

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

### 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

#### Agency(ies)

UNDP

**Other Executing Partner(s)**

UNOPS

**Executing Partner Type**

Others

**GEF Focal Area**

International Waters

**Taxonomy**

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

**Rio Markers****Climate Change Mitigation**

Climate Change Mitigation 2

**Climate Change Adaptation**

Climate Change Adaptation 2

**Duration**

60 In Months

**Agency Fee(\$)**

1,388,683.00

**Submission Date**

3/24/2021

A. Indicative Focal/Non-Focal Area Elements

Programming Directions	Trust Fund	GEF Amount(\$)	Co-Fin Amount(\$)
IW-1-1	GET	9,278,137.00	78,063,940.00
IW-1-2	GET	3,914,811.00	32,938,247.00
IW-1-3	GET	2,236,869.00	18,820,460.00
Total Project Cost (\$)		15,429,817.00	129,822,647.00



## B. Indicative 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	Project Outcomes	Project Outputs	Trust Fund	GEF Amount(\$)	Co-Fin Amount(\$)
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	1.1. <b>Coordinated, collaborative and synergistic implementation</b> of regional, sub-regional and national (Strategic) <b>Action Programmes and Plans in support of the CLME+ Vision, enabled</b> through the OCM and partnerships, and a regional <b>programmatic approach</b>	1.1.1. Ocean <b>Coordination Mechanism (OCM)</b> , and wide-ranging <b>multi-stakeholder partnership(s)</b> operational by latest 2024  -  1.1.2. New 10-year multi-stakeholder regional <b>Strategic Action Programme (2025-2034)</b> , endorsed at ministerial level	GET	1,911,250.00	16,693,457.00
COMPONENT 2: Enabling national environments for the	Technical Assistance	2.1. <b>National-level capacity, enabling conditions and commitments</b> for EBM/EAF and	2.1.1. <b>National Intersectoral Coordination Mechanisms (NICs)</b> operational in <i>at least 75% of OCM</i>	GET	1,865,000.00	13,002,523.00

protection,  
restoration and  
sustainable use  
of coastal and  
marine  
resources  
(EBM/EAF)

marine-based,  
climate and  
disaster-resilient  
“green-blue” socio-  
economic  
development

*member countries, connected to the  
OCM (supporting national-level BE and  
MSP efforts)*

2.1.2. National integrated “**State of the  
Marine Environment**” (SOMEE) reports,  
with **Blue Economy (BE)**

**Scoping/Natural Capital Accounting**,  
delivered in *min 5 countries by 2025*  
(supporting national-level BE and MSP  
efforts)

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 (RAPs)** (in  
collaboration with IW:LEARN, CapNet,  
ESA, NDC partnership and UNDP  
Climate Promise): (*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)*)

2.1.4. **Marine and coastal natural capital/Blue Carbon** integrated in national-level **climate change mitigation and adaptation** commitments/efforts:

*(a) integration of coastal and **marine natural capital/blue carbon** in 2025 NDC's in min. 5 OCM member countries;*

*(b) early delivery (by 2024) of 1 "**best practice**" NDC with fully developed **marine component**, + dissemination and promotion of wide-spread regional replication through the OCM and partnership(s);*

*(c) integration of NDC, MSP/MPA and **BE development efforts demonstrated** in at least 1 country.*

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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	3.1.1. <b>Micro-financing schemes</b> , supporting the implementation of key regional/national ocean instruments (SAPs, RSAPs, marine/coastal component of NDCs,...) through <b>Civil Society</b> and <b>MSME action</b> :	GET	1,000,000.00	8,164,817.00
			<i>(a) delivery of min. USD 2.5 million (of which USD 1 million from UNDP/GEF SGP) in (replicable) small grants/micro- finance initiatives;</i>			
			<i>(b) on-the-ground stress reduction/restoration and/or enhanced management practices at min. 30 coastal/marine sites, in min 7 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>			

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 private capital supporting stress reduction and sustainable climate-smart blue economy initiatives, supporting CLME+ SAP implementation and post COVID-19 recovery.	3.2.1. <b>One (1) innovative private/blended blue financing instrument</b> (4 options described in CLME+ scoping study; selection to be made during PPG phase) tested at <b>pilot- scale in at least 1 OCM member country</b> , and fine-tuned for regional replication/up-scaling	GET	309,926.00	2,530,489.00
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. <b>(a) BE and MSP planning in at least 8 countries, 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; <b>(b) regional target of at least 10% of CLME area under MSP</b> enabled through the OCM and partnerships ( <i>2020 baseline = 5%</i> )  3.3.2. <b>Enhanced area-based ocean conservation (MPA/OECM) in at least 5 countries, covering at least 1,000,000 ha of coastal/marine space</b> (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 Conservation Measures (OECMs))	GET	7,130,172.00	58,216,548.00

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/WECAF C region of traceability systems is enabled for key fisheries and seafood products, as a key measure for sustainability and against IUU	<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 <b>spiny lobster</b> exports (approx. 5.200 tons/yr) + min 39% of <b>queen conch</b> exports (approx. 400 tons/yr) + min 31% of <b>shrimp</b> (fisheries &amp; aquaculture) exports (approx. 50.300 tons/yr); <b>total = 55.900 tons/yr</b></i></p> <p><b>(b) region-wide capacity generated</b> to replicate/expand the traceability systems to <b>min. 8 additional 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>	GET	650,641.00	5,312,365.00
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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 habitat impacts from unsustainable spiny lobster fishing gear & practices, enabled	3.5.1. <b>(a) on-the-ground solutions</b> developed and tested to reduce negative environmental, fish stock and socio-economic <b>impacts</b> from unsustainable <b>fishing gear and practices</b> in industrial <b>spiny lobster</b> fisheries (with special attention to "ghost fishing"/lost and abandoned fishing gear);  <b>(b)</b> provisions for the implementation of <b>measures against ghost fishing</b> and negative <b>habitat impacts</b> from spiny lobster fishing gear and practices, covering <b>all countries</b> active in the fishery in the WECAFC region ( <i>annual total catch volume of approx. 28.000 ton</i> )	GET	361,467.00	2,951,312.00
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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, <b>(a)</b> providing a science-policy interface; <b>(b)</b> supporting the development/updating, implementation and M&E of regional Action Programmes and Plans; <b>(c)</b> boosting and increasing the impacts of marine & coastal investments.	<p>4.1.1. Online <b>HUB fully developed and operational</b>, facilitating collaborative knowledge management by the OCM and partnerships <i>(with well-articulated linkages to third-party data/information/knowledge sources/products)</i></p> <p>4.1.2. <b>(a)</b> Formally adopted “blueprint” for a regional <b>Marine Data/Information/Knowledge Infrastructure (MDI)</b>; <b>(b)</b> MDI implementation enabled, and <b>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</b>: fully developed regional “<b>State of the Marine Environment and associated Economies</b>” ( SOME), finalized by 2024 and informing preparation of the new 2025-2034 SAP</p>	GET	1,291,624.00	14,765,420.00
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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	4.2.1. <b>Strategic Alliance with IW:LEARN</b> developed and implemented, <b>piloting innovative approaches</b> within the IW Portfolio and providing means <b>for its replication</b> (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 during PPG phase)	GET	176,627.00	2,019,142.00
			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, twinings)			
			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)			
			Sub Total (\$)			
Project Management Cost (PMC)						
				GET	733,110.00	6,166,574.00
Sub Total(\$)					733,110.00	6,166,574.00
Total Project Cost(\$)					15,429,817.00	129,822,647.00



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

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Investment Mobilized	Amount(\$)
Donor Agency	United States of America	In-kind	Recurrent expenditures	24,190,491.00
Donor Agency	the Netherlands	In-kind	Recurrent expenditures	3,209,776.00
Donor Agency	the Netherlands	Grant	Investment mobilized	14,565,289.00
Recipient Country Government	Belize	In-kind	Recurrent expenditures	36,000.00
Recipient Country Government	Belize	Grant	Investment mobilized	1,500,000.00
Recipient Country Government	Costa Rica	In-kind	Recurrent expenditures	2,000,000.00
Recipient Country Government	Costa Rica	Grant	Investment mobilized	1,000,000.00
Recipient Country Government	Dominican Republic	In-kind	Recurrent expenditures	3,120,000.00
Recipient Country Government	Dominican Republic	Grant	Investment mobilized	780,000.00
Recipient Country Government	Guatemala	In-kind	Recurrent expenditures	1,500,000.00
Recipient Country Government	Guyana	In-kind	Recurrent expenditures	2,600,000.00
Recipient Country Government	Honduras	In-kind	Recurrent expenditures	1,000,000.00
Recipient Country Government	Honduras	Grant	Investment mobilized	10,000,000.00
Recipient Country Government	Panama	In-kind	Recurrent expenditures	2,090,000.00
Recipient Country Government	Jamaica	In-kind	Recurrent expenditures	3,071,429.00

Recipient Country Government	Suriname	In-kind	Recurrent expenditures	1,000,000.00
Recipient Country Government	Suriname	Grant	Investment mobilized	5,000,000.00
Recipient Country Government	Trinidad and Tobago	Grant	Investment mobilized	900,848.00
Recipient Country Government	Trinidad and Tobago	In-kind	Recurrent expenditures	2,939,151.00
Civil Society Organization	CCAD	In-kind	Recurrent expenditures	1,500,000.00
Civil Society Organization	CRFM	In-kind	Recurrent expenditures	800,000.00
Donor Agency	FAO	In-kind	Recurrent expenditures	1,300,000.00
Donor Agency	FAO	Grant	Investment mobilized	560,000.00
Civil Society Organization	OSPESCA	In-kind	Recurrent expenditures	1,095,956.00
Civil Society Organization	OSPESCA	Grant	Investment mobilized	1,844,120.00
GEF Agency	UNDP	Grant	Investment mobilized	6,581,305.00
GEF Agency	UNDP	In-kind	Recurrent expenditures	185,000.00
Donor Agency	UNEP (CEP)	Grant	Investment mobilized	1,000,000.00
Donor Agency	UNEP (CEP)	In-kind	Recurrent expenditures	3,500,000.00
Donor Agency	UNESCO (IOC)	In-kind	Recurrent expenditures	2,270,000.00
Donor Agency	UNESCO (IOC)	Grant	Investment mobilized	400,000.00
Donor Agency	ESA (European Space Agency)	Grant	Investment mobilized	1,370,000.00
Other	Summit Foundation	Grant	Investment mobilized	5,200,000.00

Other	WWF (Guianas)	Grant	Investment mobilized	300,000.00
Other	WWF (Guianas)	In-kind	Recurrent expenditures	200,000.00
Other	GCFI	Grant	Investment mobilized	3,420,000.00
Other	GCFI	In-kind	Recurrent expenditures	1,950,000.00
Other	Canari	Grant	Investment mobilized	1,000,000.00
Other	NDC Partnership	In-kind	Recurrent expenditures	1,930,700.00
Other	NDC Partnership	Grant	Investment mobilized	2,896,052.00
Other	CARIGEO	In-kind	Recurrent expenditures	2,098,800.00
Other	MAR Fund	Grant	Investment mobilized	5,000,000.00
Recipient Country Government	Colombia	Grant	Investment mobilized	2,499,000.00
Recipient Country Government	Colombia	In-kind	Recurrent expenditures	418,730.00
<b>Total Project Cost(\$)</b>				<b>129,822,647.00</b>

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

The indicative co-financing identified at PIF stage is a result of substantive, preliminary analyses conducted with a large number of stakeholders based on the proposed PIF project concept, in line with and in response to decisions and recommendations from the CLME+ Project Steering Committee and the CLME+ Interim Coordination Mechanism (ICM). Conducted consultations included consultations with GEF-eligible and non-GEF eligible countries with territories in the Caribbean and North Brazil Shelf LME, and prospective project partners including but not limited to Inter-Governmental Organizations with an oceans-related mandate, support facilities and non-governmental organizations. The indicative co-financing identified so far includes both in-kind and grant contributions, all of which are supportive of the PROCARIBE+ Project Objective and/or specific project outcomes and outputs. As such, the co-financing, once updated and confirmed and further complemented with additional resources during the PPG phase, is expected to underpin and enable the achievement of the project targets through the GEF-cofunded PROCARIBE+ interventions. Achievement of project outcomes will further be facilitated through inter-project collaboration and coordination, and through baseline and parallel activities from other related projects and initiatives, including those co-funded by the GEF (see also the baseline section of this PIF). It is expected that other co-financing sources, including from international financial institutions and other related projects will become confirmed during PPG phase.



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

Agency	Trust Fund	Country	Focal Area	Programming of Funds	Amount(\$)	Fee(\$)	Total(\$)
UNDP	GET	Regional	International Waters	International Waters	15,429,817	1,388,683	16,818,500.00
Total GEF Resources(\$)					15,429,817.00	1,388,683.00	16,818,500.00

E. Project Preparation Grant (PPG)  
PPG Required **true**

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

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 for conservation and sustainable use

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

Name of the Protected Area	WDPA 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			

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		0.00	0.00	0.00

Name of the Protected Area	WDPA 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						

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)

Indicator 5.1 Number of fisheries that meet national or international third party certification that incorporates 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 Number of Large Marine Ecosystems (LMEs) with reduced pollutions and hypoxia

Number (Expected at PIF)	Number (Expected at CEO Endorsement)	Number (achieved at MTR)	Number (achieved at TE)
1	0	0	0

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

Indicator 5.3 Amount of Marine Litter Avoided

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


Indicator 7 Number of shared water ecosystems (fresh or marine) under new or improved cooperative management

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

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

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

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

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

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

Shared Water Ecosystem	Rating (Expected at PIF)	Rating (Expected at CEO Endorsement)	Rating (Achieved at MTR)	Rating (Achieved at TE)
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Indicator 7.4 Level of engagement in IWLEARN throgh participation and delivery of key products(scale 1 to 4; see Guidance)

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

### Fishery Details

directly: 55,900 tons/yr by project end (3 fisheries); enabled: 94,800 tons/yr by 2030

Indicator 11 Number of direct beneficiaries disaggregated by gender as co-benefit of GEF investment

	Number (Expected at PIF)	Number (Expected at CEO Endorsement)	Number (Achieved at MTR)	Number (Achieved at TE)
Female	162,328			
Male	259,328			
Total	421656	0	0	0

## Part II. Project Justification

### 1a. Project Description

## PART II: PROJECT JUSTIFICATION

### 1A. PROJECT DESCRIPTION

#### 1) THE GLOBAL ENVIRONMENTAL AND/OR ADAPTATION PROBLEMS, ROOT CAUSES AND BARRIERS THAT NEED TO BE ADDRESSED

##### *The Project Area*

1. The [Caribbean and North Brazil Shelf Large Marine Ecosystems](#) ("CLME+ region"; 4.4 million km<sup>2</sup>) constitute one of the most geopolitically complex and biodiversity-rich sets of LME's in the world. They comprise 26 independent States and 18 dependent/associated territories<sup>[1]</sup>, [of which 25 are SIDS](#), and showcase a dichotomy of high marine-based socio-economic potential and social-ecological vulnerability.

2. Combined with the adjacent Gulf of Mexico LME and Southeast US Continental Shelf LME, the region largely coincides with the "[Wider Caribbean Region](#)" (Regional Seas/Cartagena Convention, IOCARIBE).

3. The CLME+ region harbours richly diverse coral reef, mangrove, seagrass and pelagic ecosystems:

- 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<sup>[2]</sup> (10,429 km<sup>2</sup> in the North Brazil Shelf LME 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;

4. The LME's represent a largely shared source of ecosystem goods & services, and support a multitude of economic activities. They receive the outflows from many rivers, incl. [23 transboundary river basins](#). Population of the [terrestrial drainage area of these LME's](#) is 174 million, with 95 million living [within 100 km of the coastline](#) (2015).

5. Exploited marine resources include fish and shellfish, oil and gas and coastal aggregates; other key uses include global transport, tourism and telecommunications. Gross "ocean economy" revenues<sup>[3][4]</sup> in 2012 were in the order of US\$407 billion, "equivalent to 14 to 27% of the estimated value of the global ocean economy" (Patil, et al, 2016).

6. The broader range of essential ecosystem goods and services includes: food and raw materials; regulating and supporting functions such as flood control and coastline protection, waste management, water balance, carbon sequestration, climate regulation, and other processes; and benefits arising from cultural and amenity values.

7. The concept of a “blue economy”, as defined by UNDP<sup>[5]</sup>, and variations thereof, have been gaining traction in the region, presenting promising opportunities to support socio-economic development while maintaining healthy, biodiverse, productive and functional ocean ecosystems. Prior to COVID-19, it was suggested that blue economies would grow faster than overall economic growth, with an OECD scenario indicating that Caribbean ocean-based economies could employ 8.6 million people in 2030 and could generate a value of USD 640 bn.

8. Today, however, single-sector dependency (tourism)<sup>[6]</sup> remains very high in many SIDS. The Caribbean GDP is expected to contract significantly more than the global average as a consequence of COVID-19.

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

9. **Pressures** on the marine environment have grown significantly, with ecosystem capacity to provide goods and services increasingly impacted, and further **aggravated by climate change**. Economic recovery 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.**

10. 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 (2011) .

#### *Root Causes of Environmental Degradation*

11. The TDA’s identified *inter alia* the following cross-cutting root causes of marine environmental degradation in the region: **(i) limited human and financial resources; (ii) inadequate (access to) data and information; (iii) inadequate public awareness and involvement; (iv) inadequate consideration of the value of ecosystem goods and services; (v) population and cultural pressures; and (vi) trade and external dependencies.** This notwithstanding, the TDA’s clearly identified **weaknesses in ocean governance as the overarching root cause.**

12. Dealing with these root causes has been a core consideration in the development 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”).**



13. The creation of **wider-ranging partnership(s)**, and a **proposed paradigm shift** from a “problem-focussed” approach to a more aspirational outlook centred 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*

14. **Absence of trust (barrier #1)** among stakeholders constitutes a critical barrier. Trust-building across sectors and sub-regions was initiated under the CLME Project, and continued with increasing levels of collaboration within and among countries, and among a core set of inter-governmental organizations under the CLME+ Project

15. 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.

16. **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”, together with the **absence of partnerships (barrier # 4) that engage all sectors of society**, would be another important barrier.

17. **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**).

18. 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.

19. Now, more than ever, does the introduction, exploration and implementation of the concept of **sustainable ocean-based 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

20. 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**.

21. The SAP - [endorsed](#) by 26 Countries and 8 Overseas Territories[7] - 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.

22. 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.

23. The UNDP/GEF “CLME+” Project<sup>[8]</sup> (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](#).

24. 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 (see also Annex G).

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

#### 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**

26. 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.

27. 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. IWECCO, CROP.

28. 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.

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

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

#### **Unsustainable fisheries**

31. 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);

32. 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**

1) 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 SOMEE, to be implemented by the forthcoming OCM, and informing the next iteration of the regional SAP*.

2) 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.

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

33. 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.

34. The growing interest in the potential for marine resources to support sustainable, climate-resilient socio-economic development is reflected, a.o., in efforts towards the delivery of the “**OECS Green-Blue Economy Strategy and Action Plan**”, and the adoption of a “**Regional Blue Economy Strategy**” (Estrategia Regional de Economía Azul, ERCA) in the **SICA region**. The GEF MAR2R Project is delivering a “**Blue Economy Protocol**” for the countries sharing the **Mesoamerican Reef**. (MAR Region, Mexico, Belize, Guatemala and Honduras).

35. With support from UNDP, World Bank and IDB, blue economy scoping exercises have already been advanced for several countries including: **The Bahamas, Barbados, Dominica, Grenada, Saint Lucia, St Kitts and Nevis and St Vincent and the Grenadines**. Despite these pioneering efforts, **at the regional level vast gaps remain**.

### Marine Spatial Planning

36. 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**.

37. Recently, the region has seen an important uptick in MSP efforts, with efforts being supported by e.g. World Bank/OECS (CROP Project), CAF/FAO/CRFM (BE CLME+ Project), UK JNCC, WAITT Institute, EU/WWF. MSP work is also being called for under, a.o., the SICA's Regional Blue Economy Strategy (SICA/ERCA).

38. MSP efforts are expected to take place in **European territories** in the region (EU MSFD), while EEZ-scale MSP efforts have already been concluded by **Mexico** and for the **US territories**. Transboundary MSP, however, has so far remained an anomaly in the region.

39. **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**.

40. 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*).

41. 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.

42. 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)**

43. 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.

44. 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](#)).

45. The year 2021 will be important for further defining the **conservation agenda for the 2020-2030 decade**, with both the **2021 IUCN World Conservation Congress**, the **2021 UN Biodiversity Conference (CBD COP 15)** and **2021 United Nations Climate Change Conference (UNFCCC COP26)** taking place later in the year.

46. 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"** Report covering ACP countries in the region is currently under preparation by IUCN through the BIOPAMA programme, and provides information on MPA's including management effectiveness.

47. 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 "MPAConnect"** networks aim at strengthening MPA practitioners across the region.

48. The concept of **"Other Effective Conservation Measures" (OECM's)** 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"*.

49. 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.

50. 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.**

51. [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**

52. 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.**

53. 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.

54. 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.**

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

56. 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.

57. 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.

58. 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**

59. 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**).

60. 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**.

61. 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**.

62. 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+ SOME)**. SOME 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.



63. SOMEЕ, 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.
64. Some serious obstacles to full-fledged regional SOMEЕ 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 “SOMEЕ” reporting efforts** will need to be progressively promoted.
65. The SOMEЕ 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.
66. Knowledge generated from Remote Sensing holds great potential for assisting marine management processes.
67. 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))**
68. 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.
69. 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.
70. 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.
71. 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.

72. 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

73. During the first 5 years of SAP implementation, the CLME+ Project - with its unique cross-sectoral nature and geographic scope - has enabled region-wide progress towards better cooperation, communication, and collaboration.

74. 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 SAP-contributing projects (both GEF and non-GEF).

75. As per the **CLME+ Project Terminal Evaluation**: “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”.

76. PROCARIBE+ is 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.

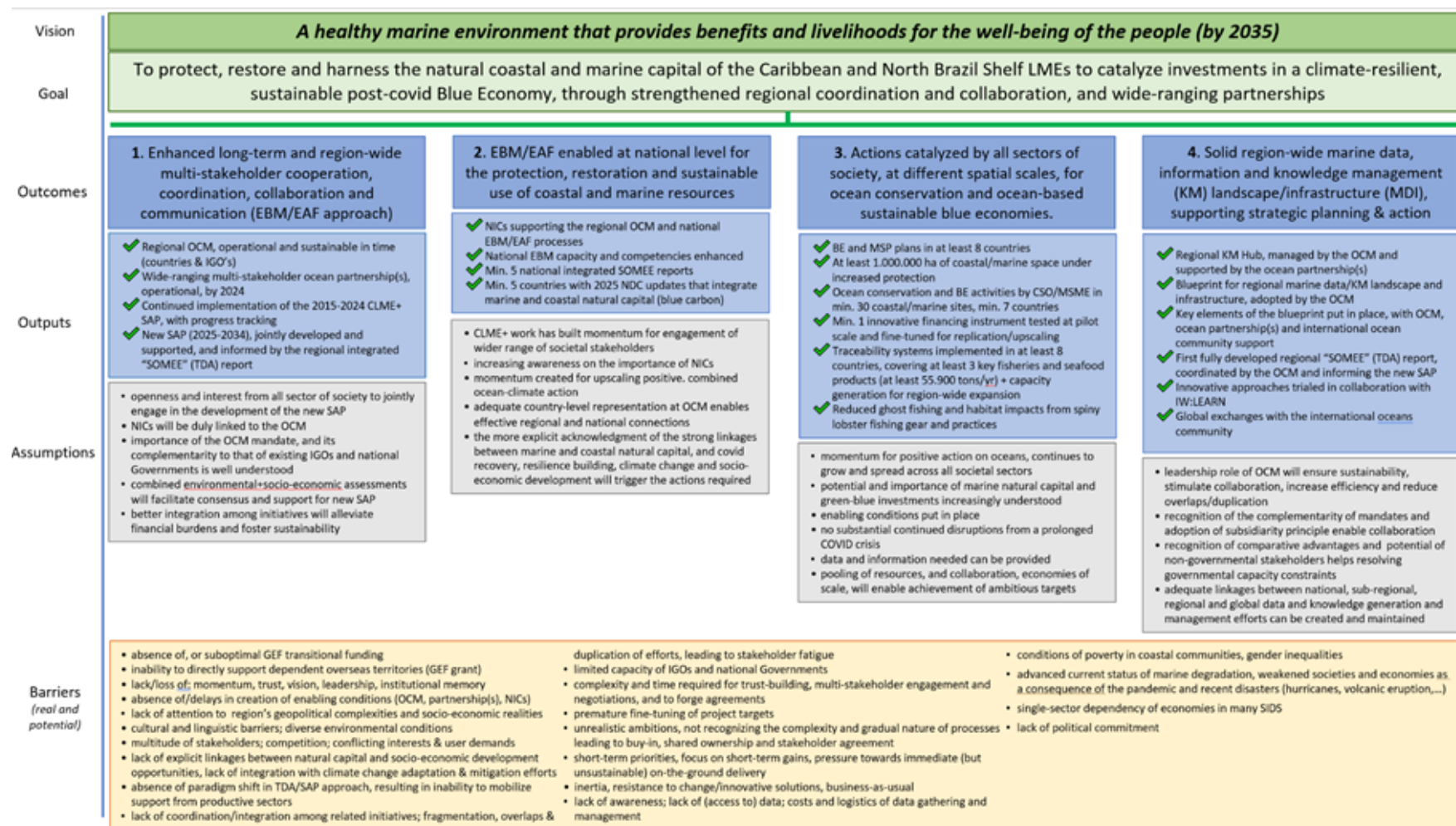
77. Such strategic approach is deemed **essential to achieving the 20-year (2015-2035) Vision** of “*a healthy marine environment that provides benefits and livelihoods for the well-being of the people*”, while simultaneously assisting the region in overcoming the impacts of natural disasters, including hurricanes and COVID-19.

78. 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-centred**” approach, towards viewing the marine environment as a source of important “socio-environmental *“opportunities and challenges”*”.

79. 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*.

80. The Project will consist of **4 complementary, inter-linked and mutually supportive components, 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.

### THEORY OF CHANGE (TOC) DIAGRAM FOR PROCARIBE



81. **Component 3** - which focuses on mobilizing and up-scaling action for on-the-ground impacts by all sectors of society - will benefit from the largest share of the project grant. **Component 1** (regional-level multi-stakeholder coordination and collaboration), **Component 2** (national-level capacity building) and **Component 4** (information/knowledge management) however will be critically important for further consolidating the enabling conditions, allowing the

investments under Component 3 as well as those arising from all other (GEF and non-GEF co-funded) “sister projects/initiatives” under the CLME+ SAP, to be made in the most efficient, effective and sustainable way.

82. **Gender equality** and the **empowerment of women and youth** and **climate change considerations** will be mainstreamed across all project activities. Solutions proposed by the Project will be screened on their “**robustness**”<sup>[9]</sup> and contributions to **enhancing the resilience of the socio-ecological system**.

83. **Keywords characterizing the project’s proposed interventions are:** *regional ocean coordination mechanism and partnership; TDA/SAP development, implementation and monitoring; national inter-sectoral coordination; integrated environmental and socio-economic assessments; integrated coastal zone management (ICZM) and marine spatial planning (MSP); source-to-sea approach (S2S) and integrated river basin management (IRBM); marine protected areas (MPA’s) and other effective conservation measures (OECM’s); stress reduction; blue economy, blue carbon; climate change mitigation and adaptation; restoration (ecosystems, habitats) and recovery (covid-19, hurricanes); sustainable fisheries and seafood traceability; micro-finance and small grants; civil society and Micro, Small and Medium-Sized Enterprises (MSME); innovative private sector financing; regional Knowledge Hub and enhanced Marine Data & Information Infrastructure; knowledge exchange; global LME community; gender equality and empowerment of women and youth.*

#### **Description of the 4 Project Components**

**Component 1: Region-wide multi-stakeholder cooperation, coordination, collaboration and communication arrangements for the protection, restoration and sustainable use of marine and coastal ecosystems in the Caribbean and North Brazil Shelf Large Marine Ecosystems (EBM approach)**

84. The CLME+ Project has been the global pioneer for the enhanced collaboration between Regional Seas Programmes, Regional Fisheries Bodies and LME initiatives which is now increasingly being called for through global fora. While the achievement stands out globally, the next critical step consists of transitioning the Interim Coordination Mechanism (ICM), created and tested with the support of the Project, into a sustainable and long-term **Ocean Coordination Mechanism (OCM)**, with enhanced, direct country representation and ownership.

85. While inter-governmental coordination will help create the enabling conditions, the **engagement of all societal sectors** will be key in the furtherance of the CLME+ Vision. Surrounding the OCM and expanding its implementation capacity, PROCARIBE+ will enable and progressively expand a “coalition of the willing”: one (or multiple, thematic) **wide-ranging partnership(s)** of numerous stakeholders who will seek to collectively maximize their contributions to the protection, restoration and sustainable use of the marine environment.

86. Thus, **Component 1** will facilitate the optimized use of available resources, by enhancing communication, collaboration, synergies and complementarity, as a key enabler for ocean-based sustainable development in the region. Component 1 seeks to achieve the following outcome:

**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 the OCM and partnerships, and a regional programmatic approach.

87. The project will support the **operations of the OCM**, which will come into being through the signing of the OCM MoU by min. 23 Signatories (including no fewer than 17 States/Territories and 6 IGOs). The OCM will consist of a *Steering Group* (countries), *Executive Group* (IGO's) and *Secretariat* - a function that will be exercised during the project by the PROCARIBE+ Project Coordination Unit. The OCM will be supported by thematic *Working Groups*, and will be at the core of the **gradually expanding multi-stakeholder partnership(s)** (Output 1.1.1).

88. The very substantial set of functions assigned to the OCM are fully stipulated in the [OCM MOU](#). Functions that are of high relevance to the PROCARIBE+ project concept include but are not limited to: *providing a platform for cyclical Transboundary Diagnostic Analysis/Strategic Action Programme ("TDA/SAP") processes, including the coordination of the periodic assessment of and reporting on the State of the Marine Environment and associated Economies (SOMEЕ); facilitating the development and implementation of regional programmes and SAPs by countries, IGOs and other partners; strengthen science-policy interfaces by coordinating knowledge management and facilitating data and information sharing; promoting multi-stakeholder partnerships.*

89. PROCARIBE+, through the OCM, will extract lessons from the pilot work on SOMEЕ conducted under the CLME+ Project and further fine-tune the approach. As such, "SOMEЕ" will become an essential part of the region's efforts towards the long-term adoption of the GEF-promoted TDA/SAP approach. PROCARIBE+ will deliver the **first, fully-developed version of "SOMEЕ"** by 2024 (see **Component 4**), which will then in turn inform the development of the **next iteration of the 10-year regional SAP (2025-2034)** (Output 1.1.2.)<sup>[10]</sup>.

90. At the onset of the United Nations Decade of Ocean Science for Sustainable Development (2021-2030), the project will thus also deliver a substantial and durable contribution to closing the regional science-policy gap.

91. Critical to its success, and as an extra challenge in an already complex region, the new SAP will demand the engagement of the different societal sectors in its development and subsequent implementation (missing during the development of the first SAP, and partially compensated for through the complementary C-SAP).

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

92. While EBM/EAF will demand strong transboundary coordination, fundamentally it is national governments that have the mandate and responsibility for organizing the use of their maritime space, and for providing the context and boundaries within which societal stakeholders can then operate, in non-conflicting ways. Achieving the intertwined objectives of protecting marine ecosystems while facilitating ocean-based development largely depends on enhanced national capacities, multi-stakeholder consultation/coordination, and coherent regulatory frameworks.

93. Many countries operate well-established institutional frameworks for specific sectors. These, however, have often lacked cross-sectoral participation or consultation, and thus did not provide the coherence and reassurances that investors may need. They may also not sufficiently consider the role of marine natural assets in climate change mitigation and adaptation, and disregard the nexus between terrestrial and marine processes. Overall, decision-making is still not well supported by natural capital accounting and by integrated assessments.

94. Aligning marine environmental protection policies (ICZM, LBS of pollution, biodiversity) and sustainable approaches to wild capture fisheries is a key aspect of the blue economy and an innovative contribution from the CLME+ Project that, as expressed in the Project's Terminal Evaluation, countries should continue to pursue.

95. Comprehensive and spatially explicit assessments, and full scoping exercises of the potential, and the societal support base, for a country's marine space and assets to contribute to socio-economic development (including through the development of blue economies) are thus increasingly needed across the region.

96. In a strongly fragmented region dotted by "small island/big ocean" states, traditional national-level approaches may not take sufficiently into account the larger (transboundary) scales that may be needed to manage and control natural and anthropogenic processes, nor may they offer the economies of scale required for attracting investors and for materializing many of the "blue economy's" opportunities. **"Horizontal" (across sectors, within a country) AND "vertical" (from national to regional, and vice versa) integration** will therefore be critical for success.

97. Designing and implementing effective national-level cross-sectoral mechanisms, and assessment and engagement strategies, (spatial) plans and approaches, while ensuring linkages with regional processes and global commitments, will help provide the agreed upon "safe space" within which societal actors can operate. However, in many countries, the capacity to successfully achieve these tasks requires further strengthening.

98. Component 2 will be critical to: **(a)** addressing the challenges posed by increasing impacts from multiple human activities; **(b)** safeguarding the vast remaining source of marine assets, and harnessing the opportunities offered by the ocean for climate mitigation and adaptation, post-disaster recovery and sustainable development; **(c)** restoring and reintegrating what may have been previously degraded or lost; while **(d)** simultaneously reconciling user needs.

99. Component 2 therefore aims 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

100. Component 2 will seek for OCM member countries to have **National Inter-sectoral Coordination Mechanisms** (NICs) in place and **connected to the regional OCM**. A strong link between NICs and the OCM will be essential. NICs will also be key for national processes to be supported through Component 2: environmental assessments, the development of “blue economy” frameworks/plans, Marine Spatial Plans, and the integration of the marine environment in climate change mitigation and adaptation planning. **(Output 2.1.1)**.

101. While the SOMEЕ reporting approach pioneered through the CLME+ Project has focused on regional-level efforts, multiple compelling reasons exist for supporting a **progressive adoption of SOMEЕ-compatible reporting approaches at the national level**, and for a strong connection between national and regional efforts.

102. It will be beyond the abilities of PROCARIBE+ however to support national-scale SOMEЕ reporting across all participating countries. The project will assist **at least 5 countries** in piloting the development of national-level SOMEЕ’s. Synergies with, and the integration into such efforts of national-level **blue economy scoping** studies and natural capital accounting are both evident and needed. Based on the pilot national SOMEЕ’s, through the OCM, guidance will be provided to facilitate national-level assessments that are compatible with regional-level reporting efforts, throughout the region **(Output 2.1.2)**.

103. Related to and benefiting from the latter, implementation of the concept of Integrated Coastal Zone Management (ICZM) and of **Marine Spatial Planning (MSP)** will be vital for achieving **conservation targets**, enhancing the sustainable use of marine ecosystems, defining effective management measures, and for creating a **safe space for investments**. MSP efforts are becoming increasingly necessary in the region: human uses of the marine and coastal environment are expected to substantially grow, while simultaneously science-backed pledges are being made for a minimum of 30% of the ocean space to be protected by 2030.

104. While **MSP efforts have been advanced, to different degrees, in numerous countries in the region**, and while support for additional MSP efforts is underway, 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.

105. 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, and in alliance with CapNet, PROCARIBE+ will help **build and expand capacity to mainstream the Source-to-Sea (S2S)/Ridge-to-Reef(R2R)** concept and approach in Integrated Water Resources/River Basin Management (IWRM/IRBM).

106. A unique opportunity exists, through the OCM and partnership(s), and in collaboration with a.o. IW:LEARN, CAPNET, the European Space Agency (ESA), the NDC Partnership and UNDP Climate Promise, to deliver a more **holistic set of training and competency-building opportunities for OCM members**, facilitating the integration of **IWRM/IRBM, ICZM/MSP, Blue Economy and Natural Capital Accounting**, and underpinning the implementation of the LBS and SPAW Protocols, S2S, the NDCs, the 30x30 targets **(Output 2.1.3)**.

107. Worth mentioning is the IW:LEARN MSP multi-lingual Toolkit and online training; the integration of the source-to-sea approach in CapNet's approach on IWRM/IRBM; the adherence to date (January 2021) of [14 countries from the region or with territories in the region to the 30x30 pledges formulated under either the High Ambition Coalition \(HAC\) on Nature and People, or the Global Ocean Alliance](#), the membership to date of [20 countries from the region or with territories in the region in the NDC Partnership](#).

108. As such, the project will also support implementation of, a.o., CLME+ SAP Actions 1.8, 4.4, 4.6, 4.8,...and the 2020-2030 Regional Action Plan on Habitats and Nutrient (Cartagena Convention).

109. Considering the globally highly relevant presence of blue carbon habitats in the region, in alliance with the NDC Partnership and the UNDP Climate Promise initiative, Component 2 will seek to deliver, **early on** in project implementation, **one "best practice" NDC** with fully developed marine component, disseminate and promote the used approach region-wide through the OCM, and aim to have **at least 5 updated NDC's incorporating blue carbon by 2025**. It will further seek to demonstrate, in **at least one country**, the **integration of the 2025 NDC, Blue Economy, MSP and MPA planning efforts (Output 2.1.4.)**

110. All activities under Component 2 will further underpin and support work under Component 3 on the development of national Blue Economy and Marine Spatial Plans, as well as the achievement of conservation targets through MPA's and/or OECM's, in selected project countries.

### **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")**

#### *Our Sea - Our Source - Our Future*

111. There is an urgent need to deploy approaches and tools that will allow stakeholders to fully embrace the concept of "healthy oceans, thriving and resilient societies", and that will maximize impacts and reduce investor risk.

112. In a context of increasing use of the ocean space, diverse and often seemingly overlapping needs will need to be reconciled, if growing user conflicts are to be avoided.

113. PROCARIBE+ Component 3, strategically nested among and supported and enabled by Components 1, 2 and 4, aims to address these challenges by engaging directly with governmental, private and public sector stakeholders and by directly addressing some of the barriers to civil society action and private sector investment through initiatives that aim to provide **micro-finance** and promote innovation, create **innovative sustainable sources of funding**, and provide




for **participatory planning of the uses of the marine space (MSP)**, while ensuring sufficient **protection and conservation measures (MPA's, OECM's)** and **enhancing the sustainability of key economic activities**.

114. While not necessarily limiting the scope of actions, special attention will be given to supporting the implementation of Regional Strategies, Action, Management and Investment Plans developed under the CLME+ Project, with regard to **(i)** habitat protection and restoration (incl. invasives); **(ii)** reduction of marine pollution (with special attention to the discharge of nutrients) and **(iii)** sustainable fisheries and aquaculture, and fisheries value chains (with special attention to spiny lobster and IUU). Component 3 will thus build on and be key to implementing flagship CLME+ Project outputs.

115. Component 3 is highly compatible with the call made by "Friends of Ocean Action" (a coalition of 50+ global ocean leaders from business, civil society, international organizations, science,..) to ["make the Business Case for Marine Protection and Conservation" \(World Economic Forum Impact Report\)](#), as a means to drive transformative, high-impact and scalable solutions to help addressing the pressing challenges the ocean is facing today.

116. The promoted approach indeed emphasises the importance of comprehensive area-based management: i.e., *"Marine Spatial Plans (MSPs) at a national or regional level. Protection needs to be designed and implemented in conjunction with the demands and needs of all other users of and stakeholders in Exclusive Economic Zones (EEZs). (...) These comprehensive ocean management plans should combine protection (through MPAs and OECMs) with managed mixed-use areas, as well as heavy industrial areas, to deliver in the round: sustainable conservation of biodiversity; economic security; and the well-being of local communities"*.

A schematic representation of the proposed three-tiered approach is given below.

	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			

117. While some tailoring to regional and local conditions and priorities would be needed, overall the scheme provides a useful pathway compatible with the structuring of Component 3 into **five interrelated outcomes**:

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

118. Under this Outcome, funding from multiple complementary microfinance streams will be leveraged to enable and upscale contributions from **innovators, civil society organizations (CSO's)** and/or **Micro, Small and Medium-Sized Enterprises (MSME's)** to: **(a)** the protection/conservation and/or restoration of critical marine and coastal biodiversity and habitats, and/or ecosystem functions; **(b)** environmental stress reduction including through nature-based solutions contributing to the reduction of land-based pollution and the influx of nutrients into the marine environment; **(c)** marine and coastal nature-based solutions contributing to climate change mitigation and adaptation, and to enhanced resilience of the region's socio-ecological systems; **(d)** enhanced/alternative livelihoods and development of sustainable "blue" businesses/socio-economic activities (incl. through technological innovation); **(e)** sustainable use/harvesting of renewable marine and coastal natural capital/ecosystem goods (e.g. small-scale fisheries, mariculture, mangrove products, as well as processing and marketing of products derived from these activities). Special attention will be given to: post-covid19 and post-disaster (e.g. hurricane, volcanic eruption) recovery, gender equality and empowerment of women, youth and households.

119. Funding can support strategically selected "on the ground" actions, as well as technical assistance supporting the development of proposals and business cases by community groups and MSME's, and providing (access to) financial education and micro-(co)financing for CSO and MSME sustainable blue economy investments. High-impact activities and initiatives with substantive replication/upscaling potential will be prioritized.

120. Activities supported will contribute to the implementation of key regional action programmes and plans mentioned under the baseline. Activities will be sought to be made compatible with national Blue Economy, MSP, NDC, marine conservation and disaster recovery plans (see also Outputs 2.4.1. and 3.3.1).

121. Funding to support this outcome will be mobilized in part through the PROCARIBE+ Project, namely a **US\$ 1 million** contribution from the PROCARIBE+ GEF grant which will be **matched at the 1:1 ratio** by resources from the **UNDP/GEF Small Grants Programme (SGP)**, as well as through associated partner initiatives such as the **UNDP (Barbados and the OECS) *Blue Invest*** sub-regional initiative.

122. CSO, innovator and MSME interventions contributing to the project outcome will be supported at a **minimum of 30 sites, targeting all 3+1 priority issues from the CLME+ SAP** (i.e. pollution, habitats, fisheries and the cross-cutting issue of climate change), and covering a **minimum of 10 countries** from the region (**Output 3.1.1**).

123. Possible additional collaboration/coordination arrangements with other micro-financing initiatives active in the region will be further explored and agreed upon during the PPG phase.

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

124. Private sector contributions will be needed to support the achievement of SDG-14 and other ocean-related targets. Until now, capital deployment towards sustainable management of ocean resources has come largely from public sources and commitment. There is significant room to grow the scope and scale of blue economy investments, and post-COVID 19 recovery efforts may provide an unprecedented opportunity.

125. For this purpose, Outcome 3.2 will build on [a scoping study undertaken during the CLME+ project](#), under which several innovative economic, fiscal and financial instruments that have been successful in increasing financial capital investments in support of blue socio-economic development were identified.

126. 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.***

One instrument will be chosen for implementation in 1 pilot case/country; the following list will be considered to this effect:

- Payment for Ecosystem Services and Blue Carbon Payment Schemes
- Regional Cruise Passenger Head Tax

- Marina/Yachting Industry-facing Mechanisms
- Tourism Enhancement Fund
- Blue Bonds

127. Additional mechanisms that may be deemed more appropriate for implementation may be identified during the PPG phase. Activities to be undertaken under this Output may include preparatory and design activities, including, for example: feasibility assessments, business plans/strategy, and legal and regulatory analyses, to help kick-start one of the mechanisms.

**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 (covid-19, hurricanes) and progressive delivery on international targets in the fields of: marine conservation and climate change mitigation and adaptation**

128. Countries have expressed increasing interest in obtaining support for national-level blue economy scoping. At the same time, an important number of countries have already made the pledge to support the target of protecting 30% of the ocean space by 2030. While adequately protecting the marine resource base will indeed be a pre-condition to sustainably developing the region’s blue economies, it also becomes clear from the latter that meeting both objectives will demand for the **careful implementation of complex multi-stakeholder, participatory and data-supported spatial planning**.

129. Notwithstanding progress in terms of BE scoping and MSP in some countries, important gaps remain.

130. To “help closing the gaps”, PROCARIBE+ will **support selected countries** where, despite an urgent demand, and the presence of certain enabling conditions, **BE scoping and/or MSP** has not been initiated/is to be further advanced.

131. While doing so, the project will also seek to support selected countries in **harnessing their marine natural capital for climate change mitigation and adaptation purposes**, as well as in their **area-based marine conservation efforts**, either by helping them create new or expand existing **MPA’s**, by increased the levels of protection, enhancing the management capacity and/or effectiveness, and/or through the deployment of other effective conservation measures (OECMs) (target: **1.000.000 ha** of marine space under enhanced protection).

132. The project will give special attention to the potential in selected countries to contribute, through MSP and MPA’s, and the **integration of blue carbon into the 2025 updated NDC’s**, to global climate change mitigation.

133. Under Component 3, PROCARIBE+ will thus directly assist **at least 8 countries** in the development of **Blue Economy and Marine Spatial Plans**. The project will further deliver **enhanced protection for a minimum of 1.000.000 ha of marine space**.

134. Additionally, through the OCM and partnership(s), the project will seek to achieve synergies, exchange of lessons learnt and best practices with other ongoing BE/MSP/MPA efforts, as well additional resource mobilization, with an **aim of increasing the area of the CLME** with ongoing or completed **MSP efforts from 5% to 10%**, by Project End (Output 3.3.).

**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**

135. Spiny lobster, queen conch and shrimp are 3 of the region's most valuable fishery and aquaculture products, valued at USD 1,5 billion/year, providing employment and income for an estimated 950.000 people along their value chains. These fisheries are heavily geared towards external markets (targeting in particular the USA, Europe and more recently some Asian countries), with as much as 90% of total production going to exports.

136. Reduction of the levels of IUU fishing, and ensuring the traceability of seafood exports, will be critical to the sustainability of the activity, 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.*

137. Building upon the foundations laid by the CLME+ Project, PROCARIBE+ will work with OSPESCA, OIRSA and all relevant stakeholders including the major producing countries and companies, both from within and outside the SICA sub-region, 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 **10 countries**, under traceability by the Project's end.

138. Expertise gained and lessons learned will be used to generate region-wide capacity to replicate and expand the implementation of traceability. **Enabling conditions** (e.g. regulatory framework and capacity) will be created in a minimum of **8 additional countries**, aimed at achieving 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**).

**Outcome 3.5. Region-wide reduction of ghost fishing and habitat impacts in spiny lobster fisheries, enabled**

139. With a total regional catch volume of  $\pm 28.000$  tons/yr, Spiny lobster 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. While lobster is being caught using a variety of practices and gear, industrial-scale fishing using traps accounts for at least 60% of the total registered catch volume. As many as 400.000 thousand traps may be deployed many times in a single season. Yet, the use of these is not without impacts: bycatch issues, the loss (e.g. following hurricanes) as well as the deliberate abandonment of fishing gear, and associated ghost fishing, as well as the (potential) impacts on fragile benthic habitats, are matters of concern, with both socio-economic, fish stock, and biodiversity and environmental impacts.

140. PROCARIBE+ will seek to develop more detailed impact assessments leading to the development and testing, at the **pilot level** and in **1 selected country**, of **technical solutions** that will allow to **reduce bycatch and habitat impacts, and trace and recover lost and/or abandoned traps** in the **industrial-scale lobster fishery**.

141. The project will seek to reduce ghost fishing and other environmental/biodiversity as well as associated socio-economic impacts. A linkage may be sought to this effect with the Project's MSP and MPA activities.

142. Based on the results from the pilot, the project will pursue regional-level provisions for **enhanced fishing practices, including** through a **revision of the lobster fisheries regulations (OSPESCA/CRFM/WECAFC)**, bringing one of the region's most valuable resources under more sustainable fishing practices (Output 3.5.).

#### **Component 4: Region-wide data/information/knowledge generation, management and sharing mechanisms supporting cooperation, coordination, collaboration, progress tracking and synergistic action**

143. Knowledge of the marine environment, associated governance and management processes and investments, and how these together affect socio-economics and human well-being is a critical need for cost-effective action.

144. How the marine natural capital in the region contributes to livelihoods and economies remains far from completely understood. This leads to inefficient, ineffective planning and decision-making, and antagonistic investments across sectors. This is not just a result of a lack of (access to) data and information, but also of a lack of cross-sectoral integration. This itself is often a consequence of fragmented data collection and management.

145. Optimizing the use of marine ecosystem goods and services, while addressing threats and enhancing the effectiveness of management interventions and tools (e.g. marine spatial and "blue economy" planning), will require further investing in better cross-sectoral knowledge generation, management and sharing.

146. Partial progress has been obtained through the CLME+ Project, e.g. through the CLME+ Hub, the collaborative SAP Progress Tracking Tool, the SOME building blocks, and the regional Research Agenda.

147. Component 4 will address two aspects of data/knowledge management: **(1)** adopting a formal data and knowledge management landscape and infrastructure, centred on the OCM and co-owned by countries and IGO's; and **(2)** the exchange of knowledge, experiences and lessons learned with the global community of practitioners, in collaboration with IW:LEARN. To achieve this, Component 4 includes two inter-related Outcomes:

**Outcome 4.1:** A well-articulated marine data, information and knowledge management infrastructure/network, (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

148. Substantial amounts of data, information and reports have been created in the region, both with and without the explicit aim of supporting management processes, decision-making and investments. Unfortunately, many of these efforts were project/sector-driven, have been “ad hoc” in nature, and were undertaken in a non-systematic/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.

149. 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.

150. Awareness about, and access to existing information is fragmented among the many stakeholders. Despite a scarcity of financial resources, 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 remain insufficiently used.

151. The latter will be progressively overcome, and Outcome 4.1. will be achieved, in part, through the continued development of the **(CLME+) HUB** as a central, regional information and knowledge management portal co-managed by the OCM Secretariat and its membership, and supported by the wider-ranging partnership(s). The Hub will 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 host a dynamic version of the “SOME” *State of the Marine Environment and associated socio-Economics* regional report (**Output 4.1.1**).

152. While central to its design, the HUB will constitute just one element of the **comprehensive marine data & knowledge management landscape/infrastructure (MDI)**, needed to enable achievement of the CLME+ Vision.

153. PROCARIBE+ will assist the region in developing and putting into place, through the OCM and wider-ranging partnerships, such **solid regional MDI**, capable of underpinning the regional and national-level ocean governance, management and decision-making processes. To this effect, PROCARIBE+ will develop and submit, for formal adoption by the OCM, a detailed “**blueprint**” for such **MDI**.

154. Through collaborative action among the Secretariat and Members of the OCM and 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.

155. Similarly, the potential role of remote sensing data sources and products in strengthening and supporting ocean governance and management processes in the region will be explored, in collaboration with e.g. the **European Space Agency (ESA)** (**Output 4.1.2**).

156. One of the important applications of Outputs 4.1.1. and 4.1.2 will be to enable data/information collection and reporting at the regional and national levels to support both **(a)** the monitoring and evaluation of the implementation of the current CLME+ SAP, as well as **(b)** the development of the new regional 2025-234 SAP (see Component 1).

157. This new SAP will be informed by the collaborative development under Component 4 of the **first-ever full-fledged regional integrated “SOME” report**, facilitated by the OCM Secretariat. The regional SOME will be vertically linked with national-level SOME reporting supported through Component 2. As such, national and regional assessments will be mutually supportive, in line with the concepts of EBM/EAF (**Output 4.1.3**).

158. Outcome 4.1 is thus strongly aligned with the functions of the **OCM**.

**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

159. GEF and other investments targeting any specific LME, Regional Sea or other international waters system will hold substantive value not just for the targeted system but also for other systems and their stakeholders, globally. For the true potential of any given GEF investment to be fully exploited, a “global exchange” of “best practices” and “lessons learnt” is to take place. In addition, cost-efficiencies and economies of scale may be achieved through twinning and collaboration, and through direct engagement of IW:LEARN.

160. With ongoing efforts to pioneer innovative approaches in the region, PROCARIBE+ and IW:LEARN will engage in a **strategic alliance**, to develop, test and disseminate innovations in the fields of, e.g.: Data and Information Management (DIM), the use of Remote Sensing, integrated environmental and socio-economic assessment approaches, the proposed TDA paradigm shift, SAP implementation progress tracking, etc. (to be further fine-tuned/prioritized during



the PPG phase) (**Output 4.2.1**).

161. PROCARIBE+ will also engage in the traditional IW:LEARN activities (events such as the biennial conferences, caucus meetings, twinning activities and workshops, the production of experience notes, etc.).

162. PROCARIBE+ will also engage with other, non-GEF global ocean fora, to ensure wide-spread dissemination of the GEF-supported work in the region, and to allow for a wider-ranging exchange of experiences and best practices among the global ocean decision-making and practitioner community (**Outputs 4.2.2 and 4.2.3**).

163. At least 1% of the PROCARIBE+ GEF grant will be allocated to supporting IW:LEARN activities.

#### **4) Alignment with GEF focal area and/or Impact Program strategies**

164. 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:

165. 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**.

166. 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 **OCM** - an action that was pioneered at the global level by the CLME+ Project through the Interim Coordination Mechanism (ICM), and that will now be consolidated through PROCARIBE+ (Project **Components 1 and 4**).

167. 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).

168. The Project will support selected countries in developing their **Blue Economy Plans** and in enhancing their **MPA networks**, and engage civil society 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 and UNDP's Climate Promise (**Component 2 and 3**).

169. 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 mandatory implementation through **regulatory reforms**, measures and technological innovation to reduce **ghost fishing** and **habitat impacts** from spiny lobster fishing gear (**Component 3**).

170. 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 Conventions' **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** through which more substantial financial resources for **major investment** works can then be mobilized.

171. 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 km2 of terrestrial area** draining directly into the project LME's, including through **23 transboundary river basins**. Through engagements with IW:LEARN and CAPNET, and with (GEF-supported IW) projects targeting the region's transboundary basins such as (but not necessarily limited to) Rio Motagua (Central America) and the Amazon (South America), 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.).

172. 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 and a method for collecting sex-disaggregated data.

173. The Project will develop a strong alliance with IW:LEARN (**Component 4**).

#### **Post COVID-19 and post-hurricane recovery, and increased resilience**

174. The COVID-19 pandemic has severely impacted economies and livelihoods across the wider Caribbean. Simultaneously, several countries have once more been hit by severe natural events. As with many crises, the most vulnerable groups, such as coastal communities and informal workers, have suffered the greatest hardship. The coastal and marine natural capital and the concept of blue economies present important opportunities for rebuilding more resilient, sustainable and equitable post-COVID societies. Investment in 'blue' recovery can create jobs and provide short-term economic relief, all while fostering long-term economic growth, resiliency and social and environmental benefits. The incorporation of marine nature-based solutions (NBS) in national-level climate action will simultaneously help protect the natural resource base underpinning blue economy activities, while contributing to enhanced socio-ecological resilience and national climate change mitigation and adaptation targets.

175. A recent study undertaken on behalf of the High Level Panel for a Sustainable Ocean Economy (Northrop et al, 2020), proposes a set of five priority opportunities to support such blue recovery:

- 1) Invest in coastal and marine ecosystem restoration and protection;
- 2) Invest in sewerage and wastewater infrastructure for coastal communities;
- 3) Invest in sustainable community-led non-fed marine aquaculture (mariculture)
- 4) Incentivise zero-emission marine transport;
- 5) Incentivise sustainable ocean-based renewable energy.

176. PROCARIBE+ will enable responses in at least the first three of these priority opportunities.

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

##### *Incremental/additional cost reasoning*

177. 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.

178. 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.*

179. 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.

180. 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.

181. 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.

182. 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*

183. In its aims 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.

184. Some of the key baseline elements resulting from the CLME and CLME+ Projects and that will directly contribute to and enable the project's delivery are cited below. A much more comprehensive description of the baseline is given under Section 2 of the PIF:

- 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 interim continuity of the ICM during the PPG phase, as per the decisions of the 10th Meeting of the ICM (ICM10) and until the OCM becomes formally established, and its engagement in the fine-tuning of the PROCARIBE+ project proposal will ensure wide-ranging buy-in for the project, and will further enhance its complementarity to, and synergies with other existing and planned initiatives in the region
- the delivery by the CLME+ Project of the MOU that will establish 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

185. 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.

186. 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.

187. 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*

188. A financial contribution from the GEF Trust Fund, through its allocations under the International Waters Focal Area, of USD 17,200,000 (inclusive of GEF Agency fee and PPG) is requested for the development and implementation of PROCARIBE+. An amount of USD 1,000,000 from the aforementioned grant will be matched by an equal amount of funds (1:1 ratio) from the GEF Small Grants Programme (SGP), 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 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.

*Expected co-financing (at PIF stage - indicative only)*

189. Co-financing will consist of both in-kind and cash contributions and 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. Many of these contributions are expected to be committed during the PPG phase, while additional contributions will be identified and leveraged throughout the Project's inception and implementation phases.

190. At PIF stage, preliminary indicative co-financing amounting to USD 129,822,647 has been identified. A preliminary, partial inventory of Indicative co-financing by participating countries amounts to a total value of US\$ 83,420,714. 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 ICM/prospective OCM member IGO's amounts to US\$ 21,036,381, with all IGO's delivering important support to the operations of the OCM, and with dedicated IGO's providing more substantial co-financing towards the delivery of targeted outputs and outcomes under e.g. Component 3. Other (prospective) Project Partners are expected to contribute at least US\$ 25,365,553 in additional co-financing.

191. 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

192. 283. 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”.

193. 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.

194. 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.

195. 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 - a preliminarily estimated area of 1,000,000 ha; **Core Indicator 5:** Area of marine habitat under improved practices (excluding protected areas): 8 additional CLME+ countries with MSP (directly delivered), a total of 10% of the CLME area with MSP (enabled); OECMs applied to the spiny lobster industrial trap fishing grounds across the region, enabled; additional coral, mangrove and seagrass areas across the world, through IW:LEARN twinning and exchange of best practices (indirect/enabled) ; **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' 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: spiny lobster, queen conch and shrimp, with resp min. 5,200 tons/yr (30% of regional exports), 400 tons/yr (39%) and 50,300 tons/yr (31%) under enhanced management (traceability) by Project End, and a further expansion enabled to achieve a total export volume of 94,800 tons/yr under traceability by 2030 (i.e. 52% of regional spiny lobster, queen conch and shrimp production); 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.

196. 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) Innovation, sustainability and potential for scaling up**

### *Innovation*

197. The PROCARIBE+ Project will continue to build upon the approach developed under both the “CLME” project (Phase 1, SAP development) and the “CLME+” project (Phase 2, SAP implementation). 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 through multiple international fora, and which has been included among the GEF IW7 Programming Directions.

198. Such collaboration was achieved through the creation, during the CLME+ Project, of the CLME+ SAP Interim Coordination Mechanism (ICM) consisting of 8 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.

199. 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 OCM and partnerships, linked to the national NICs). Lessons learnt from their practical implementation will be of relevance to the global LME community.

200. Acknowledging the shortcomings in the development of the original 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 (January 2021), this “C-SAP” has already 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.

201. Likewise, and building upon these experiences and lessons learned, a number of important innovations will be introduced by the Project, as it supports the region in producing its second iteration of the GEF-promoted, cyclical TDA/SAP approach:

- 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” (SOME) reports, which will be facilitated by the OCM
- through SOME, 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 SOME’s will allow to track progress, 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
- 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 and GEO, the potential for remote sensing to support the MDI, SOME reporting, MSP and other regional and national-level marine resources management efforts will be explored, documented and disseminated
- better integration of IWRM/RBM, ICZM/MSP, MPA and NDC efforts will be tested and promoted
- innovative financing for ocean conservation and for stimulating the blue economy will be explored, with linkages to a regional incubator hub

- traceability and technological innovation to reduce IUU, ghost fishing and habitat impacts in key fisheries

### *Sustainability*

202. The project concept has been built and structured with the sustainability of its outputs and outcomes in mind. To achieve such sustainability, the project concept 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);
- c) making the SOMEЕ 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 SOMEЕ 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 the capacity of state and non-state actors to effectively undertake management functions relating to shared marine living resources with a much reduced reliance on outside assistance;
- 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 and private sector 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.

203. 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. In this way, a process of adaptive management will continue throughout and beyond the timeframe of the project.

### *Potential for scaling up*

204. As with the transition from the CLME to the CLME+ Projects, the transition from the CLME+ to the PROCARIBE+ Project offers considerable opportunity for upscaling of activities. Chief among these, under Component 1, is the transition from the existing ICM to the 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.

205. By promoting and achieving synergies and major coherence among actions, and by reducing the duplication of efforts, the OCM members, together with the partnerships, will optimize limited available resources towards the achievement of more substantial, larger-scale impacts.

206. Through the OCM, best practices and lessons learned from local and sub-regional (pilot) initiatives and both the PROCARIBE+ Project as well as other GEF and non-GEF projects will be more easily disseminated and replicated, facilitating the region-wide scaling of their impacts (e.g. progress obtained in the OECS sub-region through the implementation of the regional Eastern Caribbean Regional Ocean Policy, and the associated creation of National Ocean Governance Committees, to just name one)

207. Similarly, pilot national-level assessments of the state of the marine environment (SOMEE) will provide a model for more wide-spread national-level knowledge-based decision making, and will support progressive improvements in the production of the regional-level SOMEE; 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.

208. 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 substantial additional financial resources. Likewise, the testing of an innovative financing scheme will seek to deliver the lessons learned enabling its more wide-spread, larger-scale application.

209. 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.

210. 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.

211. 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)

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- [1] This includes overseas dependent territories, associated states, departments and islands with a special status.
- [2] As calculated by the CLME+ PCU using Global Mangrove Watch 2016 data from WCMC.
- [3] The World Bank defines the “ocean economy” as: the economic activities that take place in the ocean, receive outputs from the ocean, and provide inputs to the ocean.
- [4] It should be noted that the Patil report refers only to the Caribbean Sea and does not cover the entire CLME+ region.
- [5] *“The sustainable use of ocean resources for economic growth, jobs and social and financial inclusion, with a focus on preservation and restoration of the health of ocean ecosystems and the services they provide”*
- [6] World Economic Outlook Update, June 2020. [www.imf.org/en/Publications/WEO/Issues/2020/06/24/WEOUpdateJune2020](http://www.imf.org/en/Publications/WEO/Issues/2020/06/24/WEOUpdateJune2020).
- [7] By 26 April 2021, Letters of Endorsement (LOE) for the PROCARIBE+ PIF had already been obtained from 16 out of the 24 GEF-eligible countries that endorsed the CLME+ SAP. The adhesion of the following countries that endorsed the SAP but have not yet provided an LOE will continue to be pursued during the PPG phase: Barbados, Brazil, Dominica, Grenada, Haiti, Mexico and Saint Vincent and the Grenadines.
- [8] ***“Catalysing the Implementation of the Strategic Action Programme for the Sustainable Management of shared Living Marine Resources in the Caribbean and North Brazil Shelf Large Marine Ecosystems”*** (GEF ID 5542)
- [9] How robust is the proposed solution in delivering its expected benefits, under the different possible future manifestations (scenario's) of climate change.
- [10] In support of this effort, and the associated regional consultative processes, an independent review of strengths and weaknesses of the first iteration of the TDA/SAP approach in the region may be considered to this effect, either during the PPG phase or during project implementation.

**1b. Project Map and Coordinates**

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

15°00'00' N, 72° 00'00' W

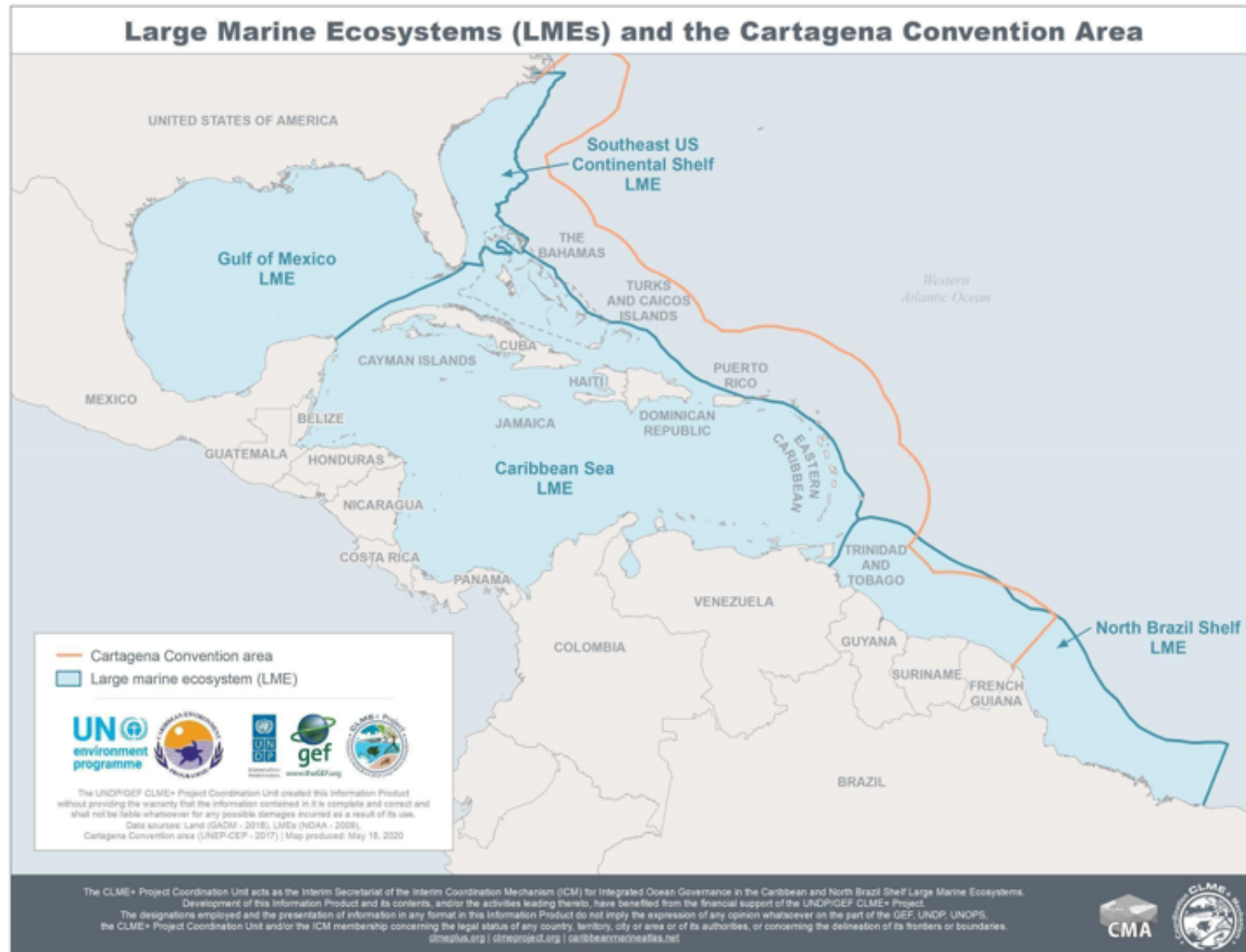


Figure 1: Map of the CLME+ region. ([Source:www.clmeproject.org](http://www.clmeproject.org))

## 2. Stakeholders

Select the stakeholders that have participated in consultations during the project identification phase:

Indigenous Peoples and Local Communities Yes

Civil Society Organizations Yes

Private Sector Entities Yes

If none of the above, please explain why:

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

A wide-ranging stakeholder analysis for the Caribbean and North Brazil Shelf LME's CLME+ Project (available on the CLME+ Hub) was conducted at the onset of this project in 2015. This analysis informed stakeholder consultations and engagements throughout the CLME+ Project and remains highly relevant as PROCARIBE+ seeks to build on and give continuity to the key outcomes and outputs from CLME+.

Additional targeted inventories<sup>[2]</sup> and consultations, directed at specific sub-groups (in particular civil society groups and (small grants) donors and trust funds<sup>[1]</sup>, and (private sector) investors) were conducted more recently, in the context of the participatory development of the "People Managing Oceans" Civil Society version of the Strategic Action Programme (C-SAP, endorsed by 51 Civil Society Organizations to date), and of preparatory work on private sector engagement. These have helped the shaping of elements of the PIF relative to, a.o., the ocean partnerships (Component 1) and micro-financing solutions for CSO's and MSME's supporting C-SAP implementation, and innovative (blended) financing (stress reduction and blue economies, Component 3). A stakeholder consultation on gender mainstreaming in Caribbean fisheries was conducted in May 2020.

As such, many of the stakeholder consultation/engagement processes (led by both the Project Coordination Unit as well as Project Partners) that took place along the CLME+ Project implementation timeline have been instrumental in the shaping of the current PIF - with the development of the latter being an effort that was initiated approximately 2 years ago. Another key example is the in-depth consultations with national governments and IGO's leading to the development of the Ocean Coordination Mechanism MOU (see PROCARIBE+ Component 1).

Indigenous and local fisherfolk communities, and private sector stakeholders were engaged in the CLME+ fisheries subproject consultations (e.g. spiny lobster, flyingfish,...) through the regional fisheries organizations (e.g. OSPESCA, CRFM, FAO-WECAFC, CNFO,...), in those countries from the region targeted by these sub-projects. Such consultations have inspired, a.o., content of the C-SAP and the inclusion of proposed outputs under PROCARIBE+ Component 3, e.g. on traceability, fishing gear/practices,....



- . Notwithstanding the solid ground work (consultations) conducted in the context of the preparations of the PIF, given the vast geographic scope of PROCARIBE+ and number of GEF-eligible countries (24), it is very clear that it would not have been feasible, nor efficient, to engage with/consult each and any potential stakeholder, across all groups, during PIF development. This is especially the case for several of the national/local-level actions planned under Component 2 and 3. The inability of achieving such already at PIF stage (and without the support of the PPG) (a) arises from the fact that specific intervention sites for many of the projects outputs are to be agreed upon during the PPG phase, and (b) was further exacerbated by the particular conditions imposed by the COVID-19 pandemic.
  
- . As indicated under PIF Section 3 ("The Proposed Alternative Scenario"), not all activities and outputs will cover the full geography of the region. In such cases, consultations with and engagement of the wider set of relevant national/local-level stakeholders (incl. IPLC, civil society and private sector groups) can only become meaningful and efficiently conducted once the geographic scope of the specific interventions have been narrowed down in coordination with the national governments and key project partners.
  
- . The stakeholder groupings that will have key roles in the preparation of the proposed PROCARIBE+ Project include prospective members of the OCM and the wider-ranging partnerships, and of the PROCARIBE+ Project Steering Committee and Executive Group, and Group of Co-financers.
  
- . A non-comprehensive overview of stakeholders, from different groupings, directly consulted (through dedicated meetings, teleconferences and email exchanges) during the writing of the PIF, is given below :
  

  - 1) National Governments across the Caribbean and North Brazil Shelf LMEs, and with territories in the region;
  - 2) Regional and sub-regional geopolitical integration mechanisms and/or their subsidiary bodies with an oceans-related mandate (CRFM, OSPESCA, OIRSA, OECS Commission, CARICOM Secretariat, CCAD, CCCCC, ACS-CSC, CBC etc.);
  - 3) Intergovernmental organizations of the UN system (Secretariat of the Cartagena Convention (UNEP-CEP) FAO-WECAFC, IOC-UNESCO , UNDP, UN-ECLAC, UNOPS, WCMC);
  - 4) Academia and Research (e.g. NOAA, CERMES/UWI, European Space Agency ESA);
  - 5) Civil Society Organizations (TNC, GCFI, The Ocean Foundation, Conservation International, the International Union for the Conservation of Nature IUCN, WWF, CANARI, WildAid, Ser-Oceano, GRID-Arendal, CNFO - Caribbean Network of Fisherfolk Organisation....)
  - 6) Private Sector/Investors/Co-financers/IFI's/Bi- and Multi-lateral donors and Development Aid Organizations (GEF, FMEM, IDB, EIB, World Bank, GIZ, Fisherfolk associations, Esri, Sustainable Fisheries Partnership, Saint Lucia Hotel & Tourism Association, Marketing at Anse Chastenet & Jade Mountain Resort,...)
  - 7) Others: Caribbean Biodiversity Fund, Summit Foundation, MARFund, NDC Partnership, IW:LEARN...

- During the PPG phase (and with the support of the PPG grant), the aforementioned stakeholder analyses will be re-visited (and updated where needed) and used to inform further consultations. For those project outputs with restricted/limited geographic scope, additional fine-tuning will be conducted once the project output-specific intervention sites have been pre-identified.
- It is anticipated that during PPG at least 3 major, regional-level stakeholder workshops will be carried out: inception, review/verification, and validation. These will be complemented by additional stakeholder engagement efforts (e.g. workshops, questionnaires, online platforms, direct communications...) targeting specific project intervention sites.
  - Stakeholder consultations will contemplate the following 2 levels and objectives: at political level to guarantee cofinancing/commitment with the project; a technical level to refine the details required for the project intervention (including the activities in the field).
  - All meetings/workshops/consultations will seek to support the mainstreaming of key considerations in the project's design, relative to: gender equality, IPLC, climate proofing and post-covid-19/disaster recovery and resilience, the (potential) role of private sector.
  - Resulting from these processes, a Stakeholders Engagement Plan and Gender Analysis and Action Plan will be completed, in addition to the required PPG documentation to proceed with the project implementation.
  - Given the geopolitical complexity of the region and the vast number of countries and stakeholders, and the limited size of the PPG grant, a "smart" approach to stakeholder consultations will be necessary. For this reason efforts will strongly build on existing partnerships, and on the coordination mechanisms established/about to become established as a consequence of past and ongoing SAP implementation efforts.
  - Taking into consideration the above, the results from a **preliminary exercise** aimed at mapping the means of engagement for the different stakeholder groups, across the different project components, are condensed in the **below table**. An expanded and more detailed stakeholder engagement mapping exercise will become feasible with the availability of the PPG grant, and as the proposal becomes progressively fine-tuned (geographically and thematically) through PPG phase consultations with pre-identified core stakeholder (participating countries, co-financers).

COMPONENT	STAKEHOLDERS	MEANS OF ENGAGEMENT during PPG and Project implementation (tentative)
C1	<p><b>OCM:</b> all States and Territories from the CLME+ region (multiple gov'tal departments with a stake in the marine environment), all prospective OCM member IGO's; donor community</p> <p><b>Partnership(s):</b> all societal agents with a key stake in the marine environment of the CLME+ region, and working at the transboundary level (governmental, civil society, private sector, academia, IFI/donor/development aid community)</p>	<ul style="list-style-type: none"> <li>through the ICM/OCM and its members, through the partnerships (once formalized/operational), through the PCU and co-executing partners, through sister projects and initiatives; through their governance mechanisms and established stakeholder networks and outreach mechanisms</li> </ul>

	<b>SAP development:</b> all the aforementioned	
C2	<p><b>NICs, BE scoping studies, SOME development:</b> all States and Territories from the CLME+ region (multiple gov'tal departments with a stake in the marine environment); other national-level societal stakeholders (civil society, private sector); supporting experts</p> <p><b>Capacity Building:</b> national-level governmental and non-governmental stakeholders with a key stake in IWRM, ICZM, MSP, S2S, NDC's; trainers and prospective trainers</p> <p><b>NDC development:</b> national-level governmental and donor/development aid community, science and data/information support community, blue carbon experts</p>	<ul style="list-style-type: none"> <li>through the OCM and its members, through the Project National Focal Points and the Focal Points of OCM member IGO's, through the NICs, through IW:LEARN, through Capnet, the NDC Partnership and UNDP Climate Promise, through the PCU and co-executing partners, and sister projects and initiatives; through their governance mechanisms and established stakeholder networks and outreach mechanisms</li> </ul>
C3	<p><b>Micro-financing:</b> donor and development aid community, regional NGO's, CSO's that endorsed the C-SAP, local communities, entrepreneurs, MSME's</p> <p><b>Innovative financing:</b> gov'tal and private sector stakeholders in the country where the mechanism will be tested + regional stakeholders interested in learning from/potentially replicating the experience</p> <p><b>MSP, MPA, OECM:</b> national-level stakeholders, regulators and users of the marine/coastal zone; donor and development aid community, trainers and capacity builders, data &amp; information providers and managers, thematic experts; the OCM and wider-ranging partnership(s), other GEF IW projects in the region</p> <p><b>Traceability:</b> all stakeholders along the fisheries value chain; regulating bodies (RFO's, Sanitary Organizations, the Fisheries Coordination Mechanism)</p>	<ul style="list-style-type: none"> <li><i>micro-financing:</i> through the UNDP GEF SGP Programme and other Small Grants and Micro-finance initiatives identified in the CANARI CLME+ inventory</li> <li><i>innovative financing:</i> to be further evaluated during PPG phase, possibly through the Project National Focal Point</li> <li><i>MSP, MPA, OECM,...:</i> through the OCM and its members, through the Project National Focal Points and the Focal Points of OCM member IGO's, through the NICs, through IW:LEARN, through Capnet, the NDC Partnership and UNDP Climate Promise, through the PCU and co-executing partners, and sister projects and initiatives</li> <li><i>traceability and fishing gear:</i> through OSPESCA, OIRSA, CRFM and WECAFC and their national focal points (traceability)</li> </ul>

	<p>sm, local fisherfolk communities, including indigenous people groups)</p> <p><b>Fishing Gear:</b> fisherfolk (including local communities and indigenous people groups) engaged in the activity, regulatory bodies, stakeholders engaged in fishing gear development/optimization, impact assessment specialists, the Fisheries Coordination Mechanism</p>	<p>and fishing gear), through the regional fisherfolk organizations</p>
C4	<p><b>HUB and Marine Data Landscape/Infrastructure:</b> all governmental and non-governmental actors with a (potential) contributing role to data/information/knowledge generation and management, and associated technologies/IT processes, the OCM, other GEF IW Projects in the region</p> <p><b>Twinning:</b> IW:LEARN community, international community of ocean practitioners, including Regional Seas, RFB's, etc.</p>	<ul style="list-style-type: none"> <li>through the OCM and its members, through the partnerships (once formalized/operational), through the PCU and co-executing partners, through sister projects and initiatives, through IW:LEARN, through the key organizations behind the data/knowledge gathering and management initiatives identified in the blueprint; through relevant global platforms (e.g. SOI, regional seas programmes, etc.); through their governance mechanisms and established stakeholder networks and outreach mechanisms</li> </ul>

[1] CLME+ Project Access database, available for queries by project partners and stakeholders

[2] see the report: "CLME+ baseline assessment of blue economy investors"

### 3. Gender Equality and Women's Empowerment

Briefly include below any gender dimensions relevant to the project, and any plans to address gender in project design (e.g. gender analysis).

1. Studies highlight the significant role women play and/or can play in the ocean sphere. Gender dimensions relative to the projects' objective and the long-term regional Vision are multiple and include (non-exhaustive list): equal opportunities/access to participating in environmental protection and restoration efforts (ocean conservation) across all five levels of the policy cycle<sup>[1]</sup>; decreased gender-specific vulnerabilities; equal (or preferential<sup>[2]</sup>) access to financing streams; empowering women to achieve equal socio-economic development and livelihood opportunities from coastal and marine natural capital; embracing the potential of women, youth and minority groups to accelerate progress towards achieving the regional CLME+ Vision on the marine environment.
2. The issues of gender equality and women's empowerment is particularly important when referring to small-scale fisheries since it is widely acknowledged that in the Caribbean, men and women often perform different tasks within fish value chains and therefore have different skills, experience, knowledge and decision-making roles in the sector. Women usually play a predominant role in traditional fish processing for fish consumption and marketing, while men tend to specialize in harvesting fish. Both are necessary for small-scale fisheries, but women are nonetheless often disadvantaged throughout the value chain compared to men. The development of new socio-economic opportunities for women can help improve their social welfare and economic condition.
3. Measures to increase gender equality and women empowerment across the fisheries sector have been undertaken by CRFM during the CLME+ project. Part of this work has focused on developing a Gender Analysis Strategy and Action Plan (Gender ASAP) on Gender Mainstreaming in Fisheries for CRFM countries. 5 national-level gender plans have also been developed. Both the regional and national-level plans recommend activities to enhance gender equality, youth engagement, and decent work across the fisheries sector in the region, and can guide related work during PROCARIBE+ design and implementation.
4. The findings of the gender studies conducted by CRFM, as well as other gender analyses that have been or are to be conducted under the umbrella of the CLME+ SAP (e.g. CROP, IWECO, BE CLME+, BlueFin, etc.) and other regional ocean-related initiatives, and that may precede any related work under the PROCARIBE+ PPG phase, will be used as an important baseline supporting the development of a Gender Analysis and Plan of Action for gender mainstreaming and youth participation by PROCARIBE+. For this purpose, the CLME+ Coordination Mechanism will be engaged in this effort, and a **dedicated gender specialist with adequate regional knowledge will be hired**.
5. The Gender Analysis and Plan of Action will include an evaluation of how the project can support the implementation of relevant elements of the plans developed by CRFM and others, to promote synergies and avoid duplication of efforts, and as such increase the impact of the project's investments. In addition, they will aim at improving our understanding of gender roles for the development of a sustainable blue economy which will be important for the successful outcome of several of PROCARIBE+'s activities.

6. Other opportunities for the project in the fields of gender equality and women's empowerment that can already be preliminarily flagged at this PIF stage include: gender balance and special attention to female leadership roles in the context of the OCM and ocean partnership(s); due attention to the role of women during the remaining implementation period of the CLME+ SAP, as well to the potential for the next iteration of the 10-year regional SAP to contribute to gender equality and the empowerment of women and youth in ocean conservation and derived socio-economics and livelihoods; due attention to gender considerations in Marine Spatial Planning, due attention to tracking progress towards gender equality and the empowerment of women and youth, by making related analyses and statistics a fixed part of the long-term SOME reporting mechanism.

7. As respectively the GEF and Executing Agency, UNDP and UNOPS are committed to ensuring gender equality and the empowerment of women. Gender will therefore be highlighted and focused on as a foundational social safeguard under the project. Gender considerations will be mainstreamed across all 4 project components, and gender-sensitive indicators will be incorporated in the results framework.

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(1) <sup>[1]</sup> generation of data & information; (2) analysis & advice; (3) (high-level) decision-making; (4) implementation; (5) monitoring & evaluation  
<sup>[2]</sup> where such would be conducive to reducing other gender-related inequalities

**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; and/or Yes**

**generating socio-economic benefits or services for women. Yes**

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

**Yes**

#### 4. Private sector engagement

Will there be private sector engagement in the project?

Please briefly explain the rationale behind your answer.

1. While the public sector can create the enabling conditions allowing all societal sectors to contribute to the achievement of both conservation and sustainable development goals, in the majority of cases the private sector will be the engine of growth, with businesses, driven by profit, creating the jobs that will support socio-economic development and paying the taxes that will (theoretically) finance services and investment (feedback loop).
2. So far, while modest levels of engagement of the private sector agents -both big and small- have been achieved (e.g through the fisheries sub-projects, and through small grants), both the CLME and CLME+ Projects have largely focussed on public sector actions and, more recently, through the C-SAP, actions by civil society and MSME's.
3. Acknowledging this gap in harnessing the power of all sectors of society, PROCARIBE+ will seek to more substantially engage the private sector, across all project components, through a variety of means.
4. First, under Component 1, the project will seek to involve non-public agents in SAP implementation through the wider-ranging partnership(s), as well as in the processes leading to the next iteration of the regional SAP. In Component 2, efforts to advance natural capital accounting, and towards making the connection (in the national-level SOMEE assessments) between the state of marine natural capital and associated (potential) socio-economic benefits, will stand to gain from engagement/consultation with the private sector. Component 3 will provide distinct opportunities for MSME's, 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. Likewise, output 3.2 will seek to mobilize more substantive private sector contributions (funding) towards ocean conservation/restoration and/or sustainable development goals. Private sector users of the marine space will further be a key stakeholder 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, and private sector agents along the value chain will be engaged in the efforts to bring higher levels of sustainability into key regional fisheries, including the industrial-scale spiny lobster fisheries (traceability, and enhanced/modified fishing gear and practices).
5. Under the CLME+ Project, a number of potential private sector partners have already been identified through the preparation of a [baseline inventory of existing and potential sustainable blue finance investors, and of high-potential \(innovative\) private/blended financing schemes](#).

6. Further work will be required, during the PPG and Project Inception Phase, to adequately map , fine-tune and -as feasible- expand the potential contributions of these prospective partners and mechanisms to the PROCARIBE+ project objectives & goals.



## 5. Risks to Achieving Project Objectives

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 (table format acceptable)

Risk	Rating		Risk Mitigation Measures
	<i>Likelihood</i>	<i>Impact</i>	
Participating countries and IGOs fail to commit to or implement the agreed coordination mechanism as per the agreed MOU.	Low	Medium	<p>Non-rigid MOU that provides room for the membership to adaptively manage the aspirations and concrete actions of the OCM, through the Steering Group.</p> <p>Critical to the success of and continued buy-in for the OCM will be the need to demonstrate its short-term and long-term benefits to both member countries and IGOs. Thus, through PROCARIBE+, efforts to raise awareness, pilot and demonstrate the added value and showcase best practice will help to minimize this risk.</p>
Focus on individual interests: a drive for individual goals by (prospective) OCM and partnerships members will jeopardize the efficient and effective use of limited available resources, and undermine the achievement of mutually supportive, collective outcomes	Medium	Medium	<p>Acknowledge that progress from business-as-usual (sectoral/self-centered approach) towards the alternative scenario will be a gradual process, with trust-building as the basis for successful collective action towards a common goal;</p> <p>Demonstration through practical examples of the added value of well-coordinated action by the OCM will help making the case for increasing levels of coordination and collaboration</p> <p>Establishment of the OCM Steering Group which will help providing direction towards the common good; adoption of a common, programmatic approach</p>
Failure to fully operationalize national intersectoral coordination	Medium	Medium	Build on the existing baseline and best practice

dination mechanisms and/or the required linkage with the regional OCM			<p>Engage other relevant projects towards this common goal</p> <p>Demonstrate the added value through cross-sectoral training and capacity building, and by piloting the national-level delivery of cross-sectoral outputs such as national SOMEE reports, Blue Economy Strategies/Plans, MSP's, and NDCs with substantive marine component.</p> <p>Recommendations to the effect of adequately linking NICs and the OCM, adopted by the OCM Steering Group</p>
Resistance from participating countries and project partners to fully engage with NGO's and CSO's	Medium	High	<p>Establishment of a wide-ranging partnerships involving major non-governmental actors, that works in close collaboration with the OCM, is supportive of its priorities and objectives and enhances its implementation capacity</p> <p>Demonstrate through practical examples the potential for such wide-ranging alliance to contribute to national and regional public sector targets</p>
Limited or poor engagement of civil society in SAP development and implementation; limited contributions towards achieving the regional Vision	Low	High	<p>Provide financial support for wider-ranging participation of civil society in the implementation of the C-SAP (alliance with GEF SGP, others); facilitate replication and up-scaling</p> <p>Engage regional champions in related advocacy work</p>
Limited or poor engagement of the private sector leads to a failure to mobilize private capital to support blue growth.	Medium	High	<p>Create a robust enabling environment (solid data/information infrastructure, SOMEE reports linking environmental status and governance processes to the potential for socio-economic benefits and growth); facilitate participatory MSP; secure the natural resource based that will ensure sustainability of private sector investments; provide micro-finance/seed money for innovators and MSMEs; pilot and disseminate innovative mechanisms and opportunities</p>

			Remarks
Resistance from project partners to sharing data and information and contributing to the CLME+ HUB.	Low	High	<p>Build trust, guide by example, demonstrate added value through practical cases (role for OCM Secretariat)</p> <p>Start with targeted requests, with short-term benefits for all parties involved</p>
Insufficient environmental information to support SOME E reporting.	High	High	<p>Clearly identify remaining gaps in each iteration of SOME E</p> <p>Periodically update the regional Research Agendas as a means to identify and progressively address the information and knowledge gaps, with the aid of the scientific community.</p> <p>Support the development of national-level SOME E's, as building blocks for regional-level SOME E development</p> <p>Develop a blueprint for a regional, collaborative and decentralized marine data/information infrastructure (MDI), for formal endorsement by the OCM; harness existing sustainable data sources and platforms identified during the CLME+ scoping study; progressively put additional elements of the MDI in place, with the support of the OCM and partnerships</p> <p>Explore the use of remote sensing, in alliance with ESA, GEO and IW:LEARN</p> <p>Consolidate the CLME+ HUB as the OCM's central knowledge platform and gateway</p>
High staff turnover leading to delays in project implementation and loss of continuity in project delivery.	High	Medium	<p>Provide adequate working conditions and staff benefits, invest in human resource development</p> <p>Ensure that the right individuals with the required experience/knowledge of the region are contracted for key positions.</p>

<p>The fallout from the COVID-19 pandemic may result in a change in national government priorities leading to a lower level of importance attached to regional ocean issues and, therefore, engagement with PROCARIBE+.</p>	<p>Medium</p>	<p>High</p>	<p>Demonstrate the value of marine and coastal natural capital, and marine ecological process in post-covid recovery and enhanced disaster resilience.</p>
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## 6. Coordination

Outline the institutional structure of the project including monitoring and evaluation coordination at the project level. Describe possible coordination with other relevant GEF-financed projects and other initiatives.

1. UNDP, as the **GEF Agency**, will have overall supervision responsibility for the project and ensure consistency with GEF and UNDP policies and procedures, including those relative to project monitoring and evaluation.
2. A regional **Project Coordination/Management Unit (PCU)**, to be established and operated by UNOPS (project management certifications: APMG, PeopleCert®, PMI,® and AXELOS), will be responsible for the overall planning, administration, management and coordinated, day-to-day execution of the Project. To the effect of the latter, the PCU will be assisted by a number of **co-executing partners** (arrangements to be fine-tuned during PPG and project inception phase), with partner responsibilities being reflective of their long-term mandate in the region and/or comparative advantages acquired from relevant prior thematic/geographic leadership/exposure, and co-financing leveraging potential.
3. The conclusions and recommendations from the CLME+ Project Terminal Evaluation underlined how the latter project excelled in adaptive management, monitoring and reporting of progress. The new project will continue to build on and further expand and enhance these good/best practices.
4. In line with the general recommendations of the CLME+ Project Terminal Evaluation for future efforts, the PPG phase will explore means to expand the direct role of countries in project execution.
5. Together with the PCU and the GEF Agency, they will constitute the **Project Executive Group (PEG)**. The PEG will analyse, discuss and resolve, coordinate and plan issues pertaining to project execution.
6. A **Project Steering Committee (PSC)** will be established to oversee project execution and to ensure continued regional ownership. In this context, participating countries will be requested to nominate **Project National Focal Points (NFP's)** and ***Liaison Persons***. Among other functions, the PSC will provide overall strategic project governance and management direction, play a critical role in reviewing and approving project planning & execution, review project progress, make recommendations and adopt the (annual/biennial) project work plans and budget.
7. The PSC is expected to be comprised of the following membership:
  - 1) National Representatives (NFP's) from all participating States

- 2) Representatives (NFP's) from/for Dependent Territories within the CLME+ Region (France, Netherlands, United Kingdom, United States)
- 3) Representative of the GEF Agency (UNDP)
- 4) Representative of the Executing Agency (UNOPS)
- 5) Representatives of the Project Co-Executing Partners
- 6) Representatives of key co-financing partners

8. The final institutional structure for the project may be further fine-tuned during the PPG stage, through close discussions with national governments, partners and other stakeholders.

9. It is anticipated that for the project's duration, the PCU will also act as the **Secretariat** of the **OCM**, which, in turn, will be at the center of the wider-ranging multi-stakeholder **partnerships**. As such, the PROCARIBE+ Project will be optimally positioned, not only to ensure adequate coordination with other relevant projects and initiatives, but also to facilitate and promote (a.o. through its support for the regional knowledge management Hub, and through the PCU's role as OCM Secretariat) coordination among such projects and initiatives (both GEF and non-GEF).

## 7. Consistency with National Priorities

Is the Project consistent with the National Strategies and plans or reports and assessments under relevant conventions?

Yes

If yes, which ones and how: NAPAs, NAPs, ASGM NAPs, MIAs, NBSAPs, NCs, TNAs, NCSAs, NIPs, PRSPs, NPFE, BURs, INDCs, etc

1. 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 those most relevant to the sustainable development of the CLME+ region.

International	Regional
<p>United Nations Convention on the Law of the Sea, 1982</p> <p>Convention on Biological Diversity, 1992</p> <p>United Nations Framework Convention on Climate Change, 1992 and the Kyoto Protocol and the Paris Agreement</p> <p>Convention of International Trade in Endangered Species, 1972 (CITES)</p> <p>The Convention on Wetlands of International Importance, especially as Waterfowl Habitat, 1971 (Ramsar Convention)</p> <p>International Convention for the Conservation of Atlantic Tuna, 1966 (ICCAT)</p> <p>International Convention for the Regulation of Whaling 1948 and 1959</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>International Convention on the Control of Harmful Anti-fouling Systems on Ships, 2001</p> <p>International Convention for the Control and Management of Ships Ballast Water and Sediment, 2004</p> <p>Agreement for the Implementation of the Provisions of the United Nations Convention on the Law of the Sea Relating to the Conservation and Management of Straddling</p>	<p>CLME+ Strategic Action Programme (CLME+ SAP, 2015 -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>Convention on the Protection and Development of the Marine Environment in the Wider Caribbean, 1983 ("Cartagena Convention")</p> <p>Protocol Concerning Cooperation in Combating Oil Spills in the Wider Caribbean, 1983</p> <p>Protocol Concerning Specially Protected Areas and Wildlife (SPAW) in the Wider Caribbean Region,</p> <p>Protocol Concerning Pollution from Land-Based Sources and Activities (LBS), 1999</p> <p>Caribbean Community Common Fisheries Policy (CCCFP)</p> <p>Mesoamerican Strategy for Environmental Sustainability and its 2013-2016 Action Plan</p> <p>Eastern Caribbean Regional Ocean Policy and Action Plan (2019)</p> <p>The St. George's Declaration of Principles for Environmental Sustainability in the OECS, 2006</p> <p>Estrategia Regional Ambiental Marco (ERAM), CCAD</p>

<p>g Fish Stocks and Highly Migratory Fish Stock</p> <p>FAO Agreement on Port States Measures to Prevent, Deter and Eliminate Illegal, Unreported and Unregulated Fishing</p> <p>UN 2030 Agenda for Sustainable Development</p> <p>CBD Strategic Plan for Biodiversity 2021-2030</p> <p>recent “30x30” pledges:</p> <p>High Ambition Coalition for Nature and People</p> <p>Global Ocean Alliance</p>	<p>Joint CRFM-OSPESCA Action Plan for the responsible management of migratory fish resources of the Caribbean Sea</p> <p>The OSPESCA Caribbean Spiny Lobster Fishery Regional Regulation and Management Plan</p> <p>The Strategy for the Development of the Caribbean Environment Programme</p>
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**Table 2: List of intergovernmental environmental agreements and arrangements most relevant to the CLME+ region**

2. 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.

3. There is also a growing trend among countries to develop national ocean or maritime policies and, more recently, Blue Economy Strategies and Action Plans.

4. The 10-year CLME+ SAP (2015-2025) is based on the results of a series of Transboundary Diagnostic Analyses (TDAs), case studies and pilots, and was developed following a highly participative approach in which CLME+ countries and key regional organizations were engaged as the main stakeholders. To date, the SAP has [been politically endorsed](#) by 36 Ministers, representing 26 countries and 8 overseas territories. As such, the CLME+ SAP is highly reflective of the shared priorities of the countries from the Caribbean and North Brazil Shelf LMEs. The SAP is supportive of several regional and global instruments (including the 2030 Sustainable Development Agenda, in particular SDG14, the CBD Strategic Plan,...). SAP Strategies and Actions have been mainstreamed in the Work Programmes of the key regional IGO's with an oceans-related mandate. A mechanism to track SAP implementation progress has been developed with the support of the CLME+ Project and is [implemented on the CLME+ Hub](#).

5. 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 Nutrient Pollution, Marine Habitats and IUU. The PROCARIBE+ proposal is therefore fully consistent and aligned with sLMR-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

Outline the knowledge management approach for the Project, including, if any, plans for the Project to learn from other relevant Projects and initiatives, to assess and document in a user-friendly form, and share these experiences and expertise with relevant stakeholders.

1. **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.
2. 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.
3. 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 multi-lateral exchange of best practices and lessons learned through the GEF IW:LEARN network and other international ocean practitioners fora.
4. 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 LME’s
5. PROCARIBE+ will allocate at least 1% of the GEF budget to support IW:LEARN networking activities.
6. 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.

7. 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 SOMEER report (the latter being the regional, long-term adoption of the GEF-promoted TDA approach).

8. 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.

## 9. 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

### Measures to address identified risks and impacts

Provide preliminary information on the types and levels of risk classifications/ratings of any identified environmental and social risks and potential impacts associated with the project (considering the GEF ESS Minimum Standards) and describe measures to address these risks during the project design.

## Project Information

<b>Project Information</b>	
1. Project Title	Protecting and Restoring the Ocean's natural Capital to [support post-covid Recovery] build Resilience] and to drive region-wide Investments in [climate-resilient,] 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
5. Date	24 March 2021

## Part A. Integrating Programming Principles to Strengthen Social and Environmental Sustainability

<b>QUESTION 1: How Does the Project Integrate the Programming Principles in Order to Strengthen Social and Environmental Sustainability?</b>
<i>Briefly describe in the space below how the project mainstreams the human rights-based approach</i>
<p>The project 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</p> <p>The project mainstreams the human rights-based approach, through:</p> <ul style="list-style-type: none"> <li>• Supporting measures that will promote the <b>sustainability of marine resources</b> 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).</li> <li>• <b>Upscaling ocean-based sustainable development &amp; livelihoods/blue economies</b>, through the implementation of micro-financing and innovative private/blended blue financing instruments. With these financial schemes, the project will contribute to poverty alleviation by improving the livelihoods for inhabitants of coastal communities in the region. The project will ensure that the recipients of any small grants are included in decision-making for all processes that may impact them (consistent with the non-discrimination and equality human rights principle).</li> <li>• Promoting <b>interactive and participatory coordination for the conservation and sustainable use of marine living resources</b> 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 <b>inclusiveness and equity</b> 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 <b>enabling and safe environment</b> for the active participation of attendees (consistent with the participation and inclusion human rights principle).</li> <li>• Helping the region <b>achieve several of the SDGs</b>, namely SDG-14: Life below water, but with contributions to SDGs 2, 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 r</li> </ul>

tion effort or strengthening of existing marine management plans, improved ecosystem management and sustainable fisheries, increasing marine restoration initiatives and climate change issues.

***Briefly describe in the space below how the project is likely to improve gender equality and women's empowerment***

The project will develop (during PPG phase) and implement a **Gender Analysis and Plan of Action for gender mainstreaming and youth participation**, that will include opportunities to collect age and sex-disaggregated data, and measurable indicators related to gender equality and women's empowerment.

As part of the analysis and action plan, the project will 1) Strengthen interactive, participatory and integrated ocean governance for all relevant stakeholders; 2) Implement specific actions for the empowerment and participation of women in decision-making spaces; and 3) Implement mainstreaming actions, with objectives and activities included in an Action Plan. To ensure that the foregoing is operative, the correspondent budget will be included during the PPG.

Notwithstanding the development of the analysis and action plan for gender and youth, the following provides examples of how the project currently plans on supporting gender equality and women's empowerment: PROCARIBE+ will build on previous work from the CLME+ project and aim to implement the **recommendations** made under the **Mainstreaming Gender Equality in Fisheries of the Caribbean Initiative and other initiatives such as the Shrimp and Groundfish Fishery Sub Project (extra resources mobilized from Canadian Government under the CMLE+ project)** to enhance documentation and utilisation of traditional knowledge and practices, and better understand their gender-differentiated implications for fisheries management.

The project will provide specific opportunities for women and young people through the implementation of **small grants/micro-finance initiatives** aimed at supporting innovators, civil society organizations (CSO's) and/or Micro, Small and Medium-Sized Enterprises (MSME's) contributing to ocean conservation, ocean-based sustainable development/recovery, and blue livelihoods/economies. A non-discrimination approach will be taken for selecting the beneficiaries of financial support. Under this output, special attention will be given to **gender equality and empowerment of women, youth and households**.

Planned capacity-building activities under the project will be gender-sensitive in its design and implementation, and will aim for equitable participation between women and men.

The project will ensure that the design of project interventions and investments operationalize gender by, for example, using gender-based analyses, gender action plan, developing gender-responsive indicators and the setting of ambitious, yet realistic, targets for women's participation and access to benefits. The specific mechanisms for this will be developed during the PPG phase.

***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)** 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.
- **cyclical Transboundary Diagnostic Analysis/Strategic Action Programme ("TDA/SAP") processes**, including the coordination of the periodic assessment of and reporting on the **state of the marine environment and associated economies (SOME)**, and facilitating the development and implementation of regional programmes and SAPs by countries, IGOs and other partners. Both the SOME and SAP will support/link regional, national, and local planning/sustainability efforts by providing an enabling environment to make scientifically-informed and strategically-oriented decisions related to ocean governance and management in an efficient manner.
- **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.

economic resilience of local inhabitants.

- **increasing ocean protection** by enhancing area-based conservation measures through the use of marine protected areas or other effective conservation measures (MPA/OECM).
- on-the-ground **stress reduction/restoration** and/or **enhanced management practices** for the protection, restoration and sustainable use of marine and coastal natural capital.
- the expansion and 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**.
- **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.
- interventions that **increase public and private financial capital** 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 **redress process** 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 Stakeholder Engagement Plan with the correspondent budget** will be developed during the PPG phase to ensure that all relevant stakeholders are included in project interventions involving local communities.

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, therefore improving 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 Programme** to be developed. In addition, under Component 2, work will take place on strengthening already existing **national inter-sectoral coordination mechanisms (NICs)**, and supporting 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 **operationalise 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 as a whole.

<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><i>Risk Description</i></p> <p><i>(broken down by event, cause, impact)</i></p>	<p><i>Impact and Likelihood (1-5)</i></p>	<p><i>Significance</i></p> <p><i>(Low, Moderate Substantial, High)</i></p>	<p><i>Comments (optional)</i></p>	<p><i>Description of assessment and management measures for risks rated as Moderate, Substantial or High</i></p>
<p>Risk 1: Given the variety of political regimes and regulatory frameworks in the CLME+ region, there is a risk that public organizations may not be as inclusive as required when engaging stakeholders, which could potentially limit their capacities and opportunities for those stakeholders to exercise their rights.</p> <p><i>Human Rights Principle, P2. P5 and P6</i></p>	<p>I = 3</p> <p>L = 3</p>	<p><b>Moderate</b></p>	<p>.</p> <p>The project will seek to engage with as many countries within the Caribbean and North Brazil Shelf Large Marine Ecosystems.</p>	<p>During the PPG phase a Stakeholder Analysis will be undertaken to support the development of a Stakeholder Engagement Plan which will identify and outline potential project stakeholders. These will include governmental, civil society and private sector stakeholders. As such, by partnering with other government agencies or other stakeholders outside of government, agencies with limited human capacity may be in a better position to successfully achieve agreed upon targets defined under the project.</p> <p>Additionally, the project will be designed to create capacities at country level on different topics (MSP, BE, etc.) and it will promote several tools for securing effective communication for mitigating this risk.</p> <p>Upon further assessment at the time of project implementation, it will be determined if a SESA will be carried out during project implementation to evaluate potential social and environmental effects of selected activities under components 1 and 2. The ESMF prepared during the PPG will include this requirement for further consideration of the need for an SESA.</p>

<p>Risk 2: Climate change impacts can cause increasing threats to already threatened coastal and marine habitats in the CLME+ region. As such, there is the risk that some of the project activities may exacerbate climate change impacts such as flooding and storm surge, on coastal habitats and coastal communities and as a consequence may result in future loss of community support for adaptive management policies and strategies</p> <p>Standard 2, q 2.2, 2.3</p>	<p>I = 3 L = 2</p>	<p>Moderate</p>	<p>Available scientific information addressing impacts from climate change and lessons learned from community / government responses shall be the basis to evaluate and develop clear, adaptive and well informed decisions, in case they would be needed</p>	<p>During the PPG phase specific ESMF-type procedures for screening, assessing and managing the risks during the process of selecting sites under Component 3 will be prepared in an attempt to reduce potential climate change and disaster risks impacts (or these procedures will be included in the ESMF prepared during the PPG). Those procedures will include ensuring the chosen sites for interventions are not in locations that will increase the risks of storm surge or flooding to coastal communities. During PPG, as feasible, it will also be determined if more specific assessments are required once all project sites have been identified, and those requirements will be documented in the ESMF.</p>
<p>Risk 3 : The initiatives proposed for component 3, which seek to focus on targeted stress reduction and resilience building measures, are likely to take place within or adjacent to critical habitats/sensitive areas, important to local communities or in areas designated as Cultural Heritage sites. If project activities are poorly designed and/or poorly implemented, there is a risk of altering / damaging the critical habitats/sensitive areas and/or Cultural Heritage Sites.</p> <p>Standard 1, q.1.1, 1.2, 1.3</p> <p>Standard 4 q 4.1, 4.3 .</p>	<p>I = 2 L = 4</p>	<p>Moderate</p>	<p>The Project is planning to focus on a number of on-the-ground initiatives addressing stress reduction and/or enhanced resilience. Proposed interventions in such sites may include habitat restoration activities, creation or expansion of marine protected areas, or Other Effective Conservation Measures (OECM). It is likely that a few of these initiatives will take place in or adjacent to marine management areas.</p>	<p>The potential direct and indirect negative impacts on natural resources, biodiversity, ecosystems, ecosystem services and Cultural Heritage Sites in the project's area (including area of influence) will be further identified and addressed during the PPG phase with the preparation of an Environmental and Social Management Framework.</p> <p>Further and at the start of project implementation, once all on-the-ground activities have been fully defined, it will be determined if an Environmental and Social Management Plan is required (for any/all project sites or activities) to mitigate any potential impacts of the activities on biodiversity and cultural heritage. This requirement will be documented in the ESMF prepared during the PPG.</p>



<p>Risk 4 : The Project is seeking to support the creation or enhancement of marine protected areas and/or Other Effective Conservation Measures (OECM) . The creation of new areas under protection may result in economic displacement to some coastal peoples and communities especially if these managed areas consist of no-take zones. There is also a risk that people could be displaced if coastal protected areas are declared.</p> <p><i>Standard 5 q 5.1, 5.2, 5.3 and 5.4</i></p>	<p>I = 4</p> <p>L = 2</p>	<p><b>Moderate</b></p>	<p>Coastal communities usually employ artisanal fishing practices in adjacent coastal areas. With the aim to increase / improve the protection and management of coastal habitats, coastal communities may be directly impacted by more restrictive regulations, resulting in changes to traditional, and/or unregulated fishing practices.</p> <p>The likelihood was rated low since small-scale fishermen are often allowed to continue fishing in new MPAs or OECM due to the low impact of their fishing practices.</p>	<p>The risk of economic displacement will be fully assessed prior to the implementation of any activities posing risks to local livelihoods, and the project will consider all feasible alternatives and measures to avoid displacement; this will be ensured through the ESMF that will be prepared during the PPG. Where displacement cannot be avoided, the required assessments and management plans (LAP, RAP) will be prepared during project implementation, and put in place prior to the start of the activities that could cause such impacts. The project will not support activities that involve or lead to forced evictions, and measures will be put in place (through the ESMF) to ensure compliance with that SES requirement.</p>
<p>Risk 5 : The project will provide micro financing to civil society and MSM E's that support actions advancing blue socio-economic development. The projects 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. If this is the case, there is a risk that an alien species can be utilized or that bacterial infections could result from mishandling aquaculture products</p>	<p>I = 4</p> <p>L = 2</p>	<p>Moderate</p>	<p>At this moment it is uncertain what the possibility of developing a mariculture pilot initiative would be.</p>	<p>Specific ESMF-type procedures for screening, assessing and managing the risks during the (implementation-stage) process of selecting micro-grant proposals will be defined during the PPG phase, and included in the project's design or in the ESMF. If determined that additional assessments and plans are required to mitigate the risks associated with risks linked to these activities, the required assessments and plans will be defined and put in place prior to the start of the associated activities. Any proposed activity will be conducted using established international best practices and in adherence to the UN DP SES.</p>

Standard 1, q.1.6, 1.10				
Standard 3, q. 3.4				
<p>Risk 6 : There is a risk that some of the activities defined under the project could result in discrimination against women and marginalised youth and limit their active participation in project design and implementation, as well as their role in the protection and management of natural resources</p> <p><i>Sustainability and Resilience Accountability P.13</i></p> <p><i>Gender Equality and Women's Empowerment P. 11</i></p>	<p>I: 3</p> <p>L: 2</p>	Moderate	<p>Through the development and implementation of the Gender Action and Stakeholder Engagement Plans, the project will seek to ensure that there is full and adequate participation of women and marginalised youth/people in the project activities, including the role of women in the management and protection of coastal resources. Further the development and/or expansion of partnership arrangements under the project will allow for expanded stakeholder input in project activities.</p>	<p>During the PPG Phase a Stakeholder Engagement Plan and Gender Action Plan for gender mainstreaming and youth engagement will be developed. This will ensure engagement of women and marginalised youth/people, where necessary, in the design and implementation of project activities. The recommendations emanating from these plans will be used in defining approaches to improving the management and protection of coastal resources, including defining any special roles for women or marginalised youth/people.</p>
<p>Risk 7 :</p> <p>Under the micro-financing scheme, it is probable that there will be an influx of people on project sites to support pilot initiatives, particularly where local capacity is lacking.</p> <p>Under these pilot projects, there is a risk that the working conditions may not follow labour laws and standards</p>	<p>I: 3</p> <p>L: 2</p>	Moderate		<p>During the PPG phase, an ESMF will be prepared to ensure that during implementation the project will identify potential adverse environmental and social impacts of the pilot projects to be financed and put in place any required mitigative actions needed during project implementation. The required health and safety measures, and related labour laws will be assessed as part of the ESMF preparation.</p> <p>Every pilot selected under the micro-financing scheme</p>

<p>established under national laws. There may also be certain health and safety risks associated with going out to sea, if the proper precautions are not taken.</p> <p><i>Standard 3 q 3.7</i></p> <p><i>Standard 7, q 7.1, 7.6</i></p>				<p>will utilise approved standards for proper safety at sea, to be included in the project's design (or in subsequent management plans, if required per the forthcoming ESMF).</p>
<p>Risk 8 : The project under component 3 seeks to address issues related to three transboundary issues of unsustainable fisheries, pollution and habitat degradation. As such it is highly likely that there may be interventions related to pollution mitigation. With the implementation of initiatives to address the impact of pollution, through nature-based solutions, there is a likelihood that untreated pollutants could enter the environment as a result of accidents or improper design or construction of nature based solution(s).</p> <p><i>Standard 8, q 8.1</i></p>	<p>I: 3</p> <p>L:2</p>	<p><b>Moderate</b></p>		<p>The measures needed to ensure proper risk mitigation related to the potential release of pollutants in the environment will be addressed under the ESMF to be prepared during the PPG phase. The ESMF will include measures to determine whether an ESIA would be needed for potential sites.</p> <p>Nonetheless, the project will be designed to aim at avoiding the release of pollutants, and when avoidance is not feasible, minimize and/or control the intensity of their release. Pollution prevention and control technologies and practices will be applied if needed to complement the proposed nature-based solutions, if a risk of pollution run-off is identified.</p>
<p>Risk 9 : The project will be assisting countries in the development of Marine Spatial Plans, Blue Economy Plans and in expanding marine areas under protection. Through these processes, desk reviews and consultations will take place and it is possible that tradit</p>	<p>I - 5</p> <p>L- 2</p>	<p>Substantial</p>	<p>The project could misuse and/or utilise incorrectly traditional knowledge in the development of Marine Spatial Plans or in the creation of new marine managed areas and could also work in areas with indige</p>	<p>In the event that during the PPG phase, it is determined to be required, an indigenous peoples planning framework (IPPF) will be developed. If this cannot be conclusively determined during the PPG, then necessary measures (for making that determination) will be included in the ESMF.</p>

<p>ional knowledge about certain areas/ processes could be used without properly consulting and obtaining permission from stakeholders. Proposals for MSP and/or BE Plans and other project activities in these sites may take place in areas where indigenous people s are present and could possibly impact negatively on their livelihoods</p> <p><i>Standard 4, q 4.5</i></p> <p><i>Standard 6, q. 6.1, 6.3, 6.4, 6.7</i></p>			nous peoples .	<p>If traditional knowledge is to be used to advance any of the project activities, mechanisms will be identified and implemented to guarantee their meaningful, effective and informed participation – in the IPPF and site-specific IPPs, in line with the UNDP SES.</p> <p>Where required, culturally appropriate consultations will be initiated during PPG phase with the objective of achieving agreement and FPIC (if PPG time is not enough to complete the whole consultation/FPIC processes, instead of the IPP mentioned above, an IPPF will be prepared, and once project starts implementation, the consultations/FPIC processes will be carried out based on the IPPF to agreed upon an IPP).</p>
	QUESTION 4: What is the overall project risk categorization?			
	<i>Low Risk</i>	<input type="checkbox"/>		
	<i>Moderate Risk</i>			
	<i>Substantial Risk</i>	<input checked="" type="checkbox"/>		Given the proposed nature of the project activities t

	Substantial Risk	<input checked="" type="checkbox"/>	Given the proposed nature of the project activities, the overall project risk categorization is substantial		
	High Risk	<input type="checkbox"/>			
	QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are triggered? (check all that apply)				
	Question only required for Moderate, Substantial and High Risk projects				
	<b><i>Is assessment required? (check if "yes")</i></b>	<input checked="" type="checkbox"/>		<b><i>Status? (completed, planned)</i></b>	
	<i>if yes, indicate overall type and status</i>		<input checked="" type="checkbox"/>	Targeted assessment(s)	Planned: Stakeholder Analysis, Stakeholder Engagement Plan during PPG.  Additionally, a gender analysis will be prepared during the PPG phase.
			<input type="checkbox"/>	ESIA (Environmental and Social Impact Assessment)	To be confirmed during the PPG
			<input checked="" type="checkbox"/>	SESA (Strategic Environmental and Social Assessment)	Planned (to be confirmed during the PPG):
	<b><i>Are management plans required? (check if "yes")</i></b>	<input checked="" type="checkbox"/>			
<i>If yes, indicate overall type</i>		<input checked="" type="checkbox"/>	Targeted management plans (e.g. Gender Action Plan, E	Planned:  At PPG Phase development of	

			mergency Response Plan, Waste Management Plan, others)	a Gender Action Plan, Stakeholder Engagement Plan, Indigenous Peoples Plan/IPPF (if engaging indigenous people). IPPF will be prepared if FPIC/consultations processes cannot be completed during PPG phase.
		<input type="checkbox"/>	ESMP (Environmental and Social Management Plan which may include range of targeted plans)	To be confirmed during the PPG.
		x	ESMF (Environmental and Social Management Framework)	For micro-grant proposals, and other activities not fully defined during the PPG
<i>Based on identified risks, which Principles/Project-level Standards triggered?</i>		Comments (not required)		
<i>Overarching Principle: Leave No One Behind</i>				
<i>Human Rights</i>	x			
<i>Gender Equality and Women's Empowerment</i>	x			
<i>Accountability</i>	x			
<i>1. Biodiversity Conservation and Sustainable Management</i>				

	<i>ion and Sustainable Natural Resource Management</i>	x	
	<i>2. Climate Change and Disaster Risks</i>	<input type="checkbox"/>	
	<i>3. Community Health, Safety and Security</i>	x	
	<i>4. Cultural Heritage</i>	x	
	<i>5. Displacement and Resettlement</i>	x	
	<i>6. Indigenous Peoples</i>	x	
	<i>7. Labour and Working Conditions</i>	<input type="checkbox"/>	
	<i>8. Pollution Prevention and Resource Efficiency</i>	x	

#### Supporting Documents

Upload available ESS supporting documents.

Title

Submitted

PIMS 6290 PROCARIBE\_ SESP at PIF stage 11mar2021

### Part III: Approval/Endorsement By GEF Operational Focal Point(S) And GEF Agency(ies)

A. RECORD OF ENDORSEMENT OF GEF OPERATIONAL FOCAL POINT (S) ON BEHALF OF THE GOVERNMENT(S): (Please attach the Operational Focal Point endorsement letter with this template).

Name	Position	Ministry	Date
Kenrick W. Williams	GEF Operational Focal Point for Belize	Ministry of Sustainable Development, Climate Change and Disaster Risk Management	3/22/2021
David Felipe Olarte Amaya	GEF Operational Focal Point for Colombia	Ministry of Environment and Sustainable Development	3/23/2021
Enid Chaverri Tapia	GEF Operational Focal Point for Costa Rica	Ministry of Environment and Energy	2/23/2021
Ulises Fernandez Gomez	GEF Operational Focal Point for Cuba	Ministry of Science, Technology and Environment	3/23/2021
Milagros De Camps	GEF Operational Focal Point for Dominican Republic	Ministry of Environment and Natural Resources	2/22/2021
Juan Carlos Diaz Contreras	GEF Operational Focal Point for Guatemala	Ministry of Environment and Natural Resources	4/13/2021
Sharifah Razack	GEF Operational Focal Point for Guyana	Environmental Protection Agency	3/2/2021
Rosibel Martinez Arriaga	GEF Operational Focal Point for Honduras	Secretariat of Natural Resources and Environment	3/22/2021
Gillian Guthrie	GEF Operational Focal Point for Jamaica	Ministry of Housing, Urban Renewal, Environment and Climate Change	3/19/2021
Gustavo Padilla	GEF Operational Focal Point for Panama	Ministry of Environment	3/3/2021
Samanthia Justin	GEF Operational Focal Point for Saint Lucia	Ministry of Education, Innovation, Gender Relations and Sustainable Development	3/22/2021



Lavern Queeley	GEF Operational Focal Point for St. Kitts and Nevis	Ministry of Sustainable Development	3/23/2021
Ivette Patterzon	GEF Operational Focal Point for Suriname	Ministry of Spatial Planning and Environment	3/23/2021
Rochelle Newbold	GEF Operational Focal Point for The Bahamas	Ministry of The Environment and Housing	3/22/2021
Hayden Romano	GEF Operational Focal Point for Trinidad and Tobago	Environmental Management Authority	3/17/2021
Diann Black Layne	GEF Operational Focal Point for Antigua and Barbuda	Ministry of Health, Wellness and Environment	3/31/2021

#### **ANNEX A: Project Map and Geographic Coordinates**

Please provide geo-referenced information and map where the project intervention takes place

## PROGRAM/PROJECT MAP AND GEOGRAPHIC COORDINATES

15°00'00" N, 72° 00'00" W

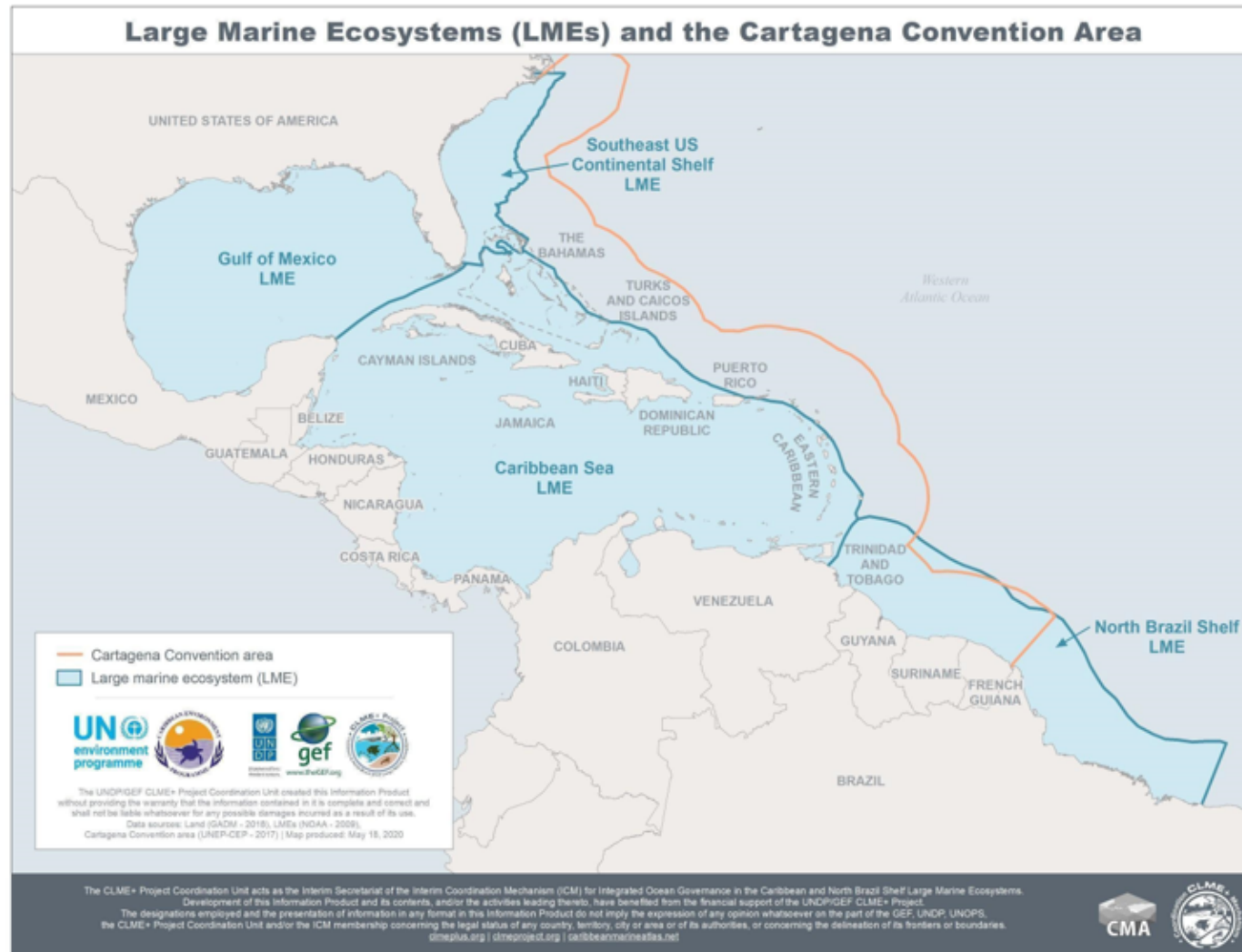


Figure 1: Map of the Project Region. The Project's main focus would be on the Caribbean and North Brazil Shelf LME's.

Whilst there is not a universally agreed definition of what the Blue Economy may look like, a number of features would likely be prominent if fully implemented in the project region

- Protection and recovery of ocean ecosystems and biodiversity would be achieved;
- Integrated cross-sectoral spatial planning, including coastal zone management, would be in place for all sea uses at both the national level and at the level of the Caribbean Sea basin;
- Fisheries and aquaculture management would achieve equitable, non-subsidised, and sustainable practices;
- Surveillance of offshore waters would be strengthened through enhanced maritime domain awareness and existing laws would be robustly enforced;
- Greater utilisation of renewable energy from the ocean would occur;
- Adaptation planning would be in place for rising sea levels and foreseeable climate change impacts;
- Existing ocean industries (e.g. shipping and offshore petroleum) would have 'greened' their activities and be ensuring that their operations cause least environmental damage and meet the highest levels of sustainable practice;
- Increasing sustainable use of bioresources, including biotechnology, to find innovative solutions to many of the regions problems would be occurring; and
- Market mechanisms would achieve dramatically enhanced recycling of major ocean pollutants such as nutrients.

If successfully implemented, a number of outcomes would be prominent:

- Achieve greater protection for the ocean space and resources through better coordination across different sectors, application of protective measures and greater use of surveillance and enforcement tools;
- Generate new research, innovation and knowledge about the ocean space and management needs to facilitate more informed decision making;
- Increased investment in existing ocean-based economic sectors and new technologies to realize greater value and efficiency from the existing resource base;
- Stimulate development of new economic sectors based on existing marine resources; and
- Increase the number of businesses operating and the number of people employed in the Blue Economy.

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