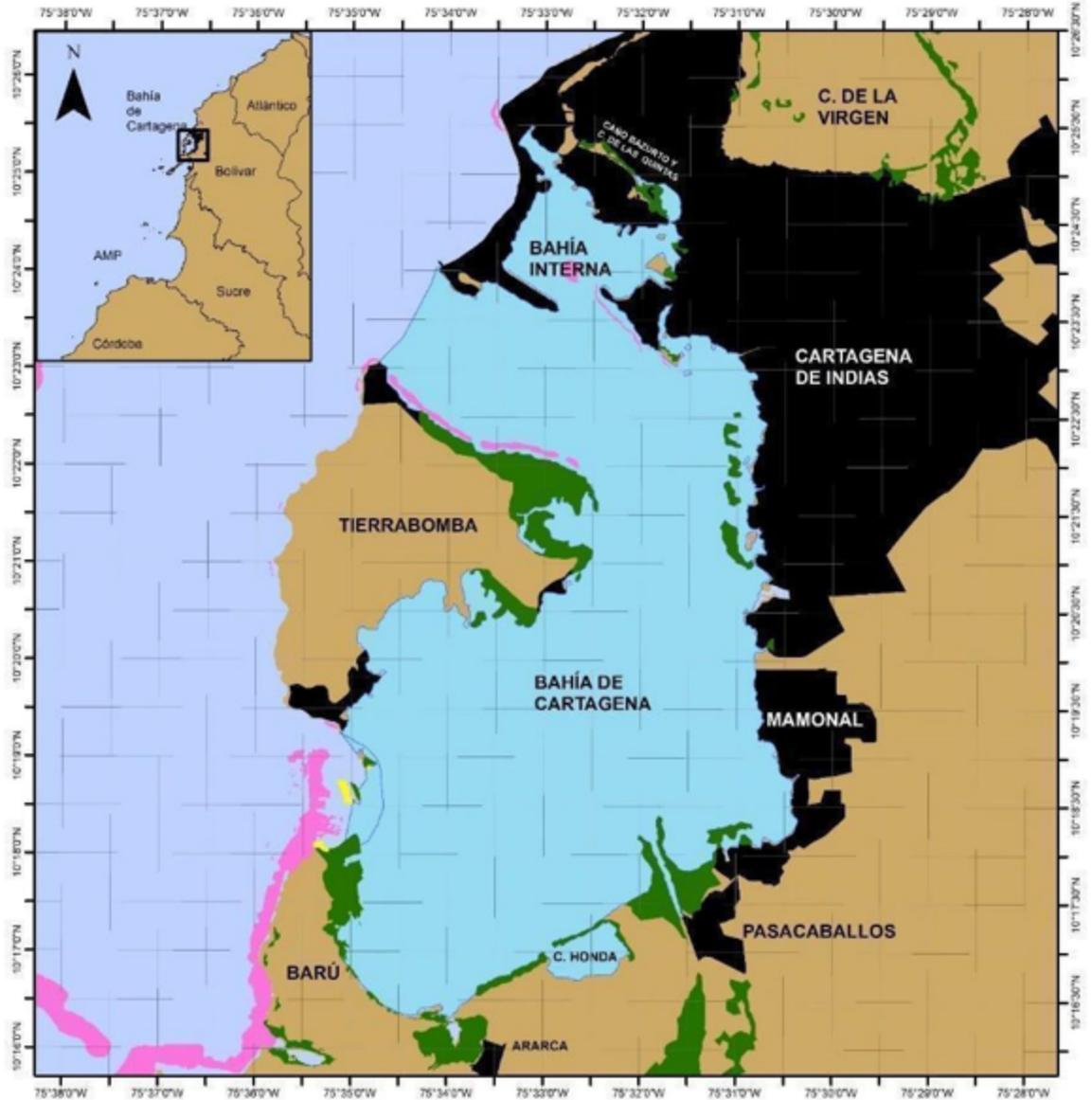
This committee has become the ideal arena in which to generate a coordinated decision-making process that could spearhead a marine spatial planning exercise (MSP) for the Bay.

As noted above, in the context of Colombia's marine/coastal environmental management, the Bay of Cartagena forms part of the **‘Magdalena River-Ciénaga Grande de Santa Marta-Dique Canal Complex’** Environmental Coastal Unit (ECU). ECUs are areas of the coastal zone that are geographically designed for the purposes of planning and management. In this sense, each ECU is deemed to contain ecosystems with their own distinctive characteristics, with similar conditions and connectivity in terms of their structural and functional aspects.

The regulations governing ECUs, along with their planning instrument (the Integrated Management Plan (POMIUAC)) and with the joint committees as coordinating body, were approved by means of Decree 1120 of 2013 (aggregated into the Sole Regulatory Decree for the Environment Sector No. 1076 of 2015), enabling the process of managing the 245,717 km<sup>2</sup> of the country's coastal areas to be promoted with the 12 Coastal Autonomous Regional Corporations (CAR), the National Natural Parks, and the authorities of the large coastal urban centres.

In accordance with Article 10 of Law 388 of 1997, the POMIUAC is the highest environmental standard for the preparation and adoption of land-use plans and it guides the planning of other sectors in the coastal zone.

In addition, by means of Resolution 768 of 2017, the Colombian Ministry of Environment and Sustainable Development adopted the **Technical Guide for the Integrated Management of the Coastal Zone** for use in drafting the POMIUACs.




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**Ministerio de Ambiente y Desarrollo Sostenible**  
 Dirección de Asuntos Marinos, Costeros y Recursos Acuáticos

**SALIDA GRÁFICA**  
 Ecosistemas Estratégicos del Área Circundante a la Bahía de Cartagena

0 1 2 3 4  
 Kilometers

**Sistema Referencia: GCS Bogotá, Transverse Mercator**

### Ecosistemas Estratégicos

- Pastos Marinos
- Manglar
- Corales Someros
- Lagunas Costeras y Estuarios

**Figure 10. Marine and coastal ecosystems of the Bay of Cartagena and its area of influence.**  
(source: DAMCRA-Minambiente GIS)

A Marine and Coastal Spatial Planning exercise, adopted in line with existing national regulations, will be implemented to seek to reconcile the various sectoral strategies and aspirations while improving the protection and conservation of priority sites, thus supporting the development of a blue economy based on the area's marine/coastal natural capital.

The specific objectives of the MCSP exercise to be supported by PROCARIBE+ are to:

- ? Establish a scheme by which to coordinate existing conservation strategies in the area of influence of the Bay of Cartagena and integrate new strategies that can improve the conservation of marine/coastal ecosystems in the area.
- ? Reduce the degradation of ecosystems and ecosystem services.
- ? Design and implement a management scheme for activities and conservation management in the Bay of Cartagena, under a governance model that will enable the coordination and participation of institutions, local communities and the different sectors involved in managing the area.

One particular and specific aspect of the MCSP process to be progressed with PROCARIBE+ support is the declaration of a new Marine Protected Area in the Varadero sector. This corresponds to an area of approximately 2,731.28 ha (27.31 km<sup>2</sup>) and comprises a mosaic of ecosystems (corals, seagrasses, mangroves, coastal lagoons), in particular coral reef. More specifically, within this mosaic, a reef system was discovered in 2014 at the entrance to the Bay of Cartagena, next to the Bocachica navigation channel (López-Victoria et al. 2014).

Despite its limited area, it is considered of international importance. Notwithstanding the high levels of pollution in the Bay, the reef is exceptionally healthy and presents a high biodiversity that has attracted the attention of the international scientific community for its high resilience to the prevailing conditions of the area.

The planning exercise will be led by Minambiente and the Regional Autonomous Corporation for the Dique Canal (CARDIQUE), with technical support from INVEMAR and the participation of other entities from different levels of government and other relevant stakeholders.

List of Proposed Activities to be supported by the PROCARIBE+ Project:

? Conducting a comprehensive analysis of existing and potential conservation strategies in the area of influence of the Bay of Cartagena (protected areas, complementary conservation strategies, including the Rosario and San Bernardo Corals Marine Protected Area, mangrove ecosystem management, and other areas of environmental interest identified in the Coastal Environmental Unit).

? Zoning areas of conservation importance in the Bay of Cartagena, taking into account biophysical aspects (e.g., circulation patterns, physical connectivity), and proposing regulations for their use.

? Design and implement a planning and management scheme that allows the sustainable development of activities in the Bay of Cartagena, seeking to preserve and restore the coastal-marine natural capital in the area.

? Proposing and implementing a governance model that coordinates the different institutional and community stakeholders in the Bay of Cartagena around biodiversity management.

? Continuing the processes required to make the declaration of a new Marine Protected Area in the Varadero sector effective.

Colombia Intervention 3: Declaration of a new Regional Protected Area (527.74 km<sup>2</sup>) in Punta San Bernardo and Chichim?n - Rinc?n del Mar sector, Sucre department, in the Colombian Caribbean, and drafting of its Management Plan

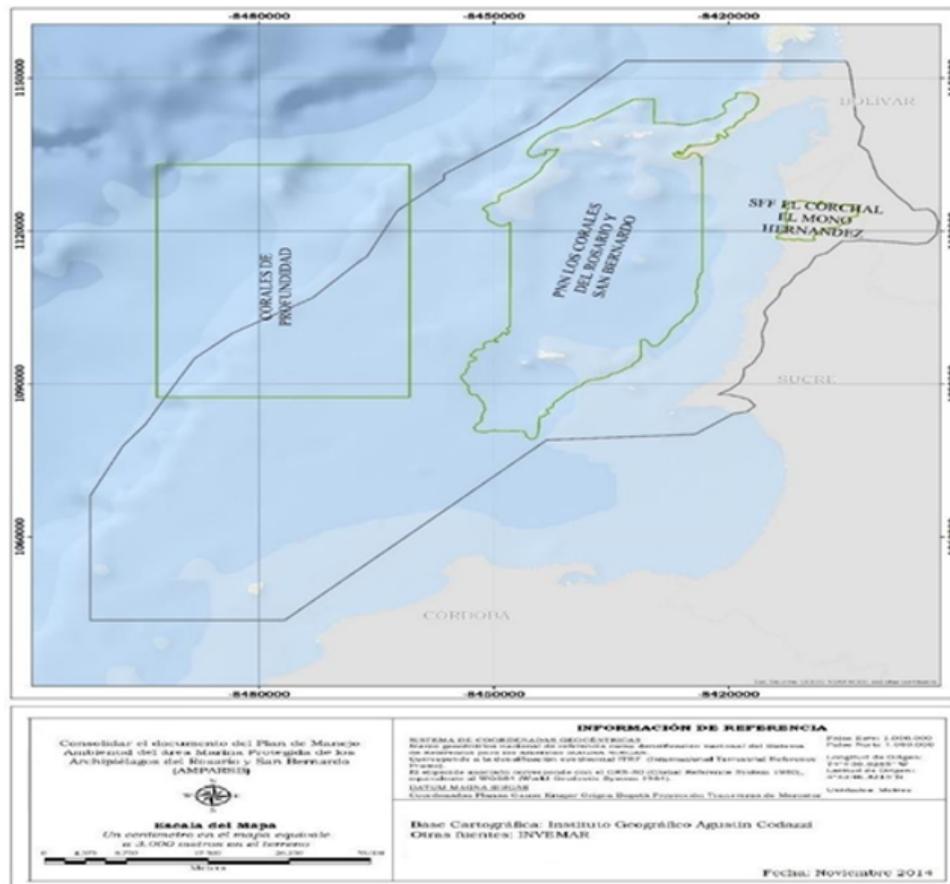
Context of specific intervention

The **“Rosario and San Bernardo Archipelagos Marine Protected Area”**<sup>[1][2]</sup> (ARSB MPA) was declared in 2005 by Resolution 679 of the then Ministry of Environment, Housing and Territorial Development (MAVDT). It covers an area of **5,585.93 km<sup>2</sup>** with the aim of: *“conserving representative samples of marine and coastal biodiversity and the basic ecological processes that support the area’s environmental services and facilitate the sustainable development of the region through their multiple uses”*.

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[1] As shown on the map, there is a partial overlap between the ARSB MPA and the Bay of Cartagena, this latter being the object of the second line of action for Colombia under Integrated Outputs 3.3.1./3.3.2 of PROCARIBE+.

[2] The ARSB MPA includes the island territories of the Nuestra Señora del Rosario and San Bernardo Archipelagos, and the following SINAP-protected areas: the adjacent underwater Rosario and San Bernardo Corals National Natural Park (RSB) NNP, the Deep-Water Corals National Natural Park (CPR NNP), 'El Mono Hernández' Cork Forest Flora and Fauna Sanctuary (CMH FFS) and the Sanguar? Civil Society Natural Reserve (Sanguar? RNSC). It also includes the continental zone from the Dique Canal (in the north) to Punta San Bernardo and the marine area from the RSB NNP to the Isla Fuerte, Bajo Bushnell and Bajo Burbujas complex (to the south) and extends to the 200m isobath on the continental shelf between the departments of Bolívar, Sucre and Córdoba, in the Colombian Caribbean (Figure 13).



**Figure 11. Location of the Rosario and San Bernardo Archipelagos Marine Protected Area. (source: ARSB MPA Management Plan, 2022)**

Prior to the declaration, Resolution 456 of 2003 (Article 5) also established the production of a **Sustainable Development Model** for the Nuestra Señora del Rosario and San Bernardo Archipelagos

with the aim of incorporating criteria for the conservation of their ecosystems and critical ecological processes and defining mechanisms for the sustainable management and use of the natural resources.

As a result, there are currently two instruments for the area, which (as of April 2022) are *in the process of being adopted by the Ministry of Environment and Sustainable Development (Minambiente)*:

? the **Sustainable Development Model (SDM)**, a long-term planning instrument for the area (2022-2045) that sets out the ?guidelines and objectives guaranteeing the conservation, protection, recovery, management and rational use of the strategic island ecosystems and ensures the protection of the collective rights of the communities?;

? the **Environmental Management Plan (EMP)**, a short- to medium-term instrument (2022-2030) that forms the ?operational component of the MPA, establishing strategic lines of action, programmes and projects?.

It is essential to note, in the context of the support provided by the PROCARIBE+ Project, that although the area was designated a Marine Protected Area, the area as a whole did not acquire this status formally in Colombia's National System of Protected Areas (SINAP), even though certain parts of it were incorporated into the SINAP (Figure 11).

Colombia is therefore currently proposing: (1) to submit the ARSB MPA areas excluded from the SINAP as ?**Other Effective Area-based Conservation Measures**? or ?**OECM**?; and (2) to complement the areas within the ARSB MPA and already included in the SINAP with a new Regional Protected Area. Thus, the area covered by the OMEC will initially<sup>[1]</sup> consist of **3,757.46 km<sup>2</sup>**. **The new regional protected area would cover 527.74 km<sup>2</sup>**.

With regard to the OECM, Colombia made progress throughout 2021 in consolidating the technical information needed to guide the application of the criteria required for recognition of the area as such. This process is expected to continue into 2022, in particular with the application, review and agreement of these criteria.

In terms of the new Regional Protected Area, prior consultation processes were commenced in 2019 with the aim of achieving the desired declaration; however, due to differences with the community, who were not in agreement with the project's summary document ?Technical Study by which to

Declare **Punta San Bernardo and Chichim?n - Rinc?n del Mar in San Onofre municipality (Sucre)** a Regional Protected Area and Produce the Management Plan? (Ecovera Corporation), the declaration is still pending.

Within the framework of PROCARIBE+, support will be provided for the effective implementation of the new environmental management plan (EMP) for the ARSB MPA.

Of the three strategic lines of action envisaged in the EMP, PROCARIBE+ support will focus on line 2: *?Conservation, rehabilitation and/or restoration of marine/coastal ecosystems and their services?* and, more specifically, on **managing a new Regional Protected Area in the Punta San Bernardo and Chichim?n sector.**

Under the leadership of the Regional Autonomous Corporation of Sucre (CARSUCRE), the proposal is to create the new protected area using SINAP's **?Regional Integrated Management District?** (DRMI), which is a tool for managing ecosystems and their current uses.

The target area is located between Punta de San Bernardo and Chichim?n ? Rinc?n del Mar, in San Onofre municipality (Sucre department, Colombian Caribbean), and consists of beaches interspersed with coastal wetlands and mangrove forests, in addition to strategic ecosystems of seagrass meadows and coral reefs. All of these ecosystems are used in different ways by local communities and tourists visiting the area.

In addition to providing cultural and ecosystem services, as illustrated by the area?s artisanal fishing and tourism activities, carbon storage and coastal protection services were also identified as being of most relevance to the area. The former is mainly provided by mangrove ecosystems and phanerogam meadows.

The proposed area?s contribution to improving the protection of (1) mangroves, (2) coastal lagoons, (3) phanerogam meadows and (4) coral areas within the jurisdiction of CARSUCRE was assessed during preparatory work related to the proposed declaration, in terms of how representative these ecosystems are in relation to the total area of these ecosystems within the protected areas of the SINAP in this department of the Colombian Caribbean.

It was concluded that the ecosystems that would clearly be further represented within the protected areas under CARSUCRE's jurisdiction would be the phanerogam meadows and coral areas, increasing from 4% to 95% and from 0% to 98%, respectively. In addition, coastal lagoons would also increase from 29% to 42%, and mangroves from 42% to 58%.

The area is home to approximately 8,000 people who are engaged in fishing, tourism, and agricultural and livestock activities. Fishing in San Onofre municipality is largely of an artisanal nature. There are a total of 2,161 active fishers in Sucre department, most of them in San Onofre municipality.

**By declaring the Punta San Bernardo and Chichim?n - Rinc?n del Mar area a Regional Integrated Management District (DRMI),** the socio-ecosystemic connectivity with the Rosario and San Bernardo Corals National Natural Park will be strengthened.

More specifically, the PROCARIBE+ Project will support those activities **(a)** required to make the necessary amendments to the proposal in order to be able to effectively declare the Regional Protected Area (DRMI), and **(b)** those aimed at developing and obtaining approval of its management plan, together with **(c)** a modest investment in infrastructure to facilitate implementation of the monitoring, control and surveillance measures to be included in the management plan.

List of Proposed Activities to be supported by the PROCARIBE+ Project:

(to be reviewed with the Interinstitutional Environmental Committee for the ARSB MPA, which will be established once the management plan for the area has been adopted):

- ? Adaptation of the declaration proposal, taking into consideration the objections that were raised in relation to the initial proposal
- ? Preliminary meetings to identify flaws and/or observations
- ? Technical/community field trips to review and seek out missing information
- ? Joint ethnic/community construction workshops
- ? Reformulation of the declaration proposal
- ? Consultation process with ethnic communities on the revised proposal
- ? Support for the declaration process
- ? Drafting of the management plan

- ? Technical/community field trips
- ? Joint ethnic/community construction workshops
- ? Drafting of the management plan

Implementation of the management plan: component selected - facilitation of monitoring, control and surveillance tasks through the acquisition of basic instruments (drone, GPS,...)

[1] Protected marine areas recognized as such in SINAP will not be part of the surface counted as OMEC. Thus, when new protected areas are established within the area initially declared as OMEC, the area declared as OMEC will be reduced proportionally; however, in these cases the total area with improved conservation measures will continue to cover the total area of the ARSB MPA, which is: 5,585.93 km<sup>2</sup>.

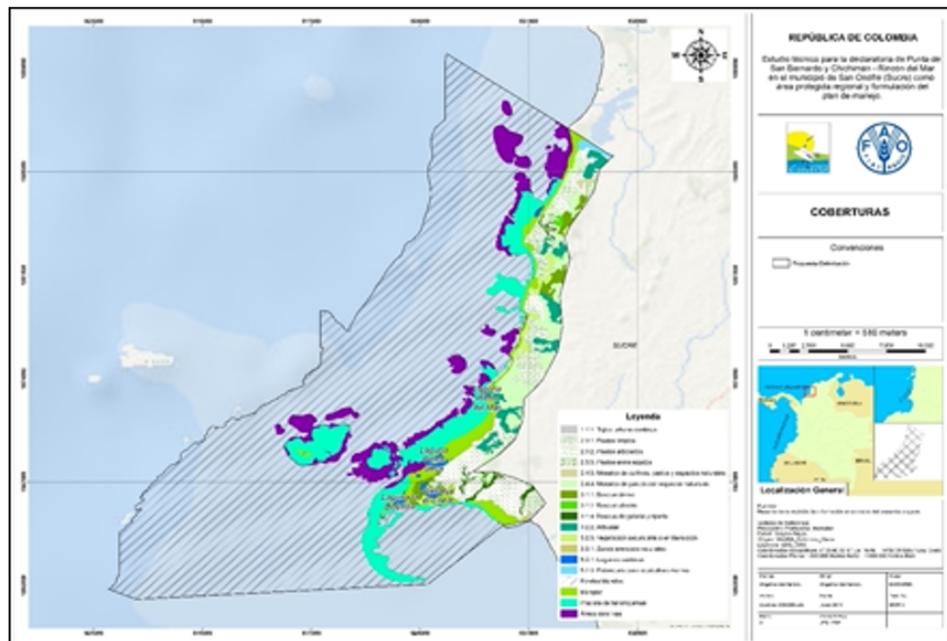


Figure 12. Proposal for a Marine Protected Area to be declared in the Chichimán-Rincón del Mar sector, Sucre Department, Colombian Caribbean. (source: FAO)

Site: Dominican Republic

National Context

The Dominican Republic has more than 1,600 kilometres of coastline and a marine territory of several hundred thousand km<sup>2</sup>, in which a diversity of marine ecosystems (such as coral reefs, mangroves and sea grasses) combine with activities that include artisanal fishing, tourism (including infrastructure for tourist resorts and marine tourism), maritime transportation of cargo and cruises, various agricultural activities along the coastal strip, mariculture and conservation areas.

Committed to **marine conservation** and to the **management of its coasts and seas** due to their high intrinsic value, as well as to national socio-economic development, in particular its **blue economy**, the Dominican Republic has signed up to both the **High Ambition Coalition for Nature and People (HAC)** and the **Global Partnership for Oceans**, two global initiatives that are promoting the goal of effectively protecting 30% of the seas during this decade, considered essential by many scientists to ensure the long-term health of global ecosystems and provide the resulting ecosystem services. The Ministry of the Environment and Natural Resources (MIMARENA) is also currently reviewing the **Sectoral Law for the Coastal Zone and its Resources**, which sets out the parameters to be considered in the planning and sustainable use of the country's coastal and marine areas.

**Marine Spatial Planning (MSP)** and regulation of the activities and uses of the Dominican Republic's marine spaces will be of vital importance to guarantee the appropriate development of the blue economy. MSP will enable the Dominican State to identify coastal and marine areas that have the potential to develop activities related to the blue economy, as well as critical areas for conservation, maximizing available resource potential along sustainability criteria.

The country has thus far made substantial efforts to create an extensive network of protected areas, covering, as of April 2022, a total of 48,625 km<sup>2</sup> of its coastal/marine space, according to WCMC's [protectedplanet.net](https://protectedplanet.net), and offering various levels of protection in line with those established by the IUCN (Law 202-04). However, substantial additional efforts are still needed to reach the 30x30 goal.

The Ministry of Environment and Natural Resources and the Dominican Council of Fisheries and Aquaculture (CODOPESCA) do, nevertheless, recognize the need to move forward in cooperation with the artisanal fishing sector to implement **no-take zones** (a total prohibition on capture) **and/or fish replenishment** and **management zones** in areas where pressure on the resource has affected both the health of coral reefs (e.g. by reducing stocks of herbivorous species) and the sustainability of the activity itself, thus threatening the livelihoods and economic base of the artisanal fishing sector.

The following key considerations are envisaged in the design and definition of the actions to be supported by the PROCARIBE+ Project in the Dominican Republic in relation to **Outputs 3.3.1 and**

**3.3.2:** (a) the country has extensive areas of coral reef; (b) these resources are of critical importance both for the protection and regeneration of the country's beaches (which, in turn, support (mostly coastal) tourism, a sector that generates approximately 16% of Gross Domestic Product and 35% of foreign exchange (World Travel and Tourism Council, 2009)) as well as for the sustainability of national fishing activity); (c) these marine ecosystems have suffered high levels of degradation for many decades; (d) there is broad recognition that the gradual degradation of the coral reefs is largely related to the sharp decline in populations of herbivorous fish species, a phenomenon related to overfishing and unsustainable fishing practices, and exacerbated by the absence of substantial no-take zones in the country; (e) the limited economic possibilities of fishers inhibit an autonomous transition to new, more selective and sustainable fishing methods or gear; (f) there is a need to reconcile the different ways in which the coastal-marine environment is used by promoting the consolidation of a blue economy; and (g) the seamount system is poorly represented within the National System of Protected Areas, despite its high ecological and conservation value.

The PROCARIBE+ Project will focus its work under Outputs 3.3.1 and 3.3.2 in the Dominican Republic on **supporting the protection, restoration and conservation of coastal-marine natural capital** in the Dominican Republic, as well as **the replenishment of fish stocks of high ecological and commercial value**, as a basis for **blue economic development**, through the following three lines of intervention:

1. **Including the "Beata Ridge" seamount system (Dominican part) in the Dominican Republic's system of Marine Protected Areas (tentative extension: 10,000 to 13,000 km<sup>2</sup>): support for the declaration process and the effective implementation of the protected area, as a contribution to the 30x30 goal.**
2. **Applying a multi-scalar, nested marine spatial planning (MSP) approach, with: (a) a coarse-scale marine spatial plan covering a substantial part of the EEZ (min 150,000 km<sup>2</sup>), delivered by end of Project Year 3; (b) at least 1 additional, finer-scale marine spatial plan, covering a "high-priority" marine-coastal area (i.e. with both important blue economy, livelihoods and conservation value), of no less than 1,400 km<sup>2</sup>, by Project End.**
3. **Creating and effectively implementing (pilot) no-take/fish replenishment and/or management zones, cumulatively covering a marine area of no less than 35 km<sup>2</sup> (and additional to those that could be set in the context of action line #1)**

For all activities described below, the UNDP SES guidelines will be followed. The ESMF (ProDoc Annex 10) provides guidance on the assessments and measures needed to comply with the SES.

Each line of intervention is described in more detail below:

Dominican Republic Intervention 1: Including the 'Beata Ridge' seamount system (Dominican part) in the Dominican Republic's system of Marine Protected Areas (tentative extension: 10,000 to 13,000 km<sup>2</sup>): support for the declaration process and the effective implementation of the protected area, as a contribution to the 30x30 goal.

As part of its efforts to achieve the 30x30 target, the Dominican Republic will seek to extend, in the coming years, the area of its formally protected marine waters, either through the creation of new Marine Protected Areas (MPAs), the extension of existing MPAs and/or Other Effective Area-based Conservation Measures (OECMs).

Part of these efforts, to be supported by PROCARIBE+, will focus on the marine waters located to the south of Hispaniola Island. These efforts will be coordinated, as appropriate, with a possible project of the Blue Nature Alliance initiative (a more holistic approach, through complementary actions). Communications with the Blue Nature Alliance team initiated and sustained throughout the PROCARIBE+ PPG phase will be continued for this purpose into and throughout the PROCARIBE+ implementation timeframe.

The **Arrecifes del Suroeste Marine Sanctuary (IV IUCN) (WDPA ID 555629451; 2,707 km<sup>2</sup>)** is located at the south-western tip of the Dominican Republic's land territory, which is also the southern tip of Hispaniola Island. It was created in 2009 with the purpose of conserving the natural habitats and special environments that form along the continental shelf south of Hispaniola. The sanctuary contains an important coral reef barrier plus numerous marine species under varying degrees of threat, such as the West Indian manatee (*Trychechus manatus*).

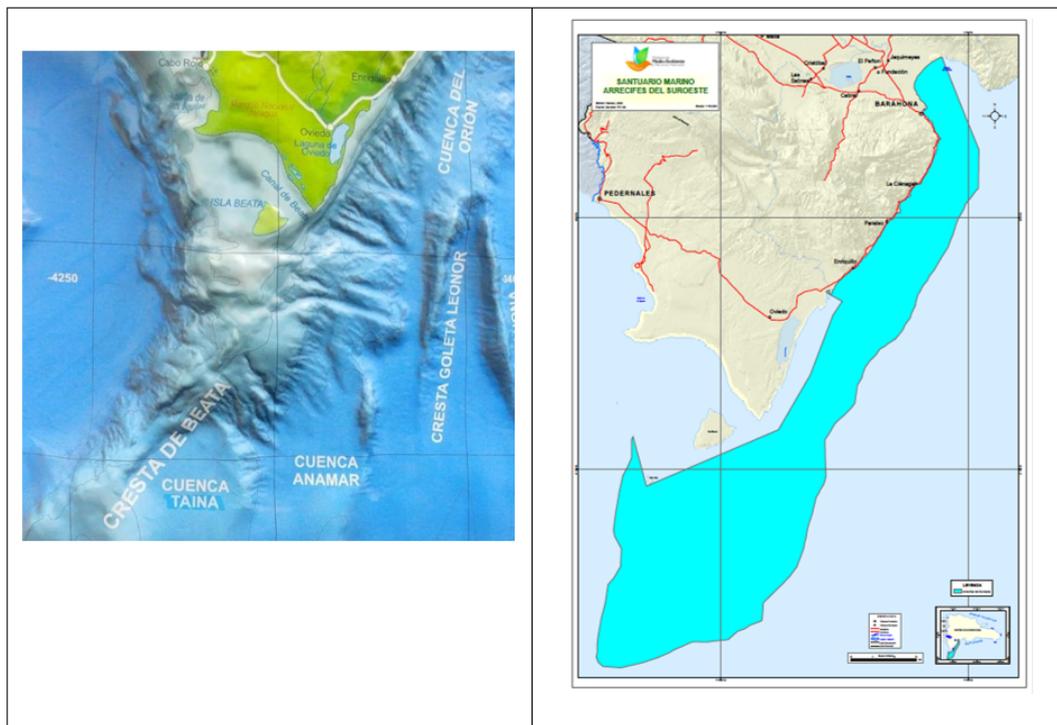
To the north-west, it borders the **Jaragua National Park (II IUCN) (WDPA ID 555624220; 1,577 km<sup>2</sup> in total, marine areas = 828 km<sup>2</sup>)**, which includes Cabo Beata and Beata Island. It is listed as a protected area under the SPAW Protocol of the Cartagena Convention for the Protection of the Marine Environment of the Caribbean.

Adjacent to the sanctuary, and extending in a south-westerly direction, begins the system of submarine mountains known as the **'Beata Ridge'**, a binational system that extends beyond the limits of the Dominican Republic's Exclusive Economic Zone and into Colombian waters.

An expansion of the formally protected marine area in this part of the Dominican Republic (either by extending the area covered by the Arrecifes del Suroeste Marine Sanctuary or by creating a new oceanic Marine Protected Area adjacent to it) will seek to **protect the Dominican part of the Beata Ridge system.**

It should be noted in this context that, due to its unique characteristics and important biodiversity values, and as previously described in this document, at the time of writing (July 2022), Colombia has proceeded to declare 3,312,547 ha of the section of the Beata Ridge located in Colombian waters as a new Marine Protected Area.

The Dominican Republic's interest in protecting the part of the ridge that lies within its national waters, which contains significant marine ecosystem areas not currently covered by its national system of Marine Protected Areas, offers an important opportunity to ensure the conservation of this important binational oceanic system.



**Figure 13. Location of the Cordillera Beata in the Dominican Republic, and of the Arrecifes del Suroeste Marine Sanctuary. (source: Ministry of Environment, Dominican Republic)**

Over the last decade, there has been a global trend towards establishing (very) large MPAs. Large MPAs are often found in open ocean areas where human uses are less abundant and protection less controversial. They also tend to include diverse habitats and assemblages of species that do not yet

show signs of extraction pressures and therefore remain in very good ecological condition (Halpern et al., 2008).

In conjunction with parallel actions in Colombian waters, the proposed action in the Dominican Republic under this line of action will promote connectivity between habitats and species in the area and allow for more holistic conservation. It is expected that the potential expansion of the action planned by PROCARIBE+ through what would be complementary and properly coordinated support between a possible project of the Blue Nature Alliance initiative and the PROCARIBE+ Project will allow the mobilization of a volume of support and technical assistance resources that would allow the actions to go beyond the mere declaration of the area as a protected zone, also helping to advance its effective implementation.

It is further noted in this context that in June 2022, it was announced that Colombia and the Dominican Republic would sign a cooperation agreement for joint marine-coastal research, and pursue a joint research expedition for the binational Cordillera Beata system, based on the results of which the Dominican Republic would then advance towards the declaration of a new MPA adjacent to the recently declared 'Reserva Natural Cordillera Submarina Beata' in Colombia.

The intervention proposed here is in line with the three-pronged approach recommended by Friends of Ocean Action in their [Impact Report: 'The Business Case for Marine Protection and Conservation'](#), also described in Section III of the Project document.

List of Proposed Activities to be supported by the PROCARIBE+ Project:

? Concrete activities to support the process of including the Beata Ridge in the Dominican Republic's system of Marine Protected Areas:

- o Development of complementary technical studies, and collection of information to strengthen the baseline
- o Delineation of the boundaries of the area to be granted formal protection, and proposed zoning for permitted and non-permitted uses (mapping)
- o Consultations with authorities and relevant actors with (potential) interest in the area
- o Preparation of other inputs required to conduct the declaration process

- ? Activities aimed at supporting a transboundary geographic approach to protecting the Beata Ridge
  - o Creation of a Binational Working Group for the Beata Ridge involving Colombia and the Dominican Republic
  - o Binational meetings
  - o Exchanges of experiences
  - o Data and knowledge sharing
  - o Creation of harmonized and/or unified data/information/knowledge management structures for the Beata Ridge
- ? Development of a management plan, with provisions for monitoring and evaluating progress, and support for the implementation of priority measures identified during the development of the plan
- ? Awareness-raising activities

Dominican Republic Intervention 2: Applying a multi-scalar, nested marine spatial planning (MSP) approach, with: (a) a coarse-scale marine spatial plan covering a substantial part of the EEZ (min 150,000 km<sup>2</sup>), delivered by end of Project Year 3; (b) at least 1 additional, finer-scale marine spatial plan, covering a 'high-priority' marine-coastal area (i.e. with both important blue economy, livelihoods and conservation value), of no less than 1,400 km<sup>2</sup>, by Project End.

For countries with extensive EEZs, and based on the characteristics of the sea space under national jurisdiction (*e.g. dimensions, geographic features, spatial variability of the intensity and multiplicity of uses, presence of vulnerable areas, (the potential for) synergies between uses and (the potential for) current and future conflicts, administrative issues...*), national MSP authorities may decide to adopt a **multi-scalar approach to marine spatial planning**.

Under such an approach, distinct plans may be prepared for different marine areas. These plans may differ in regard to their levels of detail, as well as the time horizons to which they apply. The origin of the term 'multi-scalar' comes from the different planning scales; however, in practice the terms will mostly relate to the level of detail with which the planning process is exercised.

As such, large areas of more remote ocean space with limited overlapping uses may require less details in the resulting plan than is the case with MSP efforts focussing on smaller but intensively used areas

of marine space adjacent to the coasts. Similarly, the planning objectives, and time horizon during which the plan will be applicable, will also be determinants for the ideal planning scale/resolution.

Producing highly detailed marine spatial plans for vast swaths of ocean space may result in prohibitively expensive, while delivering limited added value. Therefore, where ambitions exist to submit the full, or most of the EEZ to a planning process, a multi-scalar planning exercise where one or several more detailed plans are nested within a larger-scale, EEZ-level plan provides a cost-effective solution. When resources are limited, such a solution will also allow a country to gradually advance its planning efforts, assigning higher urgency in the planning process to high-priority areas and/or uses, and with the aim of timely addressing the more critical national sustainability, adaptation, conservation and development targets.

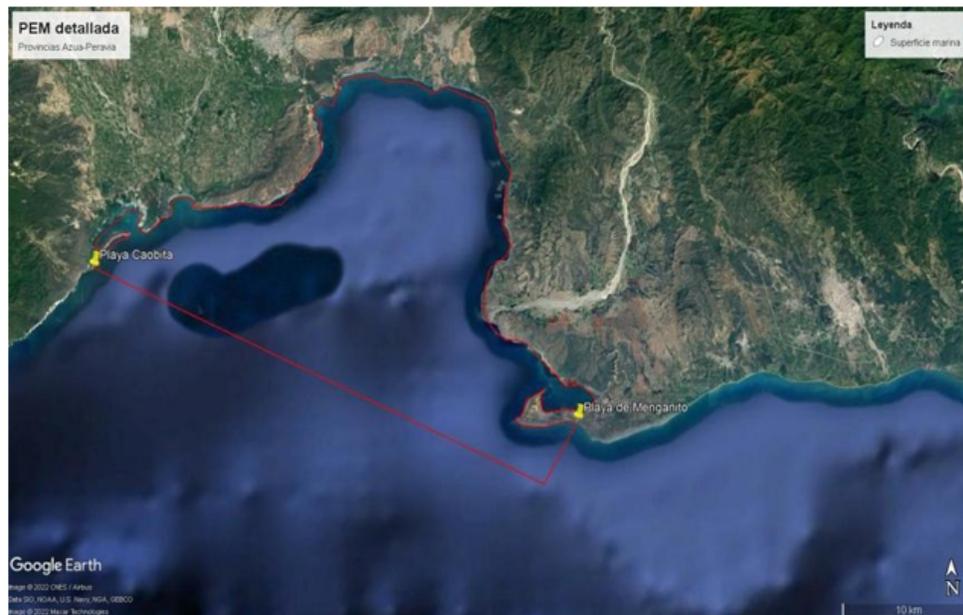
PROCARIBE+ will pilot and demonstrate this approach in the Dominican Republic, by supporting the development of a "coarse-resolution" marine spatial plan, covering, tentatively, at least 150,000 km<sup>2</sup> of the EEZ, and, nested within this coarse-resolution MSP, higher-resolution MSP efforts focussing on at least one coastal-marine area consider to be a high-priority area for the Blue Economy.

The national MSP exercise could also be used to assess the different options the Dominican Republic may have at its disposal to achieve its marine conservation goals, including the "30x30" target and targets (to be defined nationally) related to the creation of no-take zones.

For the purpose of conducting the exercise of at least 1 MSP pilot on a more detailed scale, to date 2 potential priority areas have been pre-identified for such an exercise, these being: the coastline between Playa Menganito and Playa Caobita, including **Bahías de las Calderas and Ocoa, in the Peravia and Azua provinces** (approximate area: 400 km<sup>2</sup>), and **Costa de Pedernales (Pedernales River-Punta Pic?), in the Pedernales province** (approximate area: 1,400 km<sup>2</sup>). The latter consists of some of the most pristine areas in the country, which is also considered a high priority national area for development, with a strategic plan for tourism development. What is particular about this situation, and the sense of urgency in this particular case, consists in the fact that the participatory development of the planning exercise would be carried out before the large investments enter the area, thus providing greater guarantees for the sustainability and early identification, and therefore also the possibility of preventing through planning (instead of having to remedy later), potential conflicts.



**Figure 14.** The coastline of the Pedernales province where a finer-scale MSP exercise is considered, can be seen in red (Source: [MinAmbiente/Google Earth](#))



**Figure 15.** The coastline of the Peravia and Azua provinces is a second area where a finer-scale MSP exercise may be supported by PROCARIBE+ (potential target area delineated in red) (Source: [MinAmbiente/Google Earth](#))

In recognition of the importance of creating highly protected areas, in particular designating no-take zones and/or fish replenishment zones, the MSP exercises to be supported by the PROCARIBE+

Project will be used to advance the **strategic mapping of possible priority areas for the establishment of fish replenishment zones**, either at the national level or pilot level (MSP on a more detailed scale) ( to be agreed with key actors during the project).

List of Proposed Activities to be supported by the PROCARIBE+ Project:

The generic approach described below will be considered for the proposed MSP efforts in the Dominican Republic and may be further fine-tuned with national stakeholders and with the inputs of MSP experts, during the project inception phase.

This generic approach considers four main actions, as presented below. A tentative list of activities is included for each action. Linkages with relevant other outputs under the PROCARIBE+ Results Framework will be pursued (e.g. MSP training under Component 2, potential linkage with NDC, etc.).

? Define and analyze existing and plausible future conditions of the marine and coastal environment, and marine and coastal uses (*opportunities & threats*), in the planning area:

- a. Conduct a Blue Economy (BE) and marine conservation baseline diagnosis, and BE scoping exercise, including a review of current and proposed developmental plans and policies
- b. Map natural resources, socio-economic activities and cultural values using Participatory GIS, including the potential impacts of climate change, at appropriate spatial scales (resources allowing); incorporate the results from prior coastal vulnerability assessments
- c. Valuate assets of coastal infrastructure and ecosystem services as part of a marine and coastal natural capital accounting exercise

? Raise awareness on the importance of MSP, and technical capacities for its implementation:

- a. Develop custom-made awareness raising programmes for politicians, decision-makers, coastal-marine resource users and the citizenry
- b. Build capacity and skill sets for relevant stakeholders to be engaged in the planning process
- c. Build technical capacity of relevant stakeholders in communication, facilitation, socio-economic and adaptive management

? Design and implement a participatory approach for the planning exercise:

- a. Update and/or fine-tune, as applicable, a stakeholder analysis to facilitate the active involvement of relevant actors throughout the MSP process

b. Establish a multi-sectoral committee, and the required multi-sectoral arrangements, to respectively oversee and support the Marine Spatial Planning process

c. Mobilize and engage key stakeholders from civil society, non-governmental organizations and the private sector in the MSP planning process

? Develop the marine spatial plan:

a. Collaboratively develop (participatory approach) the marine and coastal spatial plan that includes scenarios for zoning areas for multi-use, limited use and no-take areas based on the outcomes of stakeholder consultations and simulations of plausible future conditions (incl. climate change), and, to the extent feasible, with keen attention to influences on the coastal and marine environment from processes associated with the land-water interface (source-to-sea)

b. Seek endorsement of the MSP plan by the corresponding entities and/or stakeholder groups, with a view of facilitating/enabling its subsequent formal adoption and implementation

Dominican Republic Intervention 3: Creating and effectively implementing pilot no-take/fish replenishment and/or management zones in coral reef areas, through collaborative efforts between the fishing sector and the environmental sector, with the goal to be achieved through PROCARIBE+ support being proposed as: the implementation of protection and recovery measures over a cumulative area of no less than 35 km<sup>2</sup> (and additional to those that could be set in the context of action line #1)

Through a joint exercise between the Ministry of the Environment and the Dominican Council for Fisheries and Aquaculture, and with the involvement of other relevant actors, the Project will support the establishment of pilot areas of **No-take Zones/Fishing Replenishment Zones** and/or **Local Management Areas**, in coral reef areas affected by overfishing. Priority areas will be geo-spatially delineated and ecological and socioeconomic criteria will be used to identify areas with high feasibility for the establishment of new No-take zones and with high potential to contribute to the reestablishment of local fish stocks.

These zones may be established either inside (no-take zones) or outside (local management areas) the areas that already enjoy protected status under the National System of Protected Areas (SINAP).

Within the framework of PROCARIBE+, the implementation of a minimum of two pilots is projected (tentatively, in the provinces of La Altagracia and/or Pedernales), impacting an area of ??no less than 35 km<sup>2</sup>.

Considering the pre-existing experiences of the MAR Fund, and of certain fishers groups from the MAR region with the establishment and implementation of fish replenishment zones, the project will seek to support an exchange of experiences among authorities and fisherfolk from the Dominican Republic, and their peers from the MAR region, to promote peer-to-peer learning and exchange of experiences and best practices that will further help the shaping and fine-tuning of the project-supported activities under this Output in the Dominican Republic.

List of Proposed Activities to be supported by the PROCARIBE+ Project:

- ? Exchange of experiences between authorities and fishers from the Dominican Republic and the Mesoamerican Barrier Reef System (MAR) region to promote peer learning and an exchange of experiences and best practices on the creation and implementation of Fishing Replenishment Zones;
- ? Capacity building and awareness raising of local communities, relevant authorities and fishers on the importance of Fishing Replenishment Zones and their responsibilities in relation to their effective implementation;
- ? Identification and empowerment of social leaders;
- ? Development of proposals for establishing Fishing Replenishment Zones, including the collection of technical data on the ecological and socio-economic conditions of the proposed areas;
- ? Establishment of governance and management frameworks for new Fishing Replenishment Zones;
- ? Development of monitoring and surveillance plans for new Fishing Replenishment Zones; establishment of site baseline (fish biomass);
- ? Installation of markers to delineate the sites of the new Fishing Replenishment Zones;
- ? Identification of alternative livelihoods for fishers (where applicable).

Site: Meso-American Reef Region (MAR) Region, Belize, Guatemala and Honduras)

Regional Context: The Meso-American Reef

Within the Caribbean Large Marine Ecosystem (CLME), the **Mesoamerican Reef (MAR)** stretches over **1,000 kilometers along the coast of Mexico, Belize, Guatemala and Honduras**. It constitutes the largest and most diverse barrier reef in the Western Hemisphere, home to marine resources and ecological processes of regional and global importance.

The marine environment of the wider MAR region includes not just the coral reefs but also, a.o., seagrass beds, coastal lagoons, mangroves and estuaries, and pelagic habitats.

An estimated **2 million people** are woven into the fabric of the MAR region's rich coastal environments. Fishing industries and thousands of artisanal (small-scale) fishermen depend on the MAR. Thus, healthy marine and coastal ecosystems in the MAR provide the foundation for local economies and a multi-billion-dollar tourism industry.

According to a recent [economic valuation \(Ruiz de Gauna et al., 2021\)](#), the **ecosystem services** provided by the mesoamerican reef deliver **annual economic benefits of more than US\$4.5 billion** from tourism, coastal protection and fishing value, securing resilient and sustainable lives and livelihoods.

In recognition of the critical importance of marine and coastal ecosystems, the countries sharing the MAR have created more than [70 marine and coastal protected areas, covering 8.8 million hectares](#).

Notwithstanding these substantive efforts, the MAR remains under threat: it has been deeply affected by the loss and degradation of mangroves, the physical and chemical alteration of estuarine, seagrass, and coral reef habitats, the ecological effects of **overexploitation of resources, negative impacts from maritime shipping and accidents**, coral disease, and the effects of extreme meteorological events and climate change.

Great declines in reef health have been tied to large decreases in herbivorous fish attributed to unsustainable fishing practices and insufficient fully protected MPA's, and, more recently, the newly emerging and quickly spreading stony coral tissue loss disease. More than 75 groundings by ships have been reported in the MAR in the past two decades, and vessel strandings are common.

Despite all this, ecosystems and species have persisted to date, and, in some cases recovered, thanks to their enormous resilience combined with the multiple investments made into their protection and sustainable management.

The Healthy Reefs for Healthy People Initiative (HRI) reported, in its [2020 Mesoamerican Reef Health Report Card](#), an increase in the number of monitored sites exhibiting poor or deteriorating conditions. More positively, the report also highlighted the **demonstrated benefits of sound management actions**, such as the increase of herbivorous fish biomass (2,744g/100m<sup>2</sup>) at Belizean sites since the protection of parrotfish established in 2009.

With the support of the German Government through KfW, an innovative parametric insurance scheme is being implemented to provide immediate access to funds for reef restoration in case of damages caused by hurricanes. Action is being planned to tackle the newly emerging coral disease.

Yet, in light of the ongoing decline and the emergence of new and/or incremental threats, **additional investments and complementary actions remain urgently needed, to achieve the necessary upscaling and in order to provide for a more holistic approach**. The [2020 Report Card](#) provides **solid guidance in terms of some of the priorities for action to be contemplated for the MAR**.

The following key considerations are envisaged in the design and definition of the actions to be supported by the PROCARIBE+ Project in the MAR Region in relation to **Outputs 3.3.1 and 3.3.2**: (a) substantive amounts of the marine space of the MAR are currently already contained within established MPA's; (b) notwithstanding this, currently **only approximately 1% of the marine space of the MAR** (i.e. 3,000 km<sup>2</sup> out of 249,342 km<sup>2</sup>) **is fully protected through no-take/fish replenishment zones**; and (c) in spite of the existing MPA coverage, the MAR's substantive **international shipping activity continues to constitute an important threat** to coral reef health and physical integrity and demands complementary (area-based) protective measures.

In Support from PROCARIBE+ under Outputs 3.31 and 3.32 in the Meso American Reef Region will strategically focus on **the following 2 lines of intervention**:

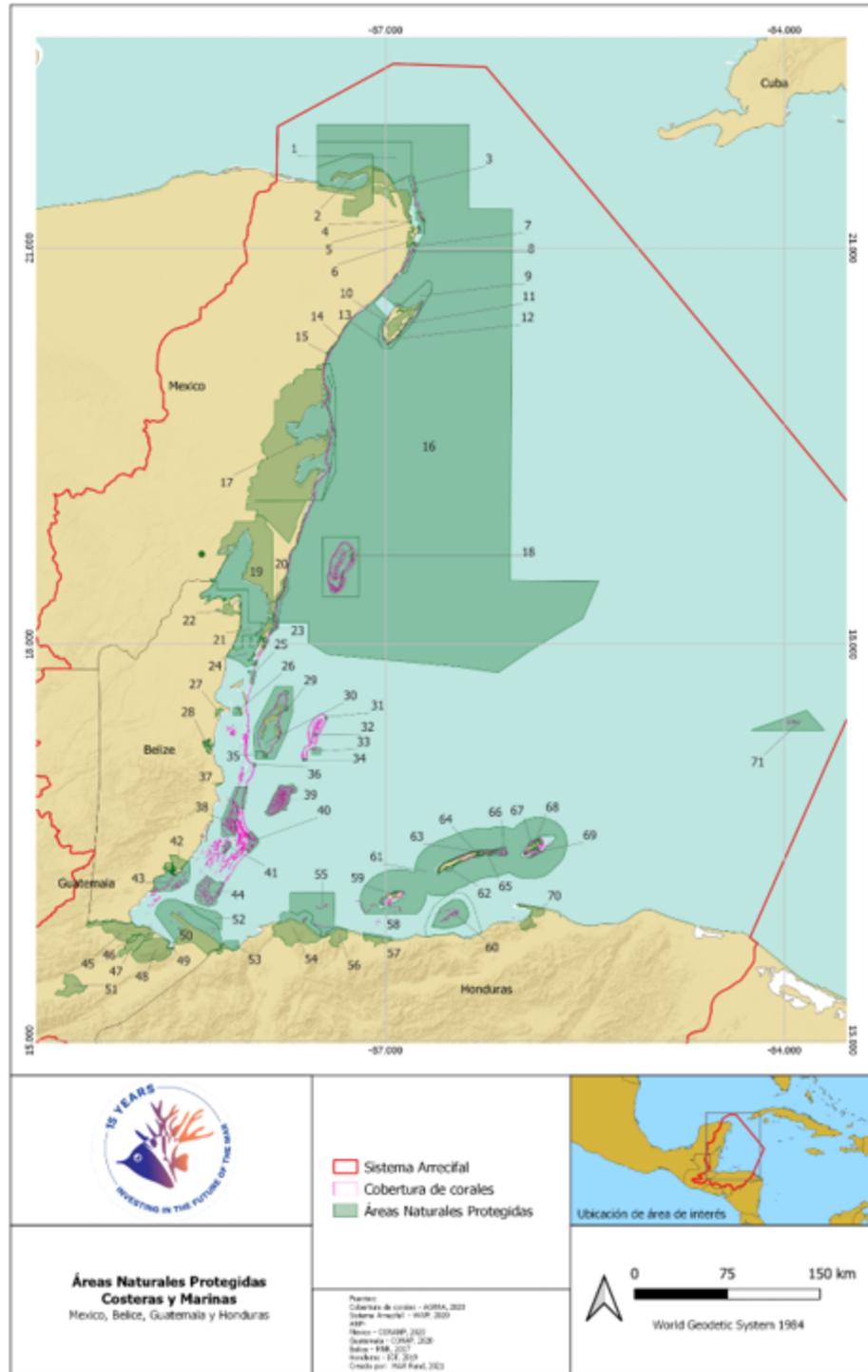
- 1) **Contribution from the PROCARIBE+ Project to the regional, multi-partner efforts to increase the amount and spatial coverage of effective fish replenishment/no-take zones in the MAR**, in direct collaboration with local fisherfolk organizations/marine stakeholders, and with a preliminary PROCARIBE+ target to effectively implement at least **100 km<sup>2</sup>** of new Fishery Replenishment Zones (FRZ)
- 2) Submission to the **International Maritime Organization (IMO)** of a **joint proposal by the MAR countries** to designate part of the MAR (approx. **56,097 km<sup>2</sup>**; tentative/preliminary value) as a **Particularly Sensitive Sea Area (PSSA)**, with the aim of more effectively addressing existing and potential/newly emerging threats to the reef system posed by international shipping (*note: the development of the joint proposal is to be supported by a **Marine Spatial Planning exercise***).

Through these area-based conservation measures and improvements in the management efforts of specific strategic areas of the reef ecosystem, the project interventions aim to complement ongoing and planned actions by other actors in the region and as such support the creation of a **more holistic set of actions** required for an effective, sustainable improvement of the health and resilience of the MAR ecosystems.

For all activities described below, the UNDP SES guidelines will be followed. The ESMF (ProDoc Annex 10) provides guidance on the assessments and measures needed to comply with the SES.

Each line of intervention is described in more detail below:

MAR Region Intervention 1: Contribution from the PROCARIBE+ Project to the regional, multi-partner efforts to increase the amount and spatial coverage of effective fish replenishment/no-take zones in the MAR, in direct collaboration with local fisherfolk organizations/marine stakeholders, and with a preliminary PROCARIBE+ target to effectively implement at least 100 km<sup>2</sup> of new Fishery Replenishment Zones (FRZ)



**Figure 16. Mesoamerican Barrier Reef System and Associated Marine Protected Areas. (source: MAR Fund)**

While 70+ marine and coastal protected areas have been established in the MAR, only 1% of the MAR marine territory is currently fully protected from fishing. This leaves most of the area vulnerable to

unsustainable and harmful fishing practices, and does not provide the critically needed opportunities for fish stock replenishments that will support coral reef health and the long-term sustainability of commercial fisheries.

