

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

Review CEO Endorsement and Make a recommendation

Basic project information

GEF ID

10800

Countries

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

Project Name

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

Agencies

UNDP

Date received by PM

8/18/2022

Review completed by PM

10/21/2022

Program Manager

Taylor Henshaw

Focal Area

International Waters

Project Type

FSP

PIF
CEO Endorsement

Part I ? Project Information

Focal area elements

1. Does the project remain aligned with the relevant GEF focal area elements as presented in PIF (as indicated in table A)?

Secretariat Comment at CEO Endorsement Request

24th of August 2022 (thenshaw): Yes.

Agency Response

Project description summary

2. Is the project structure/design appropriate to achieve the expected outcomes and outputs as in Table B and described in the project document?

Secretariat Comment at CEO Endorsement Request

24th of August 2022 (thenshaw): Yes, but please address the following:

- (1) The GEF financing (4.74%) and co-financing (2.54%) contributions to PMC are not proportional. Please revise accordingly.
- (2) Please remove cents from Table B and other tables
- (3) Please add an M&E outcome and outputs to Table B
- (4) Please ensure Table B and the Budget Table figures are congruent. There are slight discrepancies in the totals.

10th of August 2022 (thenshaw):

- (1) Addressed.
- (2) Addressed.
- (3) Addressed.
- (4) Addressed.

Agency Response

8th of September 2022 (UNDP):

- (1) The GEF financing (4.74%) and co-financing (2.54%) contributions to PMC are not proportional. Please revise accordingly.

Changes were done in the CEO Endorsement section and the Prodoc, all of them highlighted in yellow.

- (2) Please remove cents from Table B and other tables

Please note that cents are automatically included by the platform. See image below where inputs from UNDP are entered without decimals:

1.1.1.b. Wide-ranging multi-stakeholder partnership(s) operational by latest end of 2023

Trust Fund	GEF Project Financing(\$)	Confirmed Co-Financing(\$)
GEF Trust Fund	2076469	13764709

Save Cancel

COMPON	Technical	Coordinated,	1.1.1.a. A regional	GET	2,076,469.00	13,764,709
--------	-----------	--------------	---------------------	-----	--------------	------------

(3) Please add an M&E outcome and outputs to Table B

Project Monitoring & Evaluation was added as a 5th Project Component under Table B, with its corresponding outcome and outputs. Changes to reflect the addition of an M&E component were also made to the project's Results Framework, Theory of Change Diagram, M&E Framework, in the narrative describing the components (Expected Results Section in CEO Endorsement Letter and Section IV on Results and Partnerships in ProDoc) and the multi-year workplan. All these changes are highlighted in yellow

(4) Please ensure Table B and the Budget Table figures are congruent. There are slight discrepancies in the totals.

Figures were revised and are matching

3. If this is a non-grant instrument, has a reflow calendar been presented in Annex D?

Secretariat Comment at CEO Endorsement Request N/A

Agency Response

Co-financing

4. Are the confirmed expected amounts, sources and types of co-financing adequately documented, with supporting evidence and a description on how the breakdown of co-financing was identified and meets the definition of investment mobilized, and a description of any major changes from PIF, consistent with the requirements of the Co-Financing Policy and Guidelines?

Secretariat Comment at CEO Endorsement Request

24th of August 2022 (thenshaw): Partly

(1) In the field below Table C please describe what each of the fourteen "Grants" classified as "Investment Mobilized" are/how they are sourced.

(2) In Table C, the name of each co-financier must match the name of the co-financier in the respective co-financing letter. Please do not group co-financing figures for countries (i.e., each ministry has its own line or lines if contributing both in-kind and investment mobilized). Please also double check totals.

(3) Please spell out all acronyms in Table C.

10th of September 2022 (thenshaw)

(1) Partly. Please add the explanation of the grant/investment mobilized from the Ministry of Environment and Energy, Costa Rica (\$3M).

(2) Addressed.

(3) Addressed.

13th of September 2022 (thenshaw):

(1) Addressed.

23rd of September 2022 (thenshaw):

Belize, Ministry of Blue Economy and Civil Aviation: please switch the co-financing amount as per the co-financing letter

2 of October 2022 (thenshaw):

Partially addressed. Classification is now "Grant/Recurrent Expenditures" and "In-Kind/Investment Mobilized". Please change to "Grant/Investment Mobilized" and "In-Kind/Recurrent Expenditures"

4th of October 2022 (thenshaw): Addressed.

Agency Response

8th of September 2022 (UNDP):

(1) In the field below Table C please describe what each of the fourteen "Grants" classified as "Investment Mobilized" are/how they are sourced.

A narrative, highlighted in yellow, has been added below Table C to describe the source and a brief explanation of the co-financing "Grants" classified as "Investment Mobilized". More details also can be found in Table 7 of the CEO Endorsement Letter.

(2) In Table C, the name of each co-financier must match the name of the co-financier in the respective co-financing letter. Please do not group co-financing figures for countries (i.e., each ministry has its own line or lines if contributing both in-kind and investment mobilized). Please also double check totals.

The name of the co-financier has been modified to match the names in the co-financing letters. Each co-financing type has been added in a separate line. Totals have been checked. All these changes are highlighted in yellow in the CEO Endorsement and the Prodoc+annexes.

(3) Please spell out all acronyms in Table C.
All acronyms have been spelled-out.

12th of September 2022 (UNDP):

(1) An explanation has been added for the grant mobilized from the Ministry of Environment of Costa Rica. This addition is highlighted in green.

29th September 2022 (UNDP):

Cofinancing amount was switched as requested, and change highlighted in blue.

3rd October 2022 (UNDP)

Co-financing table has been updated.

GEF Resource Availability

5. Is the financing presented in Table D adequate and does the project demonstrate a cost-effective approach to meet the project objectives?

Secretariat Comment at CEO Endorsement Request 24th of August 2022
(thenshaw): Yes

Agency Response

Project Preparation Grant

6. Is the status and utilization of the PPG reported in Annex C in the document?

Secretariat Comment at CEO Endorsement Request
24th of August 2022 (thenshaw): Partly

(1) The Annex C Table does not display the status and utilization appropriately. Please display status and utilization for each line item. Please also fix the bulleting format to avoid confusion.

