



CEO Approval (CEO) entry ? Medium Sized Project ? GEF - 7

**Part I: Project Information**

**GEF ID**

10919

**Project Type**

MSP

**Type of Trust Fund**

GET

**CBIT/NGI**

CBIT **No**

NGI **No**

**Project Title**

Enhancing capacity for the adoption and implementation of EAF in the shrimp and groundfish fisheries of the North Brazil Shelf Large Marine Ecosystem (Eaf4SG)

**Countries**

Regional, Guyana, Suriname, Trinidad and Tobago

**Agency(ies)**

FAO

**Other Executing Partner(s)**

University of the West Indies (UWI)

**Executing Partner Type**

Others

**GEF Focal Area**

International Waters

**Sector**

**Taxonomy**

Focal Areas, International Waters, Large Marine Ecosystems, Fisheries, Transboundary Diagnostic Analysis and Strategic Action Plan Preparation, Biomes, Coral Reefs, Learning, Coastal, Strategic Action Plan Implementation, Pollution, Plastics, SIDS : Small Island Dev States, Influencing models, Demonstrate innovative approach, Convene multi-stakeholder alliances, Transform policy and regulatory environments, Strengthen institutional capacity and decision-making, Stakeholders, Communications, Education, Public Campaigns, Behavior change, Awareness Raising, Local Communities, Civil Society, Community Based Organization, Non-Governmental Organization, Academia, Beneficiaries, Private Sector, SMEs, Individuals/Entrepreneurs, Type of Engagement, Participation, Information Dissemination, Consultation, Partnership, Gender Equality, Gender results areas, Capacity Development, Knowledge Generation and Exchange, Access and control over natural resources, Participation and leadership, Gender Mainstreaming, Women groups, Gender-sensitive indicators, Sex-disaggregated indicators, Capacity, Knowledge and Research, Innovation, Enabling Activities, Knowledge Exchange, Conference, Knowledge Generation, Workshop, Training, Theory of change, Indicators to measure change, Adaptive management

**Rio Markers**

**Climate Change Mitigation**

No Contribution 0

**Climate Change Adaptation**

No Contribution 0

**Biodiversity**

No Contribution 0

**Land Degradation**

No Contribution 0

**Submission Date**

1/21/2022

**Expected Implementation Start**

3/1/2023

**Expected Completion Date**

2/28/2027

**Duration**

48In Months

**Agency Fee(\$)**

168,766.00

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

<b>Objectives/Programs</b>	<b>Focal Area Outcomes</b>	<b>Trust Fund</b>	<b>GEF Amount(\$)</b>	<b>Co-Fin Amount(\$)</b>
IW-1-1	Strengthen blue economy opportunities through sustainable healthy coastal and marine ecosystems	GET	888,242.00	3,907,079.00
IW-1-2	Strengthen blue economy opportunities through catalyzing sustainable fisheries	GET	888,242.00	3,907,078.00
<b>Total Project Cost(\$)</b>			<b>1,776,484.00</b>	<b>7,814,157.00</b>

## **B. Project description summary**

### **Project Objective**

To advance adoption and implementation of the Ecosystem Approach to Fisheries (EAF) in the shrimp and groundfish fisheries in the North Brazil Shelf Large Marine Ecosystem, supporting country implementation of the CLME+ SAP