The Healthy Reefs for Healthy People's **Call to Action** under the [2020 Mesoamerican Reef Report Card](#) had one element in common across all 4 MAR countries, namely: ***to increase fully-protected fish replenishment zones to 20%, with proper enforcement***. The report acknowledged the need for special attention to **fish spawning aggregations (FSA)**, given the critical importance of such areas in the life cycle of species.

A call for action on the designation of fishery replenishment zones (FRZs) or MPA's - with an Ecosystem-based management approach for the protection of herbivores fish, as parrot fish species, and spawning aggregations - was also made under the [Regional Strategy and Action Plan for the Valuation, Protection and/or Restoration of Key Marine Habitats in the Wider Caribbean 2021 - 2030](#) developed by UNEP with the financial support of the UNDP/GEF CLME+ Project.

**Fish Replenishment Zones (FRZ)**, also called **No-take** areas<sup>[1]</sup> are designated areas where all extractive activities are banned. No-take marine reserves - the MPA's with stronger protection - are very effective in restoring and preserving biodiversity, and in enhancing ecosystem resilience. A 2018 meta-analysis of existing studies showed that biomass of whole fish assemblages in marine reserves is, on average, 670% greater than in adjacent unprotected areas, and 343% greater than in partially-protected MPAs ([Sala and Giakoumi, 2018](#)). Marine reserves can consequently help repopulating **outside** areas and hence benefit the communities that rely on fisheries for their livelihoods. They also often provide alternative income through activities directly related to the management of the area, or in some cases, from an increase in tourism due to the recovery of the reef.

All four countries of the MAR region have procedures in place through their institutional frameworks that allow for the establishment of FRZs and have already taken steps to increase the protection of the MAR from unsustainable fishing activities. To date, a total of 99 areas have been established in the MAR, covering a total of 295,506 hectares (close to 3,000 km<sup>2</sup>)<sup>[2]</sup>. Already, these areas have helped double the amount of commercial fish inside some of these no-take zones over the past decade (Mcfield et al., 2018).

While governments have authority over the formal establishment of FRZs in MAR countries, bottom-up approaches in which local fisherfolk organizations/cooperatives (are incentivized, through project support, to) take initiative increase the chances for effective implementation.

Based on existing success stories and with concrete results becoming more readily available in the MAR, a growing interest can be observed among fisherfolk in the region in creating new FRZs, as there is an increased awareness and understanding of their benefits for the sustainability of local fish stocks and thus of their livelihoods.

While the official process for the formal designation of FRZs by governments can be lengthy, practice has shown that once the necessary agreements, buy-in and commitments within the local fisherfolk community(s) are achieved, transitional financial support can be sufficient to initiate the effective, on-the-ground implementation of the no-take areas, while their formal designation by the state is pending.

In prior experiences with the establishment of FRZs in the MAR region, the involvement of fishers in the process has included their participation in technical studies developed to identify the priority areas for establishing new FRZs, and an active role in monitoring and surveillance activities once the sites are established.

Progress in the MAR region with the designation and implementation of FRZs are in large part due to the continuous work of well-established regional and local organizations. We refer in this context to the work conducted by the Mesoamerican Reef Fund (MAR Fund), a regional environmental fund established in 2004 and whose primary goal is to protect the MAR by providing meaningful long-term financial support and trustworthy reef management advice. MAR Fund has a long leadership track-record in supporting MAR countries with the creation and consolidation of an interconnected network of coastal and marine protected areas, including the establishment and implementation of FRZs.

Providing such organizations with access to a variety of funding sources (including the GEF) will allow actions on FRZs in the MAR region to progressively and collectively be upscaled, towards recommended, science-based targets and/or national or local societal or political aspirations.

Other international partners providing financial support for the conservation and sustained ecological health are [KfW](#) and the [Summit Foundation](#).

The PROCARIBE+ Project will seek to collaborate with such global, regional and local partners to support the effective implementation of no-take/fish replenishment measures in the MAR, through the

creation of new and/or expansion/improvement of existing FRZs in the MAR countries participating in the PROCARIBE+ Project.

Financial and technical support will be provided to local fisherfolk associations/groups and marine protected area practitioners operating in the MAR and interested in developing FRZ initiatives. Grants will be provided to the successful proponents for activities related to the technical and legal work required for the designation and practical, effective implementation of FRZs. A gender and culture sensitive approach will be used for selecting the projects to receive support to ensure that women, indigenous peoples and other vulnerable communities benefit from the activities of the project. Support may include assistance for the establishment of the FRZ baseline situation (e.g. pre-establishment fish biomass) and the development of a monitoring & evaluation plan, as well as the design and initial implementation of control and surveillance activities needed to ensure compliance with the protection measures established.

A proposal/proponent screening and selection process will be fine-tuned and adopted, and subsequently applied for the selection of grantees. With a view to maximise return on the GEF investment, the PROCARIBE+ project will aim at selecting local fisherfolk associations/groups that have the enabling factors in place for successfully establishing new FRZs and/or expanding/improving existing zones. The project will also seek to increase the protection in areas of strategic importance for the conservation of the reef and/or associated biodiversity and sustainability assets (e.g. fish spawning aggregations).

The designation and/or expansion/improvement of the FRZ will follow the regulatory requirements of each country and build on the experience gained with this fishery tool in the MAR to date.

The support from PROCARIBE+ will allow the MAR region to continue the critically needed expansion of the work undertaken by the organization since 2007, and complement resources provided by the KfW-funded project 'Protection of maritime resources in Central America III, 2022 - 2026'.

More specifically, through the support to be provided by PROCARIBE+, additional FRZs are expected to become effectively implemented for an area covering at least 100km<sup>2</sup> of marine space in the MAR region, by project end.

In addition to the support for FRZs to be provided under PROCARIBE+ to the countries of the MAR, the project will also support the Dominican Republic with the establishment of no-take zones/FRZs. Considering the pre-existing experience of certain fishers groups from the MAR region with the establishment and implementation of FRZs, the project will seek to support an exchange of experiences among authorities and fisherfolk from the Dominican Republic, and their peers from the MAR region, to promote peer-to-peer learning and exchange of experiences and best practices that will further help the shaping and fine-tuning of the project-supported activities under this Output in the Dominican Republic.

The project will work towards increasing the capacity of regional and national/local partners during the implementation of this intervention and seek to facilitate the continuity and sustainability of the project's achievements beyond the PROCARIBE+ project life span.

List of Proposed Activities to be supported by the PROCARIBE+ Project:

- ? Revision and consolidation of the screening procedure and of the criteria for the selection of the FRZ to be supported by the PROCARIBE+ Project (with a view of maximising return on investment and with due consideration of social and gender aspects).
- ? Awareness raising on the benefits of FRZ's, and on the opportunities provided through the PROCARIBE+ Project to receive financial support for community-driven FRZ efforts
- ? Conduct a call for proposals for the community-driven initiatives aimed at identifying and implementing fish replenishment zones
- ? Grant issuance and management for the selected proponents; implementation oversight and monitoring; results-based reporting
- ? Technical advice to (prospective) proponents, in support of successful FRZ proposal development and implementation
- ? Exchange of experiences between fisherfolk organizations and/or MPA practitioners with other peers from the MAR region to promote peer-to-peer learning within the region and build from existing experiences with FRZs.
- ? Twinning: Exchange workshop with the Dominican Republic on no take zones/FRZ's

Eligible grantees for the financial support will be local fisherfolk organizations and marine protected area practitioners interested in establishing new FRZs and/or expand/improve existing ones in the MAR region.

Eligible activities to be undertaken by grantees that can be financed with PROCARIBE+ GEF funds include, but are not necessarily limited to:

- ? Prepare technical studies on the biological, environmental, economic and social conditions of the proposed areas for designation of FRZs
- ? Establish the governance and management frameworks for the new FRZs
- ? Develop the FRZ baseline, and design a monitoring and evaluation scheme
- ? Develop a monitoring, control and surveillance plan for the FRZs
- ? Capacity-building and awareness raising activities related to the establishment and implementation of the FRZs for fishers and local communities
- ? Install markings to delineate the new and/or expanded FRZs

MAR Region Intervention 2: Submission to the **International Maritime Organization (IMO)** of a **joint proposal by the MAR countries** to designate part of the MAR (approx. **56,097 km<sup>2</sup>**; tentative/preliminary value) as a **Particularly Sensitive Sea Area (PSSA)**, with the aim of more effectively addressing existing and potential/newly emerging threats to the reef system posed by international shipping (*note: the development of the joint proposal is to be supported by a **Marine Spatial Planning exercise***).

The **International Maritime Organization (IMO)** has adopted a wide range of **measures to prevent and control** marine and atmospheric **pollution by ships** and to mitigate the effects of **any other kinds of damage** that may occur **as a result of maritime operations and accidents**.

This includes the **International Convention and Protocol for the Prevention of Pollution from Ships (MARPOL 1973/78)**, aimed at preventing and minimizing both accidental pollution and that from routine operations.

As such, in **2011** and due to its heavy maritime traffic and sensitive and fragile marine ecosystems, the **Wider Caribbean Region** was **formally designated** and declared as a **Special Area** under the requirements of **MARPOL Annex V (Regulations for the Prevention of Pollution by Garbage from Ships)**.

In addition to this, under IMO the possibility also exists to designate areas as **Particularly Sensitive Sea Area**(PSSA). A PSSA is an area that needs **special (additional) protection** through action by IMO because of its significance for recognized ecological, socio-economic, or scientific attributes, where such attributes may be **vulnerable to damage by international shipping activities**.

The criteria for the identification of PSSA's and the criteria for the designation of Special Areas are not necessarily mutually exclusive. In many cases a Particularly Sensitive Sea Area may be identified within a Special Area and vice versa, to provide for more comprehensive protection from potential damage arising from shipping activities.

**To date** within the **Wider Caribbean Region 3 areas have been designated as PSSA's**: Cuba's Sabana-Camagüey Archipelago (1997), the sea around the Florida Keys (USA, 2002), and the Saba Bank in the North-eastern Caribbean (Kingdom of the Netherlands, 2012). All designated PSSA's in the Wider Caribbean are completely contained within the EEZ of a single country. While globally, **several transboundary PSSA's exist**, none have been designated so far in the Wider Caribbean.

While the **Mesoamerican Reef (MAR) sub-region** has been recognized as being **(a)** of globally exceptional value while at the same time **(b)** highly vulnerable to damage, a.o, from the **substantial international shipping activities** in the area, **it is yet to be designated as a (transboundary) PSSA**.

Data for September 2019 to August 2020 showed that more than 3,000 unique vessels and a total of 19,115 transits were recorded in the MAR region[3]. Of the total commercial transits in the region obtained from this dataset, in more than 50% of the cases some portion of the transit occurred within 12 nautical miles (nm) of the MAR coral reefs and 53% of the transits entered designated marine protected areas.

The ships that sail and dock in the ports of the MAR (sub)region are of the general cargo type (some carrying hazardous materials), container ships, bulk carriers, ferries, tourist cruises and route vessels.

Ships in transit through the globally important reef complex of the MAR thus pose a persistent and significant threat to its health and long-term viability. As evidenced by the amount of shipwrecks, groundings and strandings, this area is vulnerable not just to damage from pollution, but also to physical damage by ships.

**More than 75 groundings** have been reported in the MAR in the **past two decades**. The large majority of those groundings are not identified in nautical charts. The **updating of navigation charts and aids was flagged a critical priority** under the **COCATRAM's 2014 Central American Maritime Strategy** (COCATRAM is the Central American Commission on Maritime Transport, under the Central American Integration System SICA).

Other environmental effects of shipping include air pollution, acoustic pollution, and water pollution and oil spills. In an analysis of the potential effects from oil spills within the Caribbean region, Singh et al. (2015) note that Belize, Honduras and Guatemala are the top three countries at highest risk as more than 70% of their EEZ may be potentially affected from a major tanker spill. The increasing number of cruise ships visiting the MAR region are also a significant source of potential pollution.

More recently, the **International Council on Clean Transportation (ICCT)** issued a **2021 report**, consisting of the first **global assessment of the mass of acidic washwater discharges expected from ships using Exhaust Gas Cleaning Systems (EGCS) or "scrubbers"**: a rapidly growing number of ships are being fitted with scrubbers, as a way to comply with the **IMO's 2020 global fuel sulfur limit**.

The report highlights how the implementation of "scrubbers", as they remove sulfur oxides from the exhaust, could lead to the dumping of millions of tonnes of polluted, **acidic washwater** in the global ocean yearly. Scrubber washwater also contains carcinogens such as polycyclic aromatic hydrocarbons (PAHs) and heavy metals that can accumulate over time in marine food webs and have toxic effects on marine life.

Approximately 80% of scrubber discharges occur within 200 nautical miles of shore, and there are hot spots in heavily trafficked regions, including the Caribbean Sea. Scrubber discharges also occur in IMO-designated Particularly Sensitive Sea Areas (PSSAs): according to IMO Assembly Resolution A.982(24), PSSA status requires the adoption of special methods for the prevention of pollution of the sea from things including a ship's oil, sewage, and garbage, but no reference is made to date with regard to protection from scrubber pollution.

Although several governments have taken preventative measures and banned the use of scrubbers in their ports, internal waters, and territorial seas, many have not. Several actions can be considered to

address the rapidly emerging concerns about the impacts of wastewater discharges. [Belize, for example, does not permit EGCS discharge in its ports or territorial waters.](#)

Considering the ecological sensitivity and global importance of the MAR, **specific measures, complementary to those already in place, thus clearly still need to be taken to minimize the risks to this unique system related to international shipping**, and the associated long- known and potentially newly emerging issues.

In addition to the measures adopted for the Wider Caribbean to reduce pollution by garbage from ships under MARPOL Annex 5, the **designation of the MAR as a PSSA** will allow for the adoption of specific measures to control some of the maritime activities, such as designating new routeing measures, strict application of MARPOL discharge and equipment requirements for ships, such as oil tankers; and installation of Vessel Traffic Services (VTS). Given the potential impacts of acidic wastewater in particular on coral ecosystems, in the case of the MAR and in light of the absence of a specific reference in IMO Resolution A.982(24), the issue of scrubber pollution is something that should also be further looked at.

The strategic importance of designating the MAR as a PSSA was already captured in the **Tulum Declaration**, signed by the governments of Mexico, Guatemala, Honduras and Belize. **Article 7** of the Tulum Declaration expressly states: "*To jointly request the IMO to declare the Mesoamerican Barrier Reef System as a Particularly Sensitive Sea Area, in order to protect it from increased marine traffic in the area and with the aim of contributing to the conservation of biodiversity and the sustainable development of the region; conservation should be harmonized with the needs of countries' international maritime traffic?*".

To date, preliminary work on the development of a PSSA proposal has been conducted through MAR Fund's **Mesoamerican Reef Rescue Initiative** (RRI, supported by the German Government through the KfW), and has focused on collecting baseline information and on the construction of a geospatial database using a Geographic Information System (GIS). Preliminary geospatial analyses have been conducted, correlating coral reefs with different activities, risks, and key threats in the region. Further GIS analyses are required and maps including preliminary proposals for the spatial extent of the PSSA have been developed but are yet to be discussed with the MAR countries.

The PROCARIBE+ Project activities will build on and complement the work initiated under the RRI, to enable the submission by MAR countries of the completed proposal package to the IMO.

The IMO is the international body responsible for assessing proposals for and designating areas as PSSAs and adopting measures applicable to international shipping. The IMO's Marine Environment Protection Committee (MEPC) has elaborated guidance to assist Member Governments in the preparation, identification and submission of PSSA proposals. Key documents supporting this process are: (1) Revised PSSA Guidelines; (2) Revised Guidance for submission of PSSA Proposals to IMO; (3) PSSA Proposal Review Form; and (4) Uniform PSSA Resolution Format.

With the support of the PROCARIBE+ Project and for the purpose of designating a strategically selected part of the MAR (*currently and tentatively set at approx. 56,097 km<sup>2</sup>*) as a PSSA, a comprehensive submission package will be collaboratively developed with the corresponding authorities from the MAR countries, and as per the corresponding [IMO guidelines and requirements](#). Subject to the endorsement of the submission by the MAR countries, the package will be submitted for approval to the IMO Secretariat as soon as possible, and (at the very) latest by project end.

In order to support and underpin the preparation and successful submission of the submission package, the project will seek to facilitate a learning exchange between authorities and stakeholders from the MAR region, and their counterparts from other PSSA's in the Caribbean and from other regions of the world where transboundary PSSA's have been previously designated or are currently in the process of being designated (e.g. the proposed [North-Western Mediterranean Sea transboundary PSSA](#)).

Preparation of the submission package will include the updating of the biological and socio-economic data integrated in the preliminary draft proposal, and the development of new proposed navigation routes and nautical charts.

Three protective measures to be associated with the PSSA designation and that are within the competence of IMO are currently (preliminarily) being brought forward, as they are considered to be the best tools for providing protection to the area and for increasing maritime safety, while taking into account the impact on navigation.

These proposed measures are:

1. Defining **Areas To Be Avoided (ATBAs)**

2. Establishing **traffic separation routes** and recommend regional **practices for safe navigation** to and from key ports, and
3. Establishing **integrated regional ship tracking, reporting, and communication systems**.

The adoption of these protective measures will be important as the PSSA designation alone may not necessarily confer increased protection to the marine environment.

In addition, the project will analyze how the emerging issue of acidic washwater from ?scrubbers? (*ship Exhaust Gas Cleaning Systems -EGCS*) can be addressed, and whether this can be achieved in the context of the PSSA designation.

As per the guidelines from IMO, the PSSA submission package will describe how the proposed measures will protect the area from the identified vulnerabilities. A concrete proposal for the implementation of each measure, including their legal basis, will be submitted as an appendix. The development of the ?Associated Protective Measures? will be part of the work to be financed by the PROCARIBE+ project.

The complete proposal will need the approval from the MAR countries and the project will therefore provide support for the organization of the corresponding regional and national-level consultations.

Once the proposal is submitted to IMO, and conditional to the remaining time and budget available under PROCARIBE+, the Project will aim at supporting additional activities that will further advance the designation of the PSSA, and, as applicable, its subsequent implementation.

The engagement of the Central American Integration System (SICA), and more precisely the [Central American Commission for Environment and Development \(CCAD\)](#) and the [Central American Commission for Maritime Transportation \(COCATRAM\)](#) in the implementation of the PSSA work will ensure coherence with existing regional frameworks and regional and national priorities. It is also anticipated that [Mar Fund](#), will be a strategic regional partner providing the technical support for the development of the PSSA proposal and associated actions.

Engagement of the Central American Commission for Environment and Development (CCAD) as responsible party for this project intervention and, through the CCAD, other key regional partners such as MAR Fund and COCATRAM, will support regional ownership of the process and facilitate continuity of actions leading to the effective and continued implementation of the PSSA (once designated) beyond the PROCARIBE+ Project timeline.

At the same time, this approach will further increase the capacity of regional and national/local partners, and enhance the sustainability of the project's achievements.

List of Proposed Activities to be supported by the PROCARIBE+ Project:

- ? Creation of, and support for the operations of a ?MAR PSSA task force? in charge of developing, securing the endorsement of, and timely submission of the PSSA proposal; the task force should have among its members: representatives from the CCAD, COCATRAM, MAR Fund, a legal specialist(s), representatives from the participating country governments, among others
- ? Review (including SWOT[4] analysis) and revise/update/improve the draft IMO proposal, including the documentation required to develop the ?associated protective measures? to be proposed for the PSSA
- ? Develop new and/or updated mapping products: sensitive reef areas; existing and proposed navigation routes; derived mapping products (GIS analysis) representing geospatial vulnerability assessments (incl. the purchase of nautical data, as required).
- ? Legal analysis, support for and review of the IMO proposal, including support for the proposed legal and administrative procedures for submission
- ? Develop the full proposal package for submission, including maps with alternative navigation routes, in English and Spanish
- ? Organization of consultations with relevant authorities (naval and environment) from the MAR countries on the draft IMO proposal
- ? (Pre-)validation of the final proposed navigation routes, with relevant stakeholders
- ? Submission of the final proposal to the IMO Secretariat
- ? Cross-cutting: development and dissemination of advocacy materials, along the timeline of the proposal development process, to mobilize wide-ranging support and buy-in from key stakeholders and the wider public

? Organization of a 'twinning' activity with the other 3 existing PSSA's currently in place in the Caribbean and/or with other regions that have designated PSSAs or are working towards designation of PSSAs, notably transboundary PSSAs, to exchange on best practices and lessons learned for a successful PSSA submission. Experience exchange activity with practitioners/stakeholders from other (proposed) transboundary PSSA's.

? Dissemination of lessons learned on the development of the PSSA proposal

Site: Trinidad and Tobago

#### National Context

Trinidad and Tobago's draft '[Integrated Coastal Zone Management \(ICZM\) Policy Framework](#)' (September 2020) highlights the country's land to sea ratio of 1:15, which indicates the importance of the marine and coastal sphere to the country. However, the legislations themselves do not provide a definition for the coastal zone. For the purpose of the ICZM policy, and hence also for the proposed project intervention described in this document, (*unless explicitly stated otherwise*) the coastal zone is defined as the geographical area covering both the maritime and the terrestrial parts of the shore, including off-shore islands, salt-water ponds and wetlands in contact with the sea; the coastal zone of Trinidad and Tobago includes all areas of sea extending to the limit of the EEZ and includes the shoreline and coastal lands, which are inland areas above the high water mark that influence the quality or composition of coastal waters, or are influenced in some way by their proximity to coastal waters.

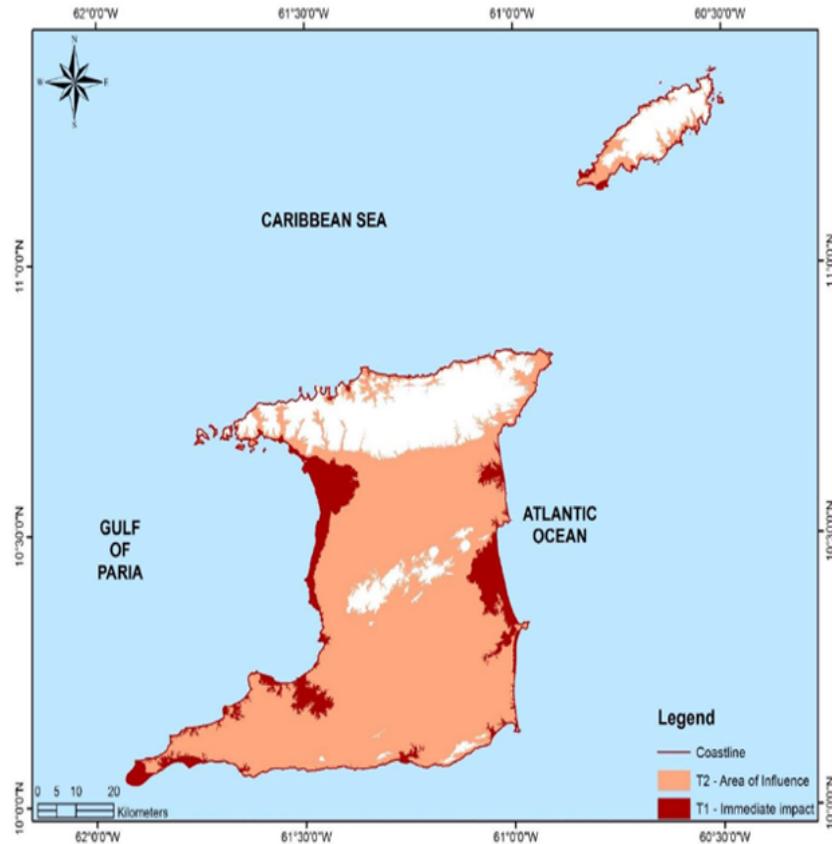
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[1] While largely referring to the same concept, the naming used differs among the countries of the MAR sub-region: in Mexico, the zones are called 'Fish refuge zones?', whereas in Belize the term 'Preservation and Conservation zones?' is (also) used.

[2] Some of the areas designated as FRZ allow non-extractive sports fishing.

[3] An interactive map of the existing shipping lanes and vessel transit in the MAR Region is available [here](#).

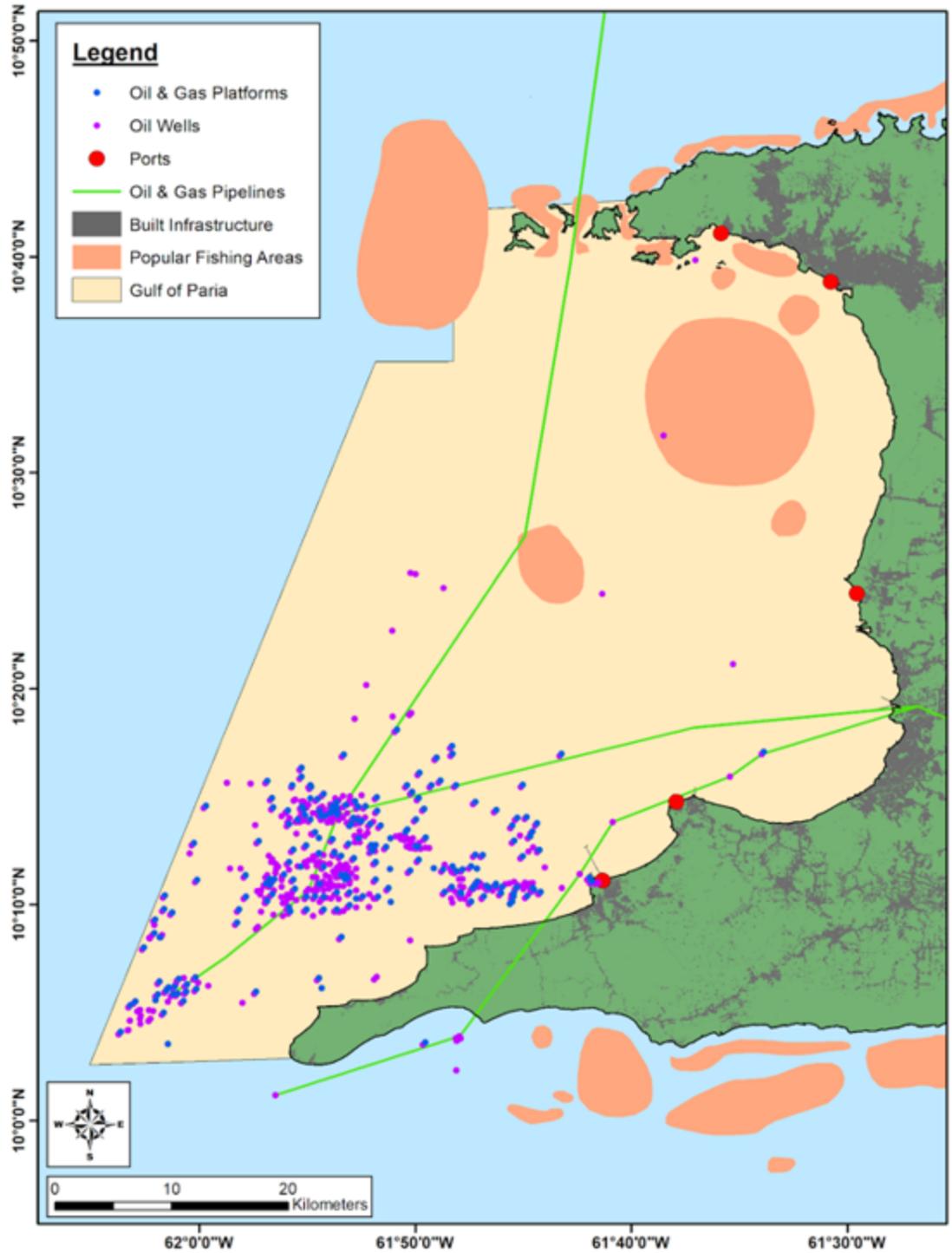
[4] SWOT stands for: Strengths, Weaknesses, Opportunities & Threats



**Figure 17. Terrestrial Boundaries of the Coastal Zone of Trinidad and Tobago, as displayed in the ICZM Policy Framework. (source: Institute of Marine Affairs, Trinidad & Tobago)**

Activities within Trinidad and Tobago's coastal zone were estimated to be worth US\$22.5 billion or 81% of the country's total Gross Domestic Product (GDP) in 2015. Of those coastal activities, oil and gas alone accounted for 40% of GDP (Halcrow Group Ltd, 2016).

A large part of the country's marine and coastal economy originates from the **Gulf of Paria**, a shallow semi-enclosed basin (see Figures 17 and 18) located between the island of Trinidad (west coast) and the east coast of Venezuela. The Gulf of Paria covers approximately 7,800 km<sup>2</sup>, of which approximately 3,000 km<sup>2</sup> pertain to Trinidad and Tobago. The extension of the terrestrial drainage basin flowing into the Gulf of Paria is estimated at 2,391 km<sup>2</sup> with a total of 37 subwatersheds.



**Figure 18. Map of the Gulf of Paria, the proposed planning area, in Trinidad and Tobago. (Institute of Marine Affairs, Trinidad & Tobago)**

The Gulf of Paria holds important oil and gas reserves and the country has invested deeply in infrastructure to continue extracting and transporting oil and gas, with miles of pipelines connecting platforms on offshore oil and natural gas fields to refineries and ports across the island of Trinidad. The

Gulf of Paria is also the most important fishing ground in Trinidad and Tobago, and has historically accounted for over 40% of total fish landings. It is intensely exploited by a number of fisheries utilizing a variety of gears and is the main fishing ground for the shrimp trawl fleet (Mohammed et al. 2011) which is associated with high levels of bycatch (Kuruvillea 2001) and habitat degradation. The intense fishing activity in the Gulf of Paria is largely unregulated and could be significantly impacting populations of commercially exploited species. Most of Trinidad and Tobago's commercially exploited fish stocks are being either fully fished or over-exploited. Within the Gulf of Paria, there are also fish nursery habitats which are being negatively impacted by fishing and other anthropogenic activities. The mangroves and wetlands along the Gulf of Paria provide such important shelter for juvenile fish and support important populations of shellfish. Mangrove coverage was [estimated at 7,532 Ha in 2016](#).

Trinidad's west coast which borders the Gulf of Paria is the most populous area of the island (Trinidad and Tobago Central Statistics Office, 2007) and constitutes the island's coast with the most coastal infrastructure. The capital city, Port of Spain, as well as other major cities and towns are located along this coast (Port of Spain metro area population of approx 545,000 inhabitants for 2022). The watersheds and hinterland of the Gulf coast support the majority of the country's agriculture, ranging from small farms to large estates supporting sugar cane, rice and citrus cultivation. Major industries are also located along this coast.

The influx of economic activities in the Gulf of Paria has led to conflicts between the oil and gas sector, shipping and fisherfolk, while coastal communities express concerns about the loss of beach property and access, due to coastal development linked to the expansion of industries, tourism and housing. There have been frequent oil spills in the Gulf of Paria. [The most recent oil spill was reported in August 2021](#).

Pollution of coastal waters has proven to be an ongoing and pervasive problem both from land-based and marine sources, and in parts of the Gulf of Paria, the problem is particularly acute. Health and safety standards at several bathing beaches have been compromised and ? of shellfish species are now unsafe for human consumption. Water pollution has also been linked to a decline in the health of coral reefs and seagrass beds. At the same time, the destruction of mangrove forests can lead to increased damage to shorelines from coastal hazards such as erosion, flooding, and storm waves and surges. The loss of mangroves also exacerbates the reduction in coastal water quality and biodiversity, while eliminating fish and crustacean nursery habitat and adversely affecting adjacent coastal communities that traditionally rely on mangroves for numerous products and services. The compounding effect from pollution and habitat destruction leads to a reduction in the associated ecosystem services of coastal ecosystems. Accelerated erosion in the future as a result of climate change and sea level rise has the potential to put critical coastal infrastructure and coastal communities at further risk.

Coastal ecosystems, such as mangrove forests, seagrasses and coastal lagoons, are known to be powerful carbon sinks and 'blue carbon' is increasingly integrated as part of the efforts to help mitigate climate change. The degradation of these ecosystems jeopardizes an important opportunity to develop climate change strategies that could mobilize financial resources for the conservation and restoration of blue carbon ecosystems.

Part of the proposed approach to improve ecosystem health and attenuate existing and future conflicts between marine and coastal zone users while supporting the development of a blue economy in the Gulf of Paria is Marine Spatial Planning (MSP). In 2021, Trinidad and Tobago developed a draft ['Maritime Policy and Strategy'](#) that calls for the development of a ['Maritime Spatial Planning Strategy'](#) and will provide an overarching framework for MSP in the country. Once completed, the policy will assist in the alignment and sustainability of ongoing and future developments for the maritime industry. It will have a specific focus on maximizing the sustainable use of Trinidad and Tobago's ocean and sea resources, while enabling growth of the maritime economy through improving business competitiveness in the shipping industry and balancing safety and sector interest.

In addition to the draft Maritime Policy and Strategy, the [Integrated Coastal Zone Management Policy Framework](#) revised in 2020 has a call to ['Promote Marine Spatial Planning \(MSP\) in the coastal zone'](#) and the country's [National Development Strategy 2016 - 2030](#) also known as [Vision 2030](#), has included MSP as a strategic initiative.

An Integrated Coastal Zone Management (ICZM) Inter-Ministerial Committee was appointed by the Trinidad and Tobago Cabinet in 2018 to guide the implementation of the Action Plan for the ICZM Policy Framework. The ICZM Policy Framework seeks to facilitate an integrated approach to coastal zone management aimed at maintaining and where necessary, enhancing the functional integrity of the coastal resource systems while enabling sustainable, economic development through rational, inclusive decision-making and planning. The terms of reference of the ICZM Inter-Ministerial Committee include, among others, the following responsibilities: To oversee the implementation of the ICZM Policy Framework to mitigate negative impacts on the coastal and marine environment; to identify key targets and indicators, and appropriate timelines as per the Action Plan; to assign action items to the most relevant agency, and be authorized to co-opt other Ministries/Division/ Agencies as may be required for the implementation of the Action Plan; and to coordinate the production of a biannual State of the Marine Environment Report.

Building on the existing policy framework and enabling conditions available in the country, the MSP efforts to be pursued in the Gulf of Paria with the support from the PROCARIBE+ Project will contribute to achieving the following overarching long-term objectives:

? Promoting sustainable blue economic growth in the Gulf of Paria, and reducing user conflict by establishing zones for different users of the marine and coastal space

? Maintaining, and where necessary rehabilitating coastal ecosystems and ecosystem goods and services in the Gulf of Paria by improving the management of socio-economic activities, and their impacts

? Planning and managing development in the Gulf of Paria's coast so as to avoid increasing the incidence and severity of natural hazards and to avoid exposure of people, property and economic activities to significant risk from dynamic coastal processes and impacts from climate change (e.g. coastal flooding).

? Implementing an integrated, ecosystem-based management approach through participatory governance.

In light of this, and in consultation with regional stakeholders, support from PROCARIBE+ will strategically focus on **the following line of intervention**:

? Development of a Marine Spatial Plan, covering 2,942 km<sup>2</sup> of the national waters of Trinidad and Tobago in the Gulf of Paria, endorsed by the Integrated Coastal Zone Management (ICZM) Inter-Ministerial Committee and submitted for approval by the Cabinet of Trinidad and Tobago, by Project End.

#### Context for the specific intervention

The MSP process in the Gulf of Paria will be important to promote the environmentally sound development of ocean-based activities and growth of the Blue Economy in the Gulf of Paria and contribute to post-COVID 19 recovery as well as climate change adaptation and mitigation strategies and targets. MSP efforts consider planning for a potential expansion in the maritime sector (transshipment, ship to ship transfer, cold stacking, ship building and repair), coastal tourism, sustainable fisheries and mariculture (cage culture). Planning efforts will also consider and integrate climate change mitigation and adaptation objectives into their design. The MSP process will also seek to contribute to the country's ambitions to integrate blue carbon as part of the development of the next (2025) iteration of its Nationally Determined Contributions (NDC's) under the Paris agreement. As per the PROCARIBE+ Gender Action Plan, the MSP process will mainstream gender considerations into its design and implementation.

In addition to the support to be provided by PROCARIBE+ to Trinidad and Tobago for MSP in the Gulf of Paria, the project will also support MSP efforts on the Venezuelan side of the Gulf (see the corresponding section of the ProDoc), with the ambition of advancing MSP efforts across the full Gulf of Paria. In this context, the project will seek to facilitate dialogue between both countries and support collaboration efforts in areas of mutual interest, with a view to promote synergies and coherence of the overall MSP efforts.

Trinidad and Tobago's Institute of Marine Affairs (IMA) has been given the mandate to lead the national MSP efforts by its line Ministry, the Ministry of Planning and Development, who chairs the ICZM Inter-Ministerial Committee. Considering this mandate, the IMA was selected as the PROCARIBE+ responsible partner for the execution of the MSP activities to be financed in Trinidad and Tobago under the project.

For all activities described below, the UNDP SES guidelines will be followed. The ESMF (ProDoc Annex 10) provides guidance on the assessments and measures needed to comply with the SES.

List of Proposed Activities to be supported by the PROCARIBE+ Project:

The project is expected to support four main actions, as presented below. A tentative list of activities is included for each action:

1. Defining and analyzing existing and plausible future conditions of the marine and coastal environment, and marine and coastal uses in the Gulf of Paria area in Trinidad and Tobago:
  1. Conduct a Blue Economy scoping exercise, including a review of current and proposed developmental plans and policies
  2. Map natural resources, economic and cultural activities using Participatory GIS, including the potential impacts of climate change
  3. Valuate assets of coastal infrastructure and ecosystem services as part of a marine and coastal natural capital accounting exercise
2. Strengthening participatory governance for the planning area:
  1. Conduct a detailed stakeholder analysis to promote the active involvement of relevant actors throughout the MSP process
  2. Establish a multi-sectoral committee to oversee the development and implementation of MSP
  3. Build partnerships with local communities, non governmental organizations and the private sector to enable their engagement in, and promote their buy-in for the outcomes of the MSP process

3. Developing awareness on the importance of MSP, and technical capacities for its implementation:
  1. Develop custom-made awareness raising programmes for politicians, decision-makers, coastal-marine resource users and the citizenry
  2. Build capacity and skill sets of local communities to be engaged in participatory governance
  3. Build technical capacity of technocrats in communication, facilitation, socio-economic and adaptive management
4. Developing a spatial management plan:
  1. Collaboratively develop (participatory approach) a marine and coastal spatial plan that includes scenarios for zoning areas for multi-use, limited use and no-take areas based on the outcomes of stakeholder consultations and simulations of plausible future conditions (incl. climate change), and, to the extent feasible, with keen attention to influences on the coastal and marine environment from processes associated with the land-water interface (source-to-sea)
  2. Seek endorsement of the MSP plan by the Integrated Coastal Zone Management (ICZM) Inter-Ministerial Committee, with a view of enabling its subsequent submission for approval by the Cabinet of the Government of Trinidad and Tobago

In addition, during the Project Inception Phase, Trinidad and Tobago, and Venezuela will seek to identify, discuss and agree on a set of concrete (joint) activities/measures to promote synergies and coherence among their mutual MSP efforts targeting the Gulf of Paria.

Site: Venezuela

#### National Context

Venezuela's marine-coastal zones are home to an abundance of biological diversity associated with ecosystems such as coral reefs, seagrass beds, internationally important estuaries and mangrove communities. Major marine industries, including fisheries, shipping, oil, gas and mineral extraction, as well as tourism, have played an important role in developing the country's economy although they have, at the same time, exerted significant pressure on its natural resources.

Hence the importance of the [Law on Coastal Zones, Decree No. 1,468](#) adopted in 2001, which establishes a regulatory framework for the conservation and sustainable use of Venezuela's coastal zones. The country also has an [Integrated Management Plan for Coastal Zones](#), currently under review by the Attorney-General's Office, as an instrument for promoting the sustainable development of the coastline. This guiding document serves as a basis for establishing planning processes for the

country's coastal and marine spaces and it also supported the recent declaration of three new wildlife reserves in Venezuela's coastal zones and the expansion of two National Parks towards aquatic spaces ([Official Gazette of the Bolivarian Republic of Venezuela No. 42182 dated 08/03/2021](#)).

This progress has laid the foundations for the integral planning of marine-coastal activities aimed at ensuring the protection of biodiversity and contributing to socio-economic improvements for the inhabitants of coastal regions.

**Marine Spatial Planning (MSP)** and management of the activities and uses of marine spaces in Venezuela will be of vital importance to ensure the appropriate sustainable development of marine-coastal resources. MSP will enable the country to identify coastal and marine areas with the potential for developing production activities or for the protection, maximizing the potential of the available resources along sustainability criteria and driving the sustainable economy based on the ocean.

Based on the above, the following key considerations are envisaged in the design and definition of the actions to be supported by the PROCARIBE+ Project in Venezuela in relation to **Output 3.3.1:**

? [Venezuela is one of the top 10 countries in the world in terms of its biodiversity, both terrestrial and marine](#)

? The high productivity of its marine-coastal ecosystems is being threatened by habitat loss and environmental degradation, something that has been occurring for many decades now and more recently, due to [the implications of climate change in the coastal zones and the aquatic space of Venezuela](#).

? The different uses of the marine-coastal environment need to be concealed in order to promote the consolidation of a sustainable economy

? The Integrated Management Plan for Coastal Zones is a framework instrument that will enable MSP to be implemented in the country

? MSP will help reconcile conservation objectives and a sustainable use of the marine-coastal resources

In light of this, support from PROCARIBE+ will strategically focus on **the following line of intervention:**

? Preparation of a Marine Spatial Plan, which covers approximately 5,200 km<sup>2</sup> of the national waters of Venezuela in the Gulf of Paria, endorsed by the Central and State Work Committee on Coastal Zones (Sucre, Monagas and Delta Amacuro), at the end of the project, for subsequent review and approval by the competent Bodies and Entities.

### Context of specific intervention

One of the marine-coastal areas of Venezuela where there is a perceived need and priority interest in advancing MSP processes is the Gulf of Paria. The **Gulf of Paria** is a shallow (0-15 meters) semi-enclosed basin located between the island of Trinidad (west coast) and the east coast of Venezuela (Figure 21). The Gulf covers approximately 8,200 km<sup>2</sup>, of which some 5,200 km<sup>2</sup> belong to Venezuela. It is of high primary productivity and is a **growth area for numerous species of commercial fish, such as corvinas and snappers, and invertebrates of marine origin**. It is one of the most important fishing areas in the country. The coasts have extensive communities of mangrove forests and swamps. As conservation areas, there is the Turu?pano National Park (WDPA ID 30024; 744.08 km<sup>2</sup>), and the Ca?o Aj?es and Ca?o San Juan Estuaries as reservoirs and fish refuges. **In 2011, an exercise was carried out to identify conservation priorities for the Atlantic coast of Venezuela, including the Gulf of Paria**, which will serve as an important input to develop the MSP.

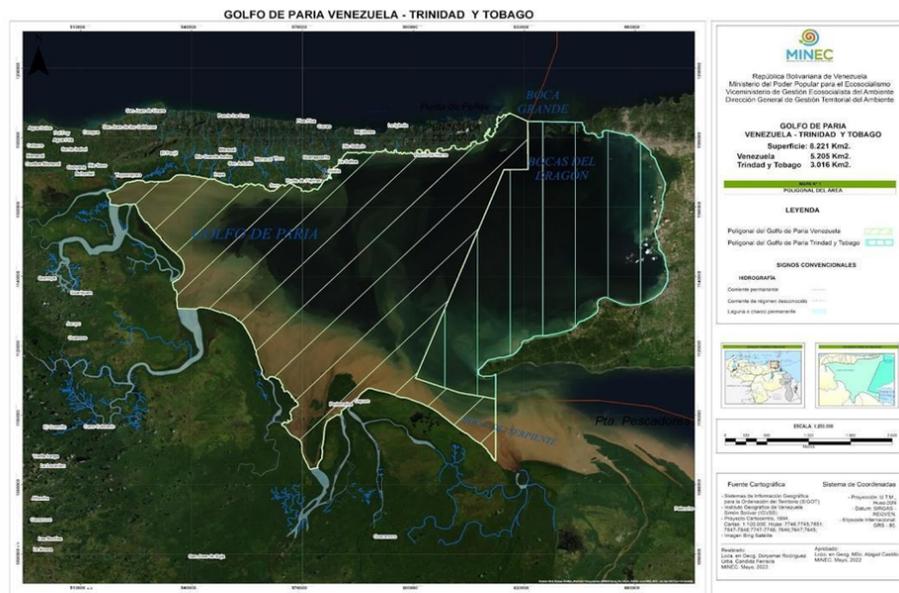


Figure 19. The Gulf of Paria, where the general and detailed surface for Venezuela and Trinidad and Tobago can be seen. (source: MINEC, Venezuela)

Added to the above is a scenario of industrial development in the Gulf of Paria and the associated Atlantic front. The Gulf has an important hydrocarbon activity, extensive navigation routes with ports, fishing activities, as well as dredging activities. The flow of several rivers in the basin for the

agricultural use of the towns is also regulated. In light of the pressures of these activities on the marine-coastal resources of the Gulf and the associated livelihoods, it is essential to design strategies that allow us to continue with a responsible and sustainable use of resources, and at the same time ensure the conservation of biodiversity.

The Venezuelan government wants to declare the Gulf of Paria a "Special Aquatic Habitat for Exploitation or Controlled Intensive Use", one of the country's protection categories (IUCN Category: VI). The MSP will allow progress in the planning for the declaration and the necessary zoning of the area, as well as contribute to the visualisation of these processes in neighbouring areas.

It can thus be noted that the activities to be supported by the PROCARIBE+ Project will seek to put the entire Gulf of Paria, both the part corresponding to Venezuelan territory and that belonging to Trinidad and Tobago, under marine-coastal Spatial Planning processes.

The project will therefore seek to facilitate a dialogue between the two countries and, where possible, will support potential collaborative efforts in areas of mutual interest with a view to promoting synergies and coherence of overall MSP efforts across both countries.

Although the MSP efforts to be facilitated through the PROCARIBE+ Project in Venezuela will have the Gulf of Paria as their geographic scope, the project will, if possible, seek to extend beyond the Gulf by applying a nested multi-scale MSP approach.

For more information on this approach, we refer to the section of the Project Document describing the support the project will provide to the MSP efforts in the Dominican Republic, where the MSP exercise is also based on this multi-scale approach.

Also under this multi-scale concept, the more restricted geographic scope of this first MSP application will allow the MSP exercise to be conducted with a more detailed spatial resolution. This is in line with the needs of the area in which it is to be applied given the multiple uses of the marine space in this area of the country.

It is also believed that the experience gained through this pilot project in a more restricted geographic area will enable the development of national capacities and the acquisition of practical experiences that will facilitate the subsequent replication and expansion of MSP efforts in other areas of the country.

The MSP in the Gulf of Paria will seek to improve the conservation of natural and cultural spaces and apply sustainable and responsible natural resource management. In particular, the intention is to work with the fishing sector to promote the sustainable management of fish species that can be harvested in order to increase their populations and achieve their sustainable use.

Depending on the conditions in place (including financial and technical resources and time available), and in consultation with the Government of Venezuela during the project start-up phase, an assessment will be made of the possibility and practical feasibility of increasing the area under MSP that is being supported by the project, also considering the possibility of using such an increase to identify and delimit potential new conservation areas for their subsequent declaration as marine protected areas.

In terms of implementing the activities in Venezuela, following consultations with and approval by the GEF Secretariat, the UNDP Country Office has been identified as the PROCARIBE+ responsible party (?co-executing agency?) due to its long history of successfully implementing projects jointly with the ?Ministerio del Poder Popular para el Ecosocialismo? (MINEC) and given the absence of other actors with sufficient capacity to successfully take on this role (see also Prodoc Annexes 2 and 20).

For all activities described below, the UNDP SES guidelines will be followed. The ESMF (ProDoc Annex 10) provides guidance on the assessments and measures needed to comply with the SES.

List of Proposed Activities to be supported by the PROCARIBE+ Project:

The generic approach described below will be considered for the proposed MSP efforts in Venezuela and may be further fine-tuned with national stakeholders and input from MSP experts during the project start-up phase.

This generic approach envisages four main actions, as given below. A tentative list of activities is included for each action. Linkages will be sought with other relevant outputs of the PROCARIBE+ Results Framework (e.g., MSP training under Component 2, etc.).

1. Define and analyze existing and plausible future conditions of the marine and coastal environment, and marine and coastal uses (opportunities & threats):
  1. Conduct a baseline diagnostic analysis of the socio-economic contributions of marine and coastal sectors, including conservation, with a review of current and proposed development plans and policies
  2. Map natural resources, socio-economic activities and cultural values using Participatory GIS, including the potential impacts of climate change, at appropriate

- spatial scales (resources allowing); incorporate the results from prior coastal vulnerability assessments
  - 3. Value assets of coastal infrastructure and ecosystem services as part of a marine and coastal natural capital accounting exercise
- 2. Raise awareness on the importance of MSP, and technical capacities for its implementation:
  - 1. Develop custom-made awareness raising programs for politicians, decision-makers, coastal-marine resource users and the citizenry
  - 2. Build capacity and skill sets for relevant stakeholders to be engaged in the planning process
  - 3. Build technical capacity of technocrats in communication, facilitation, socio-economic and adaptive management
- 3. Design and implement a participatory approach for the planning exercise:
  - 1. Update and/or fine-tune, as applicable, a stakeholder analysis to facilitate the active involvement of relevant actors throughout the MSP process
  - 2. Establish a multi-sectoral committee, and the required multi-sectoral arrangements, to respectively oversee and support the Marine Spatial Planning process
  - 3. Mobilize and engage key stakeholders from civil society, non-governmental organizations and the private sector in the MSP planning process
- 4. Develop the marine spatial plan:
  - 1. Collaboratively develop (participatory approach) the marine and coastal spatial plan(s) that includes scenarios for zoning areas for multi-use, limited use and no-take areas based on the outcomes of stakeholder consultations and simulations of plausible future conditions (incl. climate change), and, to the extent feasible, with keen attention to influences on the coastal and marine environment from processes associated with the land-water interface (source-to-sea)
  - 2. Seek endorsement of the MSP plan by the corresponding entities and/or stakeholder groups, with a view of facilitating/enabling its subsequent formal adoption and implementation

Outcome 3.4. Generalized implementation across the Wider Caribbean/WECAFC region of traceability systems is enabled for key fisheries and seafood products, as a key measure for sustainability and against IUU fishing

*As per table 2, 1 output will be produced by the PROCARIBE+ Project in support of this Outcome. The output will have 2 distinct, but interrelated elements.*

PROCARIBE+ will seek to directly contribute to this Outcome by delivering the Output 3.4.1, which is described in further detail here below, and which consists of two distinct elements: **(a)** the effective, practical implementation of the traceability standard developed by the International Regional Organisation for Plant and Animal Health (OIRSA)[1] and the Central American Aquaculture and

Fisheries Organization (OSPESCA), in a minimum of 8 countries from the region and applied to a substantive share of the cumulative exports from these countries, for 3 key regional fishery & aquaculture export products; **(b)** the enabling of a replication and the up-scaling of the results from element (a) of this Output, through the more region-wide promotion and support for the adoption of traceability standards for fisheries and aquaculture products by the corresponding regional and sub-regional entities (e.g. WECAFC, CRFM, OSPESCA).

Throughout the project's execution, opportunities for coordination/exchanges, and potential synergies with other parallel initiatives that can also contribute to Outcome 3.4, will continue to be sought.

*Output 3.4.1. (a) traceability systems in place for 3 selected key fisheries and 1 aquaculture products in min. 8 countries; by Project End % of exports (and equivalent approx. volume) from WECAFC region commercialized under regional traceability standard: min. 30% of regional spiny lobster exports (approx. 5.200 tons/yr) + min 39% of queen conch exports (approx. 400 tons/yr) + min 31% of shrimp (fisheries & aquaculture) exports (approx. 50.300 tons/yr); total = 55.900 tons/yr. (b) enabling conditions to replicate/expand the traceability systems across the wider WECAFC countries, with the aim of achieving a total export volume of 94,800 tons/yr traceable by 2030 (i.e. 52% of all regional spiny lobster+queen conch+shrimp exports)*

Key baseline elements on which the project interventions will build:

PROCARIBE+ will build on and give continuity to the implementation of important achievements and products from the CLME (GEF ID 1032) and CLME+ (GEF ID 5542) Projects:

- ? Politically endorsed regional CLME+ SAP (2015-2025), including dedicated Sub-Strategies promoting the ecosystem approach for spiny lobster and for queen conch fisheries (developed with the support of the CLME Project)
- ? Regional Plan of Action against IUU fishing (developed with the support of the CLME+ Project)
- ? Regional OIRSA/OSPESCA Traceability Standard for Fishery and Aquaculture Products (developed with the support of the CLME+ Project)
- ? ?MARPLESCA Plan? - Caribbean Spiny Lobster Fishery Regional Management Plan (developed with the support of the CLME+ Project)

? [Regional Queen Conch Fisheries Management and Conservation Plan](#)

? [Interim Fisheries Coordination Mechanism](#), created and operationalized under the CLME+ Project, and providing a platform for discussion, collaboration and coordination of actions among the region's 3 Regional Fisheries Bodies

## Context

Reduction of the levels of IUU fishing, and ensuring the traceability of seafood exports, will be critical to the sustainability of the fishery sector, and for continued market access: anecdotal evidence from a 2020 poll conducted by Ipsos (USA) revealed that 83% of Americans agree that all seafood should be traceable. For European consumers, traceability of seafood products has acquired increasing importance over especially the past 5 years.

It is also worth mentioning, for example, that the EU Regulation to end illegal, unreported and unregulated (IUU) fishing requires that "third countries" (those not in the EU) which export seafood products to the EU or lend their flags to vessels that import into the EU meet strict standards for fisheries management. Under the IUU Regulation, non-EU countries identified as having inadequate measures in place to prevent and deter this activity may be issued with a formal warning (yellow card) to improve. If they fail to do so, they face having their seafood products banned from the EU market (red card), among other measures.