10th of September 2022 (thenshaw):

(1) Addressed.

Agency Response

8th of September 2022 (UNDP):

(1) The Annex C has been revised to include the status and utilization for each line item. The formatting has been revised to avoid confusion. Changes are highlighted in yellow.

Core indicators

7. Are there changes/adjustments made in the core indicator targets indicated in Table E? Do they remain realistic?

Secretariat Comment at CEO Endorsement Request

24th of August 2022 (thenshaw): Partly

(1) In the field below Table E, please explain how each target is derived, including methodology.

(2) Please provide the reasoning for each change to Core Indicator targets between PIF stage and CEO Endorsement Request stage

(3) Please name protected areas, including WDPA IDs and IUCN Categories under Indicator 2.2, if applicable.

10th of September 2022 (thenshaw)

(1) Addressed.

(2) Addressed.

(3) Addressed.

Agency Response

8th of September 2022 (UNDP):

(1) In the field below Table E, please explain how each target is derived, including methodology.

The methodology for each core indicator has been described below Table E, and highlighted with yellow.

(2) Please provide the reasoning for each change to Core Indicator targets between PIF stage and CEO Endorsement Request stage

The reasoning for each change to Core Indicator targets between PIF stage and CEO endorsement request has been explained below table E and highlighted with yellow.

(3) Please name protected areas, including WDPA IDs and IUCN Categories under Indicator 2.2, if applicable.

Actions on MPA's to be supported by PROCARIBE+ will focus on enhancing area-based ocean conservation in areas outside existing MPAs, with the exception of the newly created Cordillera Beata Marine Protected Area in Colombia, which at the time of submission of the PROCARIBE+ Project, did not appear in the WDPA. So, the IUCN Category for this MPA has been included below table E, highlighted in yellow.

Part II ? Project Justification

1. Is there a sufficient elaboration on how the global environmental/adaptation problems, including the root causes and barriers, are going to be addressed?

Secretariat Comment at CEO Endorsement Request

24th of August 2022 (thenshaw): Yes

Agency Response

2. Is there an elaboration on how the baseline scenario or any associated baseline projects were derived?

Secretariat Comment at CEO Endorsement Request

24th of August 2022 (thenshaw): Yes

Agency Response

3. Is the proposed alternative scenario as described in PIF/PFD sound and adequate? Is there sufficient clarity on the expected outcomes and components of the project and a description on the project is aiming to achieve them?

Secretariat Comment at PIF/Work Program Inclusion

August 29th 2022 (thenshaw): Yes

Agency Response

4. Is there further elaboration on how the project is aligned with focal area/impact program strategies?

Secretariat Comment at CEO Endorsement Request

29th of August 2022 (thenshaw): Yes

Agency Response

5. Is the incremental reasoning, contribution from the baseline, and co-financing clearly elaborated?

Secretariat Comment at CEO Endorsement Request

29th of August 2022 (thenshaw): Yes

Agency Response

6. Is there further and better elaboration on the project's expected contribution to global environmental benefits or adaptation benefits?

Secretariat Comment at CEO Endorsement Request

29th of August 2022 (thenshaw): Yes

Agency Response

7. Is there further and better elaboration to show that the project is innovative and sustainable including the potential for scaling up?

Secretariat Comment at CEO Endorsement Request

29th of August 2022 (thenshaw): Yes

Agency Response

Project Map and Coordinates

Is there an accurate and confirmed geo-referenced information where the project intervention will take place?

Secretariat Comment at CEO Endorsement Request

29th of August 2022 (thenshaw): Yes

Agency Response

Child Project

If this is a child project, is there an adequate reflection of how it contributes to the overall program impact?

Secretariat Comment at CEO Endorsement Request

N/A

Agency Response

Stakeholders

**Does the project include detailed report on stakeholders engaged during the design phase?
Is there an adequate stakeholder engagement plan or equivalent documentation for the implementation phase, with information on Stakeholders who will be engaged, the means of engagement, and dissemination of information?**

Secretariat Comment at CEO Endorsement Request

29th of August 2022 (thenshaw): Yes, but please address the following:

(1) Please include a reporting on stakeholders engaged during the design phase directly in this section. This is captured in Annexes 9 and 12.

(2) The following sub-section is blank. "In addition, provide a summary on how stakeholders will be consulted in project execution, the means and timing of engagement, how information will be disseminated, and an explanation of any resource requirements throughout the project/program cycle to ensure proper and meaningful stakeholder engagement". Please reorganize the Stakeholder section and draw upon the Stakeholder Engagement Plan Annex 9 to ensure this sub-section is adequately populated.

10th of September 2022 (thenshaw):

(1) Addressed.

(2) No. The section is now populated with information about the stakeholder engagement process during the PPG period. Please populate this section with information on stakeholder engagement in project execution.

13th of September 2022 (thenshaw):

(2) Addressed.

Agency Response

8th of September 2022 (UNDP):

(1) A summary of the stakeholder engagement activities conducted during the PIF development and PPG phases has been included in the CEO Endorsement (see p. 165) and highlighted in yellow.

(2) This is now included in the correct section, highlighted in yellow.

12th of September 2022 (UNDP):

(2) The section has now been populated with information on the stakeholder engagement process planned for project execution. Information included is highlighted in green.

Gender Equality and Women's Empowerment

Has the gender analysis been completed? Did the gender analysis identify any gender differences, gaps or opportunities linked to project/program objectives and activities? If so, does the project/program include gender-responsive activities, gender-sensitive indicators and expected results?

Secretariat Comment at CEO Endorsement Request

29th of August 2022 (thenshaw): Yes

Agency Response

Private Sector Engagement

If there is a private sector engagement, is there an elaboration of its role as a financier and/or as a stakeholder?

Secretariat Comment at CEO Endorsement Request

29th of August 2022 (thenshaw): Yes

Agency Response

Risks to Achieving Project Objectives

Has the project elaborated on indicated risks, including climate change, potential social and environmental risks that might prevent the project objectives from being achieved? Were there proposed measures that address these risks at the time of project implementation?

Secretariat Comment at CEO Endorsement Request

29th of August 2022 (thenshaw): Partly

(1) Please include the Annex 15 Covid-19 opportunity and risk analysis under the risks section of the CEO Request Document so the GEF Council can read the file as a standalone document.

10th of September 2022 (thenshaw):

(1) Addressed.

Agency Response

8th of September 2022 (UNDP):

(1) Included in p. 196 of the CEO Endorsement and highlighted in yellow.

Coordination

Is the institutional arrangement for project implementation fully described? Is there an elaboration on possible coordination with relevant GEF-financed projects and other bilateral/multilateral initiatives in the project area?

Secretariat Comment at CEO Endorsement Request

29th of August 2022 (thenshaw): Partly

(1) Please elaborate on the planned coordination with other relevant GEF-financed projects and other initiatives, including the Caribbean BlueFin project, CRAB project, Pew Charitable Trusts, BE-CLME+ project and the Blue Nature Alliance etc.

(2) Please explain the exceptional arrangement for project execution of activities in Venezuela, with justification and explanation of internal procedures to set up a firewall to separate project implementation and execution duties and to ensure financial management segregation of duties. It is noted that the letter of support for this execution arrangement from the Venezuela OFP is present as Annex 2 to the ProDoc.

10th of September 2022 (thenshaw):

(1) Addressed.

(2) Addressed.

Agency Response

8th of September 2022 (UNDP):

(1) A section on the planned coordination with other relevant GEF-financed projects and other initiatives, including the Caribbean BlueFin project, CRAB project, Pew Charitable Trusts, BE-CLME+ project and the Blue Nature Alliance has been added at the end of the section pertaining to institutional arrangements in the CEO Endorsement Letter and in Section VII on Governance and Management Arrangements of the ProDoc. The changes have been highlighted in yellow.

(2) A section has been added and highlighted in yellow (see page 203 of the CEO Endorsement and page 182 in the prodoc) to explain why the UNDP Venezuela office was pre-selected as the most viable option to execute the outputs in Venezuela. An explanation of internal set up between UNOPS and UNDP for project oversight and execution was provided.

Consistency with National Priorities

Has the project described the alignment of the project with identified national strategies and plans or reports and assessments under the relevant conventions?

Secretariat Comment at CEO Endorsement Request

29th of August 2022 (thenshaw): Yes

(1) Please remove text duplication

10th of September 2022 (thenshaw):

(1) Addressed.

Agency Response

8th September 2022 (UNDP):

(1) duplicated text has been removed.

Knowledge Management

Is the proposed Knowledge Management Approach for the project adequately elaborated with a timeline and a set of deliverables?

Secretariat Comment at CEO Endorsement Request

29th of August 2022 (thenshaw): Partly

(1) Please present the budget, key deliverables and timeline in a table in this section.

10th of September 2022 (thenshaw):

(1) Addressed. However, the table does not display properly in the portal. Rather than pasting the table from Word, please upload a screenshot(s) to avoid the formatting issue.

13th of September 2022 (thenshaw)

(1) Addressed.

Agency Response

8th September 2022 (UNDP):

(1) As requested, an overview table has been inserted at the end of this section (p. 216), showing the different outputs, key activities, and associated timelines and budgets.

12th September 2022 (UNDP):

Changes done in the portal, as suggested.

Environmental and Social Safeguard (ESS)

Are environmental and social risks, impacts and management measures adequately documented at this stage and consistent with requirements set out in SD/PL/03?

Secretariat Comment at CEO Endorsement Request

29th of August 2022 (thenshaw): Yes. An ESMF is also present in the portal (Annex 10).

Agency Response

Monitoring and Evaluation

Does the project include a budgeted M&E Plan that monitors and measures results with indicators and targets?

Secretariat Comment at CEO Endorsement Request

29th of August 2022 (thenshaw): Yes

Agency Response

Benefits

Are the socioeconomic benefits at the national and local levels sufficiently described resulting from the project? Is there an elaboration on how these benefits translate in supporting the achievement of GEBs or adaptation benefits?

Secretariat Comment at CEO Endorsement Request

29th of August 2022 (thenshaw): Yes

Agency Response

Annexes

Are all the required annexes attached and adequately responded to?

Secretariat Comment at CEO Endorsement Request

29th of August 2022 (thenshaw): Yes. And all ProDoc Annexes are included in ProDoc or have been uploaded to Portal.

23rd of September 2022 (thenshaw):

Budget:

(1) The following positions are charged to both PMC and components: Regional Coordinator / Lead Technical Advisor (RC/LTA); Operations and Liaisons Support Assistant (OLA); Operations and Liaisons Support Manager (OLM); Senior Project Officer # 1 (SPO1). Per Guidelines, the costs associated with the project's execution have to be covered by the GEF portion and the co-financing portion allocated to PMC. For this project, the co-financing portion allocated to PMC is 5.9 million, and nearly 79 million of the co-financing are represented in grants - please use the co-financing

portion or explore other possibilities (Agency's own-managed trust funds or funds from other co-financiers) to cover the costs associated with the project's execution (project's staff). Associated with this, there are \$290,795 from PMC allocated to Steering Committee meetings that can be utilized to cover the above mentioned positions.

(2) Also Office supplies are charged to project's components but should be charged to PMC

2nd of October 2022 (thenshaw):

(1) Addressed.

(2) Partially addressed. Table B GEF financing totals for some components no longer match the Budget Table totals. Please revise accordingly.

4th of October 2022 (thenshaw)

(2) Addressed.

Agency Response

29th September 2022 (UNDP):

Response to (1): (see changes in documentation highlighted in light blue)

In the setup of the project, cost associated with project management are fully covered by the PMC share of the project budget. While fully respecting the 5% cap on PMC, solid project management arrangements are secured. The approach used to achieve this is explained in detail here below:

The CEO endorsement request document, on page 208, section 'Project Management - Execution of the Project', describes the concept of a 'Project Management and Coordination Unit' (PMCU), which combines and at the same time differentiates between the project management functions of the Unit and its staff (fully charged to the PMC budget) and the very substantive role of the PMCU and its staff in providing solid advocacy and technical advisory and coordination/execution support services for the project (charged to the 4 project components). Please note how the 'Project Management Unit' (PMU) is thus embedded within and a part of the wider PMCU.

Zooming in on the PMU, Table 11 on page 209 summarizes the contributions of the PM, OLSM, OLSA and deputy Project Manager (dPM) roles (the latter a part-time role of the Senior Project Officer position, SPO1) to project management, together with the corresponding amount of person-months allocated to each of these roles (fully charged to PMC). The table highlights the advanced levels of delegation of responsibilities, applied wherever deemed feasible and justified as a means to achieve high levels of cost-efficiency in the use of available PMC funds.

A copy of this table is included below, and now also shows how, combined, these 4 PMCU positions, through their part-time project management roles, will invest a **solid 54 person-months in project management activities** - nearly the equivalent of 1 full-time position, for the full duration of the project.

The table further shows how the project management activities of the PMU will be supported and complemented by 3 part-time M&E roles, adding an extra 15 person-months (covered by the M&E budget), and leading to a **total investment of 69 person-months in project management and M&E**.

<u>Role</u>	<u>Description</u>	<u>Levels of the PMCU Position specifically dedicated to Project Management and/or M&E tasks</u>		
Project Manager (PM/RC/LTA position)	Lead and oversee the overall management of the project, pursuing cost-efficiency and effectiveness in project management by making optimal use of available HR through advanced levels of delegation, while ensuring compliance with UNOPS' project management standards (UNOPS Project Management Manual) and all applicable GEF, UNDP and UNOPS rules and regulations, and Project Board decisions.	5 person-months (PMC budget)	10	54 person-months from PMC budget
Deputy Project Manager (SPOI position)		5 person-months (PMC budget)		
Operations and Liaisons Support & Finance Manager (OLSM position)	The OSLM will directly support the PM, especially on operational and financial matters. The OSLM is expected to bring in substantive, (certified) project management/people leadership experience, ideally supported by strong language and relations management skills.	20 person-months (PMC budget)	44	
Operations and Liaisons Support & Finance Assistant (OLSA position)	The OSLA will have a major role in the day-to-day management of the project and directly support the PM and OSLM, especially on operational and financial matters, and record-keeping.	24 person-months (PMC budget)		
M&E Specialist	Monitoring & evaluation required to report on progress made in reaching GEF core indicators and project results included in the project results framework + preparation of the annual GEF Project Implementation Report (PIR)	7.5 person-months (M&E budget)	15	15 person-months from M&E budget
Gender Specialist*	Monitoring & evaluation of the Project Gender Action Plan, as per the project M&E requirements.	2.5 person-months (M&E budget)		

Safeguards Specialist*	Monitoring & evaluation of the Project Safeguards Management Framework/Action Plans, as per the project M&E requirements.	5 person-months (M&E budget)		
Sum = 69 person-months				

It is further noted that the first 4 PMCU staff positions mentioned in the above table are full-time positions, and that the dedication levels (number of person-months) listed in this table only refer to the time that will be dedicated to project management (i.e. the staff's project management support role).

Time not allocated to project management under these positions is required to support and achieve the successful delivery of the full set of project activities and corresponding project outputs under the PROCARIBE+ Results Framework. The very substantive 'technical assistance' roles of these 4 positions are described in detail in the PMCU staff's terms of reference ('Duties and Responsibilities') contained in Annex 8 of the UNDP Project Document, and are deemed essential to address the high levels of complexity of the project, its target region and wide-ranging stakeholder community (note: Annex 8 also describes the PMU staff responsibilities under their project management roles in much greater detail than in the table copied here above).

Particular reference is also made to the role of the PMCU, for the duration of the Project, as the (interim) Secretariat of the regional Ocean Coordination Mechanism OCM ('Coordination Mechanism to Support Integrated Ocean Governance in the Caribbean and North Brazil Shelf Large Marine Ecosystems') - to be established under Project Output 1.1. and strongly tied to other key outputs (e.g. the new regional TDA and SAP) under especially (but not exclusively) Project Components 1 and 4.

Without copying the substantive levels of detail contained in Annex 8, the below tables provide a quick overview of the split in dedication levels of the 4 positions between their 'project management' and 'technical assistance' roles, with a breakdown of the investments (expressed both as person-months and as percentage) per project component, and also indicating dedication levels to the work of the OCM.

From these tables, it can be seen how, on average, a **solid 23% of the time of these core PMCU positions is dedicated to project management ? with up to 40% in the case of the OSLA.**

The last table summarizes the role of the 4 positions in technical project execution (Note: values in all tables are approximate; inclusion of rounded values is a cause of apparent slight differences with sums).

		SUM			pe	
		person-months			C1	
Project Manager	Project Management (PM)	60	5	5	← F	
RC/LTA (Director, OCM)	Ocean Coordination Mechanism (OCM)		28	55	15.8	
RC/LTA	other Technical Assistance (oTA)		27			
OLSM (PM support)	Project Management (PM)	60	20	20	← F	
OLSM (OCM support)	Ocean Coordination Mechanism (OCM)		22	40	10.6	
OLSM (oTA)	other Technical Assistance (oTA)		18			
OLSA (PM support)	Project Management (PM)	60	24	24	← F	
OLSA (OCM support)	Ocean Coordination Mechanism (OCM)		18	36	8.2	
OLSA (oTA)	other Technical Assistance (oTA)		18			
SPO1 (dPM - PM support)	Project Management (PM)	60	5	5	← F	
SPO1 (OCM support)	Ocean Coordination Mechanism (OCM)		18	55	7.9	
SPO1	other Technical Assistance (oTA)		37			
		240	54	person-m		
			100	86	person-m	
				100	person-m	
		100		23	project m	
			78	tech coord (incl. OCM)		
			*equivalent of 1 person nee dedicated to project manag the project's lifespan			

	PERCENTAGE (%) of full-time position dedicated							OCM	
	PM	C1	C2	C3	C4	SUM			
Project Manager	8.3	26.3	11.9	33.5	20.0	100	47		
RC/LTA (Director, OCM)									
RC/LTA									
OLSM (PM support)	33.3	17.6	4.5	21.9	22.6	100	37		
OLSM (OCM support)									
OLSM (oTA)									
OLSA (PM support)	40.0	13.7	8.6	18.7	19.0	100	30		
OLSA (OCM support)									
OLSA (oTA)									
SPO1 (dPM - PM support)	8.3	13.1	8.6	56.9	13.1	100	29		
SPO1 (OCM support)									
SPO1									

note: the Coordination M... its Secretaria... through PR... Componer... cost-efficien... Project Coord... fulfill the functi... for the durat... Project Output... and most Pr... Component 4 (outputs") are t... the OCM an... addition, sever... coordination e... Outputs under... are also to be... through the O... The perso... dedicated to t... of the person-r... project's 4 te... with the larges... to Comp

Project Component & Output	Regional Coordinator/Lead Technical Advisor (RC/LTA)			
	<p>Given the wide-ranging geographic and thematic scope of the project, and the need for strong thematic and geographic integration and coordination, this function is expected to bring in vision, strong leadership experience, and diplomatic and advocacy skills, as well as solid and wide-ranging technical knowledge, institutional memory and established networks from the UNDP/GEF CLME and CLME+ Projects, supported by strong language management (English, Spanish, other regional languages) and relations management skills, all of which will be critical to the successful delivery on the project objective, outcomes and outputs. The function will combine a high-level representative and advocacy element with leadership in terms of strategy and technical advice and support, and a strong coordination role across multiple geographic scales -from local to (sub-)regional to global- and across thematic/sectoral boundaries, to ensure coherence and synergies among all project components, outcomes, outputs and activities.</p>			
person-months (approximate/ rounded) and role				
C1	1.1.1.a OCM	15.8	7.2	Lead/coordinate the efforts to operationalize the Ocean

	1.1.1.b Partnerships		4.2	Coordination Mechanism (OCM), and exercise all the responsibilities of the OCM Director/Head of the OCM Secretariat, for the duration of the project; lead/coordinate the efforts to mobilize and link non-governmental stakeholders to the OCM (creation of partnerships, organization of partnership fora) and the new iteration of the TDA/SAP process; provide leadership, institutional memory, advocacy, strategic vision and technical inputs/support/oversight/quality control for the delivery of the outputs under Component 1; secure high-level political support and endorsements (26 countries, 18 overseas territories)
	1.1.2 new SAP		4.4	
C2	2.1.1 NICs	7.1	1.5	Provide leadership, institutional memory, advocacy, strategic vision and technical inputs/support/oversight/quality control for the delivery of the outputs under Component 2. Conduct advocacy for enhanced national intersectoral committees (NICs) and pursue the necessary interfaces between the NICs and the regional OCM. Advocacy for upscaled integration of marine and coastal nature capital in the 2025 NDC updates. Secure linkages between project activities under this component and the work of the OCM, with a view of promoting knowledge exchange, upscaling, replication and programmatic coordination.
	2.1.2 national SOMEEs/BE/NCA		1.7	
	2.1.3 Training & Capacity Building		1.7	
	2.1.4 NDCs		2.1	
C3	3.1.1.a Microfinancing (SGP)	20.1	0.7	Provide leadership, institutional memory, advocacy, strategic vision and technical inputs/support/oversight/quality control for the delivery of the outputs under Component 3. Conduct advocacy, including through the OCM and the interim Fisheries Coordination Mechanism, for upscaled ambitions relative to MPA's and OECMs, Marine Spatial Planning, Blue Economy Planning and Blue Carbon, and sustainable fisheries. Secure linkages between project activities under this component and the work of the OCM, with a view of promoting knowledge exchange, upscaling, replication and programmatic coordination. Provide substantive technical backstopping in support of the delivery of the project outputs under Component 3.
	3.1.1.b Microfinancing (other)		0.7	
	3.2.1. Blue carbon		1.5	
	3.3.1.a BE & MSP (pilot)		2.9	
	3.3.1.b BE & MSP (advocacy)		4.6	
	3.3.2 MPA & OECM		5.2	
	3.4.1.a Traceability (national)		0.8	
	3.4.1.b Traceability (regional)		1.4	
	3.5.1.a Fishing gear (national)		1.5	
	3.5.1.b Fishing gear (regional)		1.0	
C4	4.1.1 OCM Hub	12.0	3.0	Provide leadership, institutional memory, advocacy, strategic

4.1.2.a Blueprint MDI (design)	2.0	vision and technical inputs/support/oversight/quality control for the delivery of the outputs under Component 4. As Director of the OCM and Senior Expert, provide institutional memory, leadership and strategic vision for the design of the Hub, wide-ranging advocacy for its (formal) adoption by the OCM and Partnerships membership as a reference knowledge hub/portal on oceans for the wider Caribbean, ensure linkages with relevant global initiatives, directly provide content + conduct networking in support of wide-ranging mobilization of content, supervise and provide direction to HR engaged in Hub development, etc. Deploy strategic vision and leadership to articulate and implement a strategic alliance with IW:LEARN, to the benefit of (a) PROCARIBE+; (b) wider Caribbean region and (c) the global GEF IW Portfolio and international marine/LME community. Provide inputs for knowledge management and dissemination e.g. through IW:LEARN events and best practice/experience notes.
4.1.2.b Blueprint MDI (impl)	2.0	
4.1.3 TDA / SOME E	2.0	
4.2.1 Alliance IWLearn	1.5	
4.2.2 participation IWLearn	1.0	
4.2.3 dissemination Best Practices	0.5	

Project Component & Output		Senior Project Officer (SPO1)		
		Given the wide-ranging geographic and thematic scope of the project, and the need for strong thematic and geographic integration and coordination, this function is expected to support and complement the contributions of the RC/LTA and expand his/her reach and capacity, by bringing in substantive technical expertise, especially on the matters pertaining to Project Component 3 (blue carbon/MPA's/MSP/fisheries). The SPO1 will also act as the deputy RC/LTA.		
		person-months (approximate/ rounded) and role		
C1	1.1.1.a OCM	7.9	2.6	Lead, oversee, support and/or directly contribute to (as requested by and agreed upon with the LTA/RC and internally coordinated among the PMCU technical staff) the technical project activities directly implemented by the PMCU (i.e. excluding those to be executed by co-executing partners) (major focus: Project Components 1 and 4, and selected elements of Component 3)
	1.1.1.b Partnerships		2.6	
	1.1.2 new SAP		2.6	
C2	2.1.1 NICs	5.2	0.8	Oversee, provide technical advice and support, exercise technical quality control and compliance checks, and pursue/promote coherence and synergies among the technical project activities executed by consultants, contractors and co-executing partners (major focus on Project Components 2 and 3)
	2.1.2 national SOME E s/BE/NCA		1.6	
	2.1.3 Training & Capacity Building		1.4	
	2.1.4 NDCs		1.4	Provide substantive technical advice and backstopping support to co-executing partners (all Components, with major focus on Component 3)
C3	3.1.1.a	34.1	1.3	

	Microfinancing				
	3.2.1. Blue carbon		3.1		Liaise with project participants, stakeholders and beneficiaries on technical matters within the competencies and specialities of the SPO Support other PMCU team members and consultants/retainers (e.g. the Knowledge Management Specialist, the Communications Specialist, the Gender, Safeguards and Participation Specialist, the Facilitator, IT support, Web Development Support, Graphic Designer,...) by providing the technical angle and inputs to their activities and deliverables
	3.3.1. BE & MSP		13.9		
	3.3.2 MPA & OECM		8.7		
	3.4.1. Traceability		3.5		
	3.5.1. Fishing gear		3.5		
C4	4.1.1 OCM Hub	7.9	1.1		
	4.1.2. Blueprint MDI		2.2		
	4.1.3 TDA / SOMEE		1.1		
	4.2.1 Alliance IWLearn		1.1		
	4.2.2 participation IWLearn		1.1		
	4.2.3 dissemination Best Practices		1.1		

Project Component & Output	Operations and Liaisons Support & Finance Manager (OLSM)
	<p>As a core member of the regional Ocean Coordination Mechanism (OCM) interim Secretariat, and with the PROCARIBE+ PMCU expected to execute the function of OCM Secretariat for the duration of the PROCARIBE+ Project, approximately ? of the time of the OSLM and OSLA (full-time PROCARIBE+ PMCU positions) will be dedicated to supporting the operations of the regional Ocean Coordination Mechanism, its organs (i.e. Steering Group, Executive Group and Secretariat) and Working Groups. While operations of the OCM most closely relate to the deliverables under Components 1 and 4, linkages between activities and outputs under Components 2-3 and the OCM will also be pursued.</p> <p>In the pursuance of a strong but at the same time cost-effective and efficient PMCU, the ?other technical project activity support? elements of the OSLM and OSLA positions (i.e. those that go beyond the OCM support function related to Output 1.1.1.a and other OCM-associated project outputs) will complement the technical support provided by the LTA/RC and SPO functions towards the delivery of all project outputs, whenever such technical support falls within the skillset and competencies of respectively the OSLM and OSLA positions</p>

		person-months (approximate/ rounded) and role		
C1	1.1.1.a OCM	10.6	3.5	<p>Support the operations of the OCM Secretariat and its organs, and the delivery of OCM-related outputs under C1. Support related multi-lingual networking activities. The OSLM will be supported in the execution of these functions by the OSLA, with the OSLM in a lead and oversight role, and with due delegation of tasks to the OSLA with a view of pursuing cost-efficiency.</p> <p>In the pursuance of a strong but at the same time cost-effective and efficient PMCU, the ?other technical project activity support? elements of the OSLM position (i.e. those that go beyond the OCM support functions under Component 1 and other OCM-associated project outputs under Components 2-4) will complement the technical support provided by the LTA/RC and SPO functions towards the delivery of all project outputs, whenever such technical support falls within the skillset and competencies of respectively the OSLM and OSLA positions.</p> <p>Such support will entail, but not necessarily be limited to, e.g. support for the planning, organization and execution of technical workshops, partnership fora and special events, and related networking and multi-lingual communication requirements (see the corresponding elements of the activities lists under the description of the project outputs, Section IV of the Project Document), support for the preparation of powerpoint, technical project meeting materials and reports, in-house translation support (when deemed feasible and cost-effective), etc.</p> <p>Support for the design and population of the OCM Hub, input collection for the MDI blueprint, the development of the new TDA?s.</p> <p>Inputs into the knowledge management processes, including through engagement with IW:LEARN and the wider marine community.</p>
	1.1.1.b Partnerships		3.5	
	1.1.2 new SAP		3.5	
C2	2.1.1 NICs	2.7	0.5	
	2.1.2 national SOMEES/BE/NCA		0.5	
	2.1.3 Training & Capacity Building		1.1	
	2.1.4 NDCs		0.5	
C3	3.1.1. Microfinancing (SGP)	13.1	0.6	
	3.2.1. Blue carbon		1.1	
	3.3.1. BE & MSP (pilot + advocacy)		6.1	
	3.3.2 MPA & OECM		3.3	
	3.4.1. Traceability		1.0	
	3.5.1. Fishing gear		1.0	
C4	4.1.1 OCM Hub	13.6	2.7	
	4.1.2. Blueprint MDI		5.4	
	4.1.3 TDA / SOMEES		3.3	
	4.2.1 Alliance IWLearn		0.5	
	4.2.2 participation IWLearn		0.8	
	4.2.3 dissemination Best Practices		0.8	

Project Component & Output		Operations and Liaisons Support & Finance Assistant (OLSA)		
		person-months (approximate/ rounded) and role		
C1	1.1.1.a OCM	8.2	2.7	<p>As a core member of the regional Ocean Coordination Mechanism (OCM) interim Secretariat and as an assistant to the RC/LTA (OCM Director) and OSLM, the OSLA (full-time PROCARIBE+ PMCU position) will dedicate approximately ? of his/her time to supporting the operations of the Ocean Coordination Mechanism (OCM), its organs (i.e. Steering Group, Executive Group and Secretariat) and Working Groups.</p> <p>While operations of the OCM most closely relate to the deliverables under Components 1 and 4, linkages between activities and outputs under Components 2-3 and the OCM will also be pursued.</p> <p>In the pursuance of a strong but at the same time cost-effective and efficient PMCU, the ?other technical project activity support? elements of the OSLA position (i.e. those that go beyond the OCM support function related to Output 1.1.1.a and other OCM-associated project outputs) will complement the technical work conducted by the LTA/RC, SPO and OSLM functions towards the delivery of all project outputs, whenever such technical support falls within the skillset and competencies of the OSLA.</p> <p>Such support will entail, but not necessarily be limited to, e.g. support for the planning, organization and execution of technical workshops, partnership fora and special events (see the corresponding elements of the activities lists under the description of the project outputs, Section IV of the Project Document), support for the preparation of powerpoint, technical project meeting materials and reports, in-house translation support (when deemed feasible and cost-effective), etc.</p>
	1.1.1.b Partnerships		2.7	
	1.1.2 new SAP		2.8	
C2	2.1.1 NICs	5.2	1.1	
	2.1.2 national SOMEES/BE/NCA		1.1	
	2.1.3 Training & Capacity Building		1.9	
	2.1.4 NDCs		1.1	
C3	3.1.1. Microfinancing (SGP)	11.2	0.6	
	3.2.1. Blue carbon		1.1	
	3.3.1. BE & MSP (pilot + advocacy)		4.7	
	3.3.2 MPA & OECM		2.7	
	3.4.1. Traceability		1.0	
	3.5.1. Fishing gear		1.0	
C4	4.1.1 OCM Hub	11.4	2.4	
	4.1.2. Blueprint MDI		4.8	
	4.1.3 TDA / SOMEES		2.4	
	4.2.1 Alliance IWLearn		0.5	
	4.2.2 participation IWLearn		0.5	

4.2.3 dissemination Best Practices	0.5
---------------------------------------	-----

Note: in the UNPD Project Document budget notes, the OSLM and OSLA positions had been abbreviated as OLM and OLA. For the sake of consistency and to avoid confusion, the acronyms used in the budget notes have now been corrected to match the acronyms used for these positions elsewhere in the Project Document (budget notes 4, 14, 24, 34 and 45). In a similar way, in budget note 45, the acronym RC/LTA was used; the corresponding position is the ?PM/RC/LTA? position and the part-time function related to project management of this position is the ?PM? function ? footnote 45 has been adjusted accordingly, to avoid further confusion.

Response to (2)

Considering that office supplies are needed in support of each of the 2 key roles of the PROCARIBE+ PMCU, namely (1) ?project management? and (2) ?technical assistance? (the latter including also the substantial role of the PMCU as Secretariat of the regional Ocean Coordination Mechanism, OCM, see Output 1.1.), budget allocations for office supplies needed to be made under all 4 Project Components as well as under PMC.

It is however acknowledged that the share of total office supply costs originally allocated to PMC was too low, and the budget allocations have now been re-assessed and recalculated. Considering the PMC-eligible execution functions listed under the GEF Guidelines, the following reasonable assumption was used for this purpose: PMC budget: approx. USD 16,500, or ?20% of the project?s office supplies costs; the remaining office supply costs are distributed across the 4 Project Components, taking into account the overall complexity and tasks package under each component.

At the same time, and while it is acknowledged that the role of the Project Board will predominantly relate to the issues of project governance and project management oversight, and whereas technical matters relating to the project outputs will mostly be addressed through the OCM and other existing regional mechanisms (e.g. the meetings of the regional IGO's with relevant mandates), it is accepted that (a limited) part of the Project Board (PSC) meeting agendas can/will still deal with aspects related to technical implementation and coordination of the project activities and outputs under C1-C4. For this reason, while the share of the cost of office supplies under PMC has been increased, an equivalent amount of Project Board (PSC) meeting costs has now been moved out of the PMC budget and allocated under the 4 technical project components.

The above changes have been introduced in Section IX. Total Budget and Work Plan of the UNDP Project Document and in the associated Budget Notes. A brief explanation has also been added to the corresponding budget notes: see budget notes 6, 16, 26, 36 and 46 (office supply costs), and budget notes 3, 13, 23, 33 and 44 (Project Board/Project Steering Committee Meetings[RC1]). Annex 1. GEF Budget has also been updated accordingly.

3rd October 2022 (UNDP):

(2) Table B in the GEF portal have been updated, as well as in the CEO Endorsement request letter and highlighted in green.

Project Results Framework

Secretariat Comment at CEO Endorsement Request 29th of August 2022
(thenshaw): Yes.

Agency Response

GEF Secretariat comments

Secretariat Comment at CEO Endorsement Request
29th of August 2022 (thenshaw):

- (1) Given the number of OFP letters, please consolidate them into a single document and upload to portal.
- (2) If possible, please consolidate annexes and ProDoc as a single document and condense the file for circulation to Council.
- (3) Please address Agency- blue-highlighted text under Component 1 regarding signatures (also in ProDoc).
- (4) As mentioned above regarding the Budget Table, please ensure the grand total figures match the total figures in Table B. There are slight discrepancies between the two tables (i.e., sub-component 3.2 grand total is \$505,664 in the Budget Table and \$505,662 in Table B; sub-component 3.3 is \$5,289,791 in the Budget Table and \$5,289,790 in Table B, etc...).

10th of September 2022 (thenshaw):

- (1) Addressed.
- (2) Addressed.
- (3) Addressed.
- (4) Addressed.

23rd of September 2022 (thenshaw):

Some tables (Measures to address identified risks and Impacts, Results Framework, Responses to project reviews) are out of margins ? please amend so they will fit

2nd of October 2022 (thenshaw):

Partially addressed. The Measures to address identified risks and impacts table still runs outside the margin. Please revise accordingly.

4th of October 2022 (thenshaw): Addressed.

7th of October 2022 (thenshaw): Please enlarge font in portal budget table.

11th of October 2022 (thenshaw): Addressed.

14th of October 2022 (thenshaw): Please address the following regarding the budget table:

The budget table in Portal still is difficult to review. Please include each position in one line/row so one can assess whether each position's costs is reasonably charged to the different sources (project's components, M&E, PMC). For example, under contractual services-Individual, the Regional Coordinator should be in one line and with budget allocation across all relevant components. Please include each position under both Contractual services-Individual and under Consultants in one line/row, and show the budget allocation across components as applicable.

19th of October 2022 (thenshaw): Partially addressed. Please ensure each line in the last column of budget table is populated.

27th of October 2022 (thenshaw): Please address the following:

(1) One single position, "Project Manager/Regional Coordinator/Lead Technical Advisor" costs \$1.3 million, nearly 9% of the project's budget. Comparatively with several other projects with the same duration, this position is extremely costly. The four additional positions cost around \$2 million, totalling about \$3.3 million for five positions (representing nearly 21% of the GEF resources). Please adjust the budget for each of these positions to a much more reasonable cost. Please also consider that \$5.9 million of co-financing is allocated to PMC and \$120 million of co-financing is allocated to the technical components, with nearly \$79 million of total co-financing represented in grants, so there is room in co-financing to cover these positions.

4th of November 2022 (thenshaw): Addressed.

Agency Response

8th September 2022 (UNDP):

- (1) Given the number of OFP letters, please consolidate them into a single document and upload to portal

This is done and uploaded in the portal.

- (2) If possible, please consolidate annexes and ProDoc as a single document and condense the file for circulation to Council.

Prodoc and annexes are in one document, and file size has been reduced.

- (3) Please address Agency- blue-highlighted text under Component 1 regarding signatures (also in ProDoc).

This has been addressed as requested in both the CEO endorsement request letter and ProDoc.

- (4) As mentioned above regarding the Budget Table, please ensure the grand total figures match the total figures in Table B. There are slight discrepancies between the two tables (i.e., sub-component 3.2 grand total is \$505,664 in the Budget Table and \$505,662 in Table B; sub-component 3.3 is \$5,289,791 in the Budget Table and \$5,289,790 in Table B, etc...).

This has been addressed.

29th September 2022 (UNDP):

Margins were amended as requested.

3rd October 2022 (UNDP):

Thanks noted that the Measures to address identified risks and impacts ? under section 11 Environmental and Social Safeguards Risks was off margin. This has been fixed.

10th October 2022

Budget font has been enlarged. We have also uploaded the budget in the documents section of the portal.

18th October 2022 (UNDP)

Budget has been arranged as requested.

31st October 2022 (UNDP):

Budget has been revised and corrected, as well as Annex 8.

Council comments

Secretariat Comment at CEO Endorsement Request 29th of August 2022
(thenshaw): Yes

Agency Response
STAP comments

Secretariat Comment at CEO Endorsement Request 29th of August 2022
(thenshaw): Yes

Agency Response
Convention Secretariat comments

Secretariat Comment at CEO Endorsement Request None

Agency Response
Other Agencies comments

Secretariat Comment at CEO Endorsement Request None

Agency Response
CSOs comments

Secretariat Comment at CEO Endorsement Request None

Agency Response
Status of PPG utilization

Secretariat Comment at CEO Endorsement Request
29th of August 2022 (thenshaw): Partly

(1) As noted above, the Annex C Table does not display the status and utilization appropriately. Please display status and utilization for each line item. Please also fix the bulleting format to avoid confusion.

23rd of September 2022 (thenshaw):

The information provided does not include any kind of details on the activities funded but rather a list of outputs by component. Please provide detailed information on the funding provided used for PPG activities (salaries, travel, etc?) as it is requested in Portal.

2nd of October 2022 (thenshaw)

Addressed.

Agency Response

8 September 2022 (UNDP):

(1) The Annex C table has been revised with information on the status and utilization of PPG funds for each line item, all this highlighted with yellow. The formatting has also been modified to avoid any confusion.

29th September 2022 (UNDP):

More detailed information on the use of PPG funds, in line with the request from the GEF Secretariat, has now been included in Table C in the PROCARIBE+ CEO Endorsement Request, all highlighted in light blue.

Project maps and coordinates

Secretariat Comment at CEO Endorsement Request 29th of August 2022 (thenshaw): Yes

Agency Response

Does the termsheet in Annex F provide finalized financial terms and conditions? Does the termsheet and financial structure address concerns raised at PIF stage and that were pending to be resolved ahead of CEO endorsement? (For NGI Only)

Secretariat Comment at CEO Endorsement Request

N/A

Agency Response

Do the Reflow Table Annex G and the Trustee Excel Sheet for reflows provide accurate reflow expectations of the project submitted? Assumptions for Reflows can be submitted to explain expected reflows. (For NGI Only)

Secretariat Comment at CEO Endorsement Request N/A

Agency Response

Did the agency Annex H provided with information to assess the Agency Capacity to generate and manage reflows? (For NGI Only)

Secretariat Comment at CEO Endorsement Request N/A

Agency Response

GEFSEC DECISION

RECOMMENDATION

Is CEO endorsement recommended? (applies only to projects and child projects)

Secretariat Comment at CEO Endorsement Request

29th of August 2022 (thenshaw): No, please address above comments and resubmit.

Thank you.

10th of September 2022 (thenshaw): No, please address above comments and resubmit.

Thank you.

23rd of September 2022 (thenshaw): No, please address above comments and resubmit.

Thank you.

2nd of October 2022 (thenshaw): No, please address above comments and resubmit.

Thank you.

7th of October 2022 (thenshaw): No, please address above comment and resubmit.

Thank you.

14th of October 2022 (thenshaw): No, please address above comment and resubmit.

Thank you.

19th of October 2022 (thenshaw): No, please address budget table issue and resubmit.

Thank you.

27th of October 2022 (thenshaw): No, please address budget table issue and resubmit.

Thank you.

4th of November 2022 (thenshaw): Yes

Review Dates

**Secretariat Comment at
CEO Endorsement**

**Response to
Secretariat
comments**

First Review

**Secretariat Comment at
CEO Endorsement**

**Response to
Secretariat
comments**

Additional Review (as necessary)

CEO Recommendation

Brief reasoning for CEO Recommendations