<b>Project Component</b>	<b>Financi ng Type</b>	<b>Expected Outcomes</b>	<b>Expected Outputs</b>	<b>Tru st Fun d</b>	<b>GEF Project Financing (\$)</b>	<b>Confirme d Co- Financing (\$)</b>
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Project Component	Financing Type	Expected Outcomes	Expected Outputs	Trust Fund	GEF Project Financing (\$)	Confirmed Co-Financing (\$)
Component 1: Enhancing or developing national and sub-regional EAF-based fisheries management information systems, supporting countries implementation of CLME+ SAP priorities. (Note: this component will address SAP priorities by enhancing capacity for implementation of management and conservation measures (Strategy 6 - Implement EBM/EAF of the Guianas-Brazil continental shelf with special reference to the shrimp and groundfish fishery).	Technical Assistance	<u>Outcome 1.1:</u> Improved national and sub-regional data and data management systems supporting EAF fisheries management .	<p><u>Output 1.1.1:</u> Analysis of existing fisheries management information systems (FMIS) and data in the three target countries and sub-regional level undertaken and recommendations for improvement developed.</p> <p><u>Output 1.1.2:</u> Technical capacity for the application of EAF-based fisheries management information systems among key fisheries stakeholders built, including data collection, fisheries statistics, analyses of fisheries data, and interpretation.</p> <p><u>Output 1.1.3:</u> National and sub-regional stock assessments of selected priority species developed with relevant management recommendations.</p> <p><u>Output 1.1.4:</u> Fisheries-related socio-economic data for selected fisheries within national</p>	GET	465,484.00	2,878,757.00

Project Component	Financing Type	Expected Outcomes	Expected Outputs	Trust Fund	GEF Project Financing (\$)	Confirmed Co-Financing (\$)
			EAF-based fisheries management information systems, including value chain data, collected and analyzed.			

Project Component	Financing Type	Expected Outcomes	Expected Outputs	Trust Fund	GEF Project Financing (\$)	Confirmed Co-Financing (\$)
Component 2: Strengthening national and sub-regional governance arrangements for EAF fisheries management, supporting countries implementation of CLME+ SAP priorities. (Note: this component will particularly address the SAP priorities through improving regional governance arrangements for sustainable fisheries (Strategy 2), the regional policy coordination mechanisms for governance of the marine environment (Strategy 3) and implementation of sub-regional EAF	Technical Assistance	<p><u>Outcome 2.1:</u> Strengthened stakeholder engagement in national decision-making for EAF fisheries management.</p> <p><u>Outcome 2.2:</u> Improved EAF management planning and implementation for shared resource management of shrimp and groundfish at national and sub-regional levels.</p> <p><u>Outcome 2.3:</u> Strengthened national legal and regulatory frameworks for EAF-focused fisheries management.</p>	<p><u>Output 2.1.1:</u> National inter-sectoral coordination mechanisms for EAF in three participating countries supported and fully operational.</p> <p><u>Output 2.1.2:</u> Capacity of SSF stakeholders from target communities/fisheries to participate in co-management of fisheries assessed and developed.</p> <p><u>Output 2.2.1:</u> National and sub-regional Fisheries Management Plans updated as part of EAF management cycle.</p> <p><u>Output 2.2.2:</u> Capacity for monitoring of implementation of Fisheries Management Plans for national Shrimp and Groundfish fisheries built.</p> <p><u>Output 2.2.3:</u> Management measures and plans for shared fisheries resources at sub-regional</p>	GET	359,500.00	1,262,779.00

Project Component	Financing Type	Expected Outcomes	Expected Outputs	Trust Fund	GEF Project Financing (\$)	Confirmed Co-Financing (\$)
management plans (Strategy 6)).			<p>level supported (sub-regional Strategy and Management Plan for Shrimp and Groundfish), developed in participatory manner.</p> <p><u>Output 2.3.1:</u> Current national legal and regulatory frameworks for EAF reviewed, particularly in relation to SSF, including for co-management.</p> <p><u>Output 2.3.2:</u> Recommendations for improving national legal and regulatory frameworks for EAF, e.g. technical measures, CMMs and HCRs, and co-management, particularly in relation to SSF, identified, advocated and adopted.</p>			