[Several countries from the region have been issued a card under the EU Regulation.](#) The current desire to prioritize this issue is illustrated, for example, by the high-level meeting of the Panamanian Inter-Institutional Commission for the Prevention, Deterrence and Elimination of IUU Fishing, with a view of pursuing the lifting of the yellow card applied to the country by the EU.

The OIRSA/OSPESCA Regional Traceability Standard for Fishery and Aquaculture Products, developed with the support of the CLME+ Project, establishes that a country's National Traceability Systems for Seafood and Aquaculture products, or regulatory reference frameworks, must have nationwide application, including all elements of the value chain beginning with the process of capture/production and up to and including the point of commercialization. As such, it provides an important tool in the fight against Illegal, Unreported and Unregulated (IUU) fishing and against crime along the fisheries & aquaculture value chain. Its implementation, combined with that of the existing fisheries regulations and management and conservation plans, will be key for achieving the

sustainability of the fisheries targeted under this Output, and for protecting the access to the region's export markets.

The OIRSA/OSPESCA Regional Standard was approved by the OIRSA Technical Commission in 2020 and recommended by the Commission for approval by the Ministerial Committee. While the expectation exists that such ministerial approval is imminent, Honduras and Guatemala have also already taken individual steps towards traceability and have issued respectively Resolutions and a Ministerial Decree/Agreement on the implementation of traceability for its fishery and aquaculture products and on the adoption of the regional OIRSA Standard.

As per the instructions of its Ministerial Council, OIRSA has also already established the wider-ranging (i.e. not focussed on fisheries & aquaculture products) Harmonized Regional Traceability System for Agricultural and Food Products "TRAZAR-AGRO". TRAZAR-AGRO is a tool that facilitates the application of OIRSA's different traceability standards, through, a.o., the registration of individuals and companies involved in the agricultural, livestock, fisheries and aquaculture value chains, as well as of all actions under the traceability standards to which these products are subjected.

As also already agreed between OIRSA and the competent authorities in Guatemala and Honduras, OIRSA will have the function of "providing, developing, administering, updating and technically supporting the implementation in both countries of the TRAZAR-AGRO IT Tool. To date, Panama and OIRSA have also already initiated exchanges on the national-level implementation of the standard. Both Honduras and Nicaragua have conducted traceability tests at the pilot level.

#### Project Interventions

Spiny lobster, queen conch and shrimp are 3 of the region's most valuable fishery & aquaculture products, with the value of annual export levels e.g. reaching USD 1.3 billion/year in 2019[2], and providing employment and income for an estimated 950,000 people along their value chains[3]. These fisheries are heavily geared towards external markets (targeting in particular the USA, Europe and more recently some Asian countries).

Building upon the foundations laid by the CLME and CLME+ Projects, and other ongoing work in the region, PROCARIBE+ will work with OSPESCA, OIRSA and all relevant stakeholders including the major producing countries and companies, both from within and outside the sub-region of the Central

American Integration System (SICA), and in collaboration with the other Regional Fisheries Bodies (CRFM, WECAFC), to bring at least 30% of the region's spiny lobster exports (i.e. an approximate annual volume of 5,200 tons/yr), 39% of the queen conch exports (400 tons/yr), and 31% of shrimp exports (50,300 tons/yr), i.e. a total of 55,900 tons/yr of seafood products, originating from at least 8 countries, under traceability by the Project's end.

Expertise gained and lessons learned will be used to promote and support the development of equivalent traceability standards (different languages) that can be proposed for consideration and adoption by the non-OIRSA member countries, through the different regional coordination mechanisms (WECAFC, CRFM, OSPESCA, OIRSA). Such action will allow to replicate and expand the implementation of traceability across the wider region, so that, through continued action beyond the PROCARIBE+ Project timeline, the preliminary target of a volume of at least 94.800 tons/yr of traceable seafood products by 2030 (i.e. equivalent to 52% of all regional spiny lobster, queen conch and shrimp exports), can be met, or further increased.

OSPESCA has been selected as the responsible partner for the execution of output 3.4. to ensure continuity with the traceability activities conducted under the CLME+ Project and coherence with ongoing regional and national priorities.

For all activities described below, the UNDP SES guidelines will be followed. The ESMF (ProDoc Annex 10) provides guidance on the assessments and measures needed to comply with the SES.

List of Proposed Activities to be supported by the PROCARIBE+ Project:

For the delivery of element (a) of Output 3.4.1, the following activities are expected to be undertaken:

? Regional Inception Workshop, to be organized by the PROCARIBE+ responsible party for the delivery of Output 3.4.1., namely OSPESCA/OIRSA, and with the participation of regional experts and national representatives from governmental entities and private actors engaged along the value chain of the fisheries and aquaculture products. Fine-tuning of the Baseline and Work Plan

? Development of an equivalent of the OIRSA standard, in the language of the target country, for the different countries participating in the activities under element (a) of Output 3.4.1. and that are not members of OIRSA/SICA

? Formalizing the traceability processes in the participating countries: development of, and support for the adoption of Regulations/Agreements/Protocols for the implementation of national traceability systems

? For the target country where the traceability standard was already tested under the CLME+ Project, at the pilot level, for spiny lobster (i.e. Honduras): upscaling from the current pilot-scale implementation to a wider-spread, national level implementation for the target export products that will enable achievement of the numeric targets set for Output 3.4.1, by Project End

? For the target countries where no pilot-level implementation efforts have taken place to date: (a) training & capacity building sessions; (b) pilot-level implementation during year 1; (c) intermediate evaluation and revision/fine-tuning of the approach, as/if applicable; (d) upscaling from the current pilot-scale implementation to a wider-spread, national level implementation for the target export products that will enable achievement of the numeric targets set for Output 3.4.1, by Project End

? Final Workshop: discussion and documentation of best practices & lessons learned

Direct beneficiaries of the associated GEF investment under element (a) of Output 3.4.1.: Government Entities and Private Sector Agents/Fisherfolk involved in the value chains of the following fisheries/marine products, in the following countries:

**Table 5. PROCARIBE+ traceability efforts: products and countries**

Country	Caribbean spiny lobster	Queen conch	Shrimp (from fishery and/or aquaculture)
1. Bahamas	X	X	
2. Belize	x	x	
3. Guatemala			x
4. Honduras	x	x	x
5. Mexico/Brazil (tentative)	x		x
6. Panama	x		x
7. Guyana			x
8. Suriname (tentative)			x

In the case of Panama, and considering the planned efforts on traceability under PROCARIBE+, the project will also seek to apply traceability to: spiny lobster (capture) and cobia, pompano and macroalgae (aquaculture)

For the delivery of element (b) of Output 3.4.1, the following activities are expected to be undertaken:

- ? Evaluation of the results achieved under element (a) of the output, and formulation - with the assistance of experts- of recommendations for the implementation of seafood traceability standards and systems in countries from the region that do not belong to the OIRSA/OSPESCA membership
- ? Evaluation of the formulated recommendations by the WECAFC Scientific and Technical Advisory Committee and the Interim Fisheries Coordination Mechanism (CRFM, OSPESCA, WECAFC) and/or its constituents
- ? Preparation of the proposed standards (min. English and Spanish), for adoption/recommendation by the corresponding regional entities: CARICOM-CRFM, FAO-WECAFC,...
- ? Preparation and dissemination of practical guidance/training materials, for the wide-spread regional implementation of the traceability standard(s)
- ? Preparation and dissemination of regional awareness raising materials
- ? Development and adoption of a post-project strategy, to ensure the sustainability and future expansion of the scope of the seafood traceability efforts in the region

Direct beneficiaries of the associated GEF investment under element (b) of Output 3.4.1.: Regional Organizations with a fisheries & aquaculture-related mandate (e.g. WECAFC, CRFM, OSPESCA and OIRSA), Government Entities with a responsibility related to the value chain of fisheries/marine products, with special attention to countries with important spiny lobster, queen conch and/or shrimp exports

Outcome 3.5. Region-wide reduction of ghost fishing and negative habitat impacts from unsustainable spiny lobster fishing gear & practices, enabled

*As per table 2, 1 output will be produced by the PROCARIBE+ Project in support of this Outcome. The output will have 2 distinct, but interrelated elements.*

PROCARIBE+ will seek to contribute to this Outcome by delivering the Output 3.5.1, which is described in further detail here below, and which consists of two distinct elements: **(a)** a pilot effort -to be preceded by a more in-depth baseline/gap analysis, and to then be implemented in a single country, Honduras; **(b)** the enabling of replication and up-scaling of the results from the pilot, through dissemination and training , and a revision of existing regional and sub-regional fishery regulations and recommendations relative to spiny lobster fishing gear and practices.

Throughout the project's execution, opportunities for coordination/exchanges, and potential synergies with other parallel initiatives that can also contribute to Outcome 3.5, will continue to be sought.

*Output 3.5.1. (a) on-the-ground solutions developed and tested to reduce negative environmental, resource stock and socio-economic impacts from unsustainable fishing gear and practices in industrial spiny lobster fisheries (with special attention to 'ghost fishing'/lost and abandoned fishing gear); (b) provisions for the implementation of measures against ghost fishing and negative habitat impacts from spiny lobster fishing gear and practices, covering all countries active in the fishery in the WECAFC region (average regional annual total spiny lobster catch volume = approx. 28.000 ton)*

Key baseline elements on which the project interventions will build:

- ? Politically endorsed regional SAP (2015-2025), with a dedicated Sub-Strategy 4A calling for the advancement of the ecosystem approach for spiny lobster fisheries
- ? OSPESCA Regulation OSP-02-09 for the Regional Management of the Caribbean Spiny Lobster Fishery, and its different Adenda
- ? 'MARPLESCA Plan' - Caribbean Spiny Lobster Fishery Regional Management Plan
- ? St. George's Declaration on Conservation, Management and Sustainable use of the Caribbean Spiny Lobster
- ? The Spiny Lobster Fishery Management Plan (FMP) of Puerto Rico and the U.S. Virgin Islands

Context

With an average annual catch volume of 28.915 tons/year across the wider WECAFC region over the period 2007-2017 (FAO, Fishstat 2022), and an annual average exports value of approximately USD 402,818 (<https://comtrade.un.org/data>), Caribbean spiny lobster (*Panulirus argus*) is one of the most important, if not the most important and valuable fisheries in the wider Caribbean. Spiny lobster fisheries provide employment and income opportunities for 270.000 fisherfolk, in at least 15 countries in the region - although it is to be noted that a very large share of the total production comes from a limited number of countries: over the cited period, 66% of the total regional catch volume came from 4 countries: Bahamas (26,5%), Honduras (16,4%), Nicaragua (15,5%) and the USA (7,7%).

While Caribbean spiny lobster is being caught using a variety of practices and gears, industrial-scale fishing using lobster traps accounts for at least 60% of the total registered catch volume. According to reporting under the [MARPLESCA Plan](#), the main countries conducting industrial-scale trap fishing are: Honduras, Nicaragua and USA; also according to these reports, in 2017 the industrial trap fishing fleet in the WECAFC region consisted of 620 boats of which 90% were trap-fishing boats and 10% were scuba-fishing boats.

Considering that each boat may hold up to 3,500 traps, an estimated 1,8 million traps may be placed each season in the spiny lobster fishing areas by the industrial fishing float.

Yet, the practice of spiny lobster trap fishing is not without impacts: whereas efforts have been undertaken to control and resolve issues of **bycatch** -e.g. by regulating the minimum size of the escape gap of the traps (see e.g. OSPESCA Regulation OSP-02-09), the loss and/or the deliberate abandonment of fishing gear, and the associated problem of ghost fishing, as well as the potential harm caused by the trap fishing gear and practices to fragile benthic habitats, are real matters of concern due to their negative socio-economic, fish stock, biodiversity and environmental impacts which may ultimately also jeopardize the fishery.

The issue of **Abandoned, Lost or otherwise Discarded Fishing Gear (ALDFG)** is a problem that has become a major global concern. Worldwide, up to **one million tonnes** of fishing gear are left behind in the ocean every year. This has severe impacts on the health of marine ecosystems as current estimates show that over 500 species have been affected by ingestion, entanglement, and ghost fishing. Estimates from the World Animal Protection show that entanglement in ghost gear kills at least 136,000 seals, sea lions and large whales every year. There are also economic impacts as globally, about 90% of species caught in derelict fishing gear are of commercial value (Al-Masroori et al. 2004). This impacts the livelihoods of nearly 40 million people employed in fisheries and threatens long-term sustainability of

fisheries (FAO, 2020). Given that, today, [more than 3 billion people rely on fish as a major source of protein](#), this could have significant implications for food security, a major social issue.

Just like many other fisheries in the world, the Caribbean spiny lobster fishery, and in particular the trap fishery, is affected by the issue of ALDFG. Through **ghost fishing** and **benthic habitat impacts**, ALDFG in the spiny lobster fishery in the Caribbean brings with it substantial negative environmental as well as socio-economic consequences, and constitutes a threat to the sustainability of the fishery itself. During major tropical storms and hurricanes, losses of up to 20% of the traps placed on the fishing grounds within the area of influence of these events have been estimated from field observations.

Article 7 of OSPESCA Regulation OSP-02-09 states that each year prior to the seasonal closure of the spiny lobster fishery, fishermen and boat operators are required to recover all traps from the marine environment. Currently used fishing practices and gear make that such recovery efforts constitute a great cost to the operators - generally with a negative end balance for those executing the recovery efforts when the short- and long-term costs for the fishery of ghost fishing and benthic habitat damage are not considered/internalized. In such a context, the existence of a regulation by itself does not provide a sufficient solution to the problem, and the associated issue of unsustainability of the fishery - in its current format- persists.

In practical terms, notwithstanding the existence of the regulation and of associated recovery efforts, a minimum of 2-3% of all traps have been estimated to be lost on an annual basis. With an estimated industrial fleet capacity of up to 1,8 million traps, this could amount to between 36,000 and 54,000 lost traps, on an annual basis, from the industrial fishery alone. Against these estimates, it is worth mentioning that anecdotal evidence speaks of the recovery of 240,000 traps (from both industrial and artisanal fisheries) from the marine environment during the 2020 Closed Season by the Nicaraguan Fisheries and Aquaculture Institute INPESCA in collaboration with the Nicaraguan Army, as part of their Monitoring, Control and Surveillance efforts.

As far as the impacts on sensitive benthic habitats of the industrial-scale Caribbean spiny lobster trap fisheries gear and practices are concerned, limited research has been conducted to date in the region, and the scale and types of impacts of the Caribbean spiny lobster fishery remains largely unknown. Moreover, although ALDFG is a major problem in many countries, the nature and extent of the problem, causal factors and degree of impact may vary widely across regions ? due to differences in hydrogeological and climatic conditions, management systems and other contextual factors. Therefore, a place-based analysis and approach is needed to provide a profound understanding of the problem, to help identify region-specific and effective solutions.

In collaboration with relevant stakeholders from government and private sector, and global and regional experts, PROCARIBE+ will seek to review, collect and discuss experiences from other parts of the world, and develop more detailed baseline and impact assessments leading to the development and testing, at the pilot level and in 1 selected country, Honduras, of integrated solutions (technical, socio-economic, regulatory) that will allow to prevent and/or reduce the negative impacts of current gear and practices applied in the industrial-scale Caribbean spiny lobster fisheries in the region, with a view of enhancing the sustainability of the fishery and an increase of associated short and long-term socio-economic returns.

Based on the results from the pilot, the project will seek to disseminate the information generated and develop capacity on innovative methodologies used to determine lost traps during fishing seasons and promote regional-level provisions for enhanced fishing practices, including through a revision of the regional and sub-regional lobster fisheries regulations and recommendations, as feasible and applicable (OSPESCA/CRFM/WECAFC).

A linkage may also be sought with other activities under the project aimed at achieving a better protection of sensitive and important marine benthic habitats.

OSPESCA has been selected as the responsible partner for the execution of output 3.5. to ensure coherence of the project's activities with the regional frameworks adopted for the management of the Caribbean Spiny Lobster Fishery ([OSPESCA Regulation OSP-02-09](#)) and with ongoing regional and national priorities.

For all activities described below, the UNDP SES guidelines will be followed. The ESMF (ProDoc Annex 10) provides guidance on the assessments and measures needed to comply with the SES.

List of Proposed Activities to be supported by the PROCARIBE+ Project:

For the delivery of Output 3.5.1., the following activities will be undertaken:

? creation and periodic gatherings of an ad hoc (i.e. temporary) PROCARIBE+ Spiny Lobster Trap Fishing Working Group/Committee, consisting of representatives from the PROCARIBE+ responsible partner for Output 3.5.1, namely OSPESCA, and the regional fisheries bodies, national fisheries authorities, industrial fleet operators, regional experts including environmental impacts experts, representatives of the artisanal fishery sector and academia (as relevant) etc.; this will include the creation of a Honduran Sub-Group (consisting of the representatives from Honduras in the regional working group) that will focus on the delivery of element (a) - the pilot initiative- of Output 3.5.1.

? baseline study(ies) consisting of (a) a review of the existing global literature on the issue of ALDFG, with a special focus on trap fisheries and the associated problems of bycatch, ghost fishing and benthic habitat impacts, and of existing advances in terms of practical and innovative solutions; (b) a similar review of the existing regional literature, but more specifically focussed on ALDFG in (industrial-scale) Caribbean spiny lobster trap fisheries, the 3 aforementioned issues, and the associated regulatory frameworks and their practical implementation to date; for both (a) and (b) the analyses will give due attention to both the aspects of fishing gear and fishing practices, and the associated socio-economic dimensions

? global exchange on 'state of the art': (virtual) 'inception' workshop with global experts and regional (selected countries with major lobster trap fisheries) and national (Honduras) authorities and stakeholders, plus the regional fisheries bodies, to facilitate a 'global' discussion and exchange of experiences, lessons learned, on the topic

More specifically, for the delivery of element (a) of Output 3.5.1:

? Honduras country study (gap analysis): identification of the knowledge gaps relative to the environmental, socio-economic, stakeholder, regulatory and management dimensions of the ALDFG, bycatch, ghost fishing and habitat impacts of the industrial spiny lobster trap fishery in the country; identification of awareness raising gaps/priority needs; identification of gaps relative to potential workable\* 'field solutions': (a) fishing gear, and (b) fishing practices (\*sustainable and feasible, fitting the socio-economic and environmental reality of the Honduran spiny lobster fishing sites and stakeholders, and, where possible, with positive contributions to empowering women and youth (gender balance/gender equity))

? field studies (2 seasons, while the fishery is closed), as required and with due stakeholder engagement, to quantitatively fill key knowledge gaps identified through the aforementioned country study: a more precise evaluation of (a) the magnitude of ALDFG, in its three dimensions (abandonment, loss, discardment) and associated economics, and (b) of current levels of recovery efforts, its key actors, and cost-benefits

? field studies (1-2 seasons, a minimum of 3 representative areas of the fishery), as required and with due stakeholder engagement, to quantitatively fill key knowledge gaps identified through the

aforementioned country study: an assessment of the impacts on different types of benthic habitats of trap fishing gear and operations, Identification and development, together with Honduran stakeholders, of a (package of) ?pilot? solution, to be tested at selected sites /with selected operators (note that to ensure buy-in and local ownership, the specific sites and operators will be selected by the Spiny Lobster Trap Fishing Working Group, Honduran Sub-Group, once established, during the project inception phase); the following aspects will be considered: (cost of modifications of/to) fishing gear and fishing practices, policy/regulatory frameworks, enabling conditions, feasibility of compliance measures, stakeholder awareness and buy-in, dissemination and training, replicability and up-scaling potential, financial/economic incentives, financial sustainability, net impact, cost recovery and others

? Testing in the field of the identified solutions (1-2 seasons) - the specificities (location, number of sites, stakeholders/operators to be involved, number of potential solutions to be tested) will be determined during project execution by the Working Group, as a function of the results of the preceding activities, and taking into account the project budget and timeline, any available/newly mobilized co-financing

? Reporting and dissemination of the studies, assessments and results obtained from the activities under element (a) of the output

More specifically, for the delivery of element (b) of Output 3.5.1:

? Evaluation by the Ad Hoc Working Group of the results from the Honduras Pilot Effort, and from the preceding global and regional baseline studies and inception workshop, and formulation - with the assistance of experts- of recommendations for the implementation of element (b) of Output 3.5.1.: provisions for the implementation of measures against ghost fishing and negative habitat impacts from spiny lobster fishing gear and practices, covering all countries active in the fishery in the WECAFC region

? Evaluation of the formulated recommendations by the WECAFC Scientific Advisory Groupe, as appropriate, and the Interim Fisheries Coordination Mechanism (CRFM, OSPESCA, WECAFC) and/or its constituents

? Preparation of the proposed provisions, for adoption by the corresponding fishery governance mechanisms (OSPESCA, CRFM ,WECAFC) and incorporation in the corresponding fishery regulations and/or recommendations, as appropriate

? Preparation and dissemination of practical guidance/training materials and protocols, for the implementation of the approved regulatory provisions

? Preparation and dissemination of regional awareness raising materials

Note: in case of the mobilization of additional co-financing during project execution, consideration may be given to involving a second country in the pilot efforts under element (a) of Output 3.5.1.

**COMPONENT 4: Region-wide data/information/knowledge generation, management and sharing mechanisms supporting cooperation, coordination, collaboration and synergistic action**

Project activities under Component 4 seek to contribute to 2 distinct outcomes (Outcomes 4.1-4.2):

**OUTCOME 4.1 A well-articulated marine data, information and knowledge management infrastructure/network is enabled, (a) providing a science-policy interface; (b) supporting the development/updating, implementation and M&E of regional Action Programmes and Plans; (c) boosting and increasing the impacts of marine & coastal investments**

*As per table 2, 3 outputs will be produced by the PROCARIBE+ Project in support of this Outcome.*

*Note: in line with the project's adaptive management approach, which will seek to address and accommodate for the dynamic nature of formal and informal ocean governance processes in the region (with the aim of maximizing the impact, regional and national-level ownership and sustainability of the project outputs and outcomes), and notwithstanding the fact that the content of this section has been respectively pre-cleared and validated by the ad hoc regional Thematic Groupings and Development Committee created to support the PROCARIBE+ PPG phase, the approach and activities outlined for the different Outputs under this Outcome are considered indicative, and will be subject to further formal validation, following a review and possible revisions and/or further fine-tuning by (a) the corresponding Working Groups and organs (i.e. Steering Group and Executive Group) of the OCM (once these have been made operational with the support of PROCARIBE+; see also Output 1.1.1.) and by (b) key partners that will participate in the activities and in the approval of the resulting deliverables, described for the below Outputs.*

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Substantial amounts of data, information, technical reports and other knowledge products on the marine environment and the marine natural resources from the wider Caribbean have been created both within the region as well as globally, with and without the explicit aim of supporting management processes, decision-making and investments.

Unfortunately, many of these efforts were project- and/or sector-driven, have been 'ad hoc' in nature, and were undertaken in a non-systematic, non-standardized way. They have therefore not been

formally or sustainably embedded in regional mechanisms (such as the OCM) that seek to support a more holistic, long-term ecosystem-based approach.

Many initiatives lacked continuity, and/or are insufficiently known. A multitude of strategies and action programmes were developed, but often lacked the data and mechanisms to track their implementation.

Awareness about, and access to existing information is fragmented among the many stakeholders. Frequent reference is made to the *scarcity of financial resources*; nonetheless, efforts are often duplicated while critical knowledge gaps persist in time. Existing platforms and products are not linked together in a unified knowledge infrastructure, and/or remain insufficiently used.

Such lack of awareness about existing data, information and knowledge sources, complemented by insufficient or inadequate (access to) data, information and knowledge, were -together with and linked to the existence of a 'science-policy gap'- cited as important root causes of the ongoing degradation of the marine environment in the CLME TDA's.

Resulting from this acknowledgment, several priority actions relating to data, information and knowledge were incorporated across the different strategies of the 10-year CLME+ SAP (see e.g. SAP Actions 1.6, 1.7, 1.10, 1.11, 2.10, 2.11, 2.13, 2.14, 3.7,..).

In order to progressively overcome these challenges and to advance the implementation of the SAP and contribute to Outcome 4.1., PROCARIBE+ will support the continued development of an online Knowledge Management Hub as a central, regional information and knowledge management portal to be co-managed by the OCM Secretariat and its membership, and supported by the wide-ranging partnership(s).

While central to its design, the Hub will constitute just one element of the comprehensive marine data & knowledge management landscape/infrastructure (MDI) that is needed to enable achievement of the CLME+ Vision.

In recognition of the above, and with the added understanding that the success of not only:

**(a)** many of the processes and activities planned under PROCARIBE+ Components 1, 2 and 3,

but also:

(b) the many other investments on the marine environment in the region, both GEF and non-GEF

will to a large degree depend on the availability of, and access to good data and information, under its Component 4 the PROCARIBE+ Project will invest in:

? the continued, collaborative development of an **online ?OCM Knowledge Management Hub? (Output 4.1.1.)**, made sustainable and regionally-owned by tying it to the new **Ocean Coordination Mechanism (OCM, Output 1.1.1.A)** and associated **partnerships (Output 1.1.1.B)**;

? the collaborative development, and formal adoption by the OCM, of a **?blueprint ? for a regional Marine Data/Information/Knowledge Infrastructure (MDI)**, and selected priority actions for its subsequent implementation (**Output 4.1.2.**)

Logically, the OCM Hub will be expected to be integrated into, and to be assigned a well-defined role, within the context of the regional MDI.

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*Output 4.1.1.: Online Regional Knowledge Management HUB on the Marine Environment of the Caribbean and North Brazil Shelf LME?s fully developed and operational, facilitating collaborative knowledge management by the OCM and partnership(s) (with well-articulated linkages to third-party data/information/knowledge sources/products)*

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The online regional Knowledge Management Hub to be developed under this Component of PROCARIBE+ will be expected to provide data and knowledge directly on-site as well as by serving as a single, convenient gateway to other existing sources (incl. global platforms, among which IW:LEARN). Among its features, the Hub will host ?progress tracking portals? for the regional ocean sustainability instruments, and facilitate collaboration by providing key information on the many regional projects and initiatives. The Hub will also be expected to host a dynamic version of the ?SOMEE? State of the Marine Environment and associated socio-Economics regional report (Output 4.1.1).

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A prototype regional Knowledge Management Hub, the CLME+ Hub, tied to the CLME+ Interim Coordination Mechanism (ICM), was developed during the CLME+ Project. Development of this Hub included an early trial of a prototype ?SAP implementation progress tracking mechanism?. As the region now transitions from the interim coordination mechanism to the OCM (See Output 1.1.1A), and as lessons can now be extracted from the CLME+ pilot efforts (?successes and challenges?), the PROCARIBE+ Project will seek to support the continued development, further improvement and

consolidation of such a regional Hub that can underpin successful development and implementation of regional Strategies and Action Plans[4], and that is supportive of the OCM mandate.

Whereas the final approach towards the development and consolidation of this Hub is to be strategically decided by the OCM's organs (i.e. Steering Group, SG, and Executive Group, EG), and further fine-tuned by the OCM Secretariat (and relevant working groups), the first option to be suggested in this context will be to transform and 'upgrade' the prototype CLME+ Hub, into a more consolidated, formally adopted Knowledge Management HUB, 'owned' by the OCM and its membership (see Output 1.1.1.A), and supported by the wider-ranging partnership(s) (see Output 1.1.1.B). To this effect, the Hub's maintenance and ongoing development (as applicable) is expected to be supported by the OCM Secretariat, in partnership with other potential contributors including other GEF-supported projects in the region.

The proposed process to be followed for this purpose is detailed through the (indicative) activities listed here below:

List of Proposed Activities to be supported by the PROCARIBE+ Project *(please note the links with Outputs 1.1.1. and 4.1.2):*

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? Scoping of the particular niche of the proposed HUB within the wider range of global, regional, sub-regional and national-level marine data, information and knowledge management platforms; this scoping exercise will take into account the formal mandate and core and complementary functions of the regional Ocean Coordination Mechanism as stipulated in its establishing document (MoU)

? Independent review of the existing CLME+ Hub prototype (its design, structure, content and functioning,...) - strengths and weaknesses

? Based on the outcomes of the aforementioned activities: formulation of recommendations for the transformation of/transition from the CLME+ Hub prototype, into the official 'OCM regional Hub' (including sustainability considerations, and the fine-tuning of objectives, functionality, structure,...)

? Development and submission of a proposal, for formal adoption by the OCM SG, of the Regional HUB as the OCM's Official Knowledge Management Platform, and for its subsequent implementation, maintenance and ongoing development

? Ongoing development (through collaborative efforts) and maintenance of the OCM HUB (effort to be led by the OCM Secretariat). The development of content for the hub will include information that promotes gender and cultural inclusiveness.

? Development and submission, for adoption by the OCM SG, of the 'OCM HUB Sustainability Strategy/Plan', prior to the PROCARIBE+ Project End

Note 1: conditional to the approval of the creation of a Data, Information and Knowledge Management Working Group by the OCM SG (see also the listed activities under Output 4.1.2.), it is expected that the activities under this Output will be supported by such Working Group.

Note 2: the proposed approach breaks away from the more traditional approach followed by GEF projects to develop a ?project website? - the latter often being a project investment that may face sustainability challenges following a project's closure; for PROCARIBE+, while a dedicated project website will still be created, the latter will mostly target direct project stakeholders and support project management/governance and project stakeholder engagement activities; the aim will be to link to/embed the PROCARIBE+ project website (and other GEF project websites) within the regional Hub. Meanwhile, by featuring/highlighting key project achievements on the Hub, it will become possible to substantially expand the reach of PROCARIBE+ dissemination activities.

Note 3: linkages to the 2021-2030 United Nations Decade of Ocean Science for Sustainable Development will be explored and promoted.

*Output 4.1.2. (a) Formally adopted ?blueprint? for a regional Marine Data/Information/Knowledge Infrastructure (MDI); (b) MDI implementation enabled, and key elements put in place, through commitments and collaborative action by the Secretariat and Members of the OCM and partnership(s)*

As previously indicated, the OCM HUB is just one element of the comprehensive marine data & knowledge management landscape/infrastructure (MDI) that is needed to advance towards achieving the CLME+ Vision.

In addition to the delivery of Output 4.1.1., PROCARIBE+ will therefore assist the region in developing and progressively putting into place, through the OCM and wider-ranging partnerships, a solid regional MDI that is capable of underpinning the regional and national-level ocean governance, management and decision-making and coordination processes that are needed to advance the regional ocean agenda.

To this effect, PROCARIBE+ will develop and submit, for formal adoption by the OCM, a detailed ?blueprint? for such MDI. Through collaborative action among the Secretariat and Members of the OCM and the partnerships, and other GEF Knowledge Management initiatives, the MDI blueprint will seek to **(a)** sustainably harness and connect existing global, regional and national efforts, while **(b)** articulating the means to put in place key missing elements.

List of Proposed Activities to be supported by the PROCARIBE+ Project:

? Creation and operations of a Marine Data/Information/Knowledge Management Working Group by the OCM, to be overseen and supported by the OCM interim Secretariat (i.e. the PROCARIBE+ Project Management and Coordination Unit), and responding to the OCM Steering Group (SG) and Executive Group (EG), while also liaising on thematic matters with the governing bodies of relevant OCM member IGO's (adequate linkages with, and/or participation by representatives from the wider-ranging marine partnership(s) will be sought, to ensure adequate co-ownership and engagement of key non-governmental stakeholders in the SOME E development process) (link with Outputs 1.1.1.A and 1.1.1.B)

? Baseline inventory of relevant global, regional, subregional and (as relevant) national marine data, information and knowledge generation and management processes and platforms, including basic SWOT and sustainability analyses (link with Output 4.2.1).

? Development of an integrated proposal (blueprint) for an optimized, long-term/sustainable regional Marine Data/Information/Knowledge Infrastructure (MDI)

? Formal adoption by the OCM (SG, EG) and, as applicable, relevant IGO governing bodies, of the regional MDI BluePrint, and development and adoption of a phased implementation/implementation plan, aimed at directing and optimizing future (multi-party) MDI investments

? Development and implementation of selected key, high-priority elements of the Blueprint (to be further informed by the OCM and further developed/specified during project implementation, building on the achievements and findings from the preceding activities, and as financially feasible at such point).

Note 1: for the purpose of the above, collaboration will be sought with a range of projects/initiatives, which may include but would not be limited to: IW:LEARN, CARIGEO, ESA, UNEP WCMC, BIOPAMA, Caribbean BlueFin, BE CLME+, IWECO (legacy), CReW+, NDC Partnership Support Unit,...

Note 2: The exploration of the potential role of remote sensing data sources and products in the context of the MDI, and with a view of strengthening and supporting ocean governance and management processes in the region, is expected to receive particular attention in this context, e.g. through an anticipated collaboration with the European Space Agency (ESA), linked to the Strategic PROCARIBE+ - IW:LEARN alliance referred to under Output 4.2.1.

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*Output 4.1.3.: Comprehensive, updated regional Transboundary Diagnostic Analysis (TDA): fully developed regional ?State of the Marine Environment and associated Economies? ( SOME E), finalized by 2024/mid-25 and informing preparation of the new 2026-2035 regional Strategic Action Programme (SAP)*

With the implementation period for the first iteration of the 10-year 'CLME+' regional Strategic Action Programme (SAP) expected to come to an end in 2025, the operationalization of the OCM (Output 1.1.1.A) now provides the opportunity to more firmly embed the second iteration of this regional TDA/SAP process within the formal work programme of such regional mechanism and, through the OCM, also promote a stronger integration of the process in the work programmes of the OCM membership (IGO's and national governments).

Development of the new iteration of the 10-year, 2026-2035 regional SAP (see Output 1.1.2) will be informed by the collaborative development under PROCARIBE+ Component 4 of the second iteration of a regional TDA, which will now take the form of a first-ever, full-fledged regional integrated 'State of the Marine Environment and associated socio-Economics' ('SOMEE') report.

The 'SOMEE' development exercise will be firmly anchored into the work programme of the OCM, and, where relevant and as feasible, into the work programmes of its member IGO's. To the extent allowed by the available funds, and bearing its purpose of 'informing the development of the next SAP' in mind, content development and final assembly of this integrated SOMEE report will be supported by the PROCARIBE+ Project, and coordinated through the OCM Secretariat.

A proposed paradigm shift (promoted by the CLME+ PCU and already partially reflected in the 'SOMEE narrative' developed under the CLME+ Project), which consists of a shift from the narrower and more reactive 'analysis of problems' to a more comprehensive, and forward-looking, proactive 'analysis of 'opportunities, challenges and risks' will support the development of a SAP that does not just look at means to address environmental problems ('challenges'), but that seeks to protect and harness the coastal and marine natural capital in support of region-wide, oceans-based sustainable and climate-resilient development.

For the regional reporting efforts to achieve the level of maturity (in terms of data access/coverage, accuracy, comprehensiveness and reduction of knowledge gaps) that will be required to optimally inform regional-level ocean governance processes, there will be a critical need for the region to progressively move towards national-level and regional-level reporting efforts that are mutually supportive and that (ideally) follow a harmonized or (at least) compatible approach.

PROCARIBE+ will therefore seek to vertically link the development of the regional SOMEE with national and (sub-) regional level reporting efforts on the marine environment (and vice versa). The creation of such linkages will be piloted through the support that will be provided by PROCARIBE+ for the development of national-level SOMEE's in a number of PROCARIBE+ participating countries (see Project Component 2, Output 2.1.2.; please note that the activity can only be supported in a limited number of countries due to limitations related to the size of the PROCARIBE+ GEF grant;

notwithstanding this, results from work to be undertaken through PROCARIBE+ are expected to allow for the extraction of lessons and best practices that can then support a replication and progressive expansion of such efforts through the OCM).

List of Proposed Activities to be supported by the PROCARIBE+ Project:

? Creation and operations of a SOMEE development Working Group by the OCM, to be overseen and supported by the OCM interim Secretariat (i.e. the PROCARIBE+ Project Coordination Unit), and responding to the OCM Steering Group (SG) and Executive Group (EG), while also liaising on thematic matters of relevance with the governing bodies of OCM member IGO?s (where relevant, linkages with and/or participation by representatives from the wider-ranging marine partnership(s) will also be sought, to ensure adequate co-ownership and engagement of key non-governmental stakeholders in the SOMEE development process (link with Outputs 1.1.1.A and 1.1.1.B)

? Development and submission for approval by the OCM (and, where relevant, of its Member IGO?s), of a fine-tuned approach and work plan/timeline for SOMEE development, to be inspired by the ?SOMEE approach? developed and partially tested under the predecessor UNDP/GEF CLME+ Project, and taking into account associated ?lessons learned? (including the findings of the independent TDA/SAP review, see also Output 1.1.2.)

? Development of SOMEE content, as per the OCM-approved approach and work plan (including through the integration, and further updating/expansion of the content from the SOMEE ?building blocks? delivered with the support of the CLME+ Project)

? Technical clearance of the updated/expanded thematic SOMEE sections (?building blocks?) by the Governing Bodies of the relevant regional and sub-regional IGO?s (e.g.: State of Fisheries: WECAFC, OSPESCA and CRFM; State of the Convention Area Reports - SOCAR, Cartagena Convention Secretariat, on Marine Pollution and Marine Biodiversity, etc.)

? Integration of SOMEE building blocks into a final consolidated SOMEE document

? Production of a SOMEE Executive Summary, Summary for Decision-makers,...

? Endorsement of the final, integrated SOMEE by the OCM Governing Bodies (SG, EG)

? (Parallel to all other activities): creation of the online, dynamic/interactive version of SOMEE, to be embedded in the OCM HUB (link with Output 4.1.1.)

? Exchanges on approach and best practices with national-level reporting efforts (Output 2.1.2.)

Note on the mainstreaming of considerations relative to gender and social and environmental safeguards:

In line with the objectives of the PROCARIBE+ Gender Plan and ESMF/IPPF, considerations relative to gender, youth, indigenous people and local communities will be mainstreamed into the development of SOMEЕ, across all sections of the report (as relevant and feasible). The resulting findings from the SOMEЕ report will then be used to inform the corresponding elements of the new iteration of the 10-year regional 2026-2035 SAP.

To this effect, the PROCARIBE+ Gender/Safeguards Specialist(s) will support the corresponding Working Groups with the integration of the aforementioned considerations in both the report and the new SAP, e.g. by proposing specific indicators/targets and strategic actions.

Lessons learned from the regional SOMEЕ process, if available on time, can be extracted and used for the purpose of replication by countries in their national SOMEЕs, where relevant (see Output 2.1.2).

OUTCOME 4.2. Increased regional and global impacts from GEF IW investments through global dissemination and sharing of experiences, and by forging synergies with other Regional Seas/LME/Regional Fisheries programmes and the wider community of International Waters/Ocean practitioners & stakeholders

*Note: At least 1% of the PROCARIBE+ GEF grant will be dedicated to support IW:LEARN-related dissemination, twinning & exchange activities under this Outcome.*

*As per table 2, 3 outputs will be produced by the PROCARIBE+ Project in support of this Outcome.*

*Output 4.2.1. Strategic Alliance with IW:LEARN developed and implemented, piloting innovative approaches within (and beyond) the IW Portfolio and providing means for its replication (e.g. data & information management (DIM), use of Remote Sensing, integrated environmental & socio-economic assessments, TDA paradigm shift and BE, SAP implementation progress tracking, etc. (to be further fine-tuned/prioritized and adaptively managed during Project Inception/implementation phase)*

As reflected in several of the outputs under its Results Framework, PROCARIBE+ aims to pilot/advance a number of innovative approaches, e.g. in the fields of (a) Data/Information/Knowledge Management (including the use of Remote Sensing in support of coastal/marine resources

management, and the creation of a regionally owned Knowledge Hub) ( see Outputs 4.1.1. And 4.1.2.) and (b) integrated environmental & socio-economic reporting (see Output 4.1.3), at the time that it will also (c) pursue and promote a paradigm shift in the GEF-supported TDA/SAP approach.

Due to the wider-ranging relevance of these actions, which extends well beyond the LME?s covered by the PROCARIBE+ Project itself, and in addition to the more habitual sharing and dissemination of lessons learned (see Outputs 4.2.2. and 4.2.3), the PROCARIBE+ and IW:LEARN teams will also explore options to specifically work together, possibly involving also the teams of other projects, to prepare for and/or pursue the replication and/or scaling of these approaches within (and possibly beyond) the larger GEF IW/LME projects portfolio.

During the PIF and Project Document/CEO Endorsement Letter (PPG) development stages, conversations were held with the GEF IW:LEARN team, leading to the preliminary identification of possible joint activities, as listed below:

List of Proposed Activities to be supported by the PROCARIBE+ Project:

? Integration of (selected/relevant elements of) the PROCARIBE+ regional knowledge Hub of the Ocean Coordination Mechanism (see also Outputs 1.1.1. and 4.1.1.) and IW:LEARN knowledge management tools (see also PROCARIBE+ Output 4.1.1.)

? Fostering the paradigm shift, proposed by the CLME+ PCU at the Cartagena 2019 LME COP, in the practical implementation of the GEF-supported TDA/SAP approach, globally: from a focus on transboundary ?problems? towards ?challenges and opportunities? - and as such, better supporting the ?Blue Economy?-oriented GEF7 International Waters Strategy (see also PROCARIBE+ Output 4.1.3)

? Development of the global dimension of prototype regional blueprints for transboundary or LME- or regional seas-centered marine data, information and knowledge management landscapes/infrastructure (see also PROCARIBE+ Output 4.1.2.)

? Remote Sensing in support of marine and coastal planning and resources management

*Output 4.2.2. Support for and participation in GEF IW:LEARN and other Global Marine/LME community events (e.g. IW:LEARN conferences and workshops, twinning events/twinning visits among GEF IW projects), including the 8th ?Our Oceans Conference? (Panama, March 2023)*

As per the established practice for GEF IW projects, the PROCARIBE+ PMCU and relevant/selected Project Partners/Stakeholders will actively participate in the regular/core GEF IW:LEARN learning exchange events that will take place during the project implementation period. Subject to the availability of adequate funding, participation in other relevant events and activities of the Global Marine Community, including e.g. the LME Community of Practitioners, will also be pursued, with the aim of fostering knowledge exchange and increased/maximized global environmental benefits from the PROCARIBE+ GEF intervention through the dissemination of best practices.

Among the GEF IW:LEARN events where active participation of the PROCARIBE+ Project is anticipated, the following are highlighted: the (usually biennial) GEF International Waters Conferences, tailored IW:LEARN twinning exchanges, regional workshops and (caucus) meetings, etc.

In coordination with the IW:LEARN team and other partners, PROCARIBE+ will exercise a contributor and/or, where requested and feasible, a lead role in supporting, developing and implementing distinct elements of IW:LEARN event programmes/agendas, e.g. in such areas where PROCARIBE+ is seen as exercising a global leadership role, or where the project is acknowledged as fostering innovation and best practice (see also Output 4.2.1).

*Subject to a timely initiation of the PROCARIBE+ Project and associated staffing of its PMCU, PROCARIBE+ will also liaise with the Government of Panama to seek to make optimal use of the unique opportunity provided by the fact that Panama will be hosting the 8th edition of the global 'Our Oceans?' conference in March 2023. To the extent possible, linkages would be made in this context with activities under Component 1 related to the region's global pioneering role in operationalizing a multi-country, multi-agency ocean coordination mechanism. The conference may also provide an outstanding opportunity to further upscale regional and national ambitions under PROCARIBE+ during the PROCARIBE+ Project inception phase, as well to globally raise the profile of the CLME+ SAP, the PROCARIBE+ Project, and of the GEF support provided to the region.*

List of Proposed Activities to be supported by the PROCARIBE+ Project:

Activities under this Output will include (as applicable):

- ? Participation of the Project in the (biennial) GEF International Waters Conferences (IWC)
- ? Participation of the Project in the (annual) LME Consultative Group meetings

? Participation of the Project in IW:LEARN twinning exchanges, and regional workshops (*to be coordinated with the IW:LEARN team*)

? Participation of the Project in other relevant global/regional events surrounding the ?Oceans & Sustainable Development? themes

*Output 4.2.3. At least 6 best/good practice examples in coastal and marine ecosystem management and blue economies showcased/documentated, exchanged and promoted through IW:LEARN (e.g. experience notes)*

Production of written and audiovisual materials, such as e.g. project videos, IW:LEARN website and newsletter contributions, experience notes and story maps, allows to capture and share best practices and lessons learned from GEF IW Projects as they advance through their execution. In line with this established practice, and while keeping an eye on possible innovations in terms of the formatting and dissemination of content, PROCARIBE+ will seek to capture and disseminate at least 6 best/good practice examples from the work conducted under the different PROCARIBE+ Project Components. Tentatively, the project will seek to identify and disseminate at least one best practice from Project Components 1, 2 and 4, and 3 best practices from Project Component 3.

List of Proposed Activities to be supported by the PROCARIBE+ Project:

Activities under this Output will include (tentatively/subject to review during project execution):

- ? Production of at least 1 ?over-arching? project video
- ? Production of at least 1 story map
- ? Production of at least 3 experience notes
- ? At least 3 IW:LEARN website/newsletter contributions

Due attention will be given to key issues such as: gender mainstreaming and the empowerment of women and youth, and resilience and recovery (climate, COVID19 pandemic).

**COMPONENT 5: Project Monitoring & Evaluation (M&E)**

The project activities under Component 5 seek to contribute to the following outcome:

OUTCOME 5.1: 5.1. Project-level monitoring and evaluation, in compliance with UNDP and mandatory GEF-specific M&E requirements

The Component has the following main outputs:

- ? 5.1.1 Inception Workshop and Report
- ? 5.1.2 Annual GEF Project Implementation Review (PIR), and M&E of GEF core Indicators, Gender Plan, Safeguards Frameworks and Action Plans
- ? 5.1.3 Independent Mid-Term Review
- ? 5.1.4. Independent Final Evaluation

The M&E plan is presented in section IV of this Project Document and detailed **Results Monitoring Plan**, specifying the outcome-level indicators, targets, methods, means of verification and risks and assumptions is included in **ProDoc Annex 5** to this Project Document.

4) alignment with GEF focal area and/or Impact Program strategies;

Alignment with the GEF International Water Focal Area strategy:

PROCARIBE+ responds to **Strategic Objective 1** of the **GEF-7 International Waters (IW) Focal Area (FA)**, which aims to catalyze **multi-state cooperation** to **Strengthen Blue Economy Opportunities**?. The proposal is extremely well-aligned with the Strategic Actions of Objective 1:

The Project will apply ecosystem-based approaches to management of LMEs through, inter alia, the development of ocean management arrangements that are integrated and consistent at both the regional and national levels, and the development of initiatives that address the different key environmental stressors, namely **land-based sources of pollution, habitat degradation, unsustainable fisheries**, and the cross-cutting issue of **climate change**, in an integrated way. As such, the project **responds to all 3 Strategic Actions** called for under **Objective 1**.

The project will continue to foster the **enhanced collaboration among LME's, Regional Seas Conventions and Regional Fisheries Bodies**, and the relevant sub-regional geopolitical integration mechanisms, through the regional Ocean Coordination Mechanism (**OCM**) - a collaborative arrangement for which the CLME+ Project was a global pioneer as it operationalized the OCM's predecessor and prototype "CLME+ Interim Coordination Mechanism" (ICM); to be consolidated through Project **Components 1 and 4**.

As indicated under the GEF-7 IW Programming directions, strengthening blue economy opportunities require **regional cooperation** (esp. **Project Components 1 and 4**) and **national action** (esp. **Project Components 2 and 3**), with tools such as **Marine Spatial Planning (Component 2 and 3 -supported by the Marine Data Infrastructure built under Component 4)**- being enablers for more sustainable use of marine and coastal resources. The GEF-7 IW Focal Area aims to fund collective management of coastal and marine systems (**Project Component 3, engaging civil society, MSME, private sector and governments**) and implementation of the full range of integrated ocean policies, legal and institutional **reforms (all Components)**. As per the Programming Directions, this is to be done in tandem with catalyzing regional processes, such as the **Transboundary Diagnostic Analysis/Strategic Action Program (TDA/SAP)** (**Project Components 1 and 4**, and supported by SOMEE reporting under **Component 2**, and with **Component 3** supporting the implementation of several of the priority actions under the CLME+ SAP).

The Project will support selected countries in developing their **Blue Economy Plans** and in enhancing their **MPA networks**, and engage civil society organizations and MSME's in the **protection and restoration** of key coastal habitats (**mangroves, seagrass beds, corals**) while simultaneously providing sustainable **livelihoods (tourism, small-scale fisheries, mariculture,...)** (**Component 3**). It will further seek to harness the region's enormous potential in terms of **blue carbon**, in alliance with the NDC Partnership, UNDP's Climate Promise and others (**Component 2 and 3**).

Connecting the targets of healthy ecosystems and sustainable fisheries, and through a joint **public-private** effort, and supported by **enhanced civil society consumer awareness**, the Project will support actions to substantially reduce **IUU** and negative impacts from **unsustainable fishing practices and gear**, by applying **traceability** to a substantial share of the region's **key fisheries exports** (spiny lobster, queen conch and shrimp) while also developing, for implementation through **regulatory reforms**, measures and technological innovation to reduce **ghost fishing** and **habitat impacts** from spiny lobster fishing gear (**Component 3**).

Whereas the Project's GEF grant would not provide the resources required to make substantive investments in large-scale on-the-ground LBS pollution prevention and reduction efforts, the Project

will seek to support the implementation of the **Regional Action Plan on Nutrients**, developed under the Cartagena Convention's LBS Protocol with the support of the CLME+ Project, i.a. by providing **micro-financing support for small-scale nature-based solutions**, and by **fostering alliances with International Financial Institutions (IFI's)** through which more substantial financial resources for **major investment** works can then be mobilized.

While the Project would also not directly deliver on the target of enhanced water security in transboundary freshwater ecosystems (**GEF7 IW FA Objective 3**), it does support several of the calls for action under this Objective, as it acknowledges the close to **10.2 million km<sup>2</sup> of terrestrial area** draining directly into the project LME's, including through **23 transboundary river basins**. Through engagements with, e.g., IW:LEARN, SIWI, CAPNET and with (GEF-supported IW) projects targeting the region's transboundary basins such as (but not necessarily limited to) those of the Sixaola and Motagua Rivers in Central America (GEF IDs: resp. 10172 and 9246) , it will increase awareness, as well as the capacity for better integration of IWRM/IRBM and ICZM/MSP efforts, promoting the Source-to-Sea (S2S)/Ridge-to-Reef (R2R) approach (**Component 2**). Training provided will stimulate cooperation on water quality issues where such can help deflate potential conflict e.g. as a consequence of marine impacts from land-based pollution. The linkage with related GEF projects will thus support reduction of ecosystems pressures, also in the adjacent coastal and marine zone. As such, the project will help countries in addressing point and non-point sources of pollution, along the source to sea continuum (**Component 3**), in support of the CLME+ SAP and Cartagena Convention LBS Protocol and the Regional Nutrients Action Plan, and to the benefit of other marine conservation efforts undertaken e.g. in support of the SPAW Protocol and the associated Regional Action Plan on Marine Habitats. Through actions under Component 3 (and the planning for such actions under Component 2, e.g. through the NDC's) the project will also contribute to the protection and rehabilitation of coastal aquatic ecosystems (e.g. through micro-finance, blue carbon action, NBS, MSP and MPA's), especially coastal wetlands and mangroves, with multiple derived benefits (incl. carbon sequestration, coastal protection, etc.).

The Project will contribute to not only regional environmental management but also regional food security, peace and stability. **Gender issues** and **climate change considerations** will be mainstreamed throughout the project design and implementation. Gender considerations during the PPG phase will include a gender analysis, a gender action plan (Prodoc Annex 11) and a method for collecting sex-disaggregated data.

The Project will develop a strong alliance with IW:LEARN (**Component 4**).

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

*Incremental/additional cost reasoning:*

While both transboundary as well as cross-sectoral coordination and collaboration, and the introduction of innovative technologies and approaches, are acknowledged to be essential for resolving the challenges and for optimally harnessing the opportunities arising from marine and coastal resources in Large Marine Ecosystems, achieving such well-informed coordination and collaboration does create both transient and permanent costs that are additional to those associated with purely national and/or sector-based, traditional (?business as usual?) approaches. This is even more the case in geopolitically complex LME?s such as the Caribbean and North Brazil Shelf LME?s, where the marine space is subject to multiple user demands and potentially conflicting objectives.

Multiple inter-governmental organizations and geopolitical integration mechanisms co-exist in the region, each with their own, sometimes complementary, sometimes overlapping thematic and geographic scopes.

While the medium- to long-term gains to be obtained from innovation and from adopting a collaborative, integrated, LME-based approach can generally be clearly visualized, in a post-COVID19 context and with the more substantial returns to be obtained from a developing blue economy lagging behind the initial investments in creating its enabling actions, one of the main bottlenecks to the implementation of the Alternative Scenario proposed by the Project will continue to be the short-term financing of the incremental costs of: well-coordinated, region-wide, cross/multi-sectoral and innovative action, covering multiple spatial scales, and backed by sound data, information and knowledge.

Without renewed, transitory co-financing support from the GEF to help cover these incremental costs, the progress and momentum obtained from prior investments (described under the baseline) is likely to stall; the value of these initial investments may either be permanently lost, or become very costly to restore at a later stage.

By continuing to promote and support the regional, holistic SAP approach as an overarching reference framework and by catalyzing and supporting the coordinated, synergistic implementation of the

different SAP Strategies and Priority Actions, the GEF-funded PROCARIBE+ intervention will allow the Alternative Scenario to develop and mature, and by delivering an initial return-on-investments during the project's timeframe, will help generate the support needed to mobilize the more sustainable/innovative funding streams required for its long-term continuity.

Through the operations of the OCM and partnerships, and other catalytic project activities, the co-financing of incremental costs by the GEF is expected to result in a much higher return on the cumulative investments made by the many marine-oriented projects and initiatives in the region, including those receiving funds from the GEF both through the IW and other Focal Areas.

Notwithstanding the acknowledgment that substantive incremental/additional costs will be associated with implementing the Alternative Scenario, the PROCARIBE+ Project has been specifically designed to reduce these overall costs, e.g. by having the PROCARIBE+ Project Coordination Unit providing the services of (interim) Secretariat of the OCM for the duration of the project (and thus substantially reducing the additional funding required for its successful operations). Additionally, the OCM and partnerships, as per their nature and mandates, will further help to minimize the incremental costs of the Alternative Scenario, by avoiding the duplication of efforts, and by facilitating collaborative and synergistic action towards common objectives among the many countries, organizations and initiatives in the region.

#### *Expected contributions from the baseline*

In its aim to achieve its objective, and to contribute to the long-term CLME+ Vision, the project will not have to start from scratch. The project will heavily build on, and harvest important contributions from the existing baseline. Many of these baseline elements are the results from previous investments, including investments made through the CLME and CLME+ Projects. Without these, it would be impossible for the project to achieve its projected results. As such, it is clear that the new PROCARIBE+ Project will give continuity to a critically important long-term process for the region, for which the initial foundations were laid through a first GEF CLME intervention more than 10 years ago.

Some of the key baseline elements resulting from the CLME and CLME+ Projects that will directly contribute to and enable the project's delivery are cited below:

? lessons learnt and best practices/experiences obtained from the first iteration of the TDA/SAP process in the region will contribute to and facilitate a much improved second iteration of the TDA (SOMEE)/SAP process

? the politically endorsed 2015-2024 SAP and associated action programmes and plans, together with the [interactive SAP Progress Tracking Tool](#), provides a common roadmap guiding further action, contributing to a more structured and effective approach towards achieving the CLME+ Vision

? the experiences gained from the operations of the interim coordination mechanisms (ICMs), and the collaborative relationship and trust progressively built among countries, sectors and ICM members will substantially contribute to the project's delivery on its targets

? the finalization of the MOU that establishes the OCM will provide the OCM Secretariat/PROCARIBE+ Project Coordination Unit with formal mandates providing strong support for PROCARIBE+ project implementation

? the knowledge and information available on the CLME+ Hub, including the 'projects database', will enable better synergies and pooling of resources, and complementarity of efforts, on all matters under the proposed PROCARIBE+ Project results framework

? the baseline inventories (marine data infrastructure; key private sector agents/financing mechanisms?) and prototype/pilot developments from the CLME+ Project (online Hub, SOMEE building blocks, spiny lobster traceability pilot,...) will provide the foundations for, and contribute to the successful achievement of the upscaled targets under the PROCARIBE+ Results Framework

Other key elements of the baseline contributing to the PROCARIBE+ Project consist of the progress and experiences gained by other initiatives pioneering key actions on e.g. MSP, Ocean Governance Committees, Blue Economy scoping studies, mangrove and coral mapping, incubator hub development etc.

Key activities that would still continue under a Business-as-Usual scenario, and that will, in the presence of the Project, deliver important contributions to the Project's overall success, include (a.o.):

? the continuing operations of the already functioning NICs, established in many of the prospective OCM member countries, as well as the operations of their individual constituents (ministries with a marine-related mandate, etc.)

? the continuing operations of the IGO's with a marine mandate in the region, and which will integrate the core membership of the OCM

? the ongoing and planned parallel activities in the territories in the region that are not eligible for GEF financial support (USA, France, the Netherlands, UK)

? existing and ongoing initiatives such as e.g. the GEF Small Grants Programme, the UNDP Barbados 'Blue Lab', the NDC Partnership, the UNDP 'Climate Promise', CAPNET, etc.

? through their own regular fundings streams and resource leveraging potential, OCM and partnerships members will further help reduce the share of incremental costs associated with achieving the CLME+ Vision, that are to be provided for directly through the PROCARIBE+ GEF grant.

As such, and in order to enable the regional-level advances aspired for under the SAP, the PROCARIBE+ Project will be able to strategically direct its limited financial resources to supporting those countries/those topics where no such baseline support currently exists.

*Expected contributions from the GEFTF*

A financial contribution from the GEF Trust Fund, through its allocations under the International Waters Focal Area, of USD 15,429,817 has been requested for the implementation of PROCARIBE+. Through an alliance with (a.o.) the GEF Small Grants Programme (SGP), PROCARIBE+ will seek to have the amount of USD 1,000,000 from the PROCARIBE+ GEF grant allocated to small grants initiatives matched by an equal amount of funds (1:1 ratio) from the GEF SGP (and/or other small grants initiatives in the region), in support of civil society and MSME contributions to the project objective. Synergies and complementarities will be sought, and pooling of resources may be considered (in support of project outcomes) where deemed mutually beneficial, with other GEF-supported (IW, BD, LD,...) projects in the region, as well as with global GEF-funded initiatives including but not limited to IW:LEARN.

*Co-financing commitments to the PROCARIBE+ Objective and Outputs (?parallel co-fianning?)*

Co-financing leveraged and invested into the Project Objective and Project Outcomes throughout the project timeline (from PIF approval to project end) will consist of both in-kind and cash contributions, and as it is anticipated, will originate from countries, IGO?s, NGO?s, CSO?s, IFI?s, philanthropy, the development aid community, research agencies, the private sector and the GEF Agency. A substantial amount of commitments were obtained during the PPG phase, while additional contributions will be identified and leveraged throughout the Project?s implementation phase.

**Table 6. Confirmed sources of PROCARIBE+ Co-financing for the project (status: 11 July 2022)**

Sources of Co-financing	Co-financing category	Type of Cofinancing	Amount (\$)	Included in project results?	If yes, list the relevant outputs
Other	National Oceanic and Atmospheric Administration, USA	In-Kind	24,007,556	N	N/A

Other	Ministry of Agriculture, Nature and Food Quality, the Netherlands	In-Kind	500,000	N	N/A
Other	Ministry of Agriculture, Nature and Food Quality, the Netherlands	Grant	19,500,000	N	N/A
Recipient Country Government	Ministry of Blue Economy and Civil Aviation, Belize	Grant	867,000	N	N/A
Recipient Country Government	Ministry of Blue Economy and Civil Aviation, Belize	In-Kind	750,000	N	N/A
Recipient Country Government	Ministry of Environment and Sustainable Development, Colombia	Grant	6,736,614	N	N/A
Recipient Country Government	Ministry of Environment and Sustainable Development, Colombia	In-Kind	744,235	N	N/A
Recipient Country Government	Ministry of Environment and Energy, Costa Rica	Grant	3,000,000	N	N/A
Recipient Country Government	Ministry of Environment and Natural Resources, Dominican Republic	Grant	3,120,000	N	N/A
Recipient Country Government	Ministry of Environment and Natural Resources, Dominican Republic	In-Kind	780,000	N	N/A
Recipient Country Government	Fisheries and Aquaculture Regulations Directorate, Guatemala	In-Kind	65,000	N	N/A
Recipient Country Government	Ministry of Environment and Natural Resources, Guatemala	In-Kind	1,725,315	N	N/A
Recipient Country Government	Secretariat of Natural Resources, Environment and Mines, Honduras	In-Kind	813,568	N	N/A

Recipient Country Government	National Institute for Forest Conservation and Development, Protected Areas and Wildlife, Honduras	Grant	11,494,505	N	N/A
Recipient Country Government	National Institute for Forest Conservation and Development, Protected Areas and Wildlife, Honduras	In-Kind	437,247	N	N/A
Recipient Country Government	Ministry of Agricultural Development, Panama	In-Kind	274,280	N	N/A
Recipient Country Government	Ministry of Environment, Panama	In-Kind	2,742,117	N	N/A
Recipient Country Government	Ministry of Economy and Finance, Panama	In-Kind	1,200,000	N	N/A
Recipient Country Government	Institute of Marine Affairs, Trinidad and Tobago	Grant	300,000	N	N/A
Recipient Country Government	Institute of Marine Affairs, Trinidad and Tobago	In-Kind	700,000	N	N/A
Recipient Country Government	Environmental Management Authority, Trinidad and Tobago	In-Kind	143,623	N	N/A
Recipient Country Government	Ministry of Agriculture, Land and Fisheries, Trinidad and Tobago	In-Kind	350,980	N	N/A
Recipient Country Government	Ministry of Agriculture, Land and Fisheries, Trinidad and Tobago	Grant	280,840	N	N/A
Other	Central American Fisheries and Aquaculture Organization (OSPESCA)	In-Kind	1,595,955	N	N/A

Other	Central American Fisheries and Aquaculture Organization (OSPESCA)	Grant	1,844,120	N	N/A
GEF Agency	United Nations Development Programme (Climate Promise)	Grant	6,615,460	N	N/A
GEF Agency	United Nations Development Programme (Climate Promise)	In-Kind	85,000	N	N/A
Other	Summit Foundation	Grant	6,500,000	N	N/A
Other	Gulf and Caribbean Fisheries Institute (GCFI)	Grant	3,487,000	N	N/A
Other	Gulf and Caribbean Fisheries Institute (GCFI)	In-Kind	1,800,000	N	N/A
Other	Nationally Determined Contributions (NDC) Partnership	In-Kind	1,930,700	N	N/A
Other	Nationally Determined Contributions (NDC) Partnership	Grant	2,896,052	N	N/A
Other	Meso American Reef (MAR) Fund	Grant	4,100,000	N	N/A
GEF Agency	United Nations Development Program (Barbados Sub-regional Office)	Grant	12,129,479	N	N/A
Other	Central American Commission for Environment and Development (CCAD)	In-Kind	1,500,000	N	N/A
Other	Caribbean Regional Fisheries Mechanism (CRFM)	In-Kind	600,000	N	N/A
Other	European Space Agency (ESA)	In-Kind	400,000	N	N/A
<b>TOTAL</b>			<b>126,016,646</b>		

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[1] For the non-OIRSA member countries participating under element (a) of the Output, the project will seek to implement a standard which is inspired by, or equivalent to the OIRSA standard

[2] COMTRADE (<https://comtrade.un.org/data>), Departamento de Estadísticas de Las Bahamas, 2019 (<http://www.bahamastradeinfo.gov.bs/trade-information/global-trade-statistics/>), República Dominicana, 2019 - ONE (<https://www.one.gob.do/economicas/anuario/exportaciones>), Cuba (<https://www.icex.es/icex/GetContentGestor?dDocName=486048>), México (<https://www.gob.mx/conapesca/documentos/anuario-estadistico-de-acuacultura-y-pesca>)

[3] Source: data calculated based on FAO (Contribución de la pesca y la acuicultura a la seguridad alimentaria y el ingreso familiar en Centroamérica <https://www.fao.org/publications/card/es/c/caaff2db-fb93-4c12-a344-80c01bee99f2/>), OSPESCA/CLME+ (Plan MARPLESCA [https://www.sica.int/documentos/plan-marplesca-espanol\\_1\\_119895.html](https://www.sica.int/documentos/plan-marplesca-espanol_1_119895.html)), Anuario estadístico de acuicultura y pesca 2018 México (<https://www.gob.mx/conapesca/documentos/anuario-estadistico-de-acuacultura-y-pesca>)

[4] Notably the Regional Nutrients Pollution Reduction Strategy and Action Plan, and the Regional Marine Biodiversity Strategy and Action Plan that were developed with support under the CLME+ Project

**Table 7. Confirmed sources of PROCARIBE+ Grant co-financing (status: 11 July 2022) with a description of activities aligned with the PROCARIBE+ project**

<b>Co-financing source</b>	<b>Co-financing category</b>	<b>Co-financing type</b>	<b>Co-financing amount</b>	<b>Description of activities aligned with PROCARIBE+</b>
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the Netherlands	Donor Agency, National Government/Ministry of Agriculture, Nature and Food Quality	Grant	19,500,000	? Implementation of the Nature and environment policy plan Caribbean Netherlands 2020-2030  ? Protection and restoration of key marine habitats including through the ridge-to-reef approach (specific actions include erosion control through reforestation, sustainable land use and control of roaming animals, water quality improvement and coral restoration) and the sustainable management of living marine resources in the Caribbean Netherlands and the enhanced coordination and collaboration with our neighbouring countries in the wider Caribbean and the regional instruments established for such purposes (e.g. Regional Seas Programme and Regional Fisheries Bodies, among others) and through strengthening the knowledge and information infrastructure specifically regarding the natural environment in the Caribbean parts of the Kingdom of the Netherlands.
Belize	National Government/Ministry of Blue Economy and Civil Aviation	Grant	600,000	? Green Climate Fund Project PGCP/BZE/002/GCR: Enhancing adaptation planning and increasing climate resilience in the coastal zone and fisheries sector of Belize.
Belize	National Government/Ministry of Blue Economy and Civil Aviation	Grant	267,000	? Belize Protected Areas Conservation Trust Targeted Investment Grant to improve the management of the Marine Reserve Network
Colombia	National Government/Ministerio de Ambiente y Desarrollo Sostenible	Grant	6,736,614	? Work within the framework of the functions of the Department of Marine, Coastal and Aquatic Resources, in the areas of coastal marine environmental planning, management of biodiversity and marine protected areas.

Dominican Republic	National Government/Ministerio de Medio Ambiente y Recursos Naturales	Grant	3,120,000	<p>? Develop and implement policies that allow the regulation for the sustainable use of coastal and marine resources in order to guarantee their protection and conservation</p> <p>? Activities contained in Program 14, <b>sustainable management of coastal and marine resources</b> of the annual operating plan and institutional strategic plan</p>
Honduras	National Government/Instituto Nacional de conservaci?n y desarrollo forestal, ?reas protegidas y vida silvestre	Grant	11,494,505	<p>? Work on the Project: Strengthening the national system of protected areas and wildlife (LifeWeb Initiative), financed by the German Development Bank (KfW).</p> <p>? Work of the Ministry in the forest regions (Atlantio, Noroocidente and Yoro), within the framework of the LifeWeb Initiative Project, in which it is implementing 5 components:</p> <ol style="list-style-type: none"> <li>1. Preparation of the project planning and monitoring bases.</li> <li>2. Implementation of measures for the conservation and management of natural resources in protected areas</li> <li>3. Institutional support to the ICF and co-managers</li> <li>4. Project management</li> <li>5. International technical advice</li> </ol>

Trinidad and Tobago	National Government/Ministry of Agriculture, Land and Fisheries	Grant	280,840	? Work on implementation of an ecosystem approach to fisheries management, incorporating a participatory approach engaging all stakeholders, and including the continued development of a marine geospatial database; participation in the programmes/initiatives/projects of regional fisheries bodies such as the Caribbean Regional Fisheries Mechanism, the Western Central Atlantic Fisheries Commission (WECAFC), and the International Commissions for the Conservation of Atlantic Tuna (ICCAT); and the implementation of an action plan to address illegal, unreported and unregulated fishing in the ports and waters under the jurisdiction of Trinidad and Tobago, which includes the development of a traceability system for fish and fish products.
Trinidad and Tobago	National Government/Institute of Marine Affairs	Grant	300,00	? Work on Integrated Coastal Zone Management, the Blue Economy, Marine Spatial Planning and Coastal Monitoring
OSPESCA	IGO	Grant	1,844,120	? ??Work in the areas of fishing and sustainable aquaculture, the blue economy, marine spatial planning and sectoral and integrated ocean governance.
UNDP (Climate Promise)	GEF Agency	Grant	6,615,460	? work on the NDC Support Programme, Stockholm+50 Consultations, NDC implementation and enhancement under our Climate Promise portfolio and; Forest Land and Nature work through the DEFRA initiative

Summit Foundation	Philanthropy	Grant	6,500,000	? Work on restoring and protecting the health and resilience of the Mesoamerican Reef, which includes priorities of establishing and strengthening marine protected areas, improving fisheries management including through increased protection of fish spawning aggregations, and reducing nutrient pollution and other land-based impacts on the ecosystem.
GCFI	NGO	Grant	3,487,000	? Work on regional ocean partnerships through the management of 1) the MPACConnect marine protected areas network and 2) co-host of the Caribbean Node of the Global Partnership on Marine litter, the strengthening of the science-policy interface through our annual conferences, capacity building and training for MPA practitioners and artisanal fishers, support of blue-economy efforts through our partnerships with the tourism sector and within our fisheries for fishers initiative, and other activities focused on SDG14 such as sustainability and alternative livelihoods for marine resource stakeholders.
NDC Partnership	Facility	Grant	2,896,052	? Work on country engagement that focus on NDC enhancement and implementation, Long Term Low Emission Development and capacity building support.
MAR Fund	Facility	Grant	4,100,000	? Work in support of best practices of protected marine and coastal areas management, as well as with our Reef Rescue Program.

<p>UNDP (Barbados Multi- Country Office)</p>	<p>GEF Agency</p>	<p>Grant</p>	<p>12,129,479</p>	<p>? The Project to Improve Sargassum Management Capacities in the Eastern Caribbean:</p> <p>? Output 1: Increased capacity of the Governments of participating countries to effectively remove, transport and dispose of sargassum invasions.</p> <p>? Output 2: Enabled national environments for managing protection, restoration and sustainable use of coastal and marine resources.</p> <p>? Output 3: Catalyzing actions across all sectors for the movement, protection, storage and restoration of coastal and marine natural resources.</p>
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At PPG stage, preliminary indicative co-financing amounting to USD **126,016,646** has been identified. A preliminary, partial inventory of Indicative co-financing by participating countries amounts to a total value of USD 80,532,880. Country support is expected to deliver distinct contributions under each of the Project Components, and will be instrumental to enabling successful delivery by the Project on its targets. Indicative co-financing originating from project partners amounts to USD 45,483,766. The most substantial amount of co-financing is dedicated towards the delivery of targeted outputs and outcomes under Component 3, where the biggest GEF investment is also being made.

Further financial contributions to the continued implementation -catalyzed and tracked by the Project/OCM- of the CLME+ SAP and associated strategies and action plans, will come from a multitude of projects and initiatives active and/or under development in the region. These will also include other GEF financial contributions, and third-party co-financing contributions to GEF-funded projects. While the latter are not to be reflected in the amounts cited above, they will still substantially contribute to the over-arching project and SAP objectives. One practical example (among many) is the anticipated USD 50 million World Bank IDA contribution to "Unleashing the Blue Economy in the Eastern Caribbean" (UBEEC) in Grenada, Saint Lucia and St. Vincent and the Grenadines, which will advance, in parallel and in coordination with PROCARIBE+, on common objectives but targeting different parts of the region. Several additional initiatives, contained and described in the [online "SAP-contributing" Projects Database](#) on the CLME+ Hub, will be harnessed as part of the region's collective delivery on the SAP and its long-term Vision - through the enhanced collaboration and coordination made possible by the OCM and partnerships.

#### 6. *global environmental benefits (GEFTF)*

Through the development of the TDAs and the subsequent region-wide political endorsement of the 10-year (2015-2024) CLME+ SAP, the countries from the region aspire to achieve, within a 20-year time frame (2025-2034), the long-term Vision of a "healthy marine environment, which maximizes - in a sustainable way - the benefits for livelihoods and human well-being obtained from marine ecosystem goods and services".

The proposed PROCARIBE+ Project will seek to further assist the region's in its efforts towards achieving this vision by continuing to support the collaborative, coordinated, multi-project, multi-country, multi-stakeholder implementation of the "CLME+" SAP, by tracking progress achieved, and by assisting the region in formulating the next iteration of the 10-year regional SAP (2025-2034). Global Environmental Benefits arising from SAP implementation will thus be achieved both through direct contributions from the Project (e.g. Priority Actions under the SAP directly and fully implemented by the Project itself), as well as through its central role in supporting and tracking (through the OCM and wider-ranging partnerships) the coordinated, collaborative implementation of

the full range of Priority Actions under the SAP's 6+4 Strategies and Sub-Strategies, through the wider sets of marine projects and initiatives in the region.

The new PROCARIBE+ Project will be central to the delivery of enhanced regional governance and management arrangements for shared living marine resources in 2 of the World's 66 Large Marine Ecosystems, jointly covering an area of approximately 4,4 million km<sup>2</sup> of ocean space, and containing globally relevant fish stocks, globally unique ecological features and a substantive share of the world's marine biodiversity, with high levels of endemism. At the same time, the initiative will also help safeguarding the important extensions of coral reefs, mangrove forests and seagrass meadows in the region, together with other key marine and coastal habitats, and representing an important share of the global blue carbon habitats, with their potential to contribute to climate change mitigation.

Measured against five of the GEF International Waters Core Indicators, the global environmental benefits to be delivered/enabled through the PROCARIBE+ Project include: **Core Indicator 2:** Marine protected areas created or under improved management for conservation and sustainable use - an estimated area of 4,368,05 ha; **Core Indicator 5:** Area of marine habitat under improved practices (excluding protected areas): 440 million hectares, through improved practices in both the Caribbean and North Brazil Shelf LME's; and 2 Large marine ecosystems (LMEs) with reduced pollution; **Core Indicator 7:** Number of shared water ecosystems (fresh or marine) under new or improved cooperative management: directly: the two LMEs, the Caribbean and North Brazil Shelf LME's, constituting the direct geographic scope of both the Project and the OCM; indirectly/enabling: (a) a further 2 LMEs, indirectly through the strengthening of OCM member IGO's and PROCARIBE+ Project participating countries whose area of mandate/territories include the Gulf of Mexico LME (GOMLME) and/or the Pacific Central American LME (PACA); (b) additional LME's and Regional Seas, globally, through the exchange of best practices and lessons learned, i.a. through IW:LEARN, UNDP's LME Portfolio and UNEP's Regional Seas Programme; (c) the 23 transboundary river basins draining into the CLME and NBSLME, and other global LME's (in particular tropical/subtropical LME's and semi-enclosed seas); **Core Indicator 8:** Globally over-exploited marine fisheries moved to more sustainable levels: the over-exploited queen conch fishery to be brought to more sustainable levels through application of traceability to annual exports corresponding to 515 metric tons/yr; and **Core Indicator 11:** Number of direct beneficiaries disaggregated by gender as co-beneficiaries of GEF investment, with an early and initial goal to generate direct benefits to more than 421,655 (162,328 Female and 259,328 Male) across the countries participating in the project.

The project's activities will further support a number of global environmental commitments and objectives including:

**Rio + 20 Resolution:** This recognizes *inter alia*:

- i. the importance of promoting the science-policy interface;

- ii. strengthening the participation of countries in international sustainable development processes through capacity building and assistance to conducting their own monitoring and assessments;
- iii. recognizing the importance of also building capacity in developing countries to benefit from conservation and sustainable use of the oceans and seas and their resources and emphasizing, in this regard, the need for cooperation and partnership in marine scientific research, particularly in the implementation of the United Nations Convention on the Law of the Sea;
- iv. commit to take action to reduce the incidents and impacts of pollution on marine ecosystems, including through effective implementation of relevant conventions and adoption of coordinated strategies to this end (including measures to control introduction of alien invasive species);
- v. supporting international cooperation toward realizing the social, economic and environmental benefits from the conservation and effective management of coral and mangrove ecosystems;
- vi. recognize the importance of area- based planning and conservation measures;
- vii. encourage the GEF to take additional steps to make resources more accessible to meet country needs for the national implementation on international commitments;
- viii. recognize that a dynamic, inclusive and well-functioning and socially environmentally responsible private sector is a valuable instrument that can offer a crucial contribution to economic growth and reducing poverty and promoting sustainable development.

**Sustainable Development Goals:** An effective Blue Economy, supported by the protection and sustainable utilization of marine ecosystem services, should map across several of the SDGs including:

- ? Goal 2: Zero hunger through the critical role living marine resources play in food security;
- ? Goal 7: Affordable and clean energy through the contribution marine renewable sources play in energy security;
- ? Goal 8: Decent work and economic growth through the diversification and growth of marine-based economic sectors; and
- ? Goal 13: Climate Action through the implicit link between the oceans and climate change, and the adaptive measures countries can take to maintain ocean integrity and resilience.
- ? Goal 14: Life Below Water through identifying risks to the marine environment, especially to marine living resources, and proposing strategies that mitigate those risks; and
- ? Goal 16: Strong Institutions through establishing robust national marine regulators and incorporating participatory processes in decision-making about marine management issues.
- ? Goal 17: Partnerships through establishing mechanisms through which the broad range of stakeholders with an interest in sustainable use of the oceans can participate and play a role in decision making and management.

**Aichi Biodiversity Targets:** The project would realize all of the Strategic Goals (and their targets) , namely:

- A. Address the underlying causes of biodiversity loss by mainstreaming biodiversity across government and society;
- B. Reduce the direct pressures on biodiversity and promote sustainable use;
- C. Improve the status of biodiversity by safeguarding ecosystems, species and genetic diversity;
- D. Enhance the benefits to all from biodiversity and ecosystem services;
- E. Enhance implementation through participatory planning, knowledge management and capacity building.

**High Ambition Coalition (HAC) on Nature and People**, and the **Global Ocean Alliance:** An increasing number of countries from the region is pledging to work towards the 2030 target of having 30% of their marine space under enhanced protection (MPA?s).

*7) innovativeness, sustainability and potential for scaling up. ?*

### **Innovativeness**

-

The PROCARIBE+ Project will continue to build upon the approach developed under both its predecessor UNDP/GEF Projects, namely the ?CLME? Project (Phase 1, 2009-2014: SAP development) and the ?CLME+? Project (Phase 2, 2015-2021: catalyzing implementation of the 10-year SAP). Already through these projects, the region pioneered the collaboration among LME Programmes, Regional Seas Programmes and Regional Fisheries Bodies which is now increasingly being called for also through multiple international fora, and which has been included among the GEF IW7 Programming Directions.

Such collaboration was achieved through the creation, during the CLME+ Project, of the CLME+ SAP Interim Coordination Mechanism (ICM) which consists today of 9 Intergovernmental Organizations

(IGO?s) each of which has an oceans-related mandate and several of which operate at different geographic scales. The ICM allowed to trial an innovative scientific proposal for enhanced shared living marine resources governance, tailored to the reality of the region and consisting of a multi-level network of nested marine resources governance/management arrangements actively advocating and facilitating EBM/EAF.

The innovative coordination mechanisms trialled under the CLME+ Project will now be upscaled and transformed into long-term arrangements at both the regional and national levels (the regional Ocean Coordination Mechanism, OCM, and wider-ranging ocean partnerships - see Project Outcome 1.1, linked to the national NICs - see Project Outcome 2.1). Lessons learnt from their practical implementation will be of relevance to the global LME community.

Acknowledging the shortcomings in the development of the first iteration of the regional SAP (CLME+ SAP, 2015-2024), the CLME+ Project provided the opportunity for a complementary SAP, the ?People Managing Oceans? action programme, to be developed by and for civil society. To date (June 2022) , this ?C-SAP? has been endorsed by 51 Civil Society Organizations from across the region. The development of this dedicated C-SAP constitutes an important innovation, globally, and its continued implementation will now be supported by the PROCARIBE+ Project, under Component 3.

Simultaneously, the OCM will now lead the development of the second iteration of the 10-year regional SAP, further consolidating regional ownership of the process. To proactively address the shortcomings mentioned above, the different sectors of society will be better represented in the SAP development effort, through the upfront engagement of the wider-ranging ocean partnerships, while the project will also aim to directly engage development banks, the donor community and other potential financing agents, both public and private, in the SAP development process with the aim of providing short- and medium-term financing solutions for SAP implementation.

Likewise, and building upon these experiences and lessons learned, several other important innovations will be introduced by the Project:

? the introduction of the innovative concept of a ?Project Management and (technical support and) Coordination Unit? will allow to provide project governance and management in a more cost-efficient way, more clearly differentiated from but still easily interlinked with the Unit?s technical coordination and advisory services, which can then in turn be more cost-effectively channeled to a wider range of regional stakeholders through regional ocean governance platforms others than the temporary Project

Board, that will survive the project's lifespan - hence further contributing to regional ownership, sustainability, and continuity of project outcomes

? as per the PROCARIBE+ OCM establishing document, the TDA/SAP approach will become embedded in the operations of the OCM, ensuring the long-term continuity and sustainability of the approach in the region

? the regional long-term adoption of the TDA approach is expected to take the format of the periodic, collaborative development of integrated 'State of the Marine Environment and associated socio-Economics' (SOMEE) reports, which will be facilitated by the OCM; the project will seek to embed natural capital accounting approaches in the SOMEE development process

? through SOMEE, a paradigm shift will be introduced in the TDA approach, moving away from the traditionally predominant focus on 'problems', towards a wider-ranging analysis of 'opportunities and challenges'

? the focus on 'opportunities' will allow to enhance the perception of 'relevance' of marine and coastal natural capital across productive sectors, and as such help multi-sector collaboration and the development of sustainable blue economies

? the periodically developed SOMEE's, following a formally adopted, standardized approach, will allow to compare status across the different iterations and as such enable the tracking of progress and measurement of 'return-on-investment' from ocean-positive actions, and inform each new iteration of the SAP; production of these new iterations will now be supported by a wider array of societal stakeholders, including civil society and private sector

? progress tracking of SAP implementation and other Regional Action Plans will be facilitated through innovative, online collaborative tracking mechanism, inspired on the prototype CLME+ SAP Progress tracking portal, and hosted on a central 'Knowledge Hub' maintained by the OCM Secretariat and collectively owned by its membership

? the project's expanded knowledge management approach, moving the focus away from a project website to the support for the continued development of a regional Knowledge Management Hub (which will still have an -albeit likely somewhat simpler- project website embedded in it) will allow a more widespread sharing and exchange of experiences and lessons learned, not only from PROCARIBE+, but also from other projects, programmes and initiatives

? a comprehensive marine data/information/knowledge infrastructure (MDI), underpinning the work of the OCM, will be progressively built, based on a blueprint to be developed by the PROCARIBE+ Project with inputs from the OCM and partnerships, departing from the baseline inventory conducted by the CLME+ Project; the infrastructure will seek to harness existing global data sources and platforms

? in collaboration with ESA, the potential for remote sensing to support the MDI, SOMEER reporting, MSP and other regional and national-level marine resources management efforts will be explored, documented and disseminated

? better integration of marine protection and conservation, and the blue economy, and climate action under the Paris Agreement through the 2025 updates of the Nationally Determined Contributions (NDCs?)

? better integration of IWRM/RBM, ICZM/MSP, MPA and NDC efforts will be tested and promoted

? blue carbon and tropical coastal peatland carbon assessments will enable, in collaboration with efforts under the UNEP/GEF Caribbean Bluefin Project and/or other carbon credit initiative in the region, the deployment of innovative financing for ocean conservation

? traceability and technological innovation to reduce IUU, ghost fishing and habitat impacts will be tested and applied/upscaled for key fisheries

? the 3-tiered approach (MPAs-OECMs-MSP) promoted by 'Friends of Ocean Action' in their World Economic Forum Impact Report 'The Business Case for Marine Protection and Conservation' will be trialed and promoted by the project through Component 3 as an enabler for the development of resilient blue economies

### **Sustainability**

PROCARIBE+ has been built and structured with the sustainability of its outputs and outcomes in mind. To achieve such sustainability, the project has embedded the following general principles in its design:

a. fully aligned with, and supportive of the continued implementation of the cyclical TDA/SAP approach, and of the implementation of the 2015-2024 politically endorsed CLME+ SAP and associated action programmes and plans developed through the CLME+ Project;

b. establishment of a long-term coordination mechanism (OCM), that improves coordination among the various regional marine management organizations with a long-term/permanent mandate in the region, and with national-level ownership; the coordination mechanism is key to sustaining the momentum achieved through SAP implementation once the project is completed and will give long-term continuity to the TDA/SAP approach, as per its mandate (OCM core functions under the establishing MOU-ProDoc Annex 22);

- c. making the SOMEE reports formal products of the OCM, enabling a systematic approach to its periodic updates which will allow for the measurement of progress and trends; making the SOMEE reporting effort supportive of the existing reporting obligations of the OCM members; tying the development of the regional Marine Data Infrastructure and of the regional Knowledge Hub to the OCM; linking the project activities to existing national, regional and global environmental and sustainable development commitments;
- d. building capacity of state and non-state actors through Components 2 and 3;
- e. building awareness among all stakeholders of the socio-economic and environmental value and importance of the CLME+ region to the future wellbeing and development of the region and its citizens;
- f. greater engagement of civil society, private sector, women, and indigenous/local people in marine planning and decision making and creating the right enabling environment to attract private sector investment to support the future sustainable development of the region's Blue Economy; and
- g. improving the knowledge base to better understand the impact of human activities and monitor the health of the marine environment thereby supporting improved decision making
- h. securing, through conservation measures, the resource base that underpins the blue economy
- i. mainstreaming climate change considerations throughout the project activities, ensuring enhanced robustness of delivered solutions, and increased resilience of the region's socio-ecological systems
- j. support for uses of the marine environment that don't over-exploit the renewable resource base.
- k. inclusion of specific activities under project outputs dedicated to securing post-project sustainability and continued up-scaling of project outputs and outcomes

The development of the next iteration of the SAP will allow project partners and participants to further refine the existing interventions and to target future interventions on those areas seen as most critical and most effective to achieving the regional 20-year Vision of a healthy marine environment, allowing also to integrate newly emerging topics. In this way, a process of adaptive management will continue throughout and beyond the timeframe of the project.

From its beginning, PROCARIBE+ will work on and adaptively manage/improve, and document its sustainability strategy, involving the actors and stakeholders associated with the aforementioned points (and beyond), to ensure the continuity of project outcomes and achievements, and related actions, once the project ends.

### Potential for scaling up

Scaling of efforts and results through the PROCARIBE+ Project will occur (a) both within the region, through regional mechanisms and platforms - both pre-existing ones as well as those to be newly created and/or supported by the project - as described under Section IV of the Prodoc, as well as (b) at global levels, through a strong association between the project and IW:LEARN, and other global mechanisms.

As with the transition from the CLME to the CLME+ Projects, the transition from the CLME+ to the PROCARIBE+ Project offers indeed considerable opportunity for upscaling of activities. Chief among these, under Component 1, is the transition from the existing 'pilot' Interim Coordination Mechanism (ICM) and its somewhat more limited scope of work, to the more substantial, long-term ocean coordination mechanism (OCM), initially under the PROCARIBE+ Project, but eventually as a stand-alone governance mechanism with sustainable funding arrangements to ensure its long term viability and with enhanced country ownership.

By promoting and achieving synergies and major coherence among actions, and by reducing the duplication of efforts, the OCM members, together with the regional ocean partnerships, will optimize limited available resources towards the achievement of more substantial, larger-scale impacts.

Through the OCM, its organs, membership and associated Working Groups, and the regional OCM Hub, and in association with IW:LEARN best practices and lessons learned from local, sub-regional and global (pilot) initiatives, from both the PROCARIBE+ Project as well as other GEF and non-GEF projects, will be more easily disseminated and replicated, facilitating the region-wide and even global scaling of their impacts.

Similarly, national-level efforts, such as e.g. the assessments of the state of the marine environment (SOMEE) under Component 2 and the blue carbon assessments under Component 3, will provide a model for more wide-spread national-level knowledge-based decision making, and will support progressive improvements in the techniques and approaches tested through PROCARIBE+; training and capacity building on a variety of issues, and the development of a 'best practice' NDC, will also allow to replicate and upscale related actions across the region.

Another key focus will be to upscale the actions seeking to implement the C-SAP and other Regional Action Plans, both through the direct provision of microfinance from the GEF grant, as well as by providing support for the mobilization of additional financial resources. Likewise, the testing of blue carbon/peat carbon assessment approaches, and the collaboration and coordination with other initiatives such as the UNEP/GEF Caribbean Bluefin Project, the NDC Partnership, the UNDP Climate Promise and others will seek to more widely spread the lessons learned enabling its more wide-spread, larger-scale application.

Similarly, a focus on improving the enabling environment to support blue growth, through enhanced information and knowledge generation and management, MSP, and further actions to secure the natural resource base in alignment with the three-tiered approach documented under Component 3, will make it possible to upscale progress towards conservation targets as well as the project's contributions to the development of thriving, resilient ocean-based economies. It is to be noted in this sense that several of the outputs under component 3 consist of 2 elements: (a) a pilot element, to be implemented in one or a limited number of countries, and (b) a scaling element, which seeks to create the enabling conditions for wide-spread scaling and replication (see e.g. the outputs on traceability, and fishing gear and practices).

The four inter-linked and complementary PROCARIBE+ Project components are thus specifically designed to facilitate replication/scaling-up of actions and outcomes, towards achieving the long-term Vision for the region.

Substantial potential will also exist to scale up, through e.g IW:LEARN, UNEP Regional Seas and other global platforms, positive and innovative actions piloted in the CLME+ region, to other parts of the world (and to bring such experiences from other parts of the world to the region)

Strong engagement as PROCARIBE+ responsible parties in project implementation of regional partners with long-term roles and/or formal mandates in the region will make it possible for actions initiated/catalyzed through PROCARIBE+ to be continued and upscaled beyond the project timeline.

## 1b. Project Map and Coordinates

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

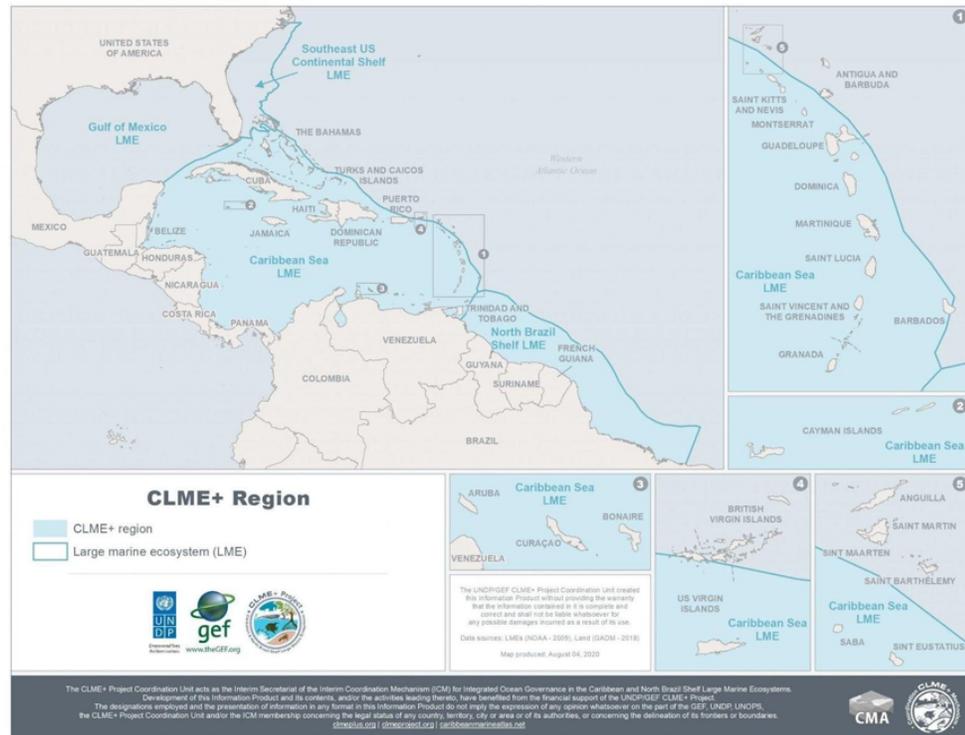


Figure 20. The CLME+ region (please note that the CLME+ region does not include the Gulf of Mexico LME)

Additional Maps of the CLME+ region are provided in Annex D.

## 1c. Child Project?

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

## 2. Stakeholders

Select the stakeholders that have participated in consultations during the project identification phase:

Civil Society Organizations Yes

Indigenous Peoples and Local Communities Yes

**Private Sector Entities** Yes

**If none of the above, please explain why:**

**Please provide the Stakeholder Engagement Plan or equivalent assessment.**

The Stakeholder Analysis and Engagement Plan developed for the PROCARIBE+ Project, is included as ProDoc Annex 9.

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

**Stakeholder involvement supporting the development of PROCARIBE+ (PIF and PPG)**

The PIF and PPG Phases were conducted in full consultation and with the close engagement of governments, inter-governmental organizations, CSOs and other relevant stakeholders ? in particular those who will benefit from and be directly involved in the implementation of the project activities (i.e. direct project beneficiaries), those who may be impacted (positively or negatively) by the project, and those running or planning for parallel or complementary activities. A lot of attention was given to the latter, this in order to maximize synergies and complementarity, and to avoid potential overlaps and duplication of efforts.

More detailed documentation of the PPG stakeholder engagement activities is contained in the document ?*Memoirs of engagement processes held during the UNDP/GEF PROCARIBE+ Project Preparation Phase (PPG phase)*, which is added as Annex 12 to the PROCARIBE+ Submission Package.

The table below provides a summary of the engagement activities organized during the PPG phase along with the number of participating countries and organizations.

*Summary of the engagement activities organized during the PPG phase*

<b>Stakeholder Engagement Activity</b>	<b># of Countries</b>	<b># of Organizations</b>
PPG Preparatory Meeting	24	7
Nominations for PPG Thematic Groupings and PPG Development Committee	21	15

Meeting for the final negotiations and adoption of the text of the MoU for the establishment of the Ocean Coordination Mechanism (OCM)	25	15
Questionnaires on baseline and plans for MSP/BE/MPA	8	6
Regional Dialogue on MSP/BE (co-organized with IW:LEARN/IOC of UNESCO)	18	16
Bilateral Engagements (Meetings, Calls, written dialogue)	17	>20
2021 UNDP Regional Climate Week	presentation on CLME+ SAP, OCM, PROCARIBE+ by PPG CU	
OSPESCA 1st Blue Economy Forum	presentation on CLME+ SAP, OCM, PROCARIBE+ by PPG CU	
ECLAC LAC Forum on SD - Oceans Side Event	presentation on CLME+ SAP, OCM, PROCARIBE+ by PPG CU	
CBD Workshop on Other Effective area-based Conservation Measures (OECMs)	presentation on CLME+ SAP, OCM, PROCARIBE+ by PPG CU	
NDC Partnership Informal Dialogue on Blue Carbon	active participation by PPG CU, identification of potential partnerships	
Initiation of the Validation Process - Workshop	50 registered participants (14 countries)	
Online technical pre-clearance and pre-validation process (Loomio Digital Platform)	93 members in PPG Thematic Groupings, 12 Thematic Groups created, 26 Threads posted to Thematic Groupings on Loomio platform	

Online final validation (Loomio Digital Platform)

30 Members in PPG Development Committee, 46 Threads posted to PPG Development Committee on Loomio Platform.

### *PPG Preparatory Meeting*

To kick-start the PPG Phase, a PPG **Preparatory Meeting** was organized on 14-15 July 2021 with more than 110 participants representing countries and prospective partners. The meeting aimed at informing and, where relevant, obtaining initial feedback on:

- ? The proposed project objective, results framework and budget
- ? The proposed process, timeline and milestones towards project operationalization
- ? The proposed approach to Project Governance and Project Management (enabling country ownership and mainstreaming of the project in ongoing regional processes)
- ? The proposed approach to regional and country-level stakeholder mapping and engagement, for the different project components and outputs
- ? The proposed approach towards the development of the detailed project proposal, including the proposed approach for selecting the project's intervention sites
- ? Overview of what is needed from countries and prospective partners during PPG

One of the main outcomes of the meeting was the agreement to establish a **PPG Development Committee** and several **Thematic Groupings** to assist the PPG team with the development of the PROCARIBE+ Project Document (?ProDoc?) and all associated documentation.

The role of the PPG Development Committee was defined as:

- ? Oversee, guide and advise on the project development process
- ? Review (as applicable) and validate/endorse the GEF PPG deliverables
- ? Ensure criteria and deadlines for successful submission to the GEF, and GEF/UNDP/UNOPS and country/relevant project partner requirements are met

The prospective PPG Development Committee members were defined as:

- ? A Governmental Representative from each participating State/Territory
- ? A representative from: the GEF Agency (UNDP), Executing Agency (UNOPS), the PPG Coordination Unit, the Members of the CLME+ Interim Coordination Mechanism
- ? Observers: UNDP Country Offices and other relevant Intergovernmental Organizations.

Considering the wide-ranging thematic scope of the PROCARIBE+ Project, the following Thematic Groupings were also created:

1. Operationalization/enhancement of National Inter-sectoral Coordination mechanisms; operationalization of the regional Ocean Coordination Mechanism and wider-ranging partnerships.

2. Reporting on the State of the Marine Environment and associated Socio-Economics/Natural Capital Accounting.
3. Marine Data/Knowledge Management; Marine Data Infrastructure.
4. Blue Economy.
5. Integrated Coastal Zone Management / Marine Spatial Planning.
6. Ridge-to-reef/Source-to-Sea approach; Integrated Water Resources/River Basin Management; Land-Based Sources of Pollution.
7. Marine Conservation (Marine Protected Areas, Marine Managed Areas and Other Effective Conservation Measures).
8. Blue Carbon, Nationally Determined Contributions (Oceans and Climate).
9. Adaptation/Resilience Building to Climate Change / Disaster Risk Response (marine/coastal environment).
10. Fisheries Traceability (spiny lobster, queen conch, shrimp).
11. Spiny lobster fisheries: Sustainable Fishing Practices/Gear.

The role of the Thematic Groupings was defined as:

- ? Support/work with the PPG CU on specific elements of the Project Proposal (e.g. help develop the baseline, identify possible intervention sites and specific activities, assist with the definition of realistic but ambitious SMART targets for each project output, help with the identification of co-financing, and with pursuing synergies/complementarity among projects/initiatives, etc)
- ? Liaise with the PPG consultant working on gender and social and environmental safeguards
- ? Review and issue advice on (thematic) GEF PPG deliverables
- ? Adhere to the PPG timeline with a view of meeting all deadlines
- ? Help ensure that UNDP and GEF requirements for thematic project components are met

The proposed participants for the Thematic Groupings were: UNDP RTA, PPG Coordination Unit, IGOs/ICM members, national experts/governmental representatives, representatives from existing regional Working Groups, international experts, co-executing/co-financing partners, among others.

Following the PPG Preparatory Meeting, communications were sent to GEF Operational Focal Points, UNDP country offices, countries and territories of the CLME+ / Wider Caribbean region, and prospective project partners from non-governmental organizations to nominate representatives for the PPG Development Committee and Thematic Groupings. All nominations received were made available on the PROCARIBE+ project webpage at: <https://clmeplus.org/procaribe-plus-project-meetings-and-documents/>.

#### *Questionnaires on thematic matters*

To collect relevant information on the different components of the PROCARIBE+ Project, a series of questionnaires were developed and sent for responses by the members of the Thematic Groupings and, where relevant, the members of the PPG Development Committee. In total, questionnaires were

developed on Marine Spatial Planning, Blue Economy and Marine Protected Areas/Other Effective (Area-Based) Conservation Measures (OECM) . The information received from the questionnaires helped the PPG Coordination Unit with:

- ? Developing baseline information
- ? Identifying possible intervention sites and specific activities
- ? Assisting with the definition of realistic but ambitious SMART targets for each project output
- ? Identifying potential co-financing and technical support opportunities, and
- ? Pursuing synergies/complementarity among projects/initiatives.

#### *Regional Dialogue on MSP/BE*

Considering that one of the main outputs of the PROCARIBE+ Project relates to the implementation of MSP and BE, a regional dialogue on **?Current status and opportunities for advancing Marine Spatial Planning and the Blue Economy through the UNDP/GEF PROCARIBE+ and IW:LEARN projects? was organized by IOC-UNESCO and the UNDP/GEF PROCARIBE+ Project PPG Coordination Unit on 13 December 2021**. The 54 participants exchanged information regarding MSP-related activities and plans in their countries, including its links to the Blue Economy, aimed to improve regional sustainable development and identify criteria and interest for active participation in the PROCARIBE+ Project.

The dialogue provided an opportunity to engage the members of the Marine Spatial Planning Thematic Grouping to assess the status of MSP in the region and determine where country interventions on MSP and BE may be best suited under the PROCARIBE+ Project

#### *Pre-validation Regional Workshop*

As part of the overall Project Validation effort under the PPG Phase, a **pre-validation workshop was held on 15-16 March 2022** to provide an opportunity to accelerate and advance the overall project preparation and validation process. The workshop kick-started the review and (pre-)validation of substantial/key elements of the Project draft. The participants also agreed on an approach and timeline for further advancing and finalizing the full project proposal package.

#### *Consultation on Loomio Platform*

The Loomio platform, a collaborative online workspace, was used during the PPG to support the review and validation process of the draft text of the Project proposal, as agreed during the pre-validation workshop. Loomio Discussion Threads containing links to the draft sections of the ProDoc were created to engage members of the Thematic Groupings and the PPG Development Committee. The members of the groups were invited to request clarifications, comment on, make suggestions, and engage in discussions on the draft text(s). Comments and suggestions received were then integrated into a consolidated version of the ProDoc for final validation by the PPG Development Committee.

#### *Bilateral Consultations*

During the development of the PIF and throughout the PPG phase, a very substantive amount of bilateral consultations were conducted with country representatives and other prospective project partners, stakeholders and representatives from other relevant projects (both GEF and non-GEF), initiatives and organizations, to gather information on baseline, potential synergies and complementarities, needs for coordination and opportunities for collaboration, and information key for the avoidance of duplication of efforts, and to identify potential intervention sites and activities. In total, representatives from at least 17 countries and more than 20 organizations were engaged.

## Stakeholder Engagement and South-South Cooperation

PROCARIBE+ acknowledges that effective stakeholder engagement improves project ownership and acceptance and strengthens the social and environmental sustainability and benefits of supported interventions.

As such, PROCARIBE+ will deploy a range of differentiated measures allowing for inclusion in the project activities of a wide variety of groups of interest at various scales, including under-represented and vulnerable groups.

In support of such efforts, a dedicated Stakeholder Analysis and Engagement Plan has been developed, and is added as an Annex (9) to the PROCARIBE+ Project Document. It is noted that the Stakeholder Analysis and Engagement must be seen in association with the Gender Analysis and Action Plan (ProDoc Annex 11) and the Indigenous People's Planning Framework (IPPF) (ProDoc ESMF Annex 10), for consideration of the cross-cutting goals of gender equality and the empowerment of marginalized stakeholder groups, including youth, as well as ensuring an effective approach for the involvement of Indigenous Peoples where relevant.

In short, the approach to be followed by PROCARIBE+ builds on the experiences, good practices, lessons learned and pre-established networks from the predecessor CLME and CLME+ Projects, but will now further expand its reach to more substantially include additional stakeholder groups that may have been less engaged in the aforementioned projects.

Given the vast thematic and geographic scope of the PROCARIBE+ Project, and far-ranging potential consequences of project activities and outcomes some of which may extend well beyond the limits of the region itself, and in specific cases can even be global in nature, a wide diversity of stakeholders will influence and/or can be potentially affected, positively or negatively, by the project activities, outputs and outcomes.

This also means that a very large number of stakeholders will need to be engaged, in a variety of ways, and with varying levels of intensity, in or through the project activities in order to ensure the successful implementation of the project, and in order to maximize the project's return on investment. The capacity constraints of project agents including the Project Management and Coordination Unit (PMCU), and Project Responsible Parties, inherent to the project grant and timeline, will need to be considered in this context, and a periodic re-evaluation of priorities, throughout the project's implementation timeline, will be required. The forging of strategic alliances and partnerships, also alluded to higher up under this section, can however alleviate the burden on the project's agents up to a certain extent.

The table below provides a characterization of the main stakeholder groups, and their anticipated role in the project.

**Table 8. Major stakeholder groups and their typology, and short description of role (including examples/non-comprehensive listing)[1]**

Stakeholder group/category	Examples	Typology and Brief Description
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<p>National governments</p>	<p>Ministries responsible for food security (fisheries, agriculture, forestry, aquaculture); Environment / Sustainable Development / Blue Economy / Climate Change ministries; Tourism ministries; Finance and planning ministries; Foreign Affairs ministries; Energy and mining ministries; Meteorological services; Coast Guards; statistics departments</p>	<p><b><u>Type: active agents &amp; direct beneficiaries</u></b></p> <p>The active participation of, and coordination across all relevant national government stakeholders is essential to develop/strengthen and implement national inter-sectoral mechanisms that can relate to the regional Ocean Coordination Mechanism (OCM) and associated processes (in particular Project Components 1 and 4), and as the basis for the delivery of the variety of national-level PROCARIBE+ outputs (in particular the Project Components 2 and 3), and to achieve PROCARIBE+ goals in a participative and coherent way integrating multiple initiatives, programmes and policies each country is involved in; for the latter: see also the role of national governments in the Project Governance Arrangements including their role as Project Beneficiary Representatives on the Project Board, Project Document Section VII). Selected national-level governmental entities may be engaged as responsible parties in PROCARIBE+ project implementation. National Focal Points to regional IGO?s may have an important role in supporting the delivery/endorsement/adoption of key project outputs relevant to the mandate(s)/work programmes of such IGO?s, and, consequently, in ensuring the regional ownership, continuity and sustainability of project achievements.</p>
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<p>Inter-governmental organisations (IGOs)</p>	<p>This includes both IGO?s with a global as well as those with a regional and sub-regional action range/mandate (<i>examples of global: e.g. IOC of UNESCO, IODE, UNEP WCMC, UN Global Compact; examples of regional: e.g. UNEP CEP, CARICOM Secretariat, OSPESCA</i>)</p> <p>United Nations Development Programme (UNDP); Food and Agriculture Organisation of the United Nations (FAO) and the Western Central Atlantic Fisheries Commission (WECAFC); Caribbean Environment Programme of the United Nations Environment Programme (UNEP-CEP); Association of Caribbean States (ACS); Caribbean Public Health Agency (CARPHA); IOC of UNESCO; UNEP ROLAC; UN ECLAC; UN DESA; CCAD; CARICOM; SICA; Organisation of Eastern Caribbean States (OECS); Caribbean Regional Fisheries Mechanism (CRFM) ; Organizaci?n del Sector Pesquero y Acu?cola de Centroamerica (OSPESCA)</p> <p>Caribbean Climate Change Centre (CCCCC); Caribbean Tourism Organisation (CTO), etc.</p>	<p><b><u>Type: active agents &amp; direct beneficiaries</u></b></p> <p>IGO?s functioning at multiple scales and in multiple aspects provide support for up-scaling implementation being conducted at national level and secure coordinated responses to common national challenges and impacts.</p> <p>They are key in bringing resources needed for data compilation and analysis and subsequent monitoring, evaluation, and reporting, and for providing better linkages with regional governments and global programmes and policies. Regional IGO?s will be represented on the Executive Group of the Ocean Coordination Mechanism and as such participate in the OCM-related deliverables, including the development of the new SAP.</p> <p>Selected IGO?s may be engaged as responsible parties in PROCARIBE+ project implementation. National Focal Points to regional IGO?s may have an important role in supporting the delivery/endorsement/adoption of key project outputs relevant to the mandate(s)/work programmes of such IGO?s, and, consequently, in ensuring the regional ownership, continuity and sustainability of project achievements.</p>
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<p>Civil Society and Civil Society Organizations (CSO?s), and regional NGO?s</p>	<p>national and local level civil society groups and associations (e.g. the 50+ CSO groups that developed and endorsed the ?People Managing Oceans? civil society SAP</p> <p>population of the coastal environments, individual coastal and marine resource users</p> <p>regional NGO?s such as e.g. the Caribbean Natural Resources Institute (CANARI)</p> <p>the wider public, within the region; the wider public, globally</p>	<p><b><u>Type: mix of passive and active agents, direct and indirect beneficiaries</u></b></p> <p>Civil Society Organizations drove the development of the ?People Managing Oceans? action programme, which complements the CLME+ SAP and identifies priority contributions from a civil society perspective. PROCARIBE+ will support implementation of actions under the plan through the Small Grants Output. Civil Society should also be engaged/taken into account in the development under PROCARIBE+ of the new iteration of the regional SAP.</p> <p>For many of the activities and outputs under Component 3, civil society engagement and/or access to information will be key, as members of civil society located within the geographic reach of project activities/outputs will in many cases be directly impacted by these activities. Special reference is made e.g. to the issues of power relations and potential alliances and conflicts, and of under-represented and vulnerable groups, in the context of project activities related to Marine Spatial Planning (MSP) and Marine Protected Areas (MPA?s)/Other Effective area-based Conservation Measures (OEMC?s).</p> <p>This category also includes the wider public which, in terms of the project?s planned activities, may generally constitute a (currently still) more passive agent that should be kept informed and for which increased awareness should be pursued; while the project?s capacity constraints need to be considered and prioritization in terms of the engagement of different stakeholder groups needs to be ensured, turning (elements of) the wider public into active agents can provide an enhanced support base for specific purposes, including political processes (e.g. consumer demand for traceability in the seafood sector)</p>
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<p>Big International NGO's (BINGO's) and Philanthropic organizations</p>	<p>Examples include The Nature Conservancy (TNC), Conservation International (CI), World Wildlife Fund (WWF), the Pew Charitable Trusts, Summit Foundation, The Ocean Foundation, and many more</p>	<p><b><u>Type: active agents, can also be beneficiaries</u></b> (<i>e.g. when the project provides an enhanced baseline on which they can then build</i>)</p> <p>BINGO's and Philanthropic organizations support many of the same causes PROCARIBE+ will be working on and many of these organizations have parallel projects and activities that can/will contribute to several of the project outcomes. Sound coordination, and the screening of opportunities for collaborative action will be key to avoiding overlap, harvesting existing knowledge, experience and networks, and avoiding overlap, to ensure the region can maximize the benefits to be obtained from all ocean-positive action in the region. Selected BINGO's may be considered as responsible parties in PROCARIBE+ project implementation.</p>
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<p>National, regional and, where relevant, global private sector companies and associations, including associations of marine resource users</p>	<p>Regional and national private sector associations: e.g. Caribbean Hotel and Tourism Association (CHTA), national chambers of commerce, Caribbean Network of Fisherfolk Organisations (CNFO), Confederation of Fishermen of Central America (CONFEPESCA), national sport fishing and dive associations</p> <p>Individual large and medium-sized companies (e.g. fishing companies; hotels, restaurants, oil and gas companies; shipping companies, banks, insurance companies)</p> <p>Small and micro enterprises and their associations; tour operators and associations)</p> <p>World Ocean Council (WOC)</p>	<p><b><u>Type: mix of passive and active agents, direct and indirect beneficiaries</u></b></p> <p>A diverse group of stakeholders with varied and often competing interests, roles and responsibilities are relevant for opening opportunities to advance in the Blue Economy and in sustainable use of coastal and marine resources.</p> <p>For many of the activities and outputs under Component 3, private sector engagement and/or access to information will be key, as members of the private sector located within the geographic reach of project activities/outputs will in many cases be directly impacted by these activities. Special reference is made e.g. to the issues of power relations and potential alliances and conflicts, and of under-represented and vulnerable groups, in the context of project activities related to Marine Spatial Planning (MSP) and Marine Protected Areas (MPA?s)/Other Effective area-based Conservation Measures (OEMC?s).</p> <p>Private sector can also provide a diversified source of financing resources for improving ocean health and human wellbeing, in the context of the blue economy.</p> <p>Private sector engagement in the development of the new SAP is to be pursued.</p> <p>See also the sub-section dedicated to private sector under Section IV of the PROCARIBE+ Project Document</p>
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<p>National, regional and global academia and research institutes</p>	<p>A large number of such entities exist in the region; to name just a few: University of the West Indies - Centre for Resource Management and Environmental Studies (CERMES); IFREMER; INVEMAR; Smithsonian, CATHALAC; CATIE; NOAA; WRI</p> <p>Annual meetings such as those organized by the Gulf and Caribbean Fisheries Institute (GCFI) provide a platform to bring together many institutes and researchers from the region</p>	<p><b><u>Type: mix of passive and active agents</u></b></p> <p>The participation of researchers and academic/research institutions and science-based initiatives is critical for the generation of updated information to address transboundary issues, understanding of connectivity patterns and likelihood of climate change impacts. In addition, they provide technical advice to IGOs and national governments on environmental and socio-economic issues, on evaluation of policies at the regional and national levels, and on analysing the degree of the Blue Economy, conservation, habitat restoration and other PROCARIBE+ technical results. Their involvement in the new iteration of the TDA (SOMEE) will be key, among many other activities.</p> <p>Given the large number of entities, not all will be actively involved in PROCARIBE+. Means may be sought to keep those not actively involved informed about project activities and achievements.</p>
<p>Multi and bilateral development aid community, environmental funds, partnerships</p>	<p>Multi-lateral Development Banks: e.g. World Bank, Inter-American Development Bank, Latin-American Development Bank (CAF), Caribbean Development Bank,...)</p> <p>Multilateral Donors: Global Environment Facility (GEF), Green Climate Fund (GCF)</p> <p>Bilateral Aid Agencies: e.g. USAID; Department for International Development (DFID), GIZ, AFD, FFEM, KfW</p> <p>NDC Partnership</p> <p>Caribbean Biodiversity Fund (CBF), MAR Fund,..</p>	<p><b><u>Type: mix of passive and active agents</u></b></p> <p>Their inclusion is essential in providing technical and funding support all across the range of activities, outputs and outcomes of the PROCARIBE+ Project. Many of these organizations have parallel activities in the region which contribute to the PROCARIBE+ objectives, and as such their involvement can range, depending on the case and the specific element of PROCARIBE+ envisaged, across all 4 levels of engagement: informed - consulted - involved - active collaboration</p> <p>Active engagement in the development of the new SAP will be pursued, with the aspiration of advancing, upfront, the identification of potential funding options for subsequent SAP implementation.</p>

<p>Vulnerable communities, including indigenous peoples, women and youth, local communities</p>	<p>Indigenous communities, racial and ethnic communities, women and youth, fisherfolks, small tourism operators, rural coastal communities?.</p>	<p><b><u>Type: mix of passive and active agents, direct and indirect beneficiaries</u></b></p> <p>-</p> <p>An active and meaningful participation of vulnerable communities will be pursued during the project, notably for the country interventions planned under Components 2 and 3. The Gender Analysis (Annex 11 of the ProDoc) and the Indigenous Peoples Planning Framework (Section 9.3 of the Environmental and Social Management Framework (ESMF), Annex 10 of the ProDoc) will serve as guidance for engaging those actors during implementation. In addition, for the country interventions, detailed stakeholder analyses will be completed together with local partners to ensure that all relevant stakeholders are considered during the design/implementation of the activities.</p> <p>For the development of the SAP, an inclusive approach will be designed to ensure that the needs of vulnerable communities are considered in the process. A Strategic Environmental and Social Assessment (SESA) will be developed to identify and help assess whether the new SAP could lead to new policies, plans and programmes that may give rise to adverse social and environmental effects.</p>
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For the purposes of analysing and determining the different levels of engagement needed for many the individual stakeholders/stakeholder entities during the implementation of PROCARIBE+, the BiodivERsA[2] methodology is being proposed. Based on this methodology, four main levels of stakeholder engagement are being considered:

At the highest level, "Collaboration" is used where stakeholders have an active commitment in the project and where actors are considered as partners, providing technical and/or other kinds of support. At the lowest level, "Information" is used for passive actors with whom information about the project or the delivery of the results should be shared. For this category, information is a one-way flow, but it should be included as a form of project engagement tailored to the actor or stakeholder. Intermediate levels of participation are designed to meet the needs of stakeholders who are "Consulted" (e.g. asked for opinions or information); and those with whom "Involvement" occurs (e.g., more committed and can also provide resources or data).

PROCARIBE+ will also make a clear distinction, and separation, between stakeholder and target group engagement for project governance and project management-related oversight and decision-making processes (for these matters, we refer to Section 6. Institutional Arrangement and Coordination and the Project Board), versus the very substantial efforts that will be needed to engage and coordinate the much wider range of project stakeholders and (development) partners in the activities leading to the delivery of the large set of project outputs.

In light of the above, given the nature of the project and its broad geographic and thematic scope, it is acknowledged and stressed that sound stakeholder engagement will require a very strong Project

Management and Coordination Unit (PMCU) capable of supporting such efforts, combined with and supported through the maintenance by the PMCU of strong working relationships and alliances with key regional partners and platforms (e.g. the many regional IGO's with an oceans-related mandate) that can provide meaningful access to key stakeholder groups. It is noted in this context that many such working relationships have indeed already been progressively built, consolidated and successfully maintained by the Project Coordination Unit of the predecessor CLME and CLME+ Projects.

For the outputs and outcomes under especially (but not only) the Project Components 1 and 4, the operationalization through Output 1.1.1 of the regional Ocean Coordination Mechanism, which aims to bring together a minimum of 17 countries and 6 IGO's, and for which the PROCARIBE+ PMCU will act as the (interim) Secretariat, as well as the mobilization of wider-ranging multi-stakeholder ocean partnerships, will provide critical opportunities and dedicated fora for the engagement of a wide range of stakeholders in key project activities such as support for the continued implementation of the 2015-2025 Strategic Action Programme (SAP), the development of the regional SOMEE and the new 10-year, 2026-2035 multi-stakeholder SAP, the development of a regional Knowledge Management Hub, and the consolidation of a regional Marine Data and Information Management Landscape and associated Infrastructure.

Achieving stronger and more wide-spread participation, buy-in and ownership, and sustainability and continuity of project outputs and outcomes, as well as enhanced cost-effectiveness will further also be achieved by using pre-existing regional technical and political decision-making platforms and mechanisms, and engaging other regional organizations with well-established stakeholder networks. An important caveat, however, is that this approach will require strong coordination of project timelines with those of the ongoing regional governance processes, which in turn will require solid relationships between senior staff at the PROCARIBE+ PMCU and senior leadership positions at the level of the regional IGO's, in addition to flexibility and adaptive project management. *The regional Ocean Coordination Mechanism, and the PMCU's role as Secretariat to this OCM, will be an important additional enabler in this context.*

## **Partnerships**

Partnership building efforts from the PROCARIBE+'s predecessor projects, the UNDP/GEF CLME (2009-2014) and CLME+ (2015-2021) Projects allowed the region to become a global pioneer in the now much called for enhanced collaboration between Regional Seas Programmes, LME Programmes and Regional Fisheries Bodies. This was achieved by jointly developing and subsequently collaboratively implementing the first regional (2015-2025) Strategic Action Programme (SAP), and through the creation of regional (interim) coordination mechanisms - *whose memberships extended even beyond the aforementioned parties to also include other key UN partners and sub-regional geopolitical integration mechanisms*. During CLME+, civil society groups also came together to jointly develop their own version of the regional SAP.

The forging of partnerships has indeed been a hallmark of the UNDP/GEF-supported initiatives covering the Caribbean and North Brazil Shelf LME since the first CLME Project. This started with the strong engagement of strategically selected third parties as co-executing partners (responsible parties) for key project activities (*see also Section 6. Institutional Arrangement and Coordination.*). Such 'project execution partnerships', especially when they involve partners with a long-term role or formal mandate in the region, or with well-established, solid relationships with project beneficiaries, strongly fosters regional ownership, buy-in, and sustainability and/or continuity of project results beyond the project end date.

The PROCARIBE+ Project will give continuation to and further expand the above approaches, as it will seek to consolidate previously established strategic alliances while involving an even a wider array of societal sectors in the project activities.

Doing so will facilitate the achievement of common/shared and/or complementary objectives and goals, by fostering better coordination, programming and collaboration, by achieving complementarity and/or pooling of resources, through the creation of synergies and economies of scale, by avoiding and/or eradicating antagonistic action among different ocean using sectors or territories, by avoiding the duplication of efforts, by progressively filling remaining action gaps, and helping to ensure sustainability and continuity beyond the project end.

For example, under PROCARIBE+ and without aiming to provide a fully comprehensive overview:

Under Component 1, the project will operationalize the regional Ocean Coordination Mechanism (OCM), whose membership will be expected to consist of a minimum of 17 countries and 6 Intergovernmental Organizations (IGO?s) - many of which will bring their own projects, programmes and initiatives to the discussion and coordination table. For the duration of the project, the PROCARIBE+ Project Management and Coordination Unit (PMCU) will act as the Secretariat of the OCM which, in turn, will be at the center of wider-ranging regional ocean partnerships. While the OCM membership will consist of governmental entities, the wider-ranging, multi-stakeholder partnerships will bring together stakeholders from e.g. civil society, private sector and academia. As such, the PROCARIBE+ Project will be optimally positioned to support the creation of strategic alliances among PROCARIBE+ and other related/relevant projects, programmes and initiatives in the region, enhancing mutual awareness and enabling better coordination and collaboration towards the achievement of the regional CLME+ Vision and the objectives of the 10-year SAP and those of the PROCARIBE+ Project.

These strategic alliances will be engaged in, and facilitate the delivery of the different Outputs and expected Outcomes under PROCARIBE+ Components 1 (e.g. the new 10-year SAP), Component 2 (e.g. an upscaled integration of the blue economy/coastal and marine natural capital in the nationally determined contributions, NDC?s), Component 3 (e.g. replication and upscaling of blue carbon, marine conservation, marine spatial planning and sustainable fisheries efforts across the region) and Components 4 (e.g. a strengthened and more sustainable regional marine data infrastructure and science-policy interface).

Directly for the delivery of the project activities and outputs, UNOPS as the Implementing Partner for PROCARIBE+, through the PROCARIBE+ PMCU, will engage a variety of regional organizations and partners as (co-)responsible parties for project delivery (*see Section VII on ?Institutional Arrangement and Coordination? for more information on this approach*). These strategically chosen project partners will foster the post-project sustainability and continuity of project results, and also facilitate synergies, replication and upscaling through the other related initiatives in which these partners may be engaged.

## Other stakeholders and initiatives addressing the development challenge

Given the wide geographic scope and array of thematic matters covered by the PROCARIBE+ Project and the over-arching 10-year SAP, the number of third-party projects, programmes and initiatives to which PROCARIBE+ can relate (and vice versa) in terms of shared development challenges is undoubtedly very large. Acknowledging the associated persistent risk of duplication of efforts in the region, under the CLME+ Project the Interim Coordination Mechanism (ICM) incorporated a prototype interactive, collaborative [?Projects, Programmes and Initiatives? online database](#) under the CLME+ Hub. The database aimed to facilitate the exchange of information on the status and scope of different oceans-related projects and initiatives, and in what areas each of these were contributing to the CLME+ SAP. PROCARIBE+ will now seek to consolidate this effort through the OCM Secretariat and OCM and partnerships members? (see Outputs 1.1. and 4.1.). In doing so, it will provide a practical instrument, not only for the PROCARIBE+ Project but for the wider range of ocean practitioners and stakeholders in the region and beyond, to acknowledge and build on existing baselines, and actively seek and create collaborative partnerships.

In acknowledging the existence of this wider range of initiatives, PROCARIBE+, in its aims to achieve its objective, and to contribute to the long-term CLME+ Vision, will clearly not have to start from scratch and/or deliver on the project outcomes in isolation from other related efforts in the region. The project will heavily build on, and harvest important contributions from the existing baseline. Many of these baseline elements and parallel contributions are/will be the results from previous, currently ongoing and newly planned investments, including investments made through the CLME, CLME+ and other GEF and non-GEF funded projects.

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[1] Adapted from [?Stakeholder inventory and involvement plan for the Caribbean and North Brazil Shelf Large Marine Ecosystems Project \(CLME+\)?](#) Developed by the Caribbean Natural Resources Institute (CANARI), May 2015.

[2] *The BiodivERSA* it is a network of national funding organizations promoting an-European research that offers innovative opportunities for the conservation and sustainable management of biodiversity and ecosystem services

A (non-comprehensive) selection of key stakeholders and (prospective) partners, projects and initiatives and their linkage(s) to the different PROCARIBE+ Outputs is presented in the tables[1] here below. Prioritization and/or scoping for additional/newly emerging partnership opportunities, while paying due attention to existing constraints, e.g. in terms of PMCU and responsible parties capacity, will be an ongoing tasks during project implementation under an adaptive project management approach.

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[1] screenshot from a database/living document that will be further used, updated and expanded throughout the PROCARIBE+ Project lifespan





The implementation of the 'blue carbon' activities under Output 2.2.1 aimed at enabling the subsequent development and deployment of a sustainable financial instrument based on carbon credits in Panama may affect the indigenous peoples' collective rights, which could range from the simple access to said areas through to the exploitation of their resources. In this event and depending on the scope of the financial instrument's actions, should these entail affecting or restricting the traditional lands and resources of the indigenous peoples, it is expected that the State would carry out consultation processes and, as appropriate, obtain the FPIC of the peoples affected by its implementation.

Marine Spatial Planning and the establishment of Marine Protected Areas may affect the indigenous peoples' collective rights, which could range from the simple access to said areas through to the exploitation of their resources. In this case, in the countries where these activities will be implemented, it will be expected that consultation processes are conducted and/or FPICs obtained, as appropriate, from the indigenous peoples that might be (negatively) impacted by these activities.

Activities to be conducted, and measures to be adopted and subsequently implemented under PROCARIBE+ Outputs 3.4.1 and 3.5.1 on traceability and fishing gear and practices may potentially, either directly or indirectly, impact indigenous peoples participating in these fisheries, or making use of the same marine space where these fisheries take place; such impacts could be both positive and/or negative. A screening process will be applied prior to the start of these activities to identify/anticipate any potential effects on indigenous peoples. If it is determined that indigenous peoples may be negatively impacted, management measures will be applied as specified in the ESMF (ProDoc Annex 10).

#### **South-south and triangular cooperation**

Opportunities for south-south and triangular cooperation that can present avenues for replication and for the dissemination of lessons learned and good/best practice will be very broad under the PROCARIBE+ Strategy, and several of these have already been explicitly referred to under Section IV's description of Project Components, Outputs and activities. It is e.g. to be noted how several outputs (e.g. Outputs 3.3.1.b, 3.4.1.b and 1.4 and 3.1.5.b) have a dedicated 'upscaling and/or replication'-enabling element.

Such opportunities further include but are not limited to those that will be provided through:

? Outputs 1.1.1.a (the multi-member Ocean Coordination Mechanism), 1.1.1.b (the wide-ranging multi-stakeholder partnerships), 1.1.2 (the collaborative development of the new SAP, to be preceded by an extraction and dissemination of lessons learned from an independent review of the first iteration of the TDA/SAP process in the region, in coordination con IW:LEARN);

? the regional training and capacity building activities under Component 2, and the (prospective) engagement of global initiatives in these efforts such as SIWI, CapNet, IW:LEARN, the European Space Agency, etc., (each of these having associated global programming), the work on the 2025 updates of the Nationally Determined Contributions (NDC's), including the sharing of best practice;

? the knowledge exchange under the small grants output from Component 3, including through the GEF Small Grants Programme, and prospective joint activities between the UNDP Ocean Innovation Challenge with PROCARIBE+ and other projects from the UNDP IW portfolio, the exchanges with other global programmes such as MSPGlobal, IW:LEARN and the Convention on Biological Diversity's (CBD) Sustainable Ocean Initiative (SOI), on Marine Spatial Planning (MSP), Marine Protected Areas (MPA) and Other Effective area-based Conservation Measures (OECM's), and PROCARIBE+ sister GEF and non-GEF projects working on similar topics in the region (PACA, BE CLME+, MAR2R, Caribbean Bluefin, CRAB,...), global exchanges in the context of preparatory work on the outputs on traceability and ghost fishing;

? the dissemination and exchange opportunities to be offered through the regional OCM Knowledge Management Hub, the engagement of global players in the development of the blueprint

for the regional landscape for marine data and information management, and very importantly, the strategic alliance that will be pursued under Component 4 with IW:LEARN.

Other avenues include learning exchange meetings of the UNDP LAC IW portfolio and project manager, UNEP's Regional Seas Programme, the LME Community of Practitioners, and other global fora.

Special mention is finally made in this context of the important opportunity to be provided, subject to the timely initiation of the PROCARIBE+ Project, through the forthcoming 8th Our Oceans Conference, to be held in Panama in 2023.

**Select what role civil society will play in the project:**

**Consulted only;** Yes

**Member of Advisory Body; Contractor;** Yes

**Co-financier;** Yes

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

**Executor or co-executor;** Yes

**Other (Please explain)**

**3. Gender Equality and Women's Empowerment**

**Provide the gender analysis or equivalent socio-economic assesment.**

The Gender Analysis and Action Plan developed for the PROCARIBE+ Project is presented as ProDoc Annex 11.

The following provides a summary of the gender-related elements of the Project.

The Gender and Safeguards Specialists<sup>[1]</sup> (GSS) will provide technical guidance for the implementation of the gender action plan, will monitor and assess its progress during project execution.

It was determined through the gender analysis that the CLME+ region has appropriate international and (sub-)regional policy frameworks for the promotion of gender equality. International Agreements such as the UN 2030 Agenda for Sustainable Development, Sustainable Development Goals, and the FAO Voluntary Guidelines for Securing Sustainable Small-Scale Fisheries are internationally agreed instruments and provide guidance on how to promote gender equality in the context of achieving environmental sustainability. In addition, all CLME+ countries have ratified the Convention on the Elimination of All Forms of Discrimination against Women (CEDAW), except for Cuba, and the Inter-American Convention on the Prevention, Punishment, and Eradication of Violence against Women Convention (Belém do Pará, 1994). In addition, SICA's Regional Policy on Equity and Gender Equality is mandatory to its parties (COMMCA, 2013), and the Organisation of Eastern Caribbean States (OECS) has a Gender Policy developed to support the commitment to advance in gender equality (OECS, 2021).

At the national level, all the countries participating in the PROCARIBE+ project recognize gender equality in their political constitutions and many of them have national gender plans or strategies.

The Gender Inequality Index (GII) measures inequality in three aspects of Human Development: reproductive health, empowerment, and economic status, among 189 countries. Regarding women empowerment, it appears that access to education is similar between men and women in the CLME+ region; in most countries, women have even better access to secondary education than men, with the exception of Haiti. This progress in access to education for women contrasts to the indices of access to the labour workforce, where many of the PROCARIBE+ participating countries, show significant challenges for women to access the workforce in equal terms as men; Belize, Guatemala, Honduras, and Venezuela showing a greater inequity between men and women (see Table 1 of ProDoc Annex 11).

Costa Rica, Cuba, Dominican Republic, Guatemala, Colombia, Panama and Honduras have a similar index of time-use allocation which shows that women work approximately 5 hours more per day than men in unpaid domestic chores. Enabling conditions for diversifying income and economic autonomy requires special support and distribution of household chores, but mainly to have access to working capital and training processes. In blue economy related activities, women need to have access to working capital, even a minimal amount, as they face several barriers for accessing credit and loans, making them appropriate recipients of microfinance.

Representation at Ministerial level, according to UN Women, is relatively similar in countries participating in the PROCARIBE+ project (except for Colombia and Costa Rica), where the majority of the countries range from 33,3% to 23,5% of women as Ministers. However, The Bahamas,

Guatemala, Brazil, St. Kitts and Nevis, Antigua and Barbuda, and the Dominican Republic have very few women in Ministerial positions with their scores ranging from 15% and at the lowest 6,7%.

The conditions of gender inequality are diverse in the 19 countries participating in PROCARIBE+ project. In some indices, the trends are similar between countries with a few countries showing better gender parity. However, it is important to note that the levels of inequity in terms of access to employment and economic opportunity is high in several countries of the region, such as in Guatemala, Honduras, Belize, Venezuela and Brazil. In several aspects, Haiti is evidenced as a country for priority attention when it comes to gender equality.

The gender analysis found that:

1. In the context of the CLME+ region, in several countries such as Costa Rica, Guatemala, and Panama, women earn more than men in the tourism sector, however, women entrepreneurs running small-scale tourism operations, often conduct unpaid work in family tourism businesses and are often underrepresented in senior management positions in the sector in general. A lack of education or formal technical training, as well as lack of information and communication technologies, particularly digital tourism platforms, jeopardizes women's active participation and representation.
2. Fishing is a productive family activity where the various associated tasks are considered an extension of household activities and are therefore often unremunerated which makes women economically dependent and renders them in a more vulnerable situation compared to men. Women also face challenges in achieving their autonomy due to barriers related to time constraints for participating in and accessing specialisation on productive activities that would help diversify their income.
3. There is an evident lack of gender-specific information with regards to women's participation in the fisheries value chains, tourism and other economic activities. This gap of information creates challenges when trying to tackle inequality as it hinders the possibility of making informed decisions. At the same time, lack of data and information is coupled with the lack of systematization of projects efforts regarding gender aspects.
4. Likewise, the strategic planning instruments for GEF projects such as the TDA/SAP, generally do not integrate technical information on gender issues due to a lack of proper integration of gender aspects since the beginning.
5. The CLME+ region does not appear to have gender-focus institutions that would address gender issues for the entire context of the PROCARIBE+ project. However, several institutions from the region such as SICA-COMMCA, OSPESCA WG-IEG, OECS, CARICOM and the CRFM have institutionalized gender equality and count with specific gender plans to be implemented. Despite these

existing initiatives, greater articulation on a regional scale is required to achieve a broader impact and ensure collaborative results that could influence existing governance processes.

The Gender Action Plan (ProDoc Annex 11) defines 15 affirmative actions to be executed during project implementation to promote women participation and empowerment, among which are the following:

? Establishment of a **Project Gender Working Group (PGWG)** (*potentially to be merged into a wider-ranging ?Gender and Youth in Oceans Governance? Working Group under the OCM, subject to related decisions by the OCM EG/SG - see Output 1.1.1*). The GSS will lead this activity and will invite the different institutions working under the scope of the PROCARIBE+ Project and/or the OCM to nominate gender-focal points as part of the PGWG. This group will aim to coordinate gender-related actions between the various participating institutions.

It is proposed that the PGWG build a work plan that articulates the existing gender plans of the relevant institutions participating in the PROCARIBE+ project (e.g., CFRM Gender Plan, SICA-OSPESCA Regional Working Group on Gender Equality and Equity, others); identify gaps and opportunities for increasing gender participation and representation in the PROCARIBE+ governance mechanisms, such as the Ocean Coordination Mechanism, and propose specific actions for advocacy. It is suggested that the PGWG develop a proposal for the establishment of a specific gender working group as part of the OCM. In addition, the PGWG should support the elaboration of indicators for gender equality and generational equity for inclusion, where relevant, in the reporting schemes supported under the PROCARIBE+ project, such as the regional and national SOMEE reports and others and identify other areas where gender actions could be developed. The inclusion of indicators on gender and youth in these reports will generate useful information that can inform the next TDA/SAP and support the integration of these issues in the strategic actions to be developed.

? **Affirmative actions for promoting women participation and representation in all project activities.** The PGWG shall propose specific areas to increase women participation in the project under its work plan. For example, a specific gender line of work will be proposed under at least one of the marine spatial planning initiatives to be supported or as part of the work on marine protected areas/OECM. The project Coordination Unit with the support of the GSS shall take affirmative actions to ensure that a minimum of 30% of the participants that attend the different meetings and consultations organised by the project are women. The GSS will be responsible to ensure that sex disaggregated data is collected and reported.

? **Integration of gender equality and youth equity into the Regional SOMEE Report to inform the new Strategic Action Programme (2025-2034).** (Output 4.1.3)

o The GSS will follow-up on this activity and will support the PGWG with the integration of gender in the SOMEE report and propose gender-specific indicators for more inclusive and gender-sensitive reporting to be used in the update of the next SAP. The integration of gender aspects is proposed to be cross-cutting in sections 2, 3 and 4 of the SOMEE. This activity will include a short consultancy assignment that will propose a series of indicators to be included in the reporting (SOMEES, NICS others). Whenever possible, the development of National SOMEES (Output 2.1.3) should also mainstream gender. Lessons learned from the integration of gender in the regional SOMEE could be extracted and used for replication by countries in their national SOMEES.

? **Capacity Building will Promote women's interest, participation and empowerment in technical issues.** (Output 2.1.3)

o As an affirmative action, **capacity building trainings** must be gender-sensitive and promote equitable participation of women and youth. For capacity-building activities organised under the project, the aim will be to ensure that at least 30% of the participants are women and 10% are young people. It is important that these training processes be promoted focusing on attracting women's and youth organizations, so that over time an adequate representation in the trainings can be achieved.

o As well as an affirmative action for mainstreaming gender in the project activities, in the **training-of-trainers** integrated in Output 2.1.3, it is proposed to establish a minimum number of women (9 trainers out of 30 (30%)), and a minimum number of youth participants (3 out of 30 (10%)), which will allow women and youth to become active within the activities of the project. The follow-up and the promotion of these activities must have the support of the GSS Specialist.

o To attract and involve the interest of women and youth to be part of the training processes, the design of capacity-building activities in the project should use **inclusive language and ensure gender and generational equity as a cross-cutting approach**, including examples, data, and information. For this action, the GSS in coordination with the person that will design the trainings and the person that will oversee communication of the project, will identify information, data and examples derived from the reports that are generated in the other components of the project (Output 2.1.2) and to integrate and use them for this purpose.

? **Affirmative actions will be taken to integrate gender and youth participation in the selection of initiatives to receive financial support under the small grants/micro-finance scheme.**

- o This activity will set a target of financing, as an affirmative action, a minimum of 30% of the funds for small grants/micro finance to women-led projects, and a 10% to youth-led projects. With this affirmative action, the participation, access to benefits and economic empowerment of women and young people will be facilitated.

- o In order to effectively attract the submission of women and youth-led project proposals, the call for proposals, guidelines and specific information related to the small grants programme should be tailored to the needs and interests of women and youth. To this end, specific guidelines must be developed and aligned with the financing principles of the SGP. The GSS will actively participate and support these affirmative actions.

? **Integration of gender aspects into a national MSP process** (Output 3.3.1).

- o This activity will aim to support the mainstreaming of gender into at least one national MSP process to be pursued under the project. A consultancy work will support the integration of gender in the design and implementation of the planning process, including aspects of inclusive-consultations, production of sex-disaggregated data, analysis of socio-economic outcomes, and will make recommendations on opportunities for the engagement of women in the process, as well as supporting their integration in decision making processes related to MSP. This work will take place at the national level, in one of the beneficiary countries that will pursue MSP, and whenever possible, be replicated in other countries. The GSS will actively participate and support this process.

? **Learnings from mainstreaming gender in ocean governance mechanisms in the CLME+ region** (Outputs 4.2.2 and 4.2.3).

- o The project will generate **learnings from mainstreaming gender** into the project and the regional ocean governance mechanism and will document and share the results in the GEF IW Learn (Gender Hub) platform. It is proposed that a consultancy supports the systemization of the experiences gained and helps with the development of outreach materials. To disseminate the learnings, a **Webinar on gender and ocean management** (suggested title) to reflect on the processes that have been carried-out under the Project will be organised. It is suggested that the development of the webinar, including the production of content, design and associated communication materials also be supported by a consultant. In addition, one of the Experience Notes to be developed under the PROCARIBE+ project, using the IW-Learn methodology and template, will be on the experience of mainstreaming women participation in the project (Output 4.2.3).. This experience note will document the process of gender integration throughout the activities of the project, the challenges, the learnings and the achievements. These activities will be guided by the SGG in coordination with the person in charge of communication and supported through a consultancy.

## Project implementation

? **Staffing efforts for the Project Management and Coordination Unit will** aim to achieve a **gender-balanced team**. The project team will hire a **Gender Equality and Safeguards Specialists (GSS)** which will provide technical support for the implementation of the gender action plan and all safeguards related actions (SESP, IPPF, ESMF and others as required). At the beginning of the project, the **Project Management and Coordination Unit staff will be trained** on how to ensure gender equality in the activities of the project.

Wherever possible, project activities will integrate affirmative actions in order to integrate gender equality and youth as a cross-cutting issue. It will record **sex and age disaggregated data** in participation, include gender considerations in **procurement processes, and in reporting**. There will be special attention given to **gender-inclusive language** in all the documents and communications under the project.

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[1] The GSS may be filled as one position or two separate positions as specified in Annex 8, based on e.g. the qualifications of available candidates for the position(s).

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

Yes

**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**

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

Yes

#### 4. Private sector engagement

**Elaborate on the private sector's engagement in the project, if any.**

While the public sector can create the enabling conditions and/or set the boundaries which will allow all societal sectors to harmoniously contribute to the achievement of both conservation and sustainable development goals, in the majority of cases the private sector will be the engine for growth, with

businesses, driven by profit, creating the jobs that will support socio-economic development and paying the taxes that will (theoretically) enable public financing of services and investments that help preserve, monitor and protect the natural resource base (feedback loop).

So far, while modest levels of engagement of private sector agents -both big and small- have been achieved under the CLME and CLME+ Projects (*e.g through the fisheries sub-projects, and through a limited number of small grants*), these PROCARIBE+ predecessor projects have largely focussed on public sector actions and, more recently, through the C-SAP, actions by civil society and MSMEs.

Acknowledging the shortfalls in fully harnessing the power of all sectors of society, PROCARIBE+ will seek to more substantially engage the private sector, across all project components, using a variety of modalities and means.

Under Component 1, PROCARIBE+ will seek to involve non-public agents, including from the private sector, in the ongoing implementation and monitoring & evaluation of the 2015-2025 SAP, e.g. through the mobilization of wider-ranging, multi-stakeholder partnership(s), as well as in the processes leading to the next, 2026-2035 iteration of the regional 10-year SAP (development, financing solutions and implementation).

In Component 2, the efforts to advance national-level blue economy scoping and natural capital accounting, and towards making the connection (in the national-level SOME assessments) between the state of marine and coastal natural capital and associated (potential) socio-economic benefits, will stand to gain from engagement/consultation with ocean-using private sector agents.

Component 3 will provide distinct opportunities for small community-based businesses and private innovators to contribute to the project's dual goal of protecting and conserving while enabling the use of marine and coastal capital for business development and livelihoods, through the micro-financing mechanisms under Outcome 3.1. Output 3.2 will seek to create the 'blue carbon' baseline information, and disseminate the related best practices that will be required to upscale the mobilization of substantive private sector contributions (funding) towards ocean conservation/restoration and/or sustainable development goals. Coordination and collaboration will be sought for the purpose of enabling blue carbon credits-based solutions with the Blue Carbon Facility to be created by the Caribbean Biodiversity Fund (CBF) through the UNEP/GEF *Caribbean BlueFin* Project, and other CBF activities supported through the AFD/FFEM *Caribbean Regional Architecture for Biodiversity* (CRAB) Project. Private sector users of the marine space will be key stakeholders in the processes leading to the development of national Blue Economy and Marine Spatial Plans, and new/enhanced

conservation areas and measures under Component 3. Fleet operators, processing plants and other private sector agents along the value chain will be engaged in the efforts to bring higher levels of sustainability into key regional fisheries, through the project's action on traceability of seafood products and on enhanced/modified fishing gear and practices.

Component 4 will seek to harness private sector contributions in the efforts to develop and consolidate the region's marine data/information/knowledge management landscape and associated infrastructure (e.g. data and information products, and IT platforms, created/managed by private sector agents), while the paradigm shift in the approach towards the development of the regional transboundary diagnostic analyses (the 'SOMEE reports'), expanding the analyses to look at both ocean-related 'challenges' and 'opportunities' will aim to trigger larger interest from private ocean-using sector to engage in the new 'Blue Economy' SAP development and subsequent implementation efforts.

Overall and across the 4 project components, private sector expertise and/or data/information/knowledge generation capacities will be harnessed, where needed and deemed feasible, beneficial and cost-effective, for the purpose of delivering on the project outputs and outcomes, through the engagement of private sector consultancy services.

The baseline inventory created under the CLME+ Project of [existing and potential sustainable blue finance \(private\) investors in the wider Caribbean](#) will prove useful in the context of PROCARIBE+ efforts to upscale private sector engagement in the project. Work will continue throughout the PROCARIBE+, and through activities related to the outcomes and outputs listed above, to expand these (potential) contributions by private sector agents and mechanisms to the PROCARIBE+ objective and expected outcomes.

**5. Risks to Achieving Project Objectives**

**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):**

#	Description	Risk Category	Impact & Probability	Risk Treatment / Management Measures	Risk Owner
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1	Operating the OCM is not financially sustainable in the long-term	Financial	<p>If the region is unable to agree on an effective sustainability plan for the OCM, many of the achievements attained to establish a regional governance framework so far, under the previous GEF-funded projects and the PROCARIBE+ Project will be lost and the region will revert to BaU.</p> <p>L =3; I =5 Substantial</p>	<p>The PROCARIBE+ Project will develop a long-term sustainable financing strategy and long-term solution for the OCM Secretariat to be adopted by the OCM Governing bodies.</p> <p>The establishment of the Partnerships linked to the OCM may also provide new opportunities to finance the activities of the OCM after the PROCARIBE+ Project.</p> <p>SAP actions will gradually reduce donor dependency by enhancing region-wide capacity. With increased cooperation amongst countries and organizations through the OCM, the use of available financial resources will be enhanced.</p>	<p>PROCARIBE+ PMCU</p> <p>The OCM</p>
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2	Delays with the operationalization of the OCM	Operational	<p>Countries and eligible regional inter-governmental organizations may take some time to sign the OCM MoU which could lead to delays with the commencement of the OCM and as a result delays with the implementation of associated project activities.</p> <p>L=3; I=4 Moderate</p>	<p>The project will remain in communication with the potential signatories to promote the signature of the MoU. The benefits of joining the OCM will be highlighted where possible.</p>	<p>PROCARIBE+ PMCU</p> <p>PROCARIBE+ Project Partners</p>
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3	Fragmentation of efforts and lack of coordination among projects and initiatives resulting in low return on investment and failure to achieve GEB	Operational	<p>Fragmentation of efforts and lack of coordination among projects and initiatives being implemented in the region will impact on what the PROCARIBE+ Project seeks to undertake within the region, which includes operationalizing the OCM and ensuring a cyclical approach for the development of the TDA (SOMEE)/SAP. Continued fragmentation and lack of coordination could result in duplication of efforts instead of building on the outputs and results from tested and tried approaches that have had successful results in the CLME+.</p> <p>L=3; I=3 Moderate</p>	<p>The OCM design includes the full and active participation of countries from the CLME+ Region and key inter-governmental organizations that lead other regional and national projects and initiatives in the region. Their active participation in the OCM should increase coordination efforts and avoid duplication.</p> <p>The PROCARIBE+ project will also continue to build on tools and approaches initiated under CLME and CLME+, including the continued development of the CLME+ Hub which serves as a regional platform for access to information, knowledge, resources and tools for those working towards the implementation of the CLME+ Vision.</p>	<p>PROCARIBE+ PMCU</p> <p>PROCARIBE+ Project Partners</p>
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4	Changes in political priorities of participating countries leading to a reduction in Project support and changes in country contributions	Political	<p>Changes in national priorities could affect the activities of the project by causing delays in providing required feedback on project design and implementation, especially in lower-capacity countries.</p> <p>L=3; I=4 Moderate</p>	<p>The project unit will maintain ongoing fluid communication with participating countries, particularly in the countries where specific country interventions will take place. The project will also seek to make a formal presentation of the project when new authorities assume office.</p>	<p>Project coordinator with support of UNDP country offices (as needed)</p>
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5	<p>Limited, unreliable internet access and/or lack of capacity to use online tools, and/or resistance to change, may limit the possibility of collaborative work for certain actors.</p>	Operational	<p>The project is likely to continue to use online tools and platforms to increase the participation of stakeholders. Although this new way of working has proven successful during the PPG phase, it also carries some risks that certain groups of stakeholders would not be able to participate due to barriers with the use of online technologies or lack of internet connexion.</p> <p>L=2; I=2 Low</p>	<p>The project will aim to work with local organisations for on-the-ground actions where it is anticipated that capacities to use online tools will be limited. This will limit the use of virtual platforms that may not be easily accessible or effective for certain target groups.</p> <p>Advocacy for, and demonstration of the potential of innovative tools and approaches will be conducted in order to promote an incremental up-scaling of their use (including through the engagement of local champions); additional benefits such as reduction of costs and environmental impacts will be highlighted.</p> <p>Where it is deemed that physical presence (meetings, in the field,) is deemed essential to reach certain objectives, the project will aim at organizing face-to-face meetings.</p>	<p>PROCARIBE+ PMCU</p> <p>PROCARIBE+ Project Partners</p>
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6	Project Management and Coordination Unit incapable of effectively managing the implementation of the Project	Operational	<p>This would impact overall project implementation and would result in a delay or in some cases inability to successfully complete or even begin to implement a number of the proposed activities. In the extreme case it could mean that the project is unable to achieve its objective.</p> <p>L=2; I=4 Moderate</p>	<p>Emphasis will be placed on developing strong Terms of References to support the recruitment of staff for the PROCARIBE+ Project Coordination and Management Unit. Further it is anticipated that candidates will go through a robust screening process during the selection phase.</p> <p>Attractive remuneration and benefits packages aligned with ICSC scales and with due consideration of working conditions will be provided.</p>	<p>UNDP</p> <p>UNOPS</p>
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7	Project implementation delays caused by several situations like travel restrictions, increased risk of infection by the emergence of new COVID-19 variants, and increased cost of goods and services.	Other	<p>This would have an impact on project implementation since it could limit the possibility of organizing face-to-face meetings, limit travels and compromise the execution of field activities. It would likely cause delays in implementation and if the restrictions were to extend for long periods may compromise meeting certain project objectives, notably under the components with specific country interventions, where work on the ground is anticipated.</p> <p>■</p> <p>L=3; I=4 Moderate</p>	<p>The Project will monitor status reports on the post-pandemic situation and apply mitigation measures in the case of the emergence of new COVID variants. These include, among others, the application of biosecurity protocols, using virtual communication means and budget reviews.</p>	<p>PROCARIBE+ PMCU</p> <p>PROCARIBE+ Project Partners</p>
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8	Delays with setting-up co-executing agreements with project partners	Operational	<p>This could cause some serious delays during the project inception phase and in the worst case scenario could cause the inability to start certain key project activities.</p> <p>L=3: I=4 Moderate</p>	<p>The PCMU will engage early with potential co-executing partners, UNOPS and UNDP to ensure that the contractual procedures can start as early as possible.</p> <p>Where possible, those procedures will start during the PPG to ensure a smooth transition towards project implementation.</p> <p>The PCMU will ensure to use the experiences gained during the CLME and CLME+ projects to process the arrangements as quickly as possible.</p>	<p>PROCARIBE+ PMCU</p> <p>UNDP</p> <p>UNOPS</p>
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9	Lack of involvement of UNDP Country Offices due to the Project having a regional scope.	Operational	<p>If UNDP Country Offices are not engaged in the Project, it could lead to misalignments with project partners, notably national governments, and potential duplication of efforts if other UNDP-led projects are working to achieve similar objectives as the Procaribe+ Project in the same countries.</p> <p>L = 3 I = 3 Moderate</p>	<p>The UNDP Regional Office for Latin America and the Caribbean and the PMCU will take affirmative actions to promote the participation of the UNDP country offices. For example, newsletters or quarterly reports on the results achieved in the Project could be disseminated to the country offices to keep them informed. Regular dialogue with the government counterparts in coherence with the project interventions may also support their effective integration.</p>	<p>PROCARIBE+ PMCU</p> <p>UNDP</p>
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10	Appointment of country representatives to the Project Steering Committee (PSC) biased towards one particular sector	Political	<p>If the appointed representatives of the PSC come mainly from one particular sector, e.g. fisheries or environment, the PSC may not be able to properly cover the wide-ranging scope of the Procaribe+ Project. This could lead to a lack of interest by certain PSC members for certain topics and other consequences during implementation.</p> <p>L = 3 I = 3 Moderate</p>	<p>The Project will build on the experiences gained in this regard from the CLME and CLME+ projects with a view to improve the sectoral representation in the PSC. The Project will also consider using the approach tested during the PPG of using Thematic Groupings to address specific thematic issues of the Project.</p>	<p>PROCARIBE+ PMCU</p> <p>PROCARIBE+ Project Partners</p>
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11	<p>Given the variety of political regimes and regulatory frameworks in the CLME+ region, and constraints with human and financial capacities, there is a risk that the project does not use an inclusive approach towards engaging stakeholders, including indigenous and local communities, which could potentially limit the capacities and opportunities of those stakeholders to exercise their rights and to actively participate in decision-making processes that may affect them</p>	<p>Social &amp; Environmental (Risk 1 SESP)</p>	<p>There are many stakeholders within the CLME+ Region that could have stakes or interest in the project and that are dependent on the region's marine resources. If the project fails to fully engage all relevant stakeholders, full buy-in for the activities of the project may be compromised and the project outcomes will not be sustainable. At the national level, country interventions on MSP and MPA will require the active and full involvement of country-specific stakeholders to ensure the sustainability of the actions implemented on the ground.</p> <p>L=2; I=4 Substantial</p>	<p>During the Project PPG Phase, a detailed stakeholder analysis and engagement plan was undertaken to assist with the identification of the major stakeholder groups that would have an interest in the project outputs. A Gender Analysis and Action Plan, as well as an Indigenous Peoples Planning Framework were also developed to provide guidance on the integration of those stakeholders in project activities. Further fine-tuning of these documents will be done during the project inception phase and on a continuous basis during project implementation. The project will also develop a Communications Strategy to ensure that the project has a strategy towards the dissemination of information on the project.</p>	<p>PROCARIBE+ PMCU</p> <p>PROCARIBE+ Project Partners</p>
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12	<p>Climate change impacts can cause increasing threats to already vulnerable coastal and marine habitats in the CLME+ region. As such, there is the risk that some of the project outputs or outcomes may be sensitive or vulnerable to the potential impacts of climate change.</p>	<p>Social &amp; Environmental (Risk 2 SESP)</p>	<p>Climatic events may lead to delays and/or to the inability to fully implement certain project outputs.</p> <p>I = 3 L = 2 Moderate</p>	<p>A climate change risk screening was conducted (Annex 14) to identify potential risks of project activities to climate change. The ESMF also provides information on potential management measures to mitigate the risks of climatic events.</p>	<p>PROCARIBE+ PMCU</p> <p>PROCARIBE+ Project Partners</p>
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13	<p>The initiatives proposed for Component 3, which focus on catalyzing actions for the protection, restoration and sustainable use of marine and coastal natural capital, may take place within or adjacent to critical habitats, sensitive areas, areas important to indigenous or local communities, or areas designated as Cultural Heritage sites. If poorly designed or implemented, those initiatives carry potential risks related to economic and physical displacement, as well as risks of limiting access to natural resources. New activities in the marine/coastal space may also compete with more established sectors and potentially affect livelihoods.</p>	Social & Environmental (Risk 3 SESP)	<p>Inadequate planning for the activities under Component 3 may lead to serious risks that could compromise the successful implementation of the outputs under this component.</p> <p>I = 4 L = 2 Substantial</p>	<p>The Project will ensure that each intervention is screened for potential risks prior to starting execution and that the UNDP SES procedures are followed. Any activity that may cause significant negative impacts will be ruled out. The ESMF (Annex 10) provides some guidance on the assessments and measures needed to ensure compliance with the SES requirements.</p>	<p>PROCARIBE+ PMCU</p> <p>PROCARIBE+ Project Partners</p> <p>UNDP</p>
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14	<p>There is a risk that some of the activities to be developed under the micro-financing scheme could cause adverse impacts to habitats and/or ecosystems. The potential improper design of nature-based solutions may inadvertently release untreated pollutants into the environment.</p>	<p>Social &amp; Environmental (Risk 4 SESP)</p>	<p>The project will provide micro financing to civil society and MSMEs that support actions advancing blue socio-economic development. The initiatives to be financed under this scheme will be determined during the project implementation phase - but could include activities with a variety of social and environmental risks.</p> <p>I = 3 L = 2 Moderate</p>	<p>Any proposed activity will be conducted using established international best practices and in adherence to the UNDP SES.</p> <p>The ESMF (Annex 10) identifies the need to develop management measures to be implemented in those interventions, taking into consideration consultation processes, in cases where indigenous peoples are involved.</p>	<p>PROCARIBE+ PMCU</p> <p>PROCARIBE+ Project Partners</p> <p>UNDP</p>
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15	<p>There is a risk that some of the activities defined under the project could result in discrimination against women, marginalized youth and vulnerable communities, including indigenous communities, and limit their active participation in project design and implementation, as well as in the distribution of benefits derived from the Project.</p> <p>Also, affected stakeholders might voice grievances or objections to the project which, if not properly managed, could lead to resistance to the project and implementation delays.</p>	Social & Environmental (Risk 5 SESP)	<p>Due to the wide-ranging geographic and thematic scope and complexity of the Project, certain groups, including indigenous, women, youth and other vulnerable groups, may not receive an equitable amount of the benefits to be derived from the project. This could lead to potential grievances or objections to the project and cause delays with implementation.</p> <p>I = 3 L = 2 Substantial</p>	<p>A Gender Analysis and Action Plan and budget has been developed to ensure the adequate integration of women and youth in the implementation of the project. The Gender Action Plan (Annex 11 of the ProDoc) determines the measures that will be undertaken to address this risk.</p> <p>The project results framework has explicitly mainstreamed gender dimensions with the corresponding budget; confirming that the gender action plan can be implemented during the project's lifetime.</p> <p>The Project has also developed an IPPF (Section 9.3 of the ESMF (Annex 10)) with a view to ensure the perspective, and where relevant, the participation of indigenous peoples in the project activities.</p> <p>In terms of grievances, the ESMF includes guidelines for the implementation of a Grievance Redress Mechanism (GRM) that will be used to manage and resolve potential grievances and dissatisfaction raised by any affected stakeholder of the project.</p>	<p>PROCARIBE+ PMCU</p> <p>PROCARIBE+ Project Partners</p> <p>UNDP</p>
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16	Under the micro-financing scheme (Component 3), it is possible that the pilot initiatives do not respect established labour laws and standards, and do not provide adequate working conditions for hired personnel.	Social & Environmental (Risk 6 SESP)	If the pilot initiatives under the micro-financing scheme are badly managed, they could lead to potential breaches of established labour laws and/or standards and cause serious delays with the implementation of some of the pilot initiatives.  I = 3 L = 2 Moderate	The ESMF (Annex 10) outlines procedures for identifying potential adverse environmental and social impacts of the pilot projects to be financed and puts in place any required mitigating actions needed during project implementation. The required health and safety measures, and related labor laws will be assessed as part of the specific assessments, with mitigation measures included in the required ESMPs.	PROCARIBE+ PMCU  PROCARIBE+ Project Partners  UNDP
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## 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.**

### Section 1: General roles and responsibilities in the projects? governance mechanism

#### Implementing Partner (IP)

The Implementing Partner for this project is the United Nations Office for Project Services, further also referred to as UNOPS. The Implementing Partner is the entity to which the UNDP Administrator has entrusted the implementation of UNDP assistance specified in this signed project document along with the assumption of full responsibility and accountability for the effective use of UNDP resources and the delivery of outputs, as set forth in this document.

The Implementing Partner is responsible for executing this project. Specific tasks include:

- ? Project planning, coordination, management, monitoring, evaluation and reporting. This includes providing all required information and data necessary for timely, comprehensive and evidence-based project reporting, including results and financial data, as necessary. The Implementing Partner will strive to ensure project-level M&E counts with the participation of national institutions and is aligned with national systems so that the data used and generated by the project supports national systems.
- ? Overseeing the management of project risks as included in this project document and new risks that may emerge during project implementation.
- ? Procurement of goods and services, including human resources.
- ? Financial management, including overseeing financial expenditures against project budgets.
- ? Approving and signing the multiyear workplan.
- ? Approving and signing the combined delivery report at the end of the year; and,
- ? Signing the financial report or the funding authorization and certificate of expenditures.

#### Responsible Parties

UNOPS will seek to select and engage responsible parties in such a way as to, a.o., take advantage of widely acknowledged/demonstrated, existing capacity (**criteria #1**) and/or specialized skills (**#2**), pre-existing connections and networks with key beneficiaries and stakeholders in the project region (**#3**), pre-existing experience (**#4**) (*e.g. from preceding work conducted by the same entity, as responsible partner under PROCARIBE+'s predecessor: the UNDP/GEF CLME+ Project*) and/or comparative advantages (**#5**) (*e.g. when widely acknowledged by beneficiaries and stakeholders in the region*), and/or any relevant formal mandate(s) they may hold relative to the project matters for which they are being engaged (**#6**) (*such as e.g. in the case of Inter-Governmental Organizations or IGO's*).

The engagement of responsible parties may also be done with a view of mitigating risk (**#7**), to relieve administrative burdens (**#8**), to achieve cost-effectiveness in project implement (**#9**), to facilitate national and region-wide ownership and buy-in for project outputs (**#10**) (*e.g. through the project's engagement with the governing bodies of regional IGO's or environmental funds, in cases where such entities maybe be engaged as responsible partners*) and/or to pursue sustainability and continuity (**#11**) of project outputs and achievements/outcomes beyond the project end date (*e.g. through the engagement of responsible parties with a long-term role or mandate in the region*).

In the engagement of responsible parties UNOPS will pursue 'value for money' (**#12**) and positively consider potential baseline, parallel and/or aligned or supportive activities being planned or undertaken in the region (or, where relevant, globally) by the prospective partner (**#13**), and any co-financing commitments they can provide for the project outcomes and objective (**#14**).

Positive attention may also be given in this context to prior successful experiences as responsible party under the predecessor UNDP/GEF CLME and CLME+ Projects implemented by UNOPS, and/or other UNDP/GEF Projects (#15).

UNOPS will enter into a separate written agreement with each of the responsible parties that will provide goods and services to the project, carry out project activities and/or produce project outputs using the project budget.

For the above purposes, the relevant legal instrument available to UNOPS will be used. These potentially include but are not necessarily limited to: ?UN-Agency to UN-Agency Contribution Agreement? (?UN2UN Agreement?, to be used to engage other UN Agencies), the ?Project Cooperation Agreement? (?PCA?, to be used to engage governments and related organizations), the ?Grant Support Agreement? (?GSA?, to be used for Grantees other than national governments or UN entities), UNOPS? ?Contracts for Services? (*procurement*), and consultancy contracts for individual contractors (e.g lump sum, retainers).

In selecting and engaging responsible parties, UNOPS will apply the corresponding internal rules and procedures (e.g. in the case of commercial procurements: the formal UNOPS procurement instructions, procedures and processes as specified in the *UNOPS Procurement Manual*).

Responsible parties are directly accountable to the implementing partner in accordance with the terms of their agreement or contract with the implementing partner.

Given that responsible parties play an execution role and are directly accountable to the implementing partner, it is to be noted that responsible parties should not serve on the Project Board, this to avoid a conflict of interest.

During the PROCARIBE+ PPG Phase, a number of (prospective) responsible parties have been pre-identified. Pre-identified responsible parties are listed in the table below, together with the outputs/outcomes for which they will be engaged.

The majority of responsible parties will be further identified/selected and engaged by UNOPS using the modalities and procedures as described above during the first year of project execution, in particular during the project inception phase.

Prospective responsible parties include but are not necessarily limited to: the (prospective) IGO members of the regional Ocean Coordination Mechanism with a formal long-term mandate on the marine environment, the MAR Fund, Pew Charitable Trusts, the Gulf and Caribbean Fisheries Institute (GCFI), the Caribbean Natural Resources Institute (CANARI), the Center for Resource Management and Environmental Studies (CERMES) of the University of the West Indies, the European Space Agency (ESA), the Global Water Partnership (GWP/CapNet), WWF Guianas, etc.

**Table 10. Prospective PROCARIBE+ responsible parties pre-identified during the PPG Phase**

Entity	Type	Agreement	Responsibility
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?Organizacion del Sector Pesquero y Acuicola del Istmo Centroamericano (OSPESCA)?, through the ?Sistema de Integracion Centroamericana (SICA)?	Regional Inter-Governmental Organization (IGO)	Project Cooperation Agreement	Fisheries Traceability, Spiny Lobster fishing gear (Outputs 3.4.1 and 3.5.1)
Comisi?n Centroamericana de Ambiente y Desarrollo (CCAD), of the ?Sistema de Integracion Centroamericana (SICA)?	regional Inter-Governmental Organization (IGO)	Project Cooperation Agreement	OECD/PSSA under IMO for the MAR region (Output 3.3.2)
Institute of Maritime Affairs (IMA), Trinidad and Tobago	national governmental entity	Project Cooperation Agreement	MSP in Gulf of Paria, Trinidad (Output 3.3.1)
UNDP Venezuela Country Office	UN Agency	UN2UN Agreement	MSP in Gulf of Paria, Venezuela (Output 3.3.1)

#### Arrangement for project execution of activities in Venezuela

The UNDP-GEF PROCARIBE+ Project is aiming to support Venezuela with advancing marine planning and conservation efforts in cooperation with the Ministerio del Poder Popular para el Ecosocialismo (MINEC). For this output, in consultation with MINEC, the project has pre-identified the UNDP Venezuela Country Office as the most viable option in comparison to other potential execution modalities examined.

Firstly, a national implementation (NIM) modality with the Government of Venezuela is not possible due to the restrictions caused by international sanctions imposed on the Government. Secondly, in examining the Venezuela Marine Spatial Planning activity during the current project design, it was initially proposed that the PROCARIBE+ Implementing Agency, UNOPS, transfer responsibilities for the execution of the activities in countries to one of the PROCARIBE+ Responsible Parties, as UNOPS does not have presence in all of the countries covered by PROCARIBE+. However, none of the tentative Responsible Parties have a local presence in Venezuela. Finally, while reviewing the options for possible third-party implementation, it was confirmed that there is limited on-the-ground capacity in terms of existing development partners working in Venezuela, and in the revision of other potential UN agencies or international organisations or even national NGOs that could also support execution, the UNDP Venezuela Country Office stood-out as the most viable option for executing the resources. The country office's added value stands with having a long track record of successful project implementation, in collaboration with MINEC, on topics directly related to PROCARIBE+'s thematic components, and with supporting other UN Agencies in executing projects. By engaging UNDP-Venezuela as the UNOPS Responsible Party, the Project will be building on years of experience gained in the UNDP Country Office and will give continuity to ongoing initiatives of strategic importance to the Government of Venezuela.

It is important to emphasise the fact that Venezuela's Country Office will receive funds from UNOPS as the Responsible Party for PROCARIBE+, for executing the resources in the country. UNOPS will be in charge of providing direct oversight to the UNDP's Venezuela Country Office. The UNDP's oversight functions for this project will lay with the Regional and HQ Offices through the Regional Technical Advisor and Principal Technical Advisor with no involvement in the execution portion in Venezuela.

#### Project stakeholders and target groups

Following best practice successfully trialed during the UNDP/GEF CLME and CLME+ Projects, PROCARIBE+ will seek to apply and further expand and consolidate a multi-pronged approach towards the engagement of stakeholders and target groups in project-related decision-making processes.

For this purpose, the project will make a clear distinction, and separation, between decision-making that relates to project management and project governance matters (this Section 1- General roles and responsibilities in the projects' governance mechanism), versus the much wider-ranging participation and decision-making processes that relate to the *often highly technical/specialized, and/or political* activities required to deliver specific project outputs/outcomes.

This distinction will also include a clear separation between 'project governance' decisions versus 'regional ocean governance' decisions, with project governance decisions corresponding to national representatives to the Project Board, versus regional ocean governance decisions corresponding to national representatives to the organs of the Ocean Coordination Mechanism organs (e.g. the OCM Steering Group) and/or those of the Inter-Governmental Organizations with (a) relevant oceans mandate(s).

In doing so, the project will be able to narrow down the scope of work of the Project Board, in line with the Board's formal mandate and optimized towards the Board's composition and (more compact) membership (*see also Sections 2 and 4 further below*). This approach will enable **(a)** more cost-efficient project governance and management (*within the limits of the GEF-imposed cap on Project Management Costs*), while **(b)** simultaneously achieving stronger and more wide-spread participation, buy-in and ownership, and sustainability and continuity of project outputs and outcomes, as well as enhanced cost-effectiveness, by using pre-existing regional technical and political decision-making platforms and mechanisms. An important caveat, however, is that this approach will require strong coordination of project timelines with those of regional governance processes, which in turn will require solid relationships between senior staff at the PROCARIBE+ PMCU and senior leadership positions at the level of the regional IGO's (*the regional Ocean Coordination Mechanism, and the PMCU's role as Secretariat to this OCM, will be an important additional enabler in this context*).

In line with the above and for the purpose of project governance and management, the main project stakeholders/target groups will be: UNDP as the GEF Agency, UNOPS as the Implementing Partner, the responsible parties, and the participating GEF-eligible and/or co-financing countries and entities. Differential roles and positions of the aforementioned parties on or vis-a-vis the Project Board are explained further below.

For all other aspects, such as e.g. regional ocean governance processes supported by the Project, and technical project activities, a variety of participation, deliberation and decision-making processes and mechanisms will be used to engage the much wider range of project stakeholders and target *groups, which extend far beyond the stakeholder groups listed in the previous paragraph, and which are described/referred to in more detail throughout this Project Document and in the Project Stakeholder Engagement Plan (Prodoc Annex 9), the Gender Action Plan (Prodoc Annex 11) and the Indigenous People Planning Framework (as part of the ESMF Prodoc Annex 10).*

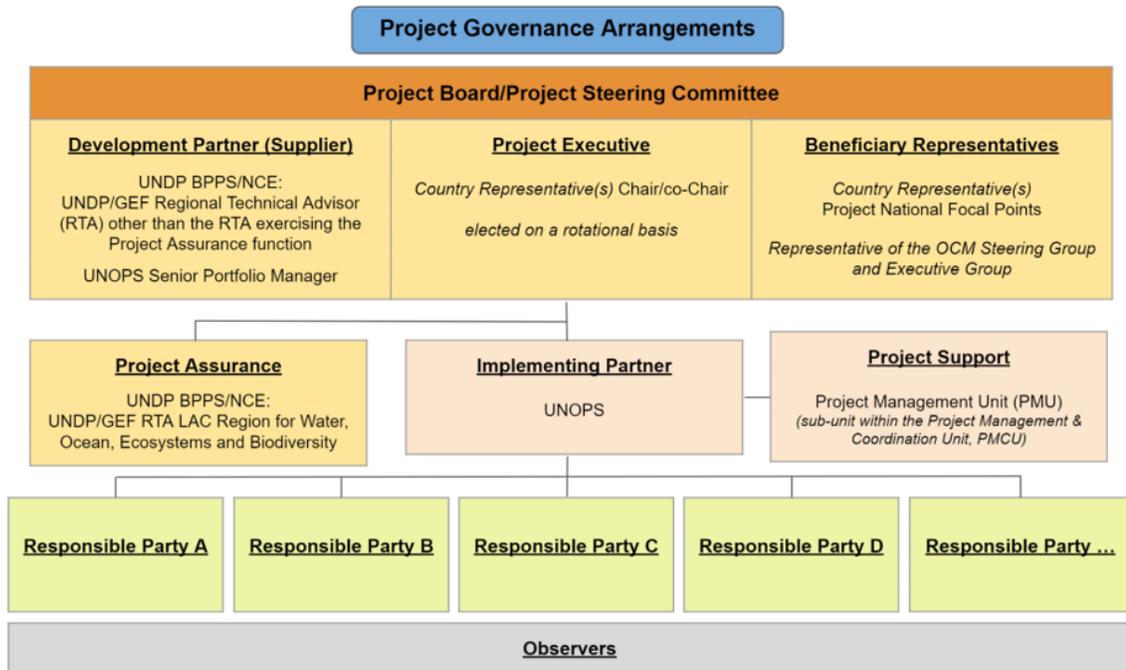
These mechanisms will include, but are not necessarily limited to: the organs of/Working Groups under the regional Ocean Coordination Mechanism (OCM), and the wider-ranging ocean partnerships (see Outcomes 1.1 and 4.1 ), the interim Fisheries Coordination Mechanism (bringing together the 3 Regional Fisheries Bodies, OSPESCA, CRFM and FAO-WECAFC), the governing/decision-making bodies of individual IGO?s with an oceans-related mandate (e.g. the prospective OCM member IGO?s listed in [Annex 1 to the OCM MOU](#)), National Inter-Sectoral Committees (NIC?s), and other mechanisms and platforms created and/or already pre-enabled for such purposes, e.g. those listed or referred to under the description of activities in Section IV of the Project Document.

UNDP: UNDP is accountable to the GEF for the implementation of this project. This includes overseeing project execution undertaken by UNOPS to ensure that the project is being carried out in accordance with UNDP and GEF policies and procedures and the standards and provisions outlined in the Delegation of Authority (DOA) letter for this project. **The UNDP GEF Executive Coordinator, in consultation with UNDP Bureaus and the Implementing Partner, retains the right to revoke the project DOA, suspend or cancel this GEF project.**

UNDP is responsible for the Project Assurance function in the project governance structure and presents to the Project Board and attends Project Board meetings as a non-voting member.

A firewall will be maintained between the delivery of project oversight and quality assurance performed by UNDP and charged to the GEF Fee and any support to project execution performed by UNDP (as requested by and agreed to by both the Implementing Partner and GEF) and may be charged to the GEF project management costs (only if approved by GEF). The segregation of functions and firewall provisions for UNDP in this case is described in the next section.

## **Section 2: Project governance structure**



UNDP BPPS NCE assumes full responsibility and accountability for oversight and quality assurance of this Project and ensures its timely implementation in compliance with the GEF-specific requirements and UNDP's Programme and Operations Policies and Procedures (POPP), its Financial Regulations and Rules and Internal Control Framework. A UNDP BPPS NCE representative will assume the assurance role and will present assurance findings to the Project Board, and therefore attends Project Board meetings as a non-voting member.

### **Section 3: Segregation of duties and firewalls vis-?-vis UNDP representation on the project board**

As noted in the [Minimum Fiduciary Standards for GEF Partner Agencies](#), in cases where a GEF Partner Agency (i.e. UNDP) carries out both implementation oversight and execution of a project, the GEF Partner Agency (i.e. UNDP) must separate its project implementation oversight and execution duties, and describe in the relevant project document a: 1) Satisfactory institutional arrangement for the separation of implementation oversight and executing functions in different departments of the GEF Partner Agency; and 2) Clear lines of responsibility, reporting and accountability within the GEF Partner Agency between the project implementation oversight and

execution functions.

## Section 4: Roles and Responsibilities of the Project Organization Structure

a) **Project Board:** All UNDP projects must be governed by a multi-stakeholder board or committee established to review performance based on monitoring and evaluation, and implementation issues, to ensure that the project's delivery of results is aligned with the Project Document and the Results Framework, the associated Work Plans and Budgets, and any revisions thereof that may have been approved by the board. The Project Board (also called the Project Steering Committee) is the most senior, dedicated oversight body for a project.

The two main (mandatory) roles of the project board are as follows:

1) **High-level oversight of the execution of the project by the Implementing Partner** (as explained in the [?Provide Oversight?](#) section of the POPP). This is the primary function of the project board and includes annual (and as-needed) assessments of any major risks to the project, and decisions/agreements on any management actions or remedial measures to address them effectively. The Project Board reviews evidence of project performance based on monitoring, evaluation and reporting, including progress reports, evaluations, risk logs and the combined delivery report. The Project Board is responsible for taking corrective action as needed to ensure the project achieves the desired results.

2) **Approval of strategic project execution decisions of the Implementing Partner** with a view to assess and manage risks, monitor and ensure the overall achievement of projected results and impacts and ensure long term sustainability of project execution decisions of the Implementing Partner (as explained in the [?Manage Change?](#) section of the POPP).

### Requirements to serve on the Project Board:

- ? Agree to the Terms of Reference of the Board and the rules on protocols, quorum and minuting.
- ? Commitment to participate in the Project Board's core activities, including the mandatory annual (as per UNDP policies) Project Board Meeting
- ? Disclose any conflict of interest in performing the functions of a Project Board member and take all measures to avoid any real or perceived conflicts of interest. This disclosure must be documented and kept on record by UNDP.
- ? Discharge the functions of the Project Board in accordance with UNDP policies and procedures.

? Ensure highest levels of transparency and ensure Project Board meeting minutes are recorded and shared with project stakeholders.

### **Responsibilities of the Project Board:**

? Consensus decision making:

o The project board provides overall management and strategic guidance and direction to the project, ensuring it remains within any specified constraints, and providing overall oversight of the project implementation.

o Review project performance based on monitoring, evaluation and reporting, including progress reports, risk logs and the combined delivery report;

o The project board is responsible for making management decisions by consensus.

o In order to ensure UNDP's ultimate accountability, Project Board decisions should be made in accordance with standards that shall ensure management for development results, best value money, fairness, integrity, transparency and effective international competition.

o In case consensus cannot be reached within the Board, the UNDP representative on the board will mediate to find consensus and, if this cannot be found, will take the final decision to ensure project implementation is not unduly delayed.

? Oversee project execution:

o Agree on project manager's tolerances as required, within the parameters outlined in the project document, and provide direction and advice for exceptional situations when the project manager's tolerances are exceeded.

o Appraise annual work plans prepared by the Implementing Partner for the Project; review combined delivery reports prior to certification by the implementing partner.

o Address any high-level project issues as raised by the project manager and project assurance;

o Advise on major and minor amendments to the project within the parameters set by UNDP and the donor and refer such proposed major and minor amendments to the UNDP BPPS Nature, Climate and Energy Executive Coordinator (and the GEF, as required by GEF policies);

o Provide high-level direction and recommendations to the project management unit to ensure that the agreed deliverables are produced satisfactorily and according to plans.

o Track and monitor co-financed activities and realisation of co-financing amounts of this project.

- o Approve the Inception Report, GEF annual project implementation reports, mid-term review and terminal evaluation reports.

- o Ensure commitment of human resources to support project implementation, arbitrating any issues within the project.

? Risk Management:

- o Provide guidance on evolving or materialized project risks and agree on possible mitigation and management actions to address specific risks.

- o Review and update the project risk register and associated management plans based on the information prepared by the Implementing Partner. This includes risks related that can be directly managed by this project, as well as contextual risks that may affect project delivery or continued UNDP compliance and reputation but are outside of the control of the project. For example, social and environmental risks associated with co-financed activities or activities taking place in the project's area of influence that have implications for the project.

- o Address project-level grievances.

? Coordination:

- o Ensure coordination<sup>[1]</sup> between various donor and government-funded projects and programmes.

- o Ensure coordination with various government agencies and their participation in project activities.

**Composition of the Project Board:** The composition of the Project Board must include individuals assigned to the following three roles:

1. **Project Executive:** This is an individual who represents ownership of the project and chairs (or co-chairs) the Project Board. The Executive will be a national representative from the relevant entity from a participating country that provides the project focal point for that country (PROCARIBE+ National Focal Point, NFP). Alternatively, two national representatives from relevant entities from 2 different countries can share this role and/or co chair the Project Board. The Project Executive will be selected on a rotational basis by the Beneficiary Representatives.

2. **Beneficiary Representatives:**

Representatives from the GEF-eligible countries that have signed the UNDP/GEF PROCARIBE+ Project Document, representatives from the regional Ocean Coordination Mechanism, and representatives from additional countries and entities that have endorsed the 2015-2025 CLME+ SAP and/or provided a co-financing commitment for PROCARIBE+.

Their primary function within the board is to ensure the realization of project results as per the specifications of the Project Document and the Project Results Framework, the associated work plans, budgets and timelines, and any possible Project Board-approved revisions thereof.

The PROCARIBE+ Project Board Beneficiary Representatives will be expected to consist of:

- ? a main representative (and alternate representative) for the national government of each GEF-eligible country that has signed the UNDP/GEF PROCARIBE+ Project Document (i.e. ?PROCARIBE+ main and alternate National Focal Points?, ?PROCARIBE+ NFP?s?)
- ? a main representative (and alternate representative) for the national government of each non-GEF-eligible country that has signed the 10-year CLME+ SAP and/or committed co-financing for PROCARIBE+
- ? a representative for the regional Ocean Coordination Mechanism (OCM) Steering Group
- ? a representative for the regional Ocean Coordination Mechanism (OCM) Executive Group

In selecting and nominating PROCARIBE+ National Focal Points/Project Board Representatives, due consideration should be given to the Boards' specific functions and objectives (?Responsibilities of the Board?', as described under this section), noting the focus of the Board on supporting project governance and project management oversight. Familiarity of nominees with project management processes and best practice would therefore constitute an asset, in addition to a broad, higher-level (rather than sector-specific) understanding of national/organizational actions and priorities relative to the marine environment and its linkages with sustainable development.

During the project inception phase and throughout the project's implementation, the Project Board may decide to add additional Beneficiary Representatives, either through the Board's Terms of Reference (ToRs) and the approval of any possible revisions thereof, or by means of other board decisions.

For those countries where a government entity acts as a PROCARIBE+ responsible party, a national representative from an entity other than the national entity engaged as responsible party should be appointed as Beneficiary representative, this in order to avoid potential conflicts of interest in project board decision-making processes.

3. **Development Partner(s):** Individuals or groups representing the interests of the parties concerned that provide the project's core funding, strategic guidance and/or technical expertise to the project. The Development Partner(s) for PROCARIBE+ are: **(1)** a UNDP/GEF Regional Regional Technical Advisor (RTA) other than the RTA that will exercise the Project Assurance role; and **(2)** a UNOPS Senior Portfolio Manager.

*As previously noted, PROCARIBE+ responsible parties cannot [directly] serve on the PROCARIBE+ Project Board.*

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#### **Observers and Exponents:**

PROCARIBE+ responsible parties, and PROCARIBE+ co-financing entities that are not already represented on the Project Board as Beneficiary Representatives, will be automatically invited to participate in the discussions and activities of the Project Board as Observer, throughout the duration of the project, but without decision-making power.

Individual experts and/or representatives from countries, entities, sectors, projects or initiatives deemed to pertain to the wider, expanded range of project stakeholders/beneficiaries, and/or with similar or related goals and objectives, **(a)** can be invited, and/or **(b)** can request to be admitted to participate as exponents and/or observers in the activities of the PROCARIBE+ Project Board, subject to agreement (no objection) from the Project Board Members.

Observers and Exponents may further be invited to take part in the discussions of the Board, but without decision-making powers, as deemed beneficial/useful for the objectives of the project and for the purposes of the Board activity(s) under consideration. On a case by case basis, permanent observer status can be requested/issued (i.e. for the duration of the project), or for (a) selected Project Board activity(s) only.

#### **Project Executive Group (PEG):**

A PROCARIBE+ Project Executive Group (PEG) will be created by UNOPS to promote technical coordination among the different PROCARIBE+ responsible parties. The PROCARIBE+ PMCU will be a

member of the PEG. Note: activities of the PEG will have a technical character and are not considered project governance and management oversight activities -the latter being the responsibility of the PMU and the Project Board.

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b) **Project Assurance:** Project assurance is the responsibility of each project board member; however, UNDP has a distinct assurance role for all UNDP projects in carrying out objective and independent project oversight and monitoring functions. UNDP performs quality assurance and supports the Project Board (and Project Management Unit) by carrying out objective and independent project oversight and monitoring functions, including compliance with the risk management and social and environmental standards of UNDP. The Project Board cannot delegate any of its quality assurance responsibilities to the Project Manager. Project assurance is totally independent of project execution.

A designated representative of UNDP playing the project assurance role is expected to attend all board meetings and support board processes as a non-voting representative. It should be noted that while in certain cases UNDP's project assurance role across the project may encompass activities happening at several levels (e.g. global, regional), at least one UNDP representative playing that function must, as part of their duties, specifically attend board meeting and provide board members with the required documentation required to perform their duties. The UNDP representative playing the main project assurance function is/are: the UNDP BPPS/NCE Regional Technical Advisor (RTA) for the Latin America and Caribbean (LAC) region, responsible for the LAC portfolio of Water and Oceans.

c) **Project Management ? Execution of the Project:** The UNOPS **Project Manager (PM)** is the senior most representative of the **Project Management Unit (PMU)** and is responsible for the overall day-to-day management of the project on behalf of the Implementing Partner, including the mobilization of all project inputs, supervision over project staff, responsible parties, consultants and sub-contractors. The project manager typically presents key deliverables and documents to the board for their review and approval, including progress reports, annual work plans, adjustments to tolerance levels and risk registers.

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A designated representative of the PMU is expected to attend all board meetings and support board processes as a non-voting representative.

The primary PMU representative attending board meetings is: the **UNOPS PROCARIBE+ Project Manager (PM)**.

The PROCARIBE+ Project Management Unit (PMU) is embedded within and a part of the **?PROCARIBE+ Project Management and Coordination Unit? (?PROCARIBE+ PMCU? or**

?PMCU?), both of which are to be created and operated by the Implementing Partner (UNOPS), for the duration of the project.

The PROCARIBE+ Project introduces the concept of the Project Management and Coordination Unit (PMCU) to clarify and more clearly separate between the project management and project management support functions of the Unit and its staff, and the very substantive role of the PMCU and its staff in providing solid advocacy and technical advisory and coordination services for the project.

Ensuring high levels of such advocacy, advisory and technical coordination support will be critical for the Project's successful delivery on the variety of outcomes and outputs under its results framework, given: **(a)** the large number and wide variety of beneficiaries and stakeholders across the full range of project outputs and outcomes; **(b)** the multiple geographic scales that range from the local to the national to the (sub-)regional and extending to the global, and the large variety of topics covered by the project which, while often inter-linked, cut across a wide range of thematic fields and marine (and coastal/terrestrial) sectors; **(c)** the role of the PMCU as (interim) Secretariat of the regional Ocean Coordination Mechanism (OCM) that will be operationalized and supported by the project through its Component 1 and 4, in fulfilment of one of the highest priority actions included in the politically endorsed 10-year CLME+ Strategic Action Programme (SAP).

The PMCU will deploy an adaptive management approach, supported by regular stock-taking and early risk detection based on solid (online, collaborative) progress monitoring & evaluation approaches, following established best practice from the predecessor CLME and CLME+ Projects, commended on by the independent Terminal Evaluations of both projects.

As Section VI on Institutional Arrangement and Coordination focusses on project governance and management arrangements, Table 12 here below limits itself to sketching the composition of the project management element of the PMCU. Several of the positions mentioned in the table are full-time positions, however, dedication levels listed in the table only refer to (anticipated) time dedicated to project management and/or monitoring & evaluation. For additional information on the technical coordination and technical advisory roles of the PMCU, and of its expanded staffing, we refer to Prodoc Annex 8.

**Table 11. PROCARIBE+ Project Management Unit (PMU) Staffing and Functions**

*(for more details see Project Document Annex 8)*

<u>Position</u>	<u>Description</u>	<u>Levels of the PMCU Position specifically dedicated to Project Management and/or M&amp;E tasks</u>
Project Manager (PM)	Lead and oversee the overall management of the project, pursuing cost-efficiency and effectiveness in project management by making optimal use of available support staff and consultants through advanced levels of delegation, while ensuring compliance with UNOPS? project management standards (UNOPS Project Management Manual) and all applicable GEF, UNDP and UNOPS rules and regulations, and Project Board decisions.	5 person-months <i>(PMC budget)</i>
Deputy Project Manager (Senior Project Officer)		5 person-months <i>(PMC budget)</i>
Operations and Liaisons Support & Finance Manager (OSLM)	The OSLM will directly support the PM, especially on operational and financial matters. The OSLM is expected to bring in substantive, (certified) project management/people leadership experience, ideally supported by strong language and relations management skills.	20 person-months <i>(PMC budget)</i>
Operations and Liaisons Support & Finance Assistant (OLSA)	The OSLA will have a major role in the day-to-day management of the project and directly support the PM and OSLM, especially on operational and financial matters, and record-keeping	24 person-months <i>(PMC budget)</i>
M&E Specialist	Monitoring & evaluation required to report on progress made in reaching GEF core indicators and project results included in the project results framework + preparation of the annual GEF Project Implementation Report (PIR)	7.5 person-months <i>(M&amp;E budget)</i>
Gender Specialist*	Monitoring & evaluation of the Project Gender Action Plan, as per the project M&E requirements.	2.5 person-months <i>(M&amp;E budget)</i>
Safeguards Specialist*	Monitoring & evaluation of the Project Safeguards Management Framework/Action Plans, as per the project M&E requirements.	5 person-months <i>(M&amp;E budget)</i>
*these 2 functions may be configured either as a single, or as 2 separate positions		

**Planned coordination with other relevant GEF-financed projects and other initiatives**

During the PROCARIBE+ PPG phase, consultations with other relevant GEF-financed projects took place to identify options for synergies and complementarity, and to avoid potential overlaps with other regional initiatives. Information on the engagement activities undertaken during the PPG is available in the Stakeholder Engagement Plan (Annex 9 of the project package).

While collaboration with relevant regional GEF-funded projects is expected in several PROCARIBE+ outputs, the following activities where specific collaborative activities are foreseen are worth mentioning:

For Output 3.2.1, the project will support Panama -as a pilot initiative- in the efforts to quantify their carbon stocks in both seagrass beds (blue carbon) as well as in coastal tropical peatlands; lessons learned from this effort would then be used to support replication and up-scaling. For this output, complementary actions are expected with the Caribbean Biodiversity Fund, through its 'Caribbean BlueFin Project' and the AFD/FFEM 'Caribbean Regional Architecture for Biodiversity' (CRAB) Project, in light of its objective to setup a Blue Carbon Facility in the region with the aim of mobilizing potential financing for marine and coastal ecosystem conservation through this facility. Such facility could help secure future financing for blue carbon pilot projects, including the pilot to be implemented under PROCARIBE+ in Panama. Coordination with Pew Charitable Trusts, who will be working on supporting several countries with blue carbon projects in the upcoming years, is also expected under this output.

Initial discussions with Pew charitable Trust has also been held to collaborate under Output 2.1.4 on the integration of coastal and marine components in NDC updates, considering their plans to help countries increase their ambitions in their renewed NDCs by integrating climate contributions from marine and coastal environments.

For output 3.3.1 and 3.3.2, the project is seeking to collaborate with a number of initiatives in the region supporting blue economy, marine spatial planning and area-based conservation efforts. Notably, synergies will be sought with the BE-CLME+ project and Blue Nature Alliance. For the intervention pertaining to increasing the protection of the Dominican Republic portion of the Beata Ridge, efforts will be coordinated, as appropriate, with a possible project of the Blue Nature Alliance initiative. Communications with the Blue Nature Alliance team were held throughout the PROCARIBE+ PPG phase and will be continued to further clarify the scope of potential collaboration.

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[1] Active day-to-day technical coordination of activities with other projects, programmes and initiatives is a responsibility of the Implementing Partner (UNOPS) together with the Responsible Parties; however, as

described under 'Responsibilities of the Project Board' under this section, the Board membership will have a supporting/enabling role in identifying and facilitating key opportunities for coordination that will be conducive to successful project implementation and optimal use of the GEF PROCARIBE+ grant.

**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.

The countries participating in this project are, to varying degrees, signatories to numerous multi-lateral agreements relating to the protection and management of the marine environment, both at a global and regional level. Table 2 below lists some of those most relevant to the sustainable development of the CLME+ region.

**Table 12. List of multi-lateral agreements and arrangements of relevance to PROCARIBE+ (non-comprehensive).**

<b>International</b>	<b>Regional</b>
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<p>United Nations Convention on the Law of the Sea (UNCLOS), 1982;</p>	<p>CLME+ Strategic Action Programme (CLME+ SAP, 2015</p>
<p>Convention on Biological Diversity (CBD), 1992;</p>	<p>-2025) and associated/complementary Regional Strategies and Action Plans, and Investment Plans (IUU, Marine Habitats, Nutrients/Pollution), developed by WECAFC/CRFM/OSPESCA and UNEP CEP (Cartagena Convention), with the support of the CLME+ Project;</p>
<p>United Nations Framework Convention on Climate Change (UNFCCC), 1992 and the Kyoto Protocol and the Paris Agreement;</p>	<p>Convention on the Protection and Development of the</p>
<p>Convention of International Trade in Endangered Species (CITES), 1972;</p>	<p>Marine Environment in the Wider Caribbean, 1983 (?Cartagena Convention?);</p>
<p>The Convention on Wetlands of International Importance, especially as Waterfowl Habitat (Ramsar Convention), 1971;</p>	<p>Protocol Concerning Cooperation in Combating Oil Spills in the Wider Caribbean, 1983;</p>
<p>International Convention for the Conservation of Atlantic Tuna (ICCAT), 1966;</p>	<p>Protocol Concerning Specially Protected Areas and Wild life (SPA) in the Wider Caribbean Region;</p>
<p>International Convention for the Regulation of Whaling, 1948 and 1959;</p>	<p>Protocol Concerning Pollution from Land-Based Sources and Activities (LBS), 1999;</p>
<p>International Convention for the Prevention of Pollution from Ships, 1973, as modified by the Protocol of 1978 (MARPOL 73/78) including Annexes I-VI;</p>	<p>Caribbean Community Common Fisheries Policy (CCCFP);</p>
<p>International Convention on the Control of Harmful Anti-fouling Systems on Ships, 2001;</p>	<p>Mesoamerican Strategy for Environmental Sustainability;</p>
<p>International Convention for the Control and Management of Ships Ballast Water and Sediment, 2004;</p>	<p>Eastern Caribbean Regional Ocean Policy and Action Pl</p>
<p>Agreement for the Implementation of the Provisions of</p>	<p>an (2019);</p>
<p>the United Nations Convention on the Law of the Sea Relating to the Conservation and Management of Straddling Fish Stocks and Highly Migratory Fish Stocks;</p>	<p>The St. George's Declaration of Principles for Environmental Sustainability in the OECS, 2006;</p>
<p>FAO Agreement on Port States Measures to Prevent, Deter and Eliminate Illegal, Unreported and Unregulated Fishing;</p>	<p>Estrategia Regional Ambiental Marco (ERAM), CCAD;</p>
<p>UN 2030 Agenda for Sustainable Development;</p>	<p>Joint CRFM-OSPESCA Action Plan for the responsible</p>
<p>CBD Strategic Plan for Biodiversity 2021-2030;</p>	<p>management of migratory fish resources of the Caribbean Sea;</p>
<p>recent ?30x30? pledges:</p>	<p>The OSPESCA Caribbean Spiny Lobster Fishery Regional Regulation and Management Plan;</p>
<p>High Ambition Coalition for Nature and People</p>	<p>The Strategy for the Development of the Caribbean Environment Programme;</p>
<p>Global Ocean Alliance</p>	

Several of these agreements have been translated into national policies and/or related action plans. In particular, most, if not all countries have developed the following:

? National Biodiversity Strategic Action Plans (NBSAPs) under the CBD addressing both terrestrial and marine biodiversity;

? National Action Plan for Adaptation (NAPA) under LDCF/UNFCCC including publishing and maintaining successive nationally determined contributions (NDCs) relating to commitments under the Paris Agreement.

There is also a growing trend among countries to develop national ocean or maritime policies and, more recently, Blue Economy Strategies and Action Plans.

The PROCARIBE+ Project aims to give continuity to the implementation of the 10-year CLME+ SAP, in particular several of the longer-term actions initiated through the CLME+ Project. In addition, the PROCARIBE+ Project will catalyze the implementation of key activities under the associated Regional Strategies & Action Plans, in particular those relating to Marine Habitats, Nutrient Pollution and IUU. The PROCARIBE+ proposal is therefore fully consistent and aligned with marine resources-related national, sub-regional and regional plans, reports, assessments and agreements. The project will help wider Caribbean countries meet their objectives under the various agreements and associated national strategies, including the CLME+ SAP and those regional and national action plans (NAPs) guided by SAP recommendations.

The project will also generally support countries with making progress on several key international policies, including the Sustainable Development Goals.

## **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.**

**Component 4** of PROCARIBE+ focuses on region-wide, multi-stakeholder knowledge management for 'healthy seas & societies' in the wider Caribbean ('Our Seas, Our Source, Our Future?'). Through the CLME+ Project, the development of a prototype, collaborative, regional '**CLME+ HUB**' Knowledge Management and Exchange Platform has been facilitated, with inputs and content originating from numerous organizations working on the marine environment in the region. To date, the CLME+ Hub has been maintained and supported by the ICM Secretariat and co-owned by the [ICM membership](#). It has been conceived to transform into the region's long-term, central reference point providing access to knowledge,

resources, information on best practices and tools in support of well-coordinated, collaborative and synergistic action on oceans. It is expected to be further maintained and supported, in the long term, by the OCM and the surrounding wider-ranging partnerships, and will be especially relevant for providing insights into overall status and progress towards ocean-related targets and goals.

The Hub will harness the knowledge contributions not just from PROCARIBE+, but also from other projects (both GEF and non-GEF), initiatives and organizations that are supportive of the long-term Vision articulated in the CLME+ SAP. Linkages with other (sub-)regional and global platforms of relevance, including IW:LEARN, will be expanded and consolidated.

In addition, specific PROCARIBE+ experiences will be documented and disseminated in close collaboration with the GEF IW:LEARN Project (incl. through the production and publication of GEF IW experience notes). The project will actively participate in bi- and multilateral exchange of best practices and lessons learned through the GEF IW:LEARN network and other international ocean practitioners fora.

The implementation of a selected set of innovative practices will be piloted in the region through PROCARIBE+, in alliance with IW:LEARN, with the prospect of promoting further replication in relevant LMEs.

PROCARIBE+ will allocate at least 1% of the GEF budget to support IW:LEARN networking activities.

Knowledge materials produced by the Project will be gender and culturally sensitive. Documents with appropriate language will be prepared for decision makers and key stakeholders.

During the Inception Phase of PROCARIBE+, an independent, in-depth review of the TDA/SAP process as applied to the CLME+ region during the 2009-2020 period will be conducted. Combined with lessons learnt from similar initiatives in other parts of the world, recommendations will be formulated to guide the development of the next regional iteration of the 10-year region-wide Action Programme (SAP) and associated regional and sub-regional initiatives, including the development of the full-scale, updated regional SOMEE report (the latter being the regional, long-term adoption of the GEF-promoted TDA approach).

The previously mentioned KM activities will be complemented by mandatory, project implementation-specific knowledge management and evaluations, as part of UNOPS' standardized and certified Project Management practices, aimed at further promoting operational excellence and maximizing sustainability and impact.





**Minimum project monitoring and reporting requirements as required by the GEF:**

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Inception Workshop and Report:

A project inception workshop will be held within 2 months from the First disbursement date, with the aim to:

1. Familiarize key stakeholders with the detailed project strategy and discuss any changes that may have taken place in the overall context since the project idea was initially conceptualized that may influence its strategy and implementation.
2. Discuss the roles and responsibilities of the project team, including reporting lines, stakeholder engagement strategies and conflict resolution mechanisms.
3. Review the results framework and monitoring plan.
4. Discuss reporting, monitoring and evaluation roles and responsibilities and finalize the M&E budget; identify national/regional institutes to be involved in project-level M&E; discuss the role of the GEF OFP and other stakeholders in project-level M&E.
5. Update and review responsibilities for monitoring project strategies, including the risk log; SESP report, Social and Environmental Management Framework (where relevant) and other safeguard requirements; project grievance mechanisms; gender strategy; knowledge management strategy, and other relevant management strategies.
6. Review financial reporting procedures and budget monitoring and other mandatory requirements and agree on the arrangements for the annual audit.
7. Plan and schedule Project Board meetings and finalize the first-year annual work plan. Finalize the TOR of the Project Board.
8. Formally launch the Project.

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GEF Project Implementation Report (PIR):

The annual GEF PIR covering the reporting period July (previous year) to June (current year) will be completed for each year of project implementation. UNDP will undertake quality assurance of the PIR before submission to the GEF. The PIR submitted to the GEF will be shared with the Project Board. UNDP will conduct a quality review of the PIR, and this quality review and feedback will be used to inform the preparation of the subsequent annual PIR.

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GEF Core Indicators:

The GEF Core indicators included as Annex will be used to monitor global environmental benefits and will be updated for reporting to the GEF prior to MTR and TE. Note that the project team is responsible for updating the indicator status. The updated monitoring data should be shared with MTR/TE consultants prior to required evaluation missions, so these can be used for subsequent ground truthing. The methodologies to be used in data collection have been defined by the GEF and are available on the [GEF website](#).

*Independent Mid-term Review (MTR):*

*With an anticipated project start date of 1 January 2023, the MTR is expected to be completed by the end of July 2025.*

The terms of reference, the review process and the final MTR report will follow the standard UNDP templates and UNDP guidance for GEF-financed projects available on the [UNDP Evaluation Resource Center \(ERC\)](#).

The evaluation will be independent, impartial and rigorous. The evaluators that UNDP will hire to undertake the assignment will be independent from organizations that were involved in designing, executing or advising on the project to be evaluated. Equally, the evaluators should not be in a position where there may be the possibility of future contracts regarding the project under review.

The GEF Operational Focal Points and other stakeholders will be actively involved and consulted during the evaluation process. Additional quality assurance support is available from the BPPS/NCE-VF Directorate.

The final MTR report and MTR TOR will be publicly available in English and will be posted on the UNDP ERC by 31 July 2025. A management response to MTR recommendations will be posted in the ERC within six weeks of the MTR report's completion.

### Terminal Evaluation (TE):

An independent terminal evaluation (TE) will take place upon completion of all major project outputs and activities. The terms of reference, the evaluation process and the final TE report will follow the standard templates and guidance for GEF-financed projects available on the [UNDP Evaluation Resource Center](#). TE should be completed 3 months before the estimated operational closure date, set from the signature of the ProDoc and according to the duration of the project. Provisions should be taken to complete the TE in due time to avoid delay in project closure. Therefore, TE must start no later than 6 months to the expected date of completion of the TE (or 9 months prior to the estimated operational closure date).

The evaluation will be "independent, impartial and rigorous". The evaluators that UNDP will hire to undertake the assignment will be independent from organizations that were involved in designing, executing or advising on the project to be evaluated. Equally, the evaluators should not be in a position where there may be the possibility of future contracts regarding the project being evaluated.

The GEF Operational Focal Points and other stakeholders will be actively involved and consulted during the terminal evaluation process. Additional quality assurance support is available from the BPPS/NCE-VF Directorate.

The final TE report and TE TOR will be publicly available in English and posted on the UNDP ERC by 30 September 2027. A management response to the TE recommendations will be posted to the ERC within six weeks of the TE report's completion.

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### Final Report:

The project's terminal GEF PIR along with the terminal evaluation (TE) report and corresponding management response will serve as the final project report package. The final project report package shall be discussed with the Project Board during an end-of-project review meeting to discuss lesson learned and opportunities for scaling up.

### Agreement on intellectual property rights and use of logo on the project's deliverables and disclosure of information:

To accord proper acknowledgement to the GEF for providing grant funding, the GEF logo will appear together with the UNDP logo on all promotional materials, other written materials like publications developed by the project, and project hardware. Any citation on publications regarding projects funded by the GEF will also accord proper acknowledgement to the GEF. Information will be disclosed in accordance with relevant policies notably the UNDP Disclosure Policy[2] and the GEF policy on public involvement[3].

[1] See [https://www.thegef.org/gef/policies\\_guidelines](https://www.thegef.org/gef/policies_guidelines)

[2] See [http://www.undp.org/content/undp/en/home/operations/transparency/information\\_disclosurepolicy/](http://www.undp.org/content/undp/en/home/operations/transparency/information_disclosurepolicy/)

[3] See [https://www.thegef.org/gef/policies\\_guidelines](https://www.thegef.org/gef/policies_guidelines)

**Monitoring Plan:** The project results, corresponding indicators and mid-term and end-of-project targets in the project results framework will be monitored by the Project Management Unit annually, and will be reported in the GEF PIR every year, and will be evaluated periodically during project implementation. If baseline data for some of the results indicators is not yet available, it will be collected during the first year of project implementation. Project risks, as outlined in the risk register, will be monitored quarterly.

A detailed **Results Monitoring Plan**, specifying the outcome-level indicators, targets, methods, means of verification and risks and assumptions is included in **ProDoc Annex 5** to this Project Document

**Table 13. Monitoring and Evaluation Budget for project execution**

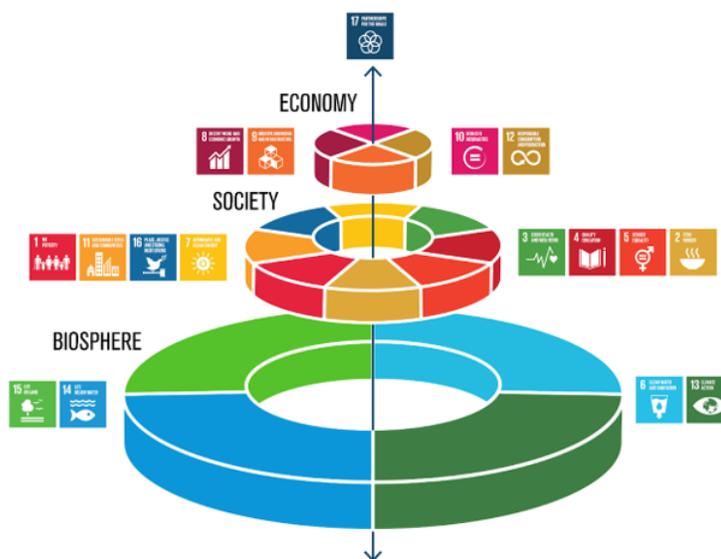
<b>Monitoring and Evaluation Budget for project execution:</b>		
<i>This M&amp;E budget provides a breakdown of costs for M&amp;E activities to be led by the Project Management Unit during project implementation.</i>		
<b>GEF M&amp;E requirements to be undertaken by Project Management Unit (PMU)</b>	<b>Indicative costs (US\$)</b>	<b>Time frame</b>
<b>Inception Workshop and Report</b>	<i>USD 135,000.00</i>	Inception Workshop within 2 months of the First Disbursement
<b>M&amp;E required to report on progress made in reaching GEF core indicators and project results included in the project results framework</b>	<i>USD 21,600.00</i>	Annually and at mid-point and closure.
<b>Preparation of the annual GEF Project Implementation Report (PIR)</b>	<i>USD 10,800.00</i>	Annually typically between June-August

<b>Monitoring of gender action plan</b>	<i>USD 17,555.00</i>	On-going.
<b>Monitoring of safeguards management frameworks/action plans</b>	<i>USD 35,100.00</i>	On-going.
<b>Supervision missions</b>	<i>USD 10,800.00</i>	As needed
<b>Learning missions</b>	<i>USD 10,800.00</i>	As needed
<b>Independent Mid-term Review (MTR):</b>	<i>USD 27,000.00</i>	<i>By 31 July 2025</i>
<b>Independent Terminal Evaluation (TE):</b>	<i>USD 37,800.00</i>	<i>By 30 September 2027</i>
<b>TOTAL indicative COST</b>	<b><i>USD 306,455</i></b>	

### 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 (LDCAF/SCCF)?**

The dependency of the societal and economic dimensions of the 2030 Sustainable Development Agenda on a healthy biosphere and on 'Life Below Water' (Sustainable Development Goal #14) is clearly captured in the representation by the Stockholm Resilience Centre of the 17 SDG's shown in Figure 21 here below, with the biosphere underpinning healthy economies and societies.



**Figure 21. Representation of the 17 Sustainable Development Goals (SDG's) clearly showing how the protection and restoration of the biosphere underpins and will thus be key to the achievement of all other SDG's (source: Stockholm Resilience Centre).**

By contributing to the protection, restoration and harnessing of the coastal and marine capital of the CLME+ Region, the project will contribute to improvements in the socio-economic well-being of the region as a whole by:

? Enhancing coordination related to ocean governance through the operations of the Ocean Coordination Mechanism (OCM) that is expected to contribute to ocean sustainability and support the transition towards sustainable ocean-based economies. It is anticipated that the OCM will also increase the capacity of governments to make more effective decisions relevant to the ocean and ocean-related sectors through improved regional monitoring and reporting processes, generating cascading effects towards an improvement of the livelihoods of local inhabitants.

? Developing a cyclical Transboundary Diagnostic Analysis/Strategic Action Program (?TDA/SAP?) process, including the coordination of the periodic assessment of and reporting on the state of the marine environment and associated economies (SOMEE), and facilitating the development and implementation of regional programs and SAPs by countries, IGOs and other partners. Both the SOMEE and SAP will support regional, national, and local planning/sustainability efforts by providing an enabling environment to make scientifically informed, strategic decisions related to ocean governance and management in an efficient manner.

? Supporting measures that will promote the sustainability of marine resources for the benefit of all inhabitants of the CLME+ region, contributing to food security for the region.

? Increasing the protection of the marine environment, through area-based conservation measures, such as marine protected areas or other effective conservation measures (MPA/OECM), improved ecosystem-based management, and sustainable fisheries, including habitat restoration initiatives and addressing climate change issues.

? Upscaling ocean-based sustainable development & livelihoods/blue economies, through the implementation of micro-financing and other activities aimed at improving the health of coastal and marine ecosystems, catalyzing sustainable fisheries management and addressing pollution reduction in marine environments. Through these activities, the project is expected to contribute to poverty alleviation by improving the livelihoods for inhabitants of coastal communities in the region.

? Promoting interactive and participatory coordination for the conservation and sustainable use of marine living resources that will support meaningful and inclusive participation of all segments of society, including marginalized individuals and groups, in its design, implementation and monitoring phases. The principle of inclusiveness and equity will be applied for all project activities.

? Implementing measures for the use of ecosystem-based management (EBM) and the ecosystem approach to fisheries (EAF). Both EBM and EAF promote the sustainability of marine resources and increase the socio-economic resilience of local inhabitants.

? Expanding the integration of planning efforts on the 'Blue Economy' and Marine Spatial Planning across the region which is expected to assist with post COVID 19 and post hurricane economic recovery and contribute to improved measures on climate change mitigation and adaptation.

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## 11. Environmental and Social Safeguard (ESS) Risks

Provide information on the identified environmental and social risks and potential impacts associated with the project/program based on your organization's ESS systems and procedures

### Overall Project/Program Risk Classification \*

PIF	CEO Endorsement/Approval	MTR	TE
High or Substantial	High or Substantial		

#### Measures to address identified risks and impacts

Elaborate on the types and risk classifications/ratings of any identified environmental and social risks and impacts (considering the GEF ESS Minimum Standards) and any measures undertaken as well as planned management measures to address these risks during implementation.

### Project Information

<i>Project Information</i>	
1. Project Title	Protecting and Restoring the Ocean's Natural Capital, Building Resilience and Supporting Region-wide Investments for Sustainable Blue Socio-Economic Development (PROCARIBE+)
2. Project Number (i.e. Atlas project ID, PIMS+)	6290
3. Location (Global/Region/Country)	Caribbean and North Brazil Region
4. Project stage (Design or Implementation)	Design (PPG)
5. Date	25 March 2022

**Part A. Integrating Programming Principles to Strengthen Social and Environmental Sustainability**

**QUESTION 1: How Does the Project Integrate the Programming Principles in Order to Strengthen Social and Environmental Sustainability?**

*Briefly describe in the space below how the project mainstreams the human rights-based approach*

The project's final objective is to protect, restore and harness the natural coastal and marine capital of the CLME+ region to catalyze investments in a climate-resilient, sustainable post-covid Blue Economy, through strengthened regional coordination and collaboration, and wide-ranging partnerships.

The project mainstreams the human rights-based approach, through:

? Supporting measures that will promote the **sustainability of marine resources** for the benefit of all inhabitants of the Caribbean and North Brazil Shelf Large Marine Ecosystems (CLME+) contributing to food security for the region (consistent with the right to food and shelter for all).

? **Upscaling ocean-based sustainable development & livelihoods/blue economies**, through the implementation of micro-financing and other activities aimed at improving the health of coastal and marine ecosystems, catalyzing sustainable fisheries management and addressing pollution reduction in marine environments. Through these activities, the project will contribute to poverty alleviation by improving the livelihoods for inhabitants of coastal communities in the region.

? Promoting **interactive and participatory coordination for the conservation and sustainable use of marine living resources** that will support meaningful and inclusive participation of all segments of society, including marginalized individuals and groups, in its design, implementation and monitoring phases. The principle of **inclusiveness and equity** will be applied for all project activities, notably during planning processes to be undertaken such as during the work to expand and integrate "Blue Economy", Marine Spatial Planning and Marine Protected Areas (MPA)/Other Effective Conservation Measures (OECM) efforts across the region. Any capacity-building activities will be designed to create an **enabling and safe environment** for the active participation of attendees (consistent with the participation and inclusion human rights principle).

? Helping the region **achieve several of the SDGs**, namely SDG-14: Life below water, with contributions also to SDGs 2, 5, 7, 8,13, 14, 16 and 17. For example, PROCARIBE+ will enhance coordination amongst multiple sectors of society for increased protection of the marine environment, through the creation of new or strengthening of existing marine managed areas, improved ecosystem-based management, and sustainable fisheries, including habitat restoration initiatives and address climate change issues.

*Briefly describe in the space below how the project is likely to improve gender equality and women's empowerment*

From the project gender analysis, it is known that women are key stakeholders in many activities related to the Blue Economy that occur within the CLME+ region. Notably, women play an important role in fisheries and tourism. In fisheries, women represent 47% of the global workforce, but they are often unrecognized (Solano et al., 2021). In tourism, women are estimated to represent 54% of the global workforce, but women are often unremunerated for their work or have the lower paying jobs in the industry. In the CLME+ region, the contributions of women in marine-related sectors are not well understood and data is lacking to better understand gender equity issues. As for women's participation in national and regional decision-making bodies, women do participate but this varies between countries and organizations. In general, however, their interests and needs are underrepresented. A greater articulation at the regional stage on issues related to gender and equity is needed to improve the collection of gender-specific information and to have a greater impact on the integration of gender into regional and national level policies and activities related to the blue economy and ocean sustainability.

The project's **Gender Action Plan** (Annex 11) integrates the following to encourage women's participation, equality and empowerment and tackle the identified barriers:

1. A Gender Working Group (PGWG) will be constituted to strengthen gender participation and representation under the PROCARIBE+ project and associated ocean governance mechanisms such as the OCM (Outcome 1.1). This working group aims to coordinate actions on gender in the CLME+ region, identify and address the gaps in this issue and contribute to strengthening the information, participation and representation of women under PROCARIBE+.
2. Affirmative actions will be taken to promote women's interest, participation, and empowerment, and in addition, the project will aim at ensuring that at least 30% of the participants in all project activities are women. This ratio will be followed for capacity-building activities (Outcome 2.1), micro-financing schemes (Outcome 3.1) and for the various meetings and consultations processes to be organized.
3. Integration of gender equality and youth equity into the Regional State of the Marine Environment and Associated Economies (SOMEE) Report (Outcome 4.1) to inform the new Strategic Action Programme (SAP) (2025-2034) (Outcome 1.1). Gender will be mainstreamed in the SOMEE report and gender-specific indicators for more inclusive and gender-sensitive reporting will be used in the update of the next SAP.
4. Affirmative actions will be taken to develop gender and youth-sensitive proposals under the microfinancing scheme, which will facilitate participation, access to benefits, and economic empowerment. With these actions, relevant learnings can be generated and promoted for replication and escalation.
5. Gender aspects will be integrated into national MSP processes (Outcome 3.3) to be financed under the project and guidelines will be developed by a gender consultant to promote the full integration of gender in the design and implementation of the planning processes ensuring that gender is integrated in the design and implementation of the planning processes.
6. Specific learnings of mainstreaming gender in the PROCARIBE+ project and its associated governance mechanisms will be documented and promoted through the IW-Learn Gender Hub (Outcome 4.2).
7. The project team will have a Gender Equality and Safeguards Specialist(s) (GSS) which will provide technical support for the gender action plan and related actions. During the project inception phase, the project team will be trained on how to integrate gender equality approaches in the project activities. A corresponding budget has been assigned to develop the activities of the gender action plan.
8. The implementation of the project will contemplate affirmative actions to integrate gender equality and youth as a cross-cutting issue. It will record sex and age data in participation, include gender considerations in hiring and procurement, as well as in reporting. There will also be special attention given to gender inclusive language.

*Briefly describe in the space below how the project mainstreams sustainability and resilience*

The project mainstreams sustainability and resilience by supporting:

? **the operations of the Ocean Coordination Mechanism (OCM) (Outcome 1.1)** that is expected to contribute to ocean sustainability and support the transition towards sustainable ocean-based economies. It is anticipated that the OCM will also increase the capacity of governments to make more effective decisions relevant to the ocean and ocean-related sectors through improved regional monitoring and reporting processes.

? **the implementation of ecosystem-based management (EBM) and the ecosystem approach to fisheries (EAF)**, by enhancing the capacity at the national level and enabling conditions for such to take place. Both EBM and EAF promote the sustainability of marine resources and increase the socio-economic resilience of local inhabitants (Outcome 2.1).

? **increasing ocean protection** by enhancing area-based conservation measures using marine protected areas or other effective conservation measures (MPA/OECM) (Outcome 3.3).

? on-the-ground **stress reduction/restoration** and/or **enhanced management practices** for the protection, restoration, and sustainable use of marine and coastal natural capital (Outcome 3.1).

? the expansion and integration of planning efforts on the **Blue Economy?** and Marine Spatial Planning (Outcome 3.3) across the region which is expected to assist with **post COVID 19 and post hurricane economic recovery** and contribute to improved measures on **climate change mitigation and adaptation**.

? **the development of capacity in national-level institutions** on topics such as marine spatial planning, integrated coastal zone management, integrated water resources management and natural capital accounting (Outcome 2.1).

? cyclical **Transboundary Diagnostic Analysis/Strategic Action Program (?TDA/SAP?) processes**, including the coordination of the periodic assessment of and reporting on the **state of the marine environment and associated economies (SOMEE) (Outcome 1.1 and 4.1)**, and facilitating the development and implementation of regional programs and SAPs by countries, IGOs and other partners. Both the SOMEE and SAP will support regional, national, and local planning/sustainability efforts by providing an enabling environment to make scientifically informed, strategic decisions related to ocean governance and management in an efficient manner.

? interventions that could **increase public and private financial capital** (Outcome 3.1) to support stress reduction and sustainable climate-smart blue economy initiatives, that are aimed at improving livelihoods and reducing the vulnerability of communities to unforeseen and anticipated stressors such as the impacts of climate change and climatic disasters.

*Briefly describe in the space below how the project strengthens accountability to stakeholders*

Project activities involving on-the-ground interventions will enable the **active engagement and participation of relevant stakeholders** from local communities and affected inhabitants in decision-making processes, whenever project-related actions may impact them. The project will provide support for a **grievance redress mechanism (included in Annex 10)** that will allow them **to raise and voice their concerns and/or grievances** in cases where project interventions may adversely impact them. A **Stakeholder Analysis and Engagement Plan (SEP) (Annex 9) with the corresponding budget** was developed during the preparation of the project, to ensure that all relevant stakeholders are included in project interventions. The SEP provides a detailed list of potential stakeholders that are likely to be engaged in the project, including governmental organizations, civil society actors, private sector, indigenous communities and others. It breaks down the types of stakeholders per project components and provides potential means of engagement. Stakeholder engagement in Procaribe+ will build on and seek to consolidate the alliances and partnerships developed during the predecessor projects (CLME and CLME+) which were successful in enhancing collaboration between regional organizations of the CLME+ with an ocean mandate. The SEP proposes the development of an inclusive approach, including gender and cultural considerations, towards the development of the SAP, trainings and other activities to be financed under the project. It will also ensure that the national MSP processes develop in-depth stakeholder analyses and engagement plans to promote the active participation of the different range of stakeholders that could be affected by the planning processes.

Additionally, the ESMF incorporates an Indigenous People Planning Framework (Section 9.3 of the ESMF) which includes guidelines to ensure adequate participation by indigenous peoples during design and implementation of activities.

At many levels, PROCARIBE+ aims at increasing partnerships between stakeholders involved in ocean governance and management across the CLME+ region. Notably, the proposed **Ocean Coordination Mechanism, and wide-ranging multi-stakeholder partnership(s)** will support a coordinated approach for enhanced regional coordination and collaboration. This will improve the accountability of decisions taken by participating countries and organizations as well as guaranteeing the long-term sustainability of ocean-related actions in the region.

The countries participating in PROCARIBE+ will be responsible for the implementation of actions endorsed under the new **10-year Strategic Action Program** to be developed. In addition, under Component 2, work will take place on strengthening already existing **national inter-sectoral coordination mechanisms (NICs)** and advocating the establishment of such mechanisms in countries where they do not exist for enhanced coordination on ocean-related matters at the national level. The development of **marine spatial plans, blue economy strategies and marine natural capital accounting** will further enhance the transparency of ocean governance and marine resource management at the national level. Engaging in such mechanisms will ensure effective and meaningful participation of countries in PROCARIBE+.

With a view to enhance decision-making for interactive, participatory, and integrated ocean governance, PROCARIBE+ will **operationalize and strengthen the CLME+ Hub**, a regional, collaborative online platform developed under the CLME+ project. This online platform will provide free and neutral access to data, information and knowledge held by project partners and participating countries to help support ocean-related matters. Through such sharing of information, it is anticipated that all project partners will benefit from **greater transparency and accessibility of information**, strengthening the accountability of project interventions in the region.

**Part B. Identifying and Managing Social and Environmental Risks**

<p><b>QUESTION 2: What are the Potential Social and Environmental Risks?</b></p> <p><i>Note: Complete SESP Attachment 1 before responding to Question 2.</i></p>	<p><b>QUESTION 3: What is the level of significance of the potential social and environmental risks?</b></p> <p><i>Note: Respond to Questions 4 and 5 below before proceeding to Question 5</i></p>			<p><b>QUESTION 6: Describe the assessment and management measures for each risk rated Moderate, Substantial or High</b></p>
<p><b>Risk Description</b> <i>(broken down by event, cause, impact)</i></p>	<p><b>Impact and Likelihood</b> <i>(1-5)</i></p>	<p><b>Significance</b> <i>(Low, Moderate Substantial, High)</i></p>	<p><b>Comments</b> <i>(optional)</i></p>	<p><b>Description of assessment and management measures for risks rated as Moderate, Substantial or High</b></p>

<p>Risk 1: Given the variety of political regimes and regulatory frameworks in the CLME+ region, and constraints with human and financial capacities, there is a risk that the project does not use an inclusive approach towards engaging stakeholders, including indigenous and local communities, which could potentially limit the capacities and opportunities of those stakeholders to exercise their rights and to actively participate in decision-making processes that may affect them.</p> <p><i>(Human Rights Principle, P2, P5 and P6)</i></p> <p><i>(Standard 6: 6.1, 6.2, 6.3, 6.4, 6.5, 6.6, 6.7, 6.9))</i></p>	<p>I = 3</p> <p>L = 3</p>	<p>Substantial</p>	<p>The <b>Stakeholder Engagement Plan</b> (Annex 9 of the PRODOC) identifies all potential project stakeholders - including governmental, civil society and private sector stakeholders, with explicit references to women, youth and indigenous people ? and outlines a process for its effective inclusion in implementation.</p> <p>The ESMF (Annex 10) outlines procedures of assessing the risk of impacting indigenous peoples for interventions to be financed under the project, including the development of Strategic Environmental and Social Assessments (SESA), when needed.</p> <p>In the case that, during implementation, project activities are identified to have potential impacts on indigenous peoples or indigenous lands, the culturally appropriate consultations will be initiated with the objective of achieving agreement and FPIC, and an Indigenous Peoples Plan will be developed. The Indigenous Peoples Plan will be prepared in accordance with the process outlined in the Indigenous Peoples Planning Framework (IPPF) of the ESMF (Section 9.3 of the ESMF).</p> <p>Regarding the update of the Strategic Action Programme, its development will employ a Strategic Environmental and Social Assessment (SESA) approach; participation of indigenous peoples will be ensured through following the guidelines of the Indigenous Peoples Planning Framework (Section 9.3 of the ESMF).</p>
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<p>Risk 2: Climate change impacts can cause increasing threats to already vulnerable coastal and marine habitats in the CLME+ region. As such, there is the risk that some of the project outputs or outcomes may be sensitive or vulnerable to the potential impacts of climate change.</p> <p><i>(Standard 2: 2.1, 2.2)</i></p>	<p>I = 3</p> <p>L = 2</p>	<p>Moderate</p>	<p>The ESMF (Annex 10) outlines procedures for screening, assessing, and managing the risks for activities associated with the different outputs and outcomes under Component 3. These guidelines will help determine if specific assessments are required, considering available scientific information on climate change at the regional, country and area levels, as well as appropriate management measures.</p>
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<p>Risk 3: The initiatives proposed for Component 3, which focus on catalyzing actions for the protection, restoration and sustainable use of marine and coastal natural capital, may take place within or adjacent to critical habitats, sensitive areas, areas important to indigenous or local communities, or areas designated as Cultural Heritage sites. If poorly designed or implemented, those initiatives carry potential risks related to economic and physical displacement, as well as risks of limiting access to natural resources. New activities in the marine/coastal space may also compete with more established sectors and potentially affect livelihoods.</p> <p><i>(Standard 1: 1.1, 1.2, 1.3.</i></p> <p><i>Standard 4: 4.1, 4.3; Standard 5: 5.2; Standard 6: 6.1, 6.2, 6.3, 6.4, 6.5, 6.6, 6.7, 6.9)</i></p>	<p>I = 4 L = 2</p>	<p>Substantial</p>	<p>Component 3 activities</p>	<p>The ESMF (Annex 10) outlines the procedures for assessing environmental and social impacts and risks that may be derived from interventions under Component 3.</p> <p>The eligibility criteria rule out those interventions where significant negative impacts on indigenous peoples are identified. In the case that, during implementation, project activities are identified to have potential impacts on indigenous peoples or indigenous lands, the culturally appropriate consultations will be initiated with the objective of achieving agreement and FPIC, and an Indigenous Peoples Plan will be developed. The Indigenous Peoples Plan will be prepared in accordance with the process outlined in the Indigenous Peoples Planning Framework (IPPF) of the ESMF (Section 9.3). If there is no consent of potentially affected communities in the implementation of activities that may result in restricted access to certain natural resources, these will not be implemented.</p> <p>In addition, while economic displacement is usually avoided (e.g., by allowing small-scale fishermen to continue working in newly designated Marine Protected Areas, due to the low intensity of the activity), where economic displacement cannot be avoided, the required assessments and management plans (Livelihood Action Plan, as part of the Environmental and Social Management Plan) will be prepared during project implementation.</p> <p>The project will not support activities that involve or lead to forced evictions. These activities are not eligible for financing under the Project, as per the eligibility criteria in the ESMF.</p> <p>The ESMF also identifies the need to develop management measures to be implemented in those interventions where low-magnitude negative impacts to natural or cultural sites cannot be avoided, including the development of Environmental and Social Management Plans (ESMPs).</p>
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<p>Risk 4: There is a risk that some of the activities to be developed under the micro-financing scheme could cause adverse impacts to habitats and/or ecosystems. The potential improper design of nature-based solutions may inadvertently release untreated pollutants into the environment.</p> <p><i>(Standard 1: 1.10; Standard 3: 3.6; Standard 8: 8.1, 8.2)</i></p>	<p>I = 3 L = 2</p>	<p>Moderate</p>	<p>Component 3 activities</p>	<p>The project will provide micro financing to civil society and MSMEs that support actions advancing blue socio-economic development. The initiatives to be financed under this scheme will be determined during the project implementation phase - but could include activities with a variety of social and environmental risks. For example, there is a possibility of the inclusion of mariculture as one of the activities. In this case, there is a risk that bacterial infections could result from mishandling of aquaculture products. Any proposed activity will be conducted using established international best practices and in adherence to the UNDP SES.</p> <p>The ESMF (Annex 10) identifies the need to develop management measures to be implemented in those interventions, taking into consideration consultation processes, in cases where indigenous peoples are involved.</p>
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Risk 5: There is a risk that some of the activities defined under the project could result in discrimination against women, marginalized youth and vulnerable communities, including indigenous communities, and limit their active participation in project design and implementation, as well as in the distribution of benefits derived from the Project.

Also, affected stakeholders might voice grievances or objections to the project which, if not properly managed, could lead to resistance to the project and implementation delays.

*(Sustainability and Resilience  
Accountability  
P.13, P.14; Gender Equality and Women's Empowerment  
P.10; Standard 6)*

I = 3

L = 2

Substantial

A Gender Analysis and Action Plan and budget has been developed to ensure the adequate integration of women and youth in the implementation of the project. The Gender Action Plan (Annex 11 of the ProDoc) determines the measures that will be undertaken to address this risk.

The project results framework has explicitly mainstreamed gender dimensions with the corresponding budget; confirming that the gender action plan can be implemented during the project's lifetime.

Management measures include:

? Implementation of a gender action plan and monitoring the project's gender-related indicators.

? A Project Gender Working Group (PGWG) will be established to strengthen gender participation and representation in the project. It will aim at articulating the different gender plans from relevant institutions participating in the PROCARIBE+ Project, identify gaps and opportunities for increasing gender participation and representation in the PROCARIBE+ governance mechanisms, such as the Ocean Coordination Mechanism, and propose specific actions for advocacy. It will also support the reporting of technical information on gender, address the technical needs on the subject, and support other gender-related actions whenever possible that are required to mainstream gender under the project.

? The project team will have a Gender Equality and Safeguards Specialist (GSS) for technical implementation of the project and to support the implementation of the gender action plan.

? All the activities will incorporate affirmative actions in order to integrate gender equality and youth as a cross cutting issue. It will record sex and age data in participation, with at least 30% of women participation. The project will include gender considerations in hiring and procurement, and in reporting. Special attention will be given to gender inclusive language in all the documents and communications.

The Project has also developed an IPPF (Section 9.3 of the ESMF) with a view to ensure the perspective, and where relevant, the participation of indigenous



	<i>if yes, indicate overall type and status</i>		?	Targeted assessment(s)	Completed ? Stakeholder Analysis  ? Gender analysis
			?	ESIA (Environmental and Social Impact Assessment)	Planned for implementation.
			?	SESA (Strategic Environmental and Social Assessment)	Planned for implementation.
	<b><i>Are management plans required? (check if ?yes)</i></b>		?		
	<i>If yes, indicate overall type</i>		?	Targeted management plans (e.g., Gender Action Plan, Emergency Response Plan, Waste Management Plan, others)	Completed ? Stakeholder Engagement Plan  ? Gender Action Plan
			?	ESMP (Environmental and Social Management Plan which may include range of targeted plans)	Planned for implementation.

			?	ESMF (Environmental and Social Management Framework)	Completed ? Environmental and Social Management Framework, including Indigenous Peoples Planning Framework
	<i>Based on identified risks, which Principles/Project- level Standards triggered?</i>			<b>Comments (not required)</b>	
	<i>Overarching Principle: Leave No One Behind</i>				
	<i>Human Rights</i>		?		
	<i>Gender Equality and Women's Empowerment</i>		?		
	<i>Accountability</i>		?		
	<i>1. Biodiversity Conservation and Sustainable Natural Resource Management</i>		?		
	<i>2. Climate Change and Disaster Risks</i>		?		
	<i>3. Community Health, Safety and Security</i>		?		
	<i>4. Cultural Heritage</i>		?		
	<i>5. Displacement and Resettlement</i>		?		
	<i>6. Indigenous Peoples</i>		?		
	<i>7. Labour and Working Conditions</i>		?		
	<i>8. Pollution Prevention and Resource Efficiency</i>		?		

**Supporting Documents**

Upload available ESS supporting documents.

Title	Module	Submitted
<b>Annex 6 6290 PROCARIBE_ SESP</b>	<b>CEO Endorsement ESS</b>	
<b>PIMS 6290 PROCARIBE_ SESP at PIF stage 11mar2021</b>	<b>Project PIF ESS</b>	

**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).**

<p><b>This project will contribute to the following Sustainable Development Goal (s):</b> SDG 2, 5, 7, 8, 13, 14, 16 and 17</p>				
<p><b>This project will contribute to the following country outcome (UNDAF/CPD, RPD, GPD):</b>                  UNDP RPD for LAC 2022-2025 Outcome 3: Green recovery based on principles of sustainable development reflected by integrated, equitable, gender-responsive and risk and resilient informed policies, financing and governance frameworks, and                  Outcome 4: Structural transformations underpinned by effective governance to shape resilient and sustainable societies.</p>				
	<p><b>Objective and Outcome Indicators</b></p>	<p><b>Baseline</b></p>	<p><b>Mid-term (MT) Target</b> <i>Expected level of progress before MTR process starts</i></p>	<p><b>End of Project (PE) Target</b> <i>Expected level when terminal evaluation undertaken</i></p>
<p><b>Project Objective:</b></p>	<p>Protecting, restoring and harnessing the natural coastal and marine capital of the Caribbean and North Brazil Shelf Large Marine Ecosystems to catalyze investments in a climate-resilient, sustainable post-covid Blue Economy, through strengthened regional coordination and collaboration, and wide-ranging partnerships</p>			
	<p><b><u>GEF Core Indicator II:</u></b> <i>Number of direct beneficiaries disaggregated by gender as co-benefit of GEF investment</i></p>	<p>0</p>	<p><i>Total: 105,413</i> <i>Males: 64,832</i> <i>Females: 40,581</i>  <i>Approx. 25% of PE target values</i></p>	<p><i>Total: 421,655</i> <i>Males: 259,328</i> <i>Females: 162,327</i></p>

	<p><b><u>GEF Core Indicator 2:</u></b> <i>Marine protected areas created or under improved management for conservation and sustainable use (hectares)</i></p> <p><b>GEF Sub-Indicator 2.1.:</b> <i>Marine protected areas newly created</i></p> <p><b>GEF Sub-Indicator 2.2.:</b> <i>Marine protected areas under improved management effectiveness</i></p>	<p>Core Indicator 2: 0</p> <p>Sub-Indicator 2.1.: 0</p> <p>Sub-Indicator 2.2.: 0</p>	<p>Aggregate value: 3,312,547 ha</p> <p>Sub-Indicator 2.1: 0 ha</p> <p>Sub-Indicator 2.2: 3,312,547 ha</p>	<p>Aggregate value: 4,368,052 ha</p> <p>Sub-Indicator 2.1: 1,055,505 ha</p> <p>Sub-Indicator 2.2: 3,312,547 ha</p> <p><i>Note: 1 additional MPA/OECM effort will be selected during project inception, the target area to be included in the MPA/OECM will be added to the corresponding Core Indicator targets at that point</i></p>
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<p><b><u>GEF Core Indicator 7:</u></b> <i>Number of shared water ecosystems (fresh or marine) under new or improved cooperative management</i></p> <p><b>GEF Sub-Indicator 7.1.:</b> <i>Level of (a) Transboundary Diagnostic Analysis and (b) Strategic Action Program formulation and implementation</i>  1 = No TDA/SAP developed 2 = TDA finalized 3 = SAP ministerially endorsed 4 = SAP under implementation.</p> <p><b>GEF Sub-Indicator 7.2.:</b> <i>Level of Regional Legal Agreements and Regional Management Institution(s) to support its implementation</i>  1 = No regional legal agreement, or neither institutional framework nor RMI in place 2 = Regional legal agreement under development 3 = Regional legal agreement signed and RMI in place 4 = Regional legal agreement ratified and RMI functional</p> <p><b>GEF Sub-Indicator 7.3.:</b> <i>Level of national/local reforms and active participation of Inter-Ministerial Committees</i>  1 = Neither national/local reforms nor IMCs 2 = National/local reforms in preparation, IMCs functional</p>	<p>Core Indicator 7: 0</p> <p>Sub-Indicator 7.1.: 4 (2015-2025 SAP)</p> <p>Sub-Indicator 7.2.: 2</p> <p>Sub-Indicator 7.3.: 1</p>	<p>Core Indicator 7: 2</p> <p>Sub-Indicator 7.1.: 4 (2015-2025 SAP) / 2 (new TDA (?SOMEE?))</p> <p>Sub-Indicator 7.2...: 4</p> <p>This refers to the regional Ocean Coordination Mechanism -which is non-legally binding but is anticipated to contain a member organization that implements a legally binding framework (Cartagena Convention)</p> <p>Sub-Indicator 7.3.: 2</p>	<p>Core Indicator: 2 (Caribbean and North Brazil Shelf LME?s)</p> <p>Sub-Indicator 7.1.: 4 (new, 2026-2035 SAP)</p> <p>Sub-Indicator 7.2...: 4 This refers to the regional Ocean Coordination Mechanism -which is non-legally binding but is anticipated to contain a member organization that implements a legally binding framework (Cartagena Convention)</p> <p>Sub-Indicator 7.3.: 4</p>
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	<p><b><u>GEF Core Indicator</u></b>  <b>8:</b> Globally over-exploited fisheries moved to more sustainable levels (metric tons)</p>	0	0	<p><i>The over-exploited queen conch fishery is brought to more sustainable levels through application of traceability to annual exports corresponding to <b>515 metric tons/yr</b></i></p> <p><i>(important note: the export volume of shrimp to be brought under traceability by PE was added to this target in the PIF; however, current data do not allow to separate between wild-caught shrimp and shrimp originating from aquaculture - for this reason and until a clear split in the origin of exports can be obtained, the volume of shrimp exports have been removed from the target)</i></p>
<p><b>Project component 1</b></p>	<p>Region-wide multi-stakeholder cooperation, coordination, collaboration and communication for the protection, restoration and sustainable use of marine and coastal ecosystems in the Caribbean and North Brazil Shelf Large Marine Ecosystems (EBM approach)</p>			

<p><b>Project Outcome 1.1 Coordinated, collaborative and synergistic implementation of regional, sub-regional and national (Strategic) Action Programmes and Plans in support of the CLME+ Vision, enabled through a regional Ocean Coordination Mechanism (OCM) and complementary, (thematic) partnership(s), and a regional programmatic approach</b></p>	<p><i>Indicator 1.1: proof of coordination and collaborative and synergistic action consisting of:</i>  (a) OCM Operationalization +  (b) Number of Partnership Forum/a held +  (c) development progress of the new SAP +  (d) total number of progress tracking records for the current and/or new SAP(s) (as applicable), in the online SAP/Action Plan Progress Tracking Tool(s) +  (e) total number of organizations that registered progress tracking records in the joint tool(s) +  (f) total number of projects listed as supporting action progress in the online tracking tool(s)</p>	<p>(a) OCM not operational  (b) 0 partnership(s) fora  (c) first SAP iteration still under implementation, development of new SAP not initiated yet  (d) 0*  (e) 0*  (f) 0*</p> <p>*Values set as zero as the project will measure contributions from the project start date onwards</p>	<p>(a) OCM operational  (b) 1 partnership forum held  (c) advanced draft for the new SAP  (d) at least 50 new SAP progress tracking records  (e) SAP progress tracking records from at least 10 different organizations  (f) SAP progress tracking records indicative of progress support from at least 10 different projects/programmes/initiatives (proof of advances with programmatic approach)</p>	<p>(a) OCM operational and with sustainability strategy  (b) 2 partnership fora held  (c) new SAP, endorsed;  (d) at least 100 new SAP progress tracking records since project start (e) SAP progress tracking records from at least 20 different organizations  (f) SAP progress tracking records indicative of progress support from at least 20 different projects/programmes/initiatives (proof of advances with programmatic approach)</p>
<p>Outputs to achieve Outcome 1.1</p>	<p>1.1.1.a. A regional <b>Ocean Coordination Mechanism (OCM)</b>, with operations commencing by latest 2023 and ongoing throughout (and beyond) the PROCARIBE+ Project lifespan</p> <p>1.1.1.b. Wide-ranging multi-stakeholder partnership(s) operational by latest end of 2023</p> <p>1.1.2. New <b>10-year (2026-2035), broadly supported multi-stakeholder regional Strategic Action Programme</b> (including ministerial-level endorsements)</p>			
<p><b>Project component 2</b></p>	<p><b>Enabling national environments for the protection, restoration and sustainable use of coastal and marine resources (EBM/EAF)</b></p>			

<p><b>Outcome 2.1</b>  <b>National-level capacity, enabling conditions and commitments for EBM/EAF and marine-based, climate and disaster-resilient ?green-blue? socio-economic development</b></p>	<p><i>Indicator 2.1.1: proof of enhanced capacity, enabling conditions and commitments, consisting of:</i>  <i>(a) operational NICs connected to the OCM</i>  <i>(b) national SOMEE?s, BE scoping studies and NCA pilots/enhancements</i>  <i>(c)</i>  <i>(d) marine and coastal natural capital integrated in 2025 NDC?s</i></p>	<p>(a) 0  (b) 0 attributable to PROCARIB E+  (c) training in/for 0 countries attributable to PROCARIB E+  (d) 0 attributable to PROCARIB E+</p>	<p>(a) in at least 40% of OCM member countries  (b) at least 2 SOMEE, 2 BE scoping studies, and 1 NCA pilot/enhancement efforts well underway and on track to be (largely) completed by end of 2025  (c) Training delivered and/or made permanently accessible for at least half of the OCM member states  (d) 1 early draft ?best practice? NDC widely disseminated and inspiring regional 2025 updates</p>	<p><i>(a) in at least 75% of OCM member countries</i>  <i>(b) at least 2 SOMEE, 2 BE scoping studies, and 1 NCA pilot/enhancement; completed</i>  <i>(c) Training delivered and/or made permanently accessible for all 44 CLME+ States and Territories</i>  <i>(d) min 5 2025 NDC updates with strong/upscaled ?blue? component(s)</i></p>
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<p>Outputs to achieve Outcome 2.1</p>	<p>2.1.1. <b>National Intersectoral Coordination Mechanisms (NICs)</b> operational in at least 75% of OCM member countries, connected to the OCM (supporting national-level BE and MSP efforts)</p> <p>2.1.2. <b>2 National integrated ?State of the Marine Environment? (SOME E) reports, 2 Blue Economy (BE) Scoping Studies and 1 Marine and Coastal Natural Capital Accounting pilot/enhancement</b>, delivered by end of 2025; extraction and dissemination of lessons learned and recommended way forward</p> <p>2.1.3. <b>Training delivered and/or made permanently accessible for all 44 CLME+ OCM States &amp; Territories</b>, supporting the integration of <b>IWRM/IRBM, ICZM/MSP and Natural Capital Accounting</b>, and underpinning the implementation of the LBS and SPAW Protocols, the source-to-sea approach, NDCs, 30x30 conservation targets, and related Regional and National Action Plans (incl. min. 30 trainers-of-trainers, targeting key stakeholders engaged in: MSP, SOME E and NDC development, and IRBM; with special attention to gender balance and including practitioners from min. 10 of the 23 transboundary river basins draining into the CLME and NBSLME)</p> <p>2.1.4. <b>Marine and coastal natural capital/Blue Carbon</b> integrated in national-level <b>climate change mitigation and adaptation</b> commitments/efforts:</p> <p>(a) <i>verifiable (initial or upscaled) integration of coastal and marine natural capital/blue carbon in a minimum of five 2025 NDC updates from OCM member/PROCARIBE+ participating countries, enabled;</i></p> <p>(b) <i>1 early draft ?best practice? NDC with strong marine component, regionally disseminated (by 2024) through the OCM and/or partnership(s), to promote upscaling and replication;</i></p> <p>(c) <i>integration of NDC, MSP/MPA and/or BE development efforts in at least 1 country, demonstrated.</i></p>			
<p><b>Project component 3</b></p>	<p><b>Catalyzing actions by all sectors of society, at different spatial scales, for the protection, restoration and sustainable use of marine and coastal natural capital (?blue economies?)</b></p>			
<p><b>Outcome 3.1 Civil Society and MSME contributions to ocean conservation and ocean-based sustainable development &amp; livelihoods/blue economies, upscaled</b></p>	<p><i>Indicator 3.1.1: number of CS/MSME initiatives that advance actions under the CLME+ SAP (1 and 2), C-SAP and/or associated/compatible Strategies and Action Plans, newly initiated or upscaled during the PROCARIBE+ timeframe</i></p>	<p>0</p>	<p>Min. 10</p>	<p>Min. 30</p>

	<i>Indicator 3.1.2: Percentage of women-led projects and youth-led projects financed under micro-financing scheme</i>	0	<i>At least 15% of the small grants given to women projects / 5% of the small grants given to youth projects.</i>	<i>At least &gt;30% of the small grants given to women projects / &gt;10% of the small grants given to youth projects</i>
Outputs to achieve Outcome 3.1	<p><b>3.1.1. Micro-financing schemes</b>, supporting the implementation of key regional/national ocean instruments (SAPs, RSAPs, marine/coastal component of NDCs,...) <b>through Civil Society and MSME action:</b></p> <p><i>(a) min. USD 2.5 million (of which USD 1 million from UNDP/GEF SGP) invested in (replicable) small grants/micro-finance initiatives supportive of the PROCARIBE+/SAP/RSAP objectives (incl. associated gender objectives)</i></p> <p><i>(b) on-the-ground stress reduction/restoration and/or enhanced management practices at min. 30 coastal/marine sites, in min 5 countries. Priorities: nature-based solutions, ecosystem conservation/restoration, sustainable harvesting of ecosystem goods (incl. small-scale fisheries), development of sustainable ?blue? businesses (incl. technological innovation), post-covid and post-hurricane, post-earthquake recovery, climate change mitigation and adaptation/resilience, and enhanced/alternative livelihoods; with special attention to gender, youth and households.</i></p>			
<b>Outcome 3.2</b> <i>Increased mobilization of private capital supporting environmental stress reduction and sustainable climate-smart blue economy initiatives, supporting CLME+ SAP implementation and post COVID-19 recovery, enabled</i>	<i>Indicator 3.2: enabling conditions established to implement a carbon credits-based sustainable financing instrument for seagrasses and tropical peatlands in Panama</i>	<i>No new enabling conditions attributable to the project</i>	<i>Training, mapping and DPSIR analysis completed</i>	<i>(Pre-)feasibility studies including carbon stocks assessments</i>  <i>for 3 pilot sites, best practices for replication and upscaling documented and disseminated</i>
Outputs to achieve Outcome 3.2	3.2.1. Enabling conditions to implement carbon credits-based sustainable financing instruments for seagrasses and tropical peatlands: (pre-)feasibility studies including carbon stock assessments developed in 1 country (Panama, 3 pilot sites); methodologies tested and fine-tuned for blue carbon project development and regional replication/up-scaling			
<b>Outcome 3.3</b> <i>Expansion and</i>	<i>Indicator 3.3.1: see GEF Core Indicator 2 and associated sub-indicators described under the Project Objective</i>			

<p><i>integration of ?Blue Economy?, Marine Spatial Planning and MPA/OECM efforts across the region (ecosystem approach), supporting ocean-based socio-economic development, recovery and resilience (covid19, hurricanes) and progressive delivery on international targets in the fields of: marine conservation and climate change mitigation and adaptation</i></p>	<p><i>Indicator 3.3.2: area in km2 covered by marine spatial planning efforts, attributable to/supported by the PROCARIBE+ Project</i></p>	<p><i>0 ha attributable to the project</i></p>	<p><i>Development of plans (MSP, PSSA) underway for an area &gt; 150,000 km2</i></p>	<p><i>Plans finalized, covering an area &gt; 200,000 km2</i></p>
<p>Outputs to achieve Outcome 3.3</p>	<p>3.3.1.a. BE and MSP planning in at least 8 countries, <b>integrating blue economy</b> (incl. sustainable fisheries and post-covid19 recovery), <b>climate change mitigation and adaptation and ocean conservation objectives</b>, and source-to-sea considerations</p> <p>3.3.1.b. exchange of experiences + advocacy for accelerated progress towards regional target of 10% of CLME under MSP</p> <p>3.3.2. <b>Enhanced area-based ocean conservation (MPA/OECM) in 5-6 countries</b>, targeting at least <b>4,000,000 ha (safe force majeure) of coastal/marine space, through: expansion of, or newly created MPA?s, and/or MPA?s with increased protection levels/demonstrated enhanced management effectiveness, and/or equivalent amounts of marine space under Other Effective area-based Conservation Measures (OECMs)</b></p>			

<p><b>Outcome 3.4</b>  <b>Generalized implementation across the Wider Caribbean/WEC AFC region of traceability systems is enabled for key fisheries and seafood products, as a key measure for sustainability and against IUU fishing</b></p>	<p>Indicator 3.4: proof of progress towards generalized implementation of traceability, consisting of:  (a) number of fishery/seafood products with traceability schemes applied + (b) total volume of fishery/seafood products under traceability + (c) enabling conditions (traceability standards) to replicate/expand the traceability systems across the WECAFC countries</p>	<p>(a) + (b) + (c): no results attributable to PROCARIB E+ yet</p>	<p>(a) + (b) Regulations/Agreements/P rotocols for the implementation of national traceability systems, required to achieve the end-of-project targets under (a) and (b), developed/adopted in at least 75% of participating pilot countries  (c) N/A (related activities as per chronological planning to be conducted during second project half)</p>	<p>(a) traceability systems cover min. 3 fisheries + 1 aquaculture products;  (b) 55,900 metric tons of fishery/seafood products from the region with traceability applied.  (c) regional/sub-regional traceability standards developed enabling region-wide application of traceability for fisheries/seafood products</p>
<p>Outputs to achieve Outcome 3.4</p>	<p>3.4.1. <b>(a) traceability systems in place for 3 selected key fisheries and 1 aquaculture products in min. 8 countries;</b> by Project End</p> <p><i>% of exports (and equivalent approx. volume) from WECAFC region commercialized under regional traceability standard: min. 30% of regional spiny lobster exports (approx. 5.200 tons/yr) + min 39% of queen conch exports (approx. 400 tons/yr) + min 31% of shrimp (fisheries &amp; aquaculture) exports (approx. 50.300 tons/yr); total = 55.900 tons/yr.</i></p> <p><b>(b) enabling conditions to replicate/expand the traceability systems across the wider WECAFC countries,</b> with the aim of achieving a total export volume of 94,800 tons/yr traceable by 2030 (i.e. 52% of all regional spiny lobster+queen conch+shrimp exports)</p>			

<p><b>Outcome 3.5. Region-wide reduction of ghost fishing and negative habitat impacts from unsustainable spiny lobster fishing gear &amp; practices, enabled</b></p>	<p>Indicator 3.5: a) solution(s) to reduce negative impacts from unsustainable fishing gear and practices in industrial spiny lobster fisheries developed and tested, and available for replication and/or up-scaling + (b) provisions for the implementation of measures against ghost fishing and negative habitat impacts from spiny lobster fishing gear and practices adopted/endorsed by corresponding entities for region-wide application</p>	<p>a) No solution in place  b) No provisions in place</p>	<p>at least 1 season of field tests completed, most results needed from pilot available for decision-making</p>	<p>pilot successfully concluded with proof of reduced impacts from revised gear/practices, and recommendations available for up-scaling/replication in other countries; provisions adopted/endorsed by at least 2 of the 3 regional fisheries bodies to implement the improved gear/practices</p>
<p>Outputs to achieve Outcome 3.5</p>	<p>3.5.1. <b>(a) on-the-ground solutions</b> developed and tested to reduce negative environmental, resource stock and socio-economic <b>impacts</b> from unsustainable <b>fishing gear and practices in industrial spiny lobster</b> fisheries (with special attention to ?ghost fishing?/lost and abandoned fishing gear).</p> <p><b>(b)</b> provisions for the implementation of <b>measures against ghost fishing</b> and negative habitat impacts from spiny lobster fishing gear and practices, covering <b>all countries</b> active in the fishery in the WECAFC region (<i>average regional annual total spiny lobster catch volume = approx. 28.000 tons</i>)</p>			
<p><b>Project component 4</b></p>	<p><b>Region-wide data/knowledge generation, management and sharing mechanisms supporting cooperation, coordination, collaboration and synergistic action</b></p>			

<p><b>Outcome 4.1 A well-articulated marine data, information and knowledge management infrastructure/network is enabled, (a) providing a science-policy interface; (b) supporting the development/updating, implementation and M&amp;E of regional Action Programmes and Plans; (c) boosting and increasing the impacts of marine &amp; coastal investments</b></p>	<p><i>Indicator 4.1.1: strengthened marine data/information/knowledge management network manifested through, a.o.: (a) operational OCM Hub+ (b) Marine Data &amp; Information (MDI) Landscape/Infrastructure Blueprint for the region + (c) MDI Blueprint implementation with demonstrable progress + (d) new TDA ("SOME")</i></p>	<p>a) Prototype CLME+ Hub tied to the ICM, may be used as basis for the development of the OCM Hub (pending related OCM decision) b) No existing Blueprint c) Blueprint not implemented d) No new TDA</p>	<p><i>(a) Hub operational, including SAP/Action Programme tracking tool(s); (b) advanced draft MDI blueprint (at least 70% advanced); (c) no MT target, activities planned for second project half; (d) SOME (new TDA) finalized or at least 80% advanced;</i></p>	<p><i>(a) Hub operational, with post-project sustainability strategy; (b) MDI blueprint adopted/endorsed by OCM; (c) at least 2 key elements of MDI Blueprint sustainably implemented; (d) OCM-endorsed SOME that has been used in development of new SAP;</i></p>
	<p><i>Indicator 4.1.2. Number of SOME sub-sections with gender (and youth) information and statistics.</i></p>	<p>0</p>	<p><i>Gender (and youth) related information and statistics identified by Project Gender Working Group (PGWG) and agreed to be used in the SOME report.</i></p>	<p><i>At least 3 sub-sections of the SOME include information and statistics related to gender and youth.</i></p>
<p>Outputs to achieve Outcome 4.1</p>	<p>4.1.1. Online <b>Regional Knowledge Management HUB</b> on the Marine Environment of the Caribbean and North Brazil Shelf LME's fully developed and operational, facilitating collaborative knowledge management by the OCM and partnership(s) <i>(with well-articulated linkages to third-party data/information/knowledge sources/products)</i></p> <p>4.1.2. <b>(a) Formally adopted ?blueprint? for a regional Marine Data/Information/Knowledge Infrastructure (MDI); (b) MDI implementation enabled, and key elements put in place,</b> through commitments and collaborative action by the Secretariat and Members of the OCM and partnership(s)</p> <p>4.1.3. Comprehensive, updated regional <b>Transboundary Diagnostic Analysis (TDA):</b> fully developed regional <b>?State of the Marine Environment and associated Economies? (SOME)</b>, finalized by 2024/mid-25 and informing preparation of the new <b>2026-2035 regional Strategic Action Programme (SAP)</b></p>			

<p><b>Outcome 4.2</b>  <b>Increased regional and global impacts from GEF IW investments through global dissemination and sharing of experiences, and by forging synergies with other Regional Seas/LME/Regional Fisheries programmes and the wider community of International Waters/Ocean practitioners &amp; stakeholders</b></p>	<p><i>Indicator 4.2: potential for regional and global impacts increased through:</i>  <i>(a) number of innovative approaches &amp; best practices piloted by PROCARIBE+ are adopted/assimilated by other GEF IW/LME and/or non-GEF marine initiatives (incl. IW:LEARN) + (b) number of events with active participation and support in IW:LEARN and other relevant oceans events + (c) number of good/best practices from PROCARIBE+ globally disseminated through IW:LEARN.</i>  <i>(Note: this is in part a proxy indicator as it would not be possible for the PMCU to fully measure the global impacts from the PROCARIBE+ GEF IW investments as a consequence of advocacy and synergistic action, and the exchange of experiences and best practices with the global marine community undertaken by the project.)</i></p>	<p>a) counter at zero for FSP project start</p> <p>b) counter at zero for FSP project start</p> <p>c) counter at zero for FSP project start</p>	<p><i>(a) at least 2 cases of adoption/integration of PROCARIBE+ good/best practices by other IW marine initiatives; (b) PROCARIBE+ participation in at least 1 IWLEARN events and at least 1 other global ocean event; (c) at least 2 good/best PROCARIBE+ practices disseminated globally; aspirational: potential for high impact through PROCARIBE+ collaboration with the 8th Our Oceans Conference, Panama 2023 - to be linked with Output 1.1.1 - the OCM (*see risks)</i></p>	<p><i>(a) at least 5 cases of adoption/integration of PROCARIBE+ good/best practices by other IW marine initiatives; (b) PROCARIBE+ participation in at least 4 IWLEARN events and resp. at least 3 other global ocean events; (c) at least 6 good/best PROCARIBE+ practices disseminated globally; aspirational: potential for high impact through PROCARIBE+ collaboration with the 8th Our Oceans Conference, Panama 2023 - to be linked with Output 1.1.1 - the OCM (*see risks in M&amp;E table)</i></p>
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<p>Outputs to achieve Outcome 4.2</p>	<p>4.2.1. <b>Strategic Alliance with IW:LEARN</b> developed and implemented, <b>piloting innovative approaches</b> within (and beyond) the IW Portfolio and providing means for its replication (e.g. data &amp; information management (DIM), use of Remote Sensing, integrated environmental &amp; socio-economic assessments, TDA paradigm shift and BE, SAP implementation progress tracking, etc. (to be further fine-tuned/prioritized and adaptively managed during Project Inception/implementation phase)</p> <p>4.2.2 Support for and participation in <b>GEF IW:LEARN</b> and other Global Marine/LME community <b>events</b> (e.g. IW:LEARN conferences and workshops, twinning events/twinning visits among GEF IW projects), including the 8th 'Our Oceans Conference' (Panama, March 2023)</p> <p>4.2.3. At least <b>6 best/good practice examples</b> in coastal and marine ecosystem management and blue economies showcased/<b>documented, exchanged</b> and promoted through <b>IW:LEARN</b> (e.g. experience notes)</p>
<p><b>Project component 5</b></p>	<p>Project Monitoring &amp; Evaluation (M&amp;E)</p>
<p><b>Outcome 5.1</b> Project-level monitoring and evaluation, in compliance with UNDP and mandatory GEF-specific M&amp;E requirements</p>	<p><b>Indicator OC5.1.:</b> Project-level monitoring and evaluation completed through documentation from Inception Workshop, Annual GEF Project Implementation Reviews (PIR), M&amp;E of GEF core Indicators, Gender Plan, Safeguards Frameworks and Action Plans, Independent Mid-Term Review, and Independent Final Evaluation</p>
<p><b>Outputs to achieve Outcome 5.1</b></p>	<p>5.1.1 Inception Workshop and Report</p> <p>5.1.2 Annual GEF Project Implementation Review (PIR), and M&amp;E of GEF core Indicators, Gender Plan, Safeguards Frameworks and Action Plans</p> <p>5.1.3 Independent Mid-Term Review</p> <p>5.1.4. Independent Final Evaluation</p>

[1] *Outcomes are medium term results that the project makes a contribution towards, and that are designed to help achieve the longer-term objective. Achievement of outcomes will be influenced both by project outputs and additional factors that may be outside the direct control of the project.*

## **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).**

**Comments received from STAP and responses  
from the PPG Coordination Unit**

<b>Part I: Project Information</b>  <b>B. Indicative Project Description Summary</b>	<b>What STAP looks for</b>	<b>Response</b>	<u><b>Comments/response from the PROCARIBE+ PPG Coordination Unit:</b></u>
Project Objective	Is the objective clearly defined, and consistently related to the problem diagnosis?	<p>Yes. The goal of this project is to protect, restore and harness natural coastal and marine capital of the Caribbean and North Brazil Shelf LMEs to catalyze investments in a climate-resilient, sustainable post-COVID Blue Economy, through strengthened regional coordination and collaboration, and wide-ranging partnerships.</p> <p>It is a very overarching and comprehensive objective that covers the main problem, which is degraded coastal areas and declining ocean health.</p>	No further response to the STAP comment/remedial action was needed during the PPG
Project components	A brief description of the planned activities. Do these support the project's objectives?	Yes	No further response to the STAP comment/remedial action was needed during the PPG
Outcomes	<p>A description of the expected short-term and medium-term effects of an intervention.</p> <p>Do the planned outcomes encompass important adaptation benefits?</p>	Yes.	No further response to the STAP comment/remedial action was needed during the PPG

	<p>Are the global environmental benefits/adaptation benefits likely to be generated?</p>	<p>Challenging to coordinate such a range of actors, but good potential.</p>	<p>Whereas there was no specific request from STAP to further comment or respond on this, we can confirm that the approach towards tackling this challenge has now been further developed and described under corresponding sections of the GEF CEO endorsement letter and UNDP Project Document, and their relevant annexes (in particular: Annex 9 - Stakeholders Analysis and Engagement Plan, Annex 11 - Gender Analysis and Plan and Annex 10 - Environmental and Social Management Framework in which the Indigenous Peoples Framework is included, all these annexes include stakeholders? analysis understanding their context, involvement and participation in the project); the critical importance in this context of a strong Project Management and Coordination Unit (PMCU), as argued for under both aforementioned documents, is once more highlighted here; it is also pointed out that this was a Key Action point for future projects, emanating from the independent Terminal Evaluation of the predecessor UNDP/GEF CLME+ Project.</p>
<p>Outputs</p>	<p>A description of the products and services which are expected to result from the project.</p> <p>Is the sum of the outputs likely to contribute to the outcomes?</p>	<p>Yes</p>	<p>No further response to the STAP comment/remedial action was needed during the PPG</p>

<p><b>Part II: Project justification</b></p>	<p>A simple narrative explaining the project's logic, i.e. a theory of change.</p>		
<p><b>1. Project description. Briefly describe:</b>  1) the global environmental and/or adaptation problems, root causes and barriers that need to be addressed (systems description)</p>	<p>Is the problem statement well-defined?</p>	<p>Yes. Good distinction between underlying pressures/trends vs. impacts (degradation, pollution) and root causes. Given the complexity of these many and varied issues a graphic showing interlinkages and cause and effect would be helpful</p>	<p>A total of 6 detailed causal-chain analyses have indeed been prepared in the context of the development of the Transboundary Diagnostic Analyses (TDA's) undertaken during the first CLME Project. In order to avoid a further increase of the overall size of the (already voluminous) submission package, we have not directly included these multiple causal chains (1 page each) in the document. Instead, under Section II of the Project Document we now refer to the online versions of 2 of these causal chain analyses. It is to be noted that these documents will remain permanently online, on the CLME+ Hub.</p>

	<p>Are the barriers and threats well described, and substantiated by data and references?</p>	<p>Barriers to be addressed are listed (p. 29) and make sense though they appear tailored to support justification of this project (e.g., barrier is discontinuity of GEF financial support). This section could be improved by stating what, specifically, these are barriers to. It would be extremely helpful if they were incorporated into the TOC, for example.</p>	<p>In the PROCARIBE+ Project Document, the corresponding section (<i>Section II. Development Challenge - subsection Global environmental problems and root causes; Barriers to be addressed</i>) has been approved in alignment with the GEF STAP comment: for each barrier listed, it has explained how the barrier can hinder the removal of the root causes to the environmental problems identified in the TDA. The Project has been specifically designed to address these different barriers, through its four thematic, technical Components. It is also noted in this context how, and independent of the fact and the acknowledgment that barrier # 2 (discontinuity, at this stage, of financial support from the GEF) may appear to be tailored to support justification for PROCARIBE+, it remains notwithstanding fully correct to state that in the current (?post-?COVID?) context, and being at the mid-point of the implementation of the first iteration of the regional SAP, without the renewed transitional support from the GEF through PROCARIBE+, many of the initiatives for positive, transformational change initiated through the CLME Project and further advanced through the CLME+ Project would come to a halt. Barriers were indeed also incorporated in the TOC (see more details in Annex 13).</p>
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	<p>For multiple focal area projects: does the problem statement and analysis identify the drivers of environmental degradation which need to be addressed through multiple focal areas; and is the objective well defined, and can it only be supported by integrating two, or more focal areas objectives or programs?</p>	n/a	n/a
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<p>2) the baseline scenario or any associated baseline projects</p>	<p>Is the baseline identified clearly?</p>	<p>This project demonstrates a strong understanding of baseline activities related to regional and national programs and strategy development. Data provided on trends is minimal, with reference instead to prior studies.</p>	<p>The comment from STAP is acknowledged, i.e. both the fact that it was acknowledged by the STAP that the PIF was reflective of a strong understanding of baseline activities, as well as the comment on the limited amount of information on trends that was directly incorporated in the PIF - it is further acknowledged that the latter was due to a variety of factors including: (a) the need to avoid an excessively lengthy project concept note; and the consequential (b) prioritization in this context on information considered key to explaining and justifying specifically the proposed project approach and selected interventions, while (c) still providing references to external sources for such information, for those interested; at the same time (d) it is also acknowledged that for some aspects, mechanisms still are to be set up in the region to actively generate and provide access to such information on baseline &amp; trends. The latter element actually underpins parts of the project's strategies, namely those oriented towards forging collaborative arrangements, and to formalize reporting and data management approaches in order to help challenges related to status and trends (see e.g. the efforts related to the formal 'SOMEE' reporting mechanisms (Component 4 at regional level, and Component 2 at national level), as a decision-support tool for the future programming of priority actions).</p>
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Does it provide a feasible basis for quantifying the project's benefits?	Yes and importantly, the PIF documents findings from the CLME+ Project Terminal Evaluation to show how work under this project will respond to the findings and build on past work.	The reference to findings from the CLME+ Terminal Evaluation (TE) has been even further expanded in the GEF CEO Endorsement Letter and UNDP Project Document. It is noted in this context how the wider range of findings from the TE have been duly considered, and duly addressed in the project design while taking into account the constraints inherent to budget and timing for project implementation.
Is the baseline sufficiently robust to support the incremental (additional cost) reasoning for the project?	Yes.	No further response to the STAP comment/remedial action was needed during the PPG
For multiple focal area projects:	n/a	n/a
are the multiple baseline analyses presented (supported by data and references), and the multiple benefits specified, including the proposed indicators;	n/a	n/a
are the lessons learned from similar or related past GEF and non-GEF interventions described; and	n/a	n/a
how did these lessons inform the design of this project?	n/a	n/a

3) the proposed alternative scenario with a brief description of expected outcomes and components of the project	What is the theory of change?	<p>A theory of change is presented (p. 39) which essentially posits that the combination of enhanced regional cooperation combined with national level planning, sector specific 'blue economy' type activities, supported by better and more data and knowledge sharing will support the overall objective of post-COVID investments initially agreed via the TDA-SAP process.</p> <p>Numerous barriers and assumptions are listed all of which make sense; however, given the number and types of interventions across such a large and diverse area, it would be helpful to simplify and/or break this TOC down to show specific causal pathways for different sectors or by outcome, etc. For example, what happens if the assumptions don't hold up? What are the alternatives? Which actions address which (clusters of) barriers?</p>	<p>In the PROCARIBE+ Project Document, Section III - Strategy has now indeed been expanded in line with the GEF STAP recommendation. An additional schematic presentation has been included (Figure 7) under this section, showing how the different project components will collectively support the removal of the distinct barriers. A dedicated table has been created and added as an Annex 13 in the submission package, listing, for each project component, the assumptions made that will support its successful implementation; this table now also details the risks that these assumptions may not hold, and provides pathways for both preventive, as well as remedial and mitigation actions, as well as the strong recommendation for an adaptive management approach for PROCARIBE+, the latter in line with the approach followed by the PCU of the predecessor CLME and CLME+ Projects, and explicitly commended on by the independent Terminal Evaluator.</p>
	What is the sequence of events (required or expected) that will lead to the desired outcomes?	Clearly described.	No further response to the STAP comment/remedial action was needed during the PPG
	What is the set of linked activities, outputs, and outcomes to address the project's objectives?	Clearly described.	No further response to the STAP comment/remedial action was needed during the PPG

	<p>Are the mechanisms of change plausible, and is there a well-informed identification of the underlying assumptions?</p>	<p>Mechanisms and assumptions make sense; however, it is not clear what happens if they don't hold. As an example, Outcome 3 depends heavily on the use of spatial data for MSPs and one of the assumptions is that "data and information needed can be provided." If not, what is the alternate plan of action? Does this derail the entire effort?</p>	<p>A dedicated table has been created (ProDoc Annex 13), listing, for each project components, the assumptions made that will support its successful implementation; this table now also details the risks that these assumptions may not hold, and provides pathways for both preventive, as well as remedial and mitigation actions, as well as the strong recommendation for an adaptive management approach for PROCARIBE+, the latter in line with the approach followed by the PCU of the predecessor CLME and CLME+ Projects</p>
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	<p>Is there a recognition of what adaptations may be required during project implementation to respond to changing conditions in pursuit of the targeted outcomes?</p>	<p>Some recognition, but further attention to scenarios if assumptions do not hold, and mechanisms for regular stock-taking and adjustment, would strengthen this aspect.</p>	<p>In line with the approach followed by the PCU of the predecessor CLME and CLME+ Projects, PROCARIBE+ will continue to implement strong approaches to monitoring and evaluation and early detection of risks, combined with an adaptive management approach to project implementation. In this context, the Terminal Evaluations of both the CLME and CLME+ Project acknowledged the critical importance of a strong and highly motivated Project Coordination Unit, and commended the CLME PCU for the solid M&amp;E approach. In the design of PROCARIBE+, and while facing challenges (given the wide scope of the project, the complexity of the region and the large number of participating countries), substantive efforts have been made to design to the best possible extent, while facing the constraints of the existing caps on project management costs, strong Project Governance and Management, and progress monitoring and evaluation arrangements (see, a.o., Section VII of the Project Document). In this context of adaptive management, ProDoc Annex 13 specifically deals with the project strategy's different underlying assumptions, specifying for each of these, potential preventive, remedial and mitigative actions</p>
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5) incremental/additional cost reasoning and expected contributions from the baseline, the GEF trust fund, LDCF, SCCF, and co financing	GEF trust fund: will the proposed incremental activities lead to the delivery of global environmental benefits?	Likely, given substantial prior investment to build upon.	No further response to the STAP comment/remedial action was needed during the PPG
	LDCF/SCCF: will the proposed incremental activities lead to adaptation which reduces vulnerability, builds adaptive capacity, and increases resilience to climate change?	n/a	n/a

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6) global environmental benefits (GEF trust fund) and/or adaptation benefits (LDCF/SCCF)	Are the benefits truly global environmental benefits/adaptation benefits, and are they measurable?	Yes ? particularly with respect to the MPAs newly created as this is easy to measure.	No further response to the STAP comment/remedial action was needed during the PPG
	Is the scale of projected benefits both plausible and compelling in relation to the proposed investment?	Yes.	No further response to the STAP comment/remedial action was needed during the PPG
	Are the global environmental benefits/adaptation benefits explicitly defined?	Yes.	No further response to the STAP comment/remedial action was needed during the PPG

	<p>Are indicators, or methodologies, provided to demonstrate how the global environmental benefits/adaptation benefits will be measured and monitored during project implementation?</p>	<p>For each Component, many of the related outputs include specific indicators (i.e. natural capital/blue carbon integrated into NDCs)</p>	<p>This approach has been maintained, and, in the case of Component 3, further expanded during the PPG Phase. No further response to the STAP comment/remedial action was needed during the PPG</p>
	<p>What activities will be implemented to increase the project's resilience to climate change?</p>	<p>Intent is to mainstream climate considerations throughout the project.</p>	<p>The intent from the PPG flagged by the STAP indeed continued to be a main consideration during the further development of the proposed project.</p> <p>No further response to the STAP comment/remedial action was needed during the PPG</p>

7) innovative, sustainability and potential for scaling-up

Is the project innovative, for example, in its design, method of financing, technology, business model, policy, monitoring and evaluation, or learning?

Project is conceived at an ambitious geographic scale, so learning to deliver systems change at this scale could in itself be innovative. There is also ambitious scope in the integration across sectors and between marine and terrestrial landscapes (S2S). Primary opportunities for scaling entail traction and exchange of lessons and approaches within the region.

Innovation and sustainability appear in the context of the blue economy and planned efforts to work with CSOs and MSMEs to create blue businesses related to sustainable use/harvesting of renewable marine and coastal capital such as mariculture, mangrove products, etc.

Under Output 3.2.1, One innovative private/blended blue financing instrument (from CLME+ scoping study; to be selected during PPG phase) will be tested at pilot-scale (1 OCM member country) and fine-tuned for region-wide replication/up-scaling.

It will be important to coordinate with the UNEP BlueFin project which is similarly working on developing blue financing mechanisms in the CLME.

The further development of the proposed project has kept with and further built on the approach towards achieving and promoting innovation that was already described in the PIF. The innovative elements of the project have indeed again been flagged in the dedicated sub-section on innovativeness? under Section IV of the Project Document as well as in the sections where the project strategy and project outputs and activities are being described.

For Output 3.2.1, a choice has now been made to support Panama -as a pilot initiative- in the efforts to quantify their carbon stocks in both seagrass beds (blue carbon) as well as in coastal tropical peatlands; lessons learned from this effort would then be used to support replication and up-scaling; throughout the PPG phase, several discussions have been held between the PROCARIBE+ and the UNEP Caribbean BlueFin PPG development team and future Caribbean BlueFin implementing agency, and the complementary of actions on blue carbon has been confirmed and articulated; in light of the Caribbean BlueFin efforts to establish a Blue Carbon Facility, and as discussed during the PPG, PROCARIBE+ will seek to further coordinate with Caribbean Bluefin during project implementation with the aim of mobilizing potential financing for marine and coastal ecosystem conservation through this facility and based on the results from PROCARIBE+ work under its Output 3.2.1. Coordination has not only been sought with

	<p>Is there a clearly-articulated vision of how the innovation will be scaled-up, for example, over time, across geographies, among institutional actors?</p>	<p>This project already encompasses a very large region and is undertaking numerous, diverse activities. In this context, it is important to define exactly what is meant by scaling and how it will be accomplished. Given the complexity of this large effort, it may be that gathering and sharing information including on data and creating and sustaining linkages and achieving results within the area may be more effective than scaling to other parts of the world, though it is critical (and the project acknowledges) to use the IW:LEARN, UNEP Regional Seas and other platforms to exchange lessons.</p>	<p>The comment from the STAP regarding the importance to provide good insights in terms of what is meant by scaling, and how it will be achieved, is duly noted. It is further observed that, in the particular case of PROCARIBE+, and considering the fact that the opportunities to replicate and scale the innovative approaches that will be promoted and implemented by the project are multiple and range from regional approaches aimed at enhanced, integrated ocean governance, to local-level approaches aimed at promoting innovation through civil society action, it would have been difficult to provide a single definition in the PIF of what is to be precisely understood by ?scaling and replication? across the full range of activities proposed for the new PROCARIBE+ Project. The PROCARIBE+ Project Document, containing a much more detailed description of activities under each of the Outputs of the Results Framework than was the case in the PIF, therefore now provides a good source of information to better understand what is meant by ?scaling and replication?, across the wider range and the large variety of innovative approaches that will be supported by the project. It is however to be noted that scaling approaches can and will still further be fine-tuned, and potentially revised, during project implementation, in line with an adaptive management approach and with a keen eye for new opportunities that may arise and allow to further expand the reach of scaling and replication efforts.</p>
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	Will incremental adaptation be required, or more fundamental transformational change to achieve long term sustainability?	Transformational, systems change is required. Responds well to latest science-based priorities (High Level Panel report) on post-COVID blue recovery.	No further response to the STAP comment/remedial action was needed during the PPG
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<p><b>1b. Project Map and</b></p> <p>Coordinates. Please provide geo-referenced information and map where the project interventions will take place.</p>		<p>A map is provided as are lat/long coordinates though not clear what they refer to exactly. Would be better to have a bounding box for the entire area.</p>	<p>Maps have been included in Section II (Development Challenge) as well as in Annex 3 to the Project Document. The maps clearly delineate the Caribbean and North Brazil Shelf Large Marine Ecosystems, which, combined, represent the main geographic scope of the PROCARIBE+ Project. The maps also depict the terrestrial contributing drainage areas to both LMEs (of relevance for project actions relating to the ridge-to-reef/source-to-sea approach), as well as an indication of the coastal zone area of influence, and associated total population. Additional maps have been included in the GEF CEO Endorsement Letter and UNDP Project Document depicting these intervention sites.</p>
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<p><b>2. Stakeholders.</b></p> <p>Select the stakeholders that have participated in consultations during the project identification phase: Indigenous people and local communities; Civil society organizations; Private sector entities.</p> <p>If none of the above, please explain why.</p> <p>In addition, provide indicative information on how stakeholders, including civil society and indigenous peoples, will be engaged in the project preparation, and their respective roles and means of engagement.</p>	<p>Have all the key relevant stakeholders been identified to cover the complexity of the problem, and project implementation barriers?</p>	<p>Yes. Stakeholders are identified by Component including very useful distinction of expected roles and ?means of engagement.?</p>	<p>No further response to the STAP comment/remedial action was requested.</p> <p>During the PPG phase, the PPG Coordination Unit built further upon the work already conducted during PIF stage to include additional detail, under both Sections 4 of the Project Document as well as through a dedicated ?Stakeholder? Annex 9.</p>
	<p>What are the stakeholders? roles, and how will their combined roles contribute to robust project design, to achieving global environmental outcomes, and to lessons learned and knowledge?</p>	<p>Very broad scope of actors, suitably described at this stage of project development.</p>	

<p><b>3. Gender Equality and Women's Empowerment.</b> Please briefly include below any gender dimensions relevant to the project, and any plans to address gender in project design (e.g. gender analysis). Does the project expect to include any gender-responsive measures to address gender gaps or promote gender equality and women empowerment? Yes/no/ tbd. If possible, indicate in which results area(s) the project is expected to contribute to gender equality: access to and control over resources; participation and decision making; and/or economic benefits or services. Will the project's results framework or logical framework include gender sensitive indicators? yes/no /tbd</p>	<p>Have gender differentiated risks and opportunities been identified, and were preliminary response measures described that would address these differences?</p>	<p>Good specification of dimensions in which gender priorities will be incorporated, building upon prior analyses, studies and projects. Dedicated gender specialist to be included.</p>	<p>A dedicated gender specialist was indeed engaged during the PPG phase. A gender and safeguard specialist(s) will also be engaged on the Project Management and Coordination Unit (PMCU). A Gender Action Plan has been developed, and its core actions have been mainstreamed into the description of activities under Section IV of the Project Document. Additional opportunities to further strengthen the gender dimension of the project can continue to be pursued, through the active participation of the PMCU Gender Specialist, and the creation of a Gender Working Group. (note: the PMCU budget foresees for the engagement of a specialist function for both gender and for social and environmental safeguards - engagement of the required expertise may be achieved through either a single ?Gender &amp; Safeguards Specialist? position, or through 2 separate positions (?Gender Specialist? and ?Safeguards Specialist?) (part-time positions); a related decision will be made during project execution based on the profiles of available candidates.</p>
	<p>Do gender considerations hinder full participation of an important stakeholder group (or groups)? If so, how will these obstacles be addressed?</p>	<p>Yes; reasonably anticipated.</p>	<p>No further response to the STAP comment/remedial action was needed during the PPG</p>

<p><b>5. Risks.</b> Indicate risks, including climate change, potential social and environmental risks that might prevent the project objectives from being achieved, and, if possible, propose measures that address these risks to be further developed during the project design</p>	<p>Are the identified risks valid and comprehensive? Are the risks specifically for things outside the project's control? Are there social and environmental risks which could affect the project?</p> <p>For climate risk, and climate resilience measures: ? How will the project's objectives or outputs be affected by climate risks over the period 2020 to 2050, and have the impact of these risks been addressed adequately? ? Has the sensitivity to climate change, and its impacts, been assessed? ? Have resilience practices and measures to address projected climate risks and impacts been considered? How will these be dealt with? ? What technical and institutional capacity, and information, will be needed to address climate risks and resilience enhancement measures?</p>	<p>A reasonable range of risks are identified and rated.</p> <p>Insufficient data is rated as a 'high' risk and this is frequently cited throughout the project including as a barrier.</p> <p>Mitigating measures to 'explore the use of remote sensing' could be further developed prior to CEO endorsement to explain more specifically what type of data, and a strategy for collecting and analyzing it and to what end.</p> <p>Annex H provides a separate Climate Risk Screening which is comprehensive in that it identifies hazards, sensitivity and exposure, an overall risk rating and identifies measures to manage risk. It also includes additional information on projected regional scenarios. These data will be further refined during PPG phase to be more site specific.</p>	<p>While the comment from the STAP alluding to the possibility to 'further explore the use of remote sensing prior to CEO endorsement' was duly acknowledged, acting upon this suggestion during the PPG phase itself (i.e. prior to CEO endorsement) was not immediately possible due to the multitude of other activities that were to be completed, and wide variety of stakeholders that were to be involved, and the associated time and funding constraints. However, and more interestingly, the project itself will provide much better opportunities to meaningfully address this suggestion, in a participatory way which will provide for stronger buy-in and regional ownership than if this would have been fast-tracked during the PPG: e.g. in the context of the planned preparatory activities under especially Component 4 leading to the development of a blueprint for the regional marine data/information landscape and infrastructure, as well as the proposed strategic alliance with IW:LEARN (noting in this context that also the new IW:LEARN project is still to be made operational at the moment at which this response to the STAP suggestion is provided -i.e. June 2022). In addition, the PPG Coordination Unit also refers to the fact that also other activities under Components 1 and 4 (e.g. operationalizing the regional coordination mechanism and partnerships, and preparatory actions towards the development of the new TDAs) will create much better enabling conditions to implement the action proposed by the STAP in a much more meaningful way than would have been possible prior to CEO endorsement. In a similar way, while it is</p>
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<p><b>6. Coordination.</b> Outline the coordination with other relevant GEF-financed and other related initiatives</p>	<p>Are the project proponents tapping into relevant knowledge and learning generated by other projects, including GEF projects?</p>	<p>Yes</p>	<p>No further response to the STAP comment/remedial action was needed during the PPG</p>
	<p>Is there adequate recognition of previous projects and the learning derived from them?</p>	<p>More information could be provided on lessons learned; however, this project refers to the terminal evaluation of the CLME+ project which is a step in the right direction.</p>	<p>References to both the CLME and CLME+ Terminal Evaluations and others lessons learned from the CLME and CLME+ experiences (and beyond), and descriptions of how such has been considered/used in the project design, have been further expanded across several parts of the Project Document. This includes but is definitely not limited to sections such as ?barriers to be addressed?, ?PROCARIBE+ approach to addressing the challenge?, ?partnerships?, ?project governance and management arrangements?, and the description under ProDoc Section IV of the approach and planned activities relative to outputs such as the new TDA (SOME) and SAP, NICs, NDC?s, the regional Knowledge Hub etc.</p>
	<p>Have specific lessons learned from previous projects been cited?</p>	<p>Yes.</p>	<p>The reference to lessons learned and a description of how such has been considered/used in the project design has been further expanded. See also the previous response.</p> <p>No further response to the STAP comment/remedial action was specifically requested.</p>

	<p>How have these lessons informed the project's formulation?</p>	<p>Characterization of barriers, trends and priorities.</p>	<p>In addition to the characterization of barriers, trends and priorities already mentioned by STAP, the lessons learned have also informed the design of several key elements of the proposed project, e.g relative to the ocean coordination mechanism, knowledge management, the conceptualization of and the approach towards the development of the next iteration of the TDA/SAP process, the project governance and management arrangements and the engagement of responsible parties, as well as the introduction of the concept of a ?Project Management and Coordination Unit?, providing for a clearer distinction between project management and project technical coordination and advisory functions (while highlighting the interconnectedness among both). At a higher level, lessons learned are also reflected in the adoption of the concept of a ?programmatic approach? where different projects complement each other in their contributions towards the over-arching regional CLME+ Vision (with this concept now also embedded in the Memorandum (MoU) enabling the establishment of the coordination mechanism), and in the partnership(s) approaches described under both PROCARIBE+ Output 1.1.1.b as well as the subsection on Partnerships under ProDoc Section IV.</p>
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	Is there an adequate mechanism to feed the lessons learned from earlier projects into this project, and to share lessons learned from it into future projects?	Good plan noted during inception phase for in depth review of TDA/SAP process over prior decade and identification of lessons from other regions.	No further response to the STAP comment/remedial action was needed during the PPG
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<b>8. Knowledge management.</b> Outline the Knowledge Management Approach? for the project, and how it will contribute to the project's overall impact, including plans to learn from relevant projects, initiatives and evaluations.	What overall approach will be taken, and what knowledge management indicators and metrics will be used?	Lack of regional data management infrastructure identified as a constraint. Component 4 is devoted to knowledge management, and the CLME+ HUB is highlighted as the main mechanism by which knowledge will be gathered and shared.  This is also where lessons learned from prior and similar projects will be shared (see above) as well as through IW:LEARN.	No further response to the STAP comment/remedial action was needed during the PPG
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	<p>What plans are proposed for sharing, disseminating and scaling-up results, lessons and experience?</p>	<p>IW:LEARN; documentation &amp; dissemination of good practices.</p>	<p>Within the region, the consolidation of a regional knowledge management Hub tied to the regional Ocean Coordination Mechanism will help maximizing the exchange of lessons learned and results both among as well as beyond the different GEF IW projects active in the region.</p> <p>At the global level, PROCARIBE+ proposes to further expand this beyond the GEF IW/LME community (Component 4), e.g. through engagement with other global ocean initiatives (regional seas programmes, regional fisheries bodies, CBD Sustainable Ocean Initiative SOI and others).</p> <p>No further response to the STAP comment/remedial action was needed during the PPG</p>
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**Compilation of Comments submitted by council members on the GEF June 2021 Work Program and responses from PPG Coordination Unit**

**NOTES:**

? This document extracts all comments relevant to PROCARIBE+ from the compilation of comments submitted to the Secretariat by Council members concerning the project proposals presented in the GEF June 2021 Work Program

? Responses/explanation of how the comments have been considered/addressed are now incorporated in the document [in blue](#)

? Comment for all UNDP projects

*In light of the recent audit report by the UNDP Office of Audit and Investigations (OAI) of UNDP GEF Management, all projects included in the Work Program implemented by UNDP shall be circulated by email for Council review at least four weeks prior to CEO endorsement/approval. This shall take place as actions of the Management Action Plan that address the OAI recommendations are being implemented, as well as the independent, risk based third-party review of compliance by UNDP with the GEF Policy on Minimum Fiduciary Standards is being completed. Project reviews will take into consideration the relevant findings of the external audit and the management responses and note them in the endorsement review sheet that will be made available to Council during the 4-week review period.*

[The comment is duly noted.](#)

**21. Regional, Colombia, Costa Rica, Panama, Bahamas, Belize, Cuba, Dominican Republic, Guatemala, Guyana, Honduras, Jamaica, St. Kitts and Nevis, St. Lucia, Suriname, Trinidad and Tobago, Antigua and Barbuda. Protecting and Restoring the Ocean's natural Capital, building Resilience and supporting region-wide Investments for sustainable Blue socio Economic development (PROCARIBE+) (GEF ID 10800). Agency: UNDP; GEF Project Financing: \$15,429,817; Co-financing:126,016,646**

? France Comments

? For information, the French facility for global environment (the FFEM) and the French Agency for Development (the AFD) are jointly cofinancing the BlueFin project with their CRAB project with the Caribbean Biodiversity Fund.

? PROCARIBE+ could overlap BlueFin, even if the purpose is clearly wider both spatially (involving all the wider caribbean countries, including coastal States and North Brazil States) and thematically. It deals with the creation of a big coordination mechanism for the region ?ocean coordination mechanism?, and includes a lot of technical assistance, for quite an exhaustive list of areas: marine spatial mapping, fisheries, blue economy, mangrove, MPAs, etc?

? However, there should be some concertation between UNDP for the Procaribe+ project and UNEP and CBF for the BlueFin project and the FFEM and AFD financed CRAB project, and probably work in close coordination, in order to maximize effects and synergies and lessons learnt to .

[The comments from France relative to the Caribbean Bluefin and CRAB Projects are duly noted. During the PROCARIBE+ PPG phase collaboration took place between the PROCARIBE+ team and](#)

the CBD and Caribbean BlueFin PPG teams, to identify options for synergies and complementarity, and to avoid potential overlaps. Outcomes were positive, with substantial scope for complementarity and synergies, and this is reflected in the PROCARIBE+ Project Document (Section IV, e.g. output on Blue Carbon in Panama, and the description of Partnerships).

? The project is well aligned with the 10-year Strategic Action Programme for the Caribbean and North Brazil Shelf Large Marine Ecosystems (CLME+ SAP) and supports the (partial) implementation of several of the Priority Actions under the SAP. Specifically, it is aligned with the strategic elements focusing on the mainstreaming of valuation of ecosystem services in national and regional decision-making and policy development and private sector engagement in ecosystem-based management of shared living marine resources (e.g., seagrass beds, mangroves, and coral reefs).

? The project will contribute in particular to CLME+ SAP Strategies 1, 2, 3 and 4. Additional information regarding how this project will implement these strategies and its actions has been outlined in a table in the proposed alternative scenario.

The comment is duly noted.

? The main focus of the proposed project's on-the-ground activities are centred on 5 out of the 26 CLME+ countries, it will however ensure alignment with CLME+ SAP Strategy 3 and engage with the CLME+ (Interim) Coordination Mechanism and permanent (when established). This can potentially be used as a framework to promote replication, upscaling, political uptake at regional levels and to reduce overlap and duplication.

The comment is duly noted. Already from PIF stage but even more so during further project development, efforts have been made to pursue that all participating countries stand to benefit substantially from the project, seeking also to have the majority of participating countries benefiting in one way or another from national-level/in-country activities. In addition to this, all countries will benefit from the regional-level activities under Components 1, 2 and 4. Through Components 2 and 3, the project will deliver on-the ground activities in a larger number of countries, e.g: support for environmental reporting (2)/blue economy scoping(2)/natural capital account (1); support for integration of the marine capital in the 2025 NDC updates (1-5); small grants support (min 5); carbon stock quantification (1); MSP (7-8); MPA (5-6); traceability (8) and improved fishing practices & gear (1).

Several project outputs have indeed 2 elements, with the first element focussing on on-the-ground implementation in a limited number of selected countries (taking into account the project's budgetary constraints), while the second element then focuses on extraction of best practices and lessons learned, to enable/pursue upscaling and replication.

An overview table has been included under Section IV of the Project Document, showing how the different project outputs target/will benefit all project participating countries.

? The key project activities will be linked and contribute to (a) relevant regional-level initiatives and activities (including knowledge management and exchange through the CLME+ Hub, clmeplus.org; and support for the formal, integrated reporting efforts on the ?marine environment and its contributions to socio-economic development in the wider Caribbean? (SOMEE and associated UNEP CEP ?State of?? reports); and (b) related activities undertaken by other projects and initiatives in other countries from the region (e.g. through knowledge exchange, harmonized approaches and shared technologies with, BE CLME+, and MAR2R, etc.). The latter will be undertaken with the aim of maximizing overall benefits for both the participating countries and the region as a whole.

? The project will seek to align its activities with the Regional Strategies and Action Plans on (a) the reduction of nutrient inputs into the marine environment, and (b) the protection and restoration of key marine habitats for the wider Caribbean, and their associated regional investment plans, whose development is currently being coordinated by UNEP CEP with the support of the CLME+ Project. The comments are duly noted and welcomed.

? Germany Comments

Germany approves the following PIF in the work program but asks that the following comments are taken into account:

Germany welcomes this proposal, which aims to improve ocean governance and support the ocean economy of the Caribbean and North Brazil Shelf Large Marine Ecosystems.

Suggestions for improvements to be made during the drafting of the final project proposal:

? The project aims to improve the traceability of 55,900 tons/yr of fish and shellfish production. However, traceability is not the same as sustainability. Germany suggests to reconsider whether all of the production with improved traceability should be counted under Indicator 8 ?Globally over-exploited fisheries moved to more sustainable levels?.

The comment from Germany relative to Indicator 8 is duly noted. The PROCARIBE+ PPG team has looked more in depth into this matter, and requested additional data and insights from the regional fisheries experts that provided the data for the PIF. Based on these, the team brings forward the following interpretations/conclusions: (a) the volume of spiny lobster exports to be brought under traceability should be removed from the indicator, as the Caribbean spiny lobster stock would be fully exploited instead of over-exploited; (b) for the other key stocks (queen conch and shrimp), given the over-fished status of the wild-caught stocks, and taking into account (1) that (in our interpretation and unless this would be challenged/contested by the GEF Secretariat or Council during review) the ?GEF Guidelines on Core Indicators (ME/GN/02) refer, for Core Indicator 8, to ?more sustainable? levels, together with (2) the multiple literature references to the importance of traceability for advancing the fight against IUU and for sustainability in fisheries; we would hence still interpret that bringing catch volumes under traceability corresponds to a substantial contribution to moving the subject fishery to more sustainable levels.

? For the project activities on marine spatial planning, Germany suggests to consider more explicitly how a fair and equitable representation of different stakeholder groups with different levels of organization and different economic and political influence can be ensured.

The comment is duly noted and welcomed. Following the UNDP procedures for social and environmental safeguards, the following documents were developed relevant to the engagement of stakeholders during the implementation of the project: A Gender Analysis and Action Plan (Annex 11), a Stakeholder Analysis and Engagement Plan (Annex 9) and an Indigenous Peoples Planning Framework (Annex 10). Those documents are meant to provide guidance for the implementation of the Project to ensure adequate representation by all relevant actors in the activities of the project. The documents will be updated as more information becomes available on the specific activities to be executed under the Project. Regarding the interventions on marine spatial planning, more detailed stakeholder engagement plans will be elaborated at the start of the activities to ensure that all possible actors are identified and considered in the design of the processes.

? The proposal states that it will contribute to regional food security and to SDG 2. Germany proposes to strengthen the considerations of regional food supply and food security across all project activities.

The comment is duly noted, and under the description of the project strategy, and at the onset of the ?Results? section (detailed description of project structure, outputs and activities) the consideration of regional food supply and food security has been added as a cross-cutting consideration to be

mainstreamed across all project activities (as deemed relevant and feasible, taking also into account the project's financial and operational constraints), together with other cross-cutting considerations such as: gender, indigenous people and local communities, climate change.

? Germany welcomes that the proposal addresses gender equality and women's empowerment. Germany suggests to include SDG 5 as one of the global commitments supported by the project activities.

The comment is duly noted and has been addressed in the development of the UNDP PROCARIBE+ Project Document and the PROCARIBE+ GEF CEO endorsement letter. The 'wedding cake' representation of the Sustainable Development Goals including SDG 5, developed by the Stockholm Resilience Center and showing how protection and restoration of the biosphere, including through SDG14 (Life below water), underbuilds successful progress on all other socio-economic SDG's, including SDG5, is now being explicitly referred to as a reference framework for the project, in the Project Strategy. Sections alluding the project's alignment and contributions to global development goals and commitments (e.g. the Project Results Framework) in both the UNDP Project Document and GEF CEO endorsement letter now explicitly include SDG5. A dedicated Gender Action Plan (Annex 11) for PROCARIBE+ has been developed during the PPG phase.

? The project considers economic displacement of coastal people and communities when creating new Marine Protected Areas (MPAs) as one of its risks (Risk 4). Germany suggests that the project ensures that the participating countries collaborate with coastal communities on new MPAs from the outset, not only to avoid displacement, but also to find the ecologically and socially most suitable locations and increase local ownership.

The comment is duly noted. The need for stronger engagement of coastal communities from the onset of efforts to create new MPA's is indeed one of lesson learned and communicated to the PROCARIBE+ PPG team by one of the participating countries, and it is now actually the project's aim to amend for this situation as it will seek to give continuation to the efforts to establish such new MPA. In addition, as part of the efforts under the MPA output, it can be mentioned that, e.g. (a) PROCARIBE+ will seek to directly work with fisherfolk communities, putting these in the lead position to identify and create new Fish Replenishment Zones (FRZ's, Mesoamerican Reef sub-region); (b) dedicated activities to involve local communities in preparatory activities, and in the approval processes for new MPA's have been included; (c) the PROCARIBE+ Project Document and CEO Endorsement Letter acknowledges the soft boundaries between the project's outputs on MSP and on MPA/OECMs, acknowledging that participatory MSP processes can help with zoning for marine conservation/protection. The introductory text under the description of Project Outcome 3.3.1 now explicitly refers to the Project Environmental and Social Management Framework (ESMF)(Annex 10) and refers to local stakeholder engagement as a transversal need for the project interventions under this Outcome.

? Germany suggests to add social risks such as conflict with existing fishing activities to the risks of a mariculture pilot initiative (Risk 5).

The comment is duly noted. The risks in the Social and Environmental Screening Procedure (SESP)(Annex 6) have been updated to include the potential risk of increasing conflicts in the marine space if the Project finances mariculture activities under its micro-financing scheme (see risk 3 in the updated SESP). It should be noted that an Environmental and Social Management Framework (ESMF)(Annex 10) was developed during the PPG with a view to manage potential risks of the Project and propose mitigation measures to be further enhanced during the implementation of the Project. For any activity where potential risks to livelihoods are identified, the required assessments and management plans (such as a Livelihood Action Plan, as part of the Environmental and Social Management Plan) will be prepared during project implementation based on UNDP's Social and Environmental Standards.

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

If at CEO Endorsement, the PPG activities have not been completed and there is a balance of unspent fund, Agencies can continue to undertake the activities up to one year of CEO Endorsement/approval date. No later than one year from CEO endorsement/approval date. Agencies should report closing of PPG to Trustee in its Quarterly Report.

1. ?Budgeted Amount? provides the amounts per budget line as incorporated in the PPG implementation plan. Because of the application of needs-based adaptive management, the sum of values in the columns ?Amount Spent To date? and ?Amount Committed? may differ from the Budgeted Amount as a consequence of budget reallocations during PPG implementation (see also budget note number 3).
2. Expenditures until August 31, 2022
3. Reported unspent balances in the Travel, Local Consultant and Supplies accounts are being reallocated and added to the ?amounts committed? supporting the production of the updated, final translations of the endorsed Project Document and its complete set of Annexes. See also budget note number 5.
4. Office consumables and mobile phone services
5. Costs of the IT platforms (teleconference and online collaboration/consultation platforms) supporting the PPG consultative and stakeholder clearance/validation processes
6. Costs of organizing, implementing and supporting the multilingual PPG consultation and validation meetings, including translation costs of early and ?final? (i.e. pre-submission) drafts of the PROCARIBE+ UNDP Project Document and key annexes, and of reference documents, questionnaires and meeting materials used in the consultations and participatory processes supporting the project development, stakeholder clearance and validation processes (amounts spent to date); Costs of producing the full set of translated materials following GEF CEO endorsement (amount committed)
7. As for the execution of the remaining funds, adaptive management will be used to address any remaining requirements associated with pending clearance/endorsement processes

PPG Grant Approved at PIF: ?USD 350,000???	
<i>Project Preparation Activities</i>	<i>GETF/LDCF/SCCF Amount (\$)</i>

<i>Implemented</i>	<i>Budgeted Amount (1)</i>	<i>Amount Spent To date (2)</i>	<i>Amount Committed (7)</i>
<b>International Consultants</b>	<b>260 431</b>	<b>237 649</b>	<b>22 782</b>
Regional Coordinator - PPG implementation	172 254	154 409	17 845
PPG Technical Expert	62 837	59 303	3 534
PPG Financial/Partnership Specialist	25 340	23 937	1 403
<b>Local Consultants (3)</b>	<b>26 880</b>	<b>26 408</b>	<b>0</b>
Gender & Safeguards Specialist	16 699	16 542	0
Stakeholders Engagement and KM Specialist	6 600	6 306	0
Meetings Facilitator/Senior Negotiator	3 581	3 560	0
<b>Travel (3)</b>	<b>14 000</b>	<b>0</b>	<b>0</b>
<b>Supplies (3) (4)</b>	<b>1 356</b>	<b>1 220</b>	<b>0</b>
<b>Audio Visual &amp; Print Production Costs (5)</b>	<b>7 196</b>	<b>4 522</b>	<b>2 674</b>
<b>Trainings, workshops (6)</b>	<b>40 137</b>	<b>27 729</b>	<b>27 016</b>
<b><u>TOTAL</u></b>	<b><u>350 000</u></b>	<b><u>297 528</u></b>	<b><u>52 472</u></b>

**ANNEX D: Project Map(s) and Coordinates**

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



# Small Island Developing States in the Wider Caribbean



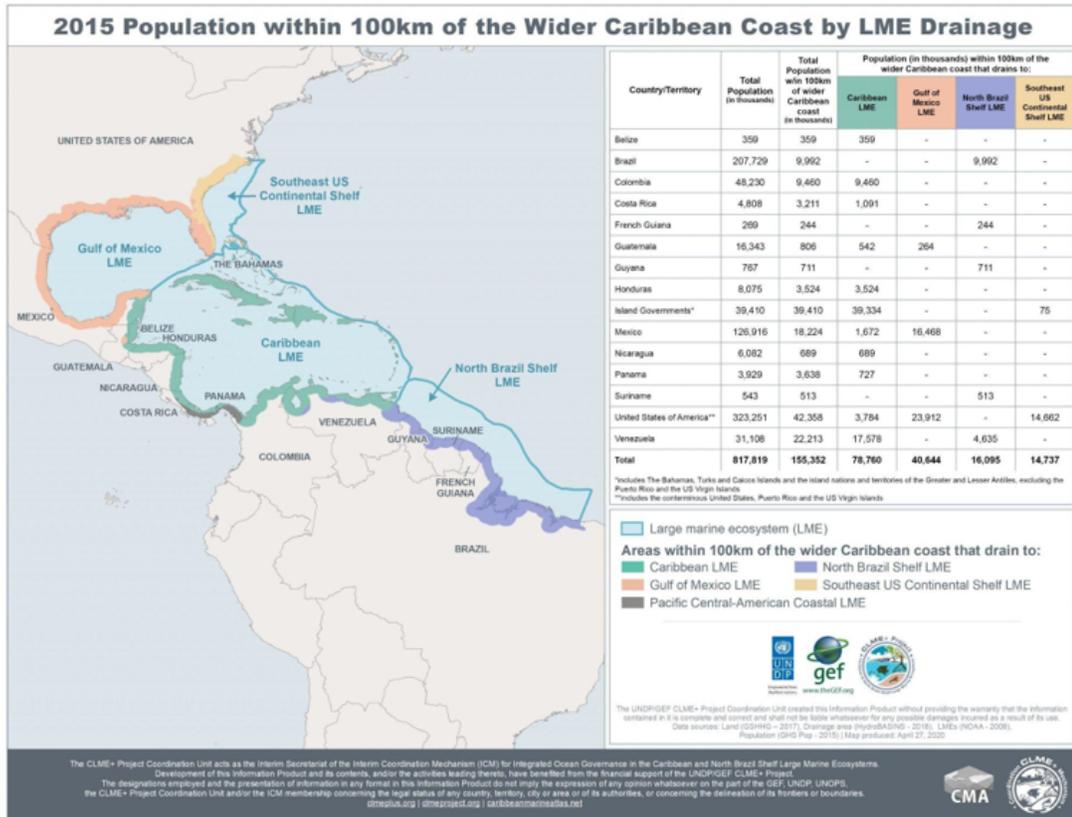
**Small Island Developing State (SIDS)**



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 Data Sources: Land (GADM - 2018), SIDS (UN DESA - 2018)  
 Map Produced: January 07, 2020

The CLME+ Project Coordination Unit acts as the Interim Secretariat of the Interim Coordination Mechanism (ICM) for Integrated Ocean Governance in the Caribbean and North Brack Shelf Large Marine Ecosystems. Development of this Information Product and its contents, and/or the activities leading thereto, have benefited from the financial support of the UNDP/GEF CLME+ Project. The designations employed and the presentation of information in any form in this Information Product do not imply the expression of any opinion whatsoever on the part of the GEF, UNDP, UNCTAD, the CLME+ Project Coordination Unit and/or the ICM membership concerning the legal status of any country, territory, city or area or of its authorities, or concerning the delimitation of its frontiers or boundaries.  
[clmeplus.org](http://clmeplus.org) | [clmeplus.org](http://clmeplus.org) | [clmeplus.org](http://clmeplus.org)





## ANNEX E: Project Budget Table

Please attach a project budget table.

For more detail, please refer to the GEF Budget Excel file uploaded to the Documents section:

Expenditure Category	Detailed Description	Component (USDeq.)										Total (USDeq.)	Responsible Entity		
		Component 1	Component 2	Component 3					Component 4		Sub-total			M&E	PMC
				Sub-component 3.1	Sub-component 3.2	Sub-component 3.3	Sub-component 3.4	Sub-component 3.5	Sub-component 4.1	Sub-component 4.2					
Equipment	1,826.00 IT Equipment costs.									1,826				1,826	UNOPS
Equipment	13,358.00 IT Equipment costs.								13,358					13,358	UNOPS
Equipment	2,636.00 IT Equipment costs.		2,636											2,636	UNOPS
Equipment	2,700.00 IT Equipment costs.		2,700											2,700	UNOPS
Equipment	940 IT Equipment costs.												540	540	UNOPS
Contractual Services - Individual	Project Manager/Regional Coordinator/Lead Technical Advisor (PM/RC/LTA)		142,264	19,665	29,353	275,219	38,013	39,458	27,843	9,722	581,537	108,002		689,539	UNOPS
Contractual Services - Individual	Operations and Liaisons Support Assistant (OLSA)		19,085	2,031	3,032	28,424	3,927	4,075	18,571	8,056	87,201	95,905		183,106	UNOPS
Contractual Services - Individual	Operations and Liaisons Support Manager (OLSM)		19,006	4,494	6,707	62,890	8,686	9,017	8,369	2,593	121,762	151,202		272,964	UNOPS
Contractual Services - Individual	Senior Project Officer #1 (SPO1)	35,124	51,585	16,706	24,936	233,806	32,293	33,521	58,691	19,882	506,544	54,001		560,545	UNOPS
Contractual Services - Individual	Senior Project Officer #1 (SPO2)		77,648	22,105	32,995	309,370	42,730	44,355			529,203			529,203	UNOPS





International Consultants	Knowledge Management Specialist	30,857	42,575	15,067	15,751	44,891	18,902	17,104	27,463	3,394	216,004		216,004	UNOPS
International Consultants	Communication Specialist	30,857	42,575	15,066	15,753	44,890	18,903	17,103	27,463	3,394	216,004		216,004	UNOPS
International Consultants	Health, Safety and Security (HSS) specialist	4,629	4,629	2,497	2,610	7,440	3,133	2,835			27,773		27,773	UNOPS
International Consultants	Safeguard Specialist	15,044	18,665	9,658	10,096	28,775	12,116	10,963	4,120	509	109,946	35,101	145,047	UNOPS
International Consultants	Gender Specialist	8,585	7,521	4,058	4,242	12,090	5,090	4,606	6,694	827	53,713	17,550	71,263	UNOPS
International Consultants	MTR Consultant for Mid-term Evaluation work											27,000	27,000	UNOPS
International Consultants	TE Consultant for Terminal Evaluation work											37,801	37,801	UNOPS
International Consultants	M&E Specialist: supporting annual FIR reporting and M&E of GEF Core indicators											32,400	32,400	UNOPS
International Consultants	Consultant to support the participatory, ongoing/periodic SAP implementation Progress M&E and final evaluation (includes TOR development & approval) (see also Output 1.1.2)	43,201										43,201	43,201	UNOPS
International Consultants	Consultants for the review of the draft proposal for a wide-ranging CLME+ Partnership, inventory and analysis/mapping of existing thematic partnerships, extraction of best practices and lessons learned from other existing partnerships and partnership models, engagement of the Partnerships in SOMEE	118,807										118,807	118,807	UNOPS
International Consultants	Consultant for the support for the high-level political endorsement process of the new SAP and support for the wider-ranging societal endorsement process	21,600										21,600	21,600	UNOPS
International Consultants	Training facilitator	2,844	2,775	1,896	1,982	5,650	2,379	2,153	1,710	211	21,600		21,600	UNOPS
International Consultants	Meeting facilitator	12,902	8,210	2,349	2,456	6,999	2,947	2,666	9,917	1,226	49,672		49,672	UNOPS
International Consultants	Consultant for the production of a status report on NICs in the wider Caribbean/CLME+ countries		16,200									16,200	16,200	UNOPS
International Consultants	Consultant for the review of preliminary SOMEE work conducted under the CLME+ project		16,200									16,200	16,200	UNOPS

International Consultants	Consultant for Scoping of the particular niche of the proposed HUB within the wider range of global, regional, sub-regional and national-level marine data, information and knowledge management platforms								4,272	17,328	21,600		21,600	UNOPS
International Consultants	Consultant for the independent review of the existing CLME+ Hub prototype, formulation of recommendations for the transformation of/transition from the CLME+ Hub prototype, into the official "OCM regional Hub" (including sustainability considerations, and the fine-tuning of objectives, functionality, structure...)								23,760		23,760		23,760	UNOPS
International Consultants	Consultant for the development of a proposal of the Regional HUB as the OCM's Official Knowledge Management Platform, and for its subsequent implementation, maintenance and ongoing development, including the "OCM HUB Sustainability Strategy/Plan".								32,400		32,400		32,400	UNOPS
International Consultants	Consultant for the development of a fine-tuned approach and work plan/timeline for SOMEE development, taking into account associated "lessons learned" (including the findings of the independent TDA/SAP review, see also Output 1.1.2)							14,418	1,782		16,200		16,200	UNOPS
International Consultants	Consultant for exchanges on approach and best practices with national-level reporting efforts								16,200		16,200		16,200	UNOPS
International Consultants	Consultant for the creation and operations of a Marine Data/Information/Knowledge Management Working Group by the OCM to ensure adequate co-ownership and engagement of key non-governmental stakeholders in the SOMEE development process (link with Outputs 1.1.1.A and 1.1.1.B)								64,802		64,802		64,802	UNOPS
International Consultants	Creation and operations of a SOMEE development Working Group by the OCM to ensure adequate co-ownership and engagement of key non-governmental stakeholders in the SOMEE development process (link with Outputs 1.1.1.A and 1.1.1.B)								33,643	4,159	37,802		37,802	UNOPS
Local Consultants	3 interns	6,248	23,887	9,982	8,356	24,795	16,131	16,131	3,750	2,500	111,780		111,780	UNOPS
Local Consultants	IT and graphic design support	8,797	14,662	5,046	4,225	12,535	8,156	8,156	11,655	7,770	81,002		81,002	UNOPS

Training, Workshops, Meetings	10,260.00 Logistics and venue technical trainings and team building retreats; 13,922.00 Support PEG meeting platform & logistics (5 meetings, 2 presental)								17,452		17,452		17,452	UNOPS
Training, Workshops, Meetings	10,260.00 Logistics and venue technical trainings and team building retreats; 13,922.00 Support PEG meeting platform & logistics (5 meetings, 2 presental)								6,730		6,730		6,730	UNOPS
Training, Workshops, Meetings	12,150.00 Logistics and venue technical trainings and team building; 8,440.00 Support PEG meeting platform & logistics (5 meetings, 2 presental)		20,590								20,590		20,590	UNOPS
Training, Workshops, Meetings	36,655.00 Logistics and venue technical trainings and team building retreats; 26,365.00 Support PEG meeting platform & logistics (5 meetings, 2 presental); 43,200.00 Contract logistics and organization of Regional Training Workshop for the National SGP Coordinators on the "People Managing Oceans" Civil Society SAP and other relevant Regional Strategies and Action Plan, and that the Small Grants funding to be provided under Output 3.1.1 will seek to support; 37,800.00 Contract logistics and organization of National launching events; 37,800.00 Contract logistics and organization of Regional Learning and Experience Exchange Closing Workshop; 37,800.00 Contract logistics and organization of (Virtual) Workshops/materials to (a) share the experiences from selected OIC grantees to extract lessons learned and identify possible opportunities for replication and/or upscaling in the region; and (b) stimulate and enhance the ability of regional entrepreneurs/innovators to successfully prepare and submit proposals to the OIC			127,240							127,240		127,240	UNOPS

Training, Workshops, Meetings	36,655.00 Logistics and venue technical trainings and team building retreats; 26,365.00 Support PEG meeting platform & logistics (5 meetings, 2 presental); 43,200.00 Contract logistics and organization of Regional Training Workshop for the National SGP Coordinators on the "People Managing Oceans" Civil Society SAP and other relevant Regional Strategies and Action Plan, and that the Small Grants funding to be provided under Output 3.1.1 will seek to support; 37,800.00 Contract logistics and organization of National launching events; 37,800.00 Contract logistics and organization of Regional Learning and Experience Exchange Closing Workshop; 37,800.00 Contract logistics and organization of (Virtual) Workshop/materials to (a) share the experiences from selected OIC grantees to extract lessons learned and identify possible opportunities for replication and/or upscaling in the region; and (b) stimulate and enhance the ability of regional entrepreneurs/innovators to successfully prepare and submit proposals to the OIC			49,420							49,420		49,420	UNOPS
Training, Workshops, Meetings	36,655.00 Logistics and venue technical trainings and team building retreats; 26,365.00 Support PEG meeting platform & logistics (5 meetings, 2 presental); 43,200.00 Contract logistics and organization of Regional Training Workshop for the National SGP Coordinators on the "People Managing Oceans" Civil Society SAP and other relevant Regional Strategies and Action Plan, and that the Small Grants funding to be provided under Output 3.1.1 will seek to support; 37,800.00 Contract logistics and organization of National launching events; 37,800.00 Contract logistics and organization of Regional Learning and Experience Exchange Closing Workshop; 37,800.00 Contract logistics and organization of (Virtual) Workshops/materials to (a) share the experiences from selected OIC grantees to extract lessons learned and identify possible opportunities for replication and/or upscaling in the region; and (b) stimulate and enhance the ability of regional entrepreneurs/innovators to successfully prepare and submit proposals to the OIC			20,595							20,595		20,595	UNOPS



Travel	1,734.00 and Tickets for Steering Committee Meetings (presential: 2, mid-project & end). Approx 45 participants per meeting. Share allocated to C1; 78,841.00 Travel cost 3 meetings OCM Executive Group (20 participants per meeting); 259,204.00 Travel cost 3 meetings OCM Steering Group (60 participants per meeting); 118,802.00 2 Regional Partnerships) Fora towards the CLME+ Vision (40 participant per meeting); 90,721.00 3 Working Groups creation & operations OCM & SAP development (25 participants per meeting); 30,242.00 Travel missions to achieve technical review, revision & clearance of the new SAP; 30,564.00 Technical Project staff attendance at meetings, conferences (including meetings described under the activities list for Component 1 (C1) outputs as well as attendance at meetings of regional IGO's for advocacy purposes and/or international events to mobilize support for complementary action for C1 outcomes); 9,951.00 2 presential meetings Project Executive Group (PEG)	620,059								620,059		620,059	UNOPS	
Travel	90,002.00 Participants travel to Inception Workshop (approx 40 participants) 5,400.00 M&E Supervision Mission, Field visit, verification 5,400.00 M&E Learning Mission 5,400.00 Travel costs for Mid-Term evaluation 5,400.00 Travel costs for Terminal evaluation.									-	111,602	111,602	UNOPS	
Office Supplies	8,435.00 Office supplies in support of the delivery of Component 2 outputs		8,435							8,435		8,435	UNOPS	
Office Supplies	8,644.00 Office supplies in support of the delivery of Component 1 outputs, including operations of the OCM	8,644								8,644		8,644	UNOPS	
Office Supplies	16,416.00 Office consumables in support of project management. Cost allocated to PMC									-	16,416	16,416	UNOPS	
Office Supplies	42,747.00 Office supplies in support of the delivery of Component 3 outputs			5,271						5,271		5,271	UNOPS	
Office Supplies	42,747.00 Office supplies in support of the delivery of Component 3 outputs					31,498				31,498		31,498	UNOPS	
Office Supplies	42,747.00 Office supplies in support of the delivery of Component 3 outputs					5,978				5,978		5,978	UNOPS	
Office Supplies	5,840.00 Office supplies in support of the delivery of Component 4 outputs					4,304				4,304		4,304	UNOPS	
Office Supplies	5,840.00 Office supplies in support of the delivery of Component 4 outputs							1,536		1,536		1,536	UNOPS	
Other Operating Costs	11,863.00 Share of local offices to support technical activities.					10,844				10,844		10,844	UNOPS	
Other Operating Costs	11,863.00 Share of local offices to support technical activities.							1,019		1,019		1,019	UNOPS	
Other Operating Costs	14,040.00 Supporting materials and resources 3 OCM Executive Group meetings; 32,400.00 Supporting materials and resources 3 OCM Steering Group meetings; 10,800.00 Supporting materials and resources 3 Regional Partnerships Fora; 6,480.00 Supporting materials and resources 3 Working Groups Meetings OCM SAP development; 4,320.00 Supporting materials and resources 3 Meetings for technical review, revision & clearance of the new SAP; 10,665.00 Written translations.	78,703								78,703		78,703	UNOPS	
Other Operating Costs	17,132.00 Share of local offices to support technical activities. Cost allocated to this Component/Outcome		17,132							17,132		17,132	UNOPS	
Other Operating Costs	17,557.00 Share of local offices to support technical activities. Cost allocated to this Component/Outcome	17,557								17,557		17,557	UNOPS	
Other Operating Costs	21,600.00 Professional services for Mandatory Project Audits									-	21,600	21,600	UNOPS	
Other Operating Costs	32,400.00 Materials for 2.1.1. Advocacy, through the OCM Secretariat, Executive Group and Steering Group (see Output 1.1.1.a), and through the PROCARIBE+ Project Board/Steering Committee and Project Coordination Unit, for strengthened and consolidated national intersectoral coordination mechanisms in the OCM member/PROCARIBE+ participating countries. 2.1.4. Awareness-raising (e.g. through the OCM, the OCM Hub and OCM membership) on: (a) the linkages between, on one hand, ocean conservation and the blue economy, and on the other hand, actions supporting climate mitigation and adaptation, and; (b) the region's current baseline, and further potential, for dual purpose synergistic action aiming at protecting coastal and marine natural capital and developing the blue economies while simultaneously getting/increasing national-level climate change mitigation and adaptation ambitions. 2.1.4. Advocacy for (a) the (upscaled) integration of marine/coastal natural capital and blue carbon in the 2025 NDCs for the countries from the wider Caribbean (e.g. through the OCM and partnerships), and other fora as appropriate, and for (b) the incorporation of related, post-2025 action, in the next iteration of the regional SAP; 10,405.00 Written translations.	42,805								42,805		42,805	UNOPS	
Other Operating Costs	6,480.00 Supporting materials and resources for the production of at least 3 experience notes; 7,205.00 Written translations.							13,685		13,685		13,685	UNOPS	
Other Operating Costs	7,560.00 Local offices. Cost allocated to PMC									-	7,560	7,560	UNOPS	
Other Operating Costs	8,640.00 Supporting materials and resources for issuance of calls for proposals, in the [5] [6] target countries, clarification of priorities and selection criteria; 16,200.00 Materials for outreach and communication activities, incl. through SGP and PROCARIBE+ websites, and through OCM (HUB, OCM membership - as relevant); 10,800.00 Materials for production of a publication highlighting the achievements, best practices and lessons learned from the grant support provided under output 3.1.1; 52,730.00 Written translations.	35,640								35,640		35,640	UNOPS	
Other Operating Costs	8,640.00 Supporting materials and resources for issuance of calls for proposals, in the [5] [6] target countries, clarification of priorities and selection criteria; 16,200.00 Materials for outreach and communication activities, incl. through SGP and PROCARIBE+ websites, and through OCM (HUB, OCM membership - as relevant); 10,800.00 Materials for production of a publication highlighting the achievements, best practices and lessons learned from the grant support provided under output 3.1.1; 52,730.00 Written translations.				52,730					52,730		52,730	UNOPS	
Other Operating Costs	86,828.00 Share of local offices to support technical activities. Cost allocated to C3 outcomes		80,149							80,149		80,149	UNOPS	
Other Operating Costs	86,828.00 Share of local offices to support technical activities. Cost allocated to C3 outcomes			6,679						6,679		6,679	UNOPS	
<b>Grand Total</b>		<b>2,076,469</b>	<b>1,997,869</b>	<b>1,391,674</b>	<b>505,664</b>	<b>5,296,223</b>	<b>910,829</b>	<b>627,408</b>	<b>1,188,824</b>	<b>395,557</b>	<b>14,390,517</b>	<b>306,455</b>	<b>732,845</b>	<b>15,429,817</b>

## ANNEX F: (For NGI only) Termsheet

**Instructions.** Please submit a finalized termsheet in this section. The NGI Program Call for Proposals provided a template in Annex A of the Call for Proposals that can be used by the Agency. Agencies can use their own termsheets but must add sections on Currency Risk, Co-financing Ratio and Financial Additionality as defined in the template provided in Annex A of the Call for proposals. Termsheets submitted at CEO endorsement stage should include final terms and conditions of the financing.

**ANNEX G: (For NGI only) Reflows**

Instructions. Please submit a reflows table as provided in Annex B of the NGI Program Call for Proposals and the Trustee excel sheet for reflows (as provided by the Secretariat or the Trustee) in the Document Section of the CEO endorsement. The Agency is required to quantify any expected financial return/gains/interests earned on non-grant instruments that will be transferred to the GEF Trust Fund as noted in the Guidelines on the Project and Program Cycle Policy. Partner Agencies will be required to comply with the reflows procedures established in their respective Financial Procedures Agreement with the GEF Trustee. Agencies are welcomed to provide assumptions that explain expected financial reflow schedules.

**ANNEX H: (For NGI only) Agency Capacity to generate reflows**

Instructions. The GEF Agency submitting the CEO endorsement request is required to respond to any questions raised as part of the PIF review process that required clarifications on the Agency Capacity to manage reflows. This Annex seeks to demonstrate Agencies' capacity and eligibility to administer NGI resources as established in the Guidelines on the Project and Program Cycle Policy, GEF/C.52/Inf.06/Rev.01, June 9, 2017 (Annex 5).