Project Component	Financing Type	Expected Outcomes	Expected Outputs	Trust Fund	GEF Project Financing (\$)	Confirmed Co-Financing (\$)
Component 3: Encouraging Small-scale Fisheries (SSFs) to adopt more sustainable fishing practices through new business opportunities, supporting the implementation of the CLME+ SAP priorities. (Note: this component will particularly address the SAP priorities through actions to encourage more responsible fisheries practices (Strategy 2) and by sustainably enhancing livelihoods (Strategy 6))	Technical Assistance	<p><u>Outcome 3.1:</u> New gender-sensitive business opportunities to promote EAF management developed and available in target SSF communities linked to NBSLME fisheries.</p> <p><u>Outcome 3.2:</u> Policy and investment environment supportive of new business opportunities that encourage EAF management in SSF.</p>	<p><u>Output 3.1.1:</u> Gender-sensitive value chain assessments (VCAs) for SSF value chains performed for target species and communities, and business opportunities identified and prioritized.</p> <p><u>Output 3.1.2:</u> Capacity for target fisher folk communities to take advantage of new EAF management related business opportunities identified and built.</p> <p><u>Output 3.2.1:</u> Policies and financial frameworks (based on global good practices) that can support investments in SSF reviewed, and recommendations identified and promoted.</p> <p><u>Output 3.2.2:</u> Access to financing by SSF for EAF venture opportunities increased.</p>	GET	540,000.00	1,524,535.00

Project Component	Financing Type	Expected Outcomes	Expected Outputs	Trust Fund	GEF Project Financing (\$)	Confirmed Co-Financing (\$)
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Output 3.2.3:  
 Strategies and measures to encourage fishers and markets to adopt and promote EAF management in SSF identified, developed, and disseminated.

Project Component	Financing Type	Expected Outcomes	Expected Outputs	Trust Fund	GEF Project Financing (\$)	Confirmed Co-Financing (\$)
Component 4: Supporting knowledge management, outreach, and lesson learning for EAF, and implementation of associated CLME+SAP priorities. (Note: this component will particularly address the SAP priorities through actions to enhance knowledge management at the national and sub-regional level (Strategy 2))	Technical Assistance	<p><u>Outcome 4.1:</u> Knowledge of processes, measures, options, and incentives for effective EAF management to improve sustainability of fisheries increased among key stakeholder groups.</p> <p><u>Outcome 4.2:</u> Effective gender-responsive project implementation based on adaptive management .</p>	<p><u>Output 4.1.1:</u> EAF Outreach Strategy and Plan to promote greater understanding of EAF management in target fisheries developed and implemented.</p> <p><u>Output 4.1.2:</u> Project successes, experiences and lessons learned identified and disseminated to key EAF4SG stakeholders.</p> <p><u>Output 4.1.3:</u> Roadmap and materials for scaling of successful project solutions for implementation of EAF management in NBSLME fisheries to the wider CLME region and beyond developed and implemented by relevant stakeholders, including 1% allocation to IW:LEARN activities.</p> <p><u>Output 4.2.1:</u> A gender-responsive project Monitoring and Evaluation (M&amp;E) system using data disaggregated by sex, age and</p>	GET	250,002.00	1,019,206.00

Project Component	Financing Type	Expected Outcomes	Expected Outputs	Trust Fund	GEF Project Financing (\$)	Confirmed Co-Financing (\$)
			ethnicity designed and operational, and in line with FAO and GEF requirements.  <u>Output 4.2.2:</u> Terminal Evaluation carried out.			
				<b>Sub Total (\$)</b>	<b>1,614,986.00</b>	<b>6,685,277.00</b>
<b>Project Management Cost (PMC)</b>						
	GET		161,498.00			1,128,880.00
			<b>Sub Total(\$)</b>	<b>161,498.00</b>		<b>1,128,880.00</b>
			<b>Total Project Cost(\$)</b>	<b>1,776,484.00</b>		<b>7,814,157.00</b>

Please provide justification

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

<b>Sources of Co-financing</b>	<b>Name of Co-financier</b>	<b>Type of Co-financing</b>	<b>Investment Mobilized</b>	<b>Amount(\$)</b>
Recipient Country Government	Fisheries Department, Government of the Cooperative Republic of Guyana	In-kind	Recurrent expenditures	600,000.00
Recipient Country Government	Fisheries Department, Ministry of Agriculture, Animal Husbandry and Fisheries, Government of the Republic of Suriname	Grant	Investment mobilized	215,000.00
Recipient Country Government	Fisheries Department, Ministry of Agriculture, Animal Husbandry and Fisheries, Government of the Republic of Suriname	In-kind	Recurrent expenditures	1,085,000.00
Recipient Country Government	Institute of Marine Affairs, Trinidad and Tobago	In-kind	Recurrent expenditures	42,000.00
GEF Agency	Food and Agriculture Organization of the United Nations (FAO) ? HQ (NFIFM)	In-kind	Recurrent expenditures	80,000.00
GEF Agency	Food and Agriculture Organization of the United Nations (FAO) - Sub-Regional Office for the Caribbean	In-kind	Recurrent expenditures	224,840.00
GEF Agency	Food and Agriculture Organization of the United Nations (FAO) ? Country Office Guyana	In-kind	Recurrent expenditures	726,120.00
GEF Agency	Food and Agriculture Organization of the United Nations (FAO) ? Country Office Suriname	In-kind	Recurrent expenditures	100,000.00
GEF Agency	Food and Agriculture Organization of the United Nations (FAO) ? Country Office Trinidad and Tobago	In-kind	Recurrent expenditures	100,000.00

<b>Sources of Co-financing</b>	<b>Name of Co-financier</b>	<b>Type of Co-financing</b>	<b>Investment Mobilized</b>	<b>Amount(\$)</b>
Other	Caribbean Regional Fisheries Mechanism (CRFM)	In-kind	Recurrent expenditures	200,000.00
Other	Western Central Atlantic Fishery Commission (WECAFC)	In-kind	Recurrent expenditures	62,000.00
Other	Western Central Atlantic Fishery Commission (WECAFC)	Grant	Investment mobilized	185,000.00
Recipient Country Government	Fisheries Division, Ministry of Agriculture, Land and Fisheries, Government of the Republic of Trinidad and Tobago	In-kind	Recurrent expenditures	573,471.00
Recipient Country Government	Fisheries Division, Ministry of Agriculture, Land and Fisheries, Government of the Republic of Trinidad and Tobago	Public Investment	Investment mobilized	194,336.00
Recipient Country Government	Fisheries Division, Ministry of Agriculture, Land and Fisheries, Government of the Republic of Trinidad and Tobago	In-kind	Recurrent expenditures	3,595.00
Recipient Country Government	Department of Marine Resources and Fisheries, Division of Food Security, Natural Resources, the Environment and Sustainable Development, Tobago House of Assembly	In-kind	Recurrent expenditures	48,810.00
GEF Agency	Food and Agriculture Organization of the United Nations (FAO) ? HQ (NFIMV)	In-kind	Recurrent expenditures	250,000.00
GEF Agency	Food and Agriculture Organization of the United Nations (FAO) ? HQ (NFISI)	In-kind	Recurrent expenditures	828,800.00
Other	Centre for Development and Sustainable Fisheries (CeDePesca)	In-kind	Recurrent expenditures	265,000.00

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Investment Mobilized	Amount(\$)
Other	The University of the West Indies Centre for Resource Management and Environmental Studies (UWI-CERMES)	In-kind	Recurrent expenditures	200,000.00
Other	The University of the West Indies St. Augustine Campus, Faculty of Food and Agriculture (UWI-STA-FFA)	In-kind	Recurrent expenditures	779,000.00
Private Sector	Guyana Association of Trawler Owners and Seafood Processors (GATOSP)	In-kind	Recurrent expenditures	300,000.00
Private Sector	Surinaamse Seafood Associate (S.S.A)	In-kind	Recurrent expenditures	200,000.00
Other	Guyana National Fisherfolk Organization (GNFO)	In-kind	Recurrent expenditures	34,000.00
Other	Moruga La Ruffin Fishing Cooperative	In-kind	Recurrent expenditures	9,600.00
Other	Claxton Bay Fishing Association	In-kind	Recurrent expenditures	14,400.00
Other	Future Fishers, Trinidad and Tobago	In-kind	Recurrent expenditures	493,185.00
<b>Total Co-Financing(\$)</b>				<b>7,814,157.00</b>

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

Non-GEF investments for other ongoing projects with relevant activities which contribute to this project's objectives were classified as "investment mobilized". These include for: Fisheries Department, Ministry of Agriculture, Animal Husbandry and Fisheries, Government of the Republic of Suriname\*: ? USD\$120,000 from the project "Modernizing fisheries data collection and data management Project" (part of USD\$200,000) ? USD\$80,000 from the project "Improving fisheries research: conducting biomass estimates for target species and monitoring ecosystem impacts" (part of USD\$327,500) ? USD\$15,000 from the project "Capacity building and support for the artisanal fishery" (part of USD\$50,000) WECAFC\*: ? USD\$185,000 for the "Ecosystem approach to fisheries by advancing fish spawning aggregation information gathering and increase of public engagement in the WECAFC region" (2023-2024) under WECAFC's programme of work. \* The dollar amount shown represents the approximate

value of the components relevant for this GEF project of the investments listed above. For this reason, only a fraction of these investments listed in the Co-Financing letters have been listed according to how much falls within the project's target area and into the relevant time frame. Additionally, the public investment reported as Co-Financing from one of the recipient countries was reported as "Investment Mobilized" because it excludes recurrent expenditures. The "Public investments" - "Investments mobilized" from Fisheries Division, Ministry of Agriculture, Land and Fisheries, Government of the Republic of Trinidad, and Tobago (USD\$ 194,337) comes from the Division's Public Sector Investment Program (PSIP).

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

<b>Agency</b>	<b>Trust Fund</b>	<b>Country</b>	<b>Focal Area</b>	<b>Programming of Funds</b>	<b>Amount(\$)</b>	<b>Fee(\$)</b>	<b>Total(\$)</b>
FAO	GE T	Regional	International Waters	International Waters	1,776,484	168,766	1,945,250.00
<b>Total Grant Resources(\$)</b>					<b>1,776,484.00</b>	<b>168,766.00</b>	<b>1,945,250.00</b>

**E. Non Grant Instrument**

NON-GRANT INSTRUMENT at CEO Endorsement

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Includes Non grant instruments? **No**

Includes reflow to GEF? **No**

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

PPG Required **true**

**PPG Amount (\$)**

50,000

**PPG Agency Fee (\$)**

4,750

<b>Agency</b>	<b>Trust Fund</b>	<b>Country</b>	<b>Focal Area</b>	<b>Programming of Funds</b>	<b>Amount(\$)</b>	<b>Fee(\$)</b>	<b>Total(\$)</b>
FAO	GET	Regional	International Waters	International Waters	50,000	4,750	<b>54,750.00</b>
<b>Total Project Costs(\$)</b>					<b>50,000.00</b>	<b>4,750.00</b>	<b>54,750.00</b>

## Core Indicators

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

Ha (Expected at PIF)	Ha (Expected at CEO Endorsement)	Ha (Achieved at MTR)	Ha (Achieved at TE)
5,982,900.00	5,982,900.00		

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

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

Type/name of the third-party certification

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

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

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

**Indicator 5.3 Marine OECMs supported**

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

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

	<b>Number (Expected at PIF)</b>	<b>Number (Expected at CEO Endorsement)</b>	<b>Number (Achieved at MTR)</b>	<b>Number (Achieved at TE)</b>
<b>Shared water Ecosystem</b>	North Brazil Shelf	North Brazil Shelf		
<b>Count</b>	<b>1</b>	<b>1</b>	<b>0</b>	<b>0</b>

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

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

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

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

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

<b>Shared Water Ecosystem</b>	<b>Rating (Expected at PIF)</b>	<b>Rating (Expected at CEO Endorsement)</b>	<b>Rating (Achieved at MTR)</b>	<b>Rating (Achieved at TE)</b>
North Brazil Shelf	3	3		

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

<b>Shared Water Ecosystem</b>	<b>Rating (Expected at PIF)</b>	<b>Rating (Expected at CEO Endorsement)</b>	<b>Rating (Achieved at MTR)</b>	<b>Rating (Achieved at TE)</b>
North Brazil Shelf	3	3		

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

<b>Metric Tons (Expected at PIF)</b>	<b>Metric Tons (Expected at CEO Endorsement)</b>	<b>Metric Tons (Achieved at MTR)</b>	<b>Metric Tons (Achieved at TE)</b>
22,000.00	20,000.00		

**Fishery Details**

Industrial and small-scale fisheries targeting shrimp and groundfish resources in the NBSLME

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

	<b>Number (Expected at PIF)</b>	<b>Number (Expected at CEO Endorsement)</b>	<b>Number (Achieved at MTR)</b>	<b>Number (Achieved at TE)</b>
<b>Female</b>	4,000	4,000		
<b>Male</b>	8,000	8,000		
<b>Total</b>	12000	12000	0	0

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

CI 5: Sum of extent of Inshore fishing areas for the three participating countries: Guyana 22,690 km<sup>2</sup>; Suriname 18,422 km<sup>2</sup>; Trinidad and Tobago 18,717 km<sup>2</sup>. Source: <http://www.seaaroundus.org/> CI 8: The 'over-exploited marine fisheries moved to more sustainable levels' core-indicator was calculated as the 25% of the overall catch in the target fisheries for the three countries in 2020 (landings: 80,000 tons). Source: FAO 2021. FishStatJ - software for fishery statistical time series. Version 4.01.8. FAO. Rome. CI11: Based on available CRFM statistical data on beneficiary countries, figures refer to aggregated harvesting and post-processing sectors (Guyana: 8200 harvest, 5000 process; Suriname: 4500 harvest, 3000 process; Trinidad and Tobago: 5500 harvest, 1225 process). To estimate disaggregated values for M/F, we used 90% are males for harvesting, 35% are males for post-processing. The core indicator target is based on approximately 50% of the total number of men and women involved in the relevant fisheries.

## Part II. Project Justification

### 1a. Project Description

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

##### North Brasil Shelf LME fisheries and context

The shrimp and groundfish fisheries of the North Brazil Shelf Large Marine Ecosystem (NBSLME; Figure 1) are among the most economically important fisheries in the Western Central Atlantic, with recent annual reported landings valued at approximately USD 400 million (Pauly et al., 2021). These fisheries are of critical importance for the social, economic, and cultural services they provide to the region, supporting livelihoods, generating income and export earnings, providing food security and nutrition, and contributing to poverty reduction. The countries participating in the EAF4SG project—Guyana, Suriname, and Trinidad and Tobago—are three of the principal countries (along with Brazil, France/French Guiana, and Venezuela) with fisheries operating in the NBSLME. Together, the three project countries possess a combined continental shelf area of 115,073 km<sup>2</sup> (approximately 11% of total LME area) and an Exclusive Economic Zone (EEZ) area of 341,720 km<sup>2</sup> (approximately 33% of total LME area). All three countries have a high dependence on shrimp and groundfish resources for their socio-economic development. In 2020, these resources accounted for 98% of the total fisheries production for Guyana, 97% for Suriname, and 77% for Trinidad and Tobago. The combined total fisheries landings of the three countries amounted to around 82,000 metric tonnes (mt) in 2020. Of this, approximately 45,000 mt with an estimated value of USD 200 million were exported mainly to the European Union, the United States of America, and other countries in the Caribbean.



**Figure 1. The North Brazil Shelf LME Sub-region[1]<sup>1</sup>**

#### Problems and threats

Many of the shrimp and groundfish stocks in the NBSLME sub-region have been overfished, some to the point of collapse, as suggested by historical trends in recorded annual landings and stock assessments of some of the major species. The overall reported landings and corresponding value of the NBSLME fisheries peaked in the mid to late 1980s and have since declined despite increases in fishing effort. Based on the trends in historical landings, it is estimated that approximately 51% of the stocks of shrimps and groundfish are over-exploited or have collapsed due to overfishing (Pauly et al. 2021). For example, recent national assessments for the shrimp species exploited by the industrial trawl fisheries indicate that the Atlantic seabob (*Xiphopenaeus kroyeri*) is fully exploited in Guyana and Suriname, southern brown shrimp (*Farfantepenaeus subtilis*) is overexploited in French Guiana and fully exploited in Brazil, while southern pink shrimp (*F. notialis*) is overexploited in Trinidad and Tobago. Recent assessments of finfish species, which are targeted mainly by small-scale fisheries (SSF), indicate that southern red snapper (*Lutjanus purpureus*) is overexploited in Guyana and French Guiana, and fully exploited in Suriname and Brazil. Data-limited assessments of commercially important finfish species such as acoupa weakfish (*Cynoscion acoupa*), king weakfish (*Macrodon ancylodon*), green weakfish (*Cynoscion virescens*), small-eye croaker (*Nebris microps*), and crucifix sea catfish (*Sciades proops*) indicate high exploitation levels for these species in Guyana and Suriname (CRFM, 2019; CRFM, 2020; FAO, 2021b; Willems, 2021).

Furthermore, genetic analyses of several species of crustaceans (e.g. Atlantic seabob) and groundfish (e.g., king weakfish and acoupa weakfish) suggest that some of the stocks are shared by NBSLME countries, which requires an agreed fisheries management approach among the countries concerned (FAO, 2019; FAO, 2021b) including Brazil, France and Venezuela. However, the three latter countries

will not participate in the EAF4SG project owing to various factors including different/competing national priorities and, in the case of France, the ineligibility for GEF support. In order to address this gap, the project plans to use existing sub-regional arrangements, such as the Western Central Atlantic Fishery Commission (WECAFC)/ Caribbean Regional Fisheries Mechanism (CRFM)/ Institut Français de Recherche pour l'Exploitation de la Mer (IFREMER) Working Group on Shrimp and Groundfish of the Northern Brazil-Guianas Shelf, to engage all parties in technical discussions of relevance to the management of these shared resources. Venezuela currently lacks the ability to commit to or the capacity to engage with the project but will be invited to participate in any sub-regional activities (to be covered by co-financing) and will be considered for any scaling-up activities following the project (to be identified under Component 4 in the last year of the project).

Stakeholder consultations carried out in the beneficiary countries during the first phase of the CLME project Sustainable Management of the Shared Living Marine Resources of the Caribbean Large Marine Ecosystem and Adjacent Regions (FAO, 2013a, b and c) identified the major causes of declines of the NBSLME shrimp and groundfish resources. Some of these are directly relevant to the current proposal, including (i) overharvesting and discarding of juveniles of economically important species, some of which are already fully exploited or overexploited; (ii) fishing effort that exceeds the level required for the maximum sustainable yield (MSY) for certain stocks; (iii) uncertain overall stock status of many exploited species subject to high fishing pressure and likely to be overfished; (iv) conflicts among fishers competing for the same species but using different gear types; (v) weak governance; and (vi) outdated fisheries legislation and regulations. According to the CLME+ Transboundary Diagnostic Analysis (TDA), unsustainable fisheries, habitat degradation, and pollution are the three most important transboundary issues impacting the societal benefits obtained from the region's marine ecosystems. Superimposed on these pressures is the impact of climate change on fish populations and marine ecosystems in general.

The shrimp and groundfish fisheries are also affecting non-target species, including endangered, threatened, and protected (ETP) species such as turtles, elasmobranchs, and invertebrates, in addition to juveniles of commercially important species, which are taken as bycatch and subsequently discarded (Bachew, 2021; Kalicharan and Oxenford, 2020). This represents a significant wastage and has potentially negative impact on biodiversity and other commercial fisheries (Kalicharan and Oxenford, 2020). Moreover, demersal fisheries can also cause unintended environmental damage to benthic habitats, altering the structure and functioning of benthic marine communities and resulting in declines in faunal biodiversity and abundance (e.g., L'kkeborg, 2004; Clark et al., 2016). In turn, this can subsequently affect commercially important fish species that are dependent on benthic habitats for food and refuge.

Considering the importance of the shrimp and groundfish fisheries to the economies of the countries adjoining the NBSLME and their impact on target and non-target species and marine habitats, there is an urgent need for management and conservation measures to restore and sustainably exploit the fishery resources. Moreover, effective sustainable management of the shrimp and groundfish fisheries requires a more holistic approach that incorporates all the principles of sustainable development, such as the ecosystem approach to fisheries (EAF) (see Box 1). The adoption of an ecosystem approach is one of the guiding principles of the politically endorsed CLME+ Strategic Action Programme (SAP) 2015-2025 (which includes a specific strategy (Strategy 6) that, inter alia, proposes the development and implementation of EAF, with national and sub-regional fisheries management plans for shared shrimp and groundfish fisheries resources in the NBSLME sub-region. At least 25 CLME+ countries, including the three project countries, have endorsed the CLME+ SAP, committing to the implementation of its comprehensive package of strategies and actions with a focus on shared living marine resources governance and management. It is within the framework of the CLME+ SAP that NBSLME stakeholders explicitly requested the development of the EAF4SG project.

Other mechanisms promoting EAF include the FAO Committee on Fisheries, which has adopted EAF as the appropriate and practical way to fully implement the Code of Conduct for Responsible Fisheries. Despite widespread endorsement of EAF, however, in practice it is still not widely applied across the

CLME+ region including in the three project countries, owing to a combination of various factors that act as barriers to more sustainable fisheries management.

### **Box 1: The Ecosystem Approach to Fishery**

EAF strives to balance diverse societal objectives, by taking into account the knowledge and uncertainties about biotic, abiotic, and human components of ecosystems and their interactions and applying an integrated approach to fisheries within ecologically meaningful boundaries. Its purpose is to plan, develop, and manage fisheries in a manner that addresses the multiple needs and desires of societies, without jeopardizing the options for future generations to benefit from the full range of goods and services provided by marine ecosystems. Therefore, EAF is a means to integrate sustainable development concepts into fisheries by addressing both human and ecological well-being. EAF recognizes the broader uses and users of the marine environment (including fishing) and the need to accommodate and reconcile the many objectives of these users so that future generations can also derive the full range of ecological goods and services. The three pillars of EAF are ecological wellbeing, human wellbeing, and the ability to achieve.

?Ecological well-being? refers to all ecological ?assets? (e.g., stocks of retained and non-retained species, habitats, ecosystems) relevant to the fishery and the ecosystem where it occurs, as well as the issues and impacts generated by the fishery that may be affecting them.

?Human well-being? is defined by FAO as ?a condition in which all members of society are able to determine and meet their needs and have a large range of choices to meet their potential? (Garcia et al., 2003). There are many elements of human well-being and they are grouped into four categories (livelihood, food and nutrition security, health and safety, and gender and equity).

?Ability to achieve? refers to the management and institutional ?systems? in place, or proposed (also called governance), to deliver the outcomes wanted. It also considers the external ?drivers? (not controlled by the fishery) that may be affecting performance (e.g., climate change).

## Drivers and causes of the problem

Overexploitation of the shrimp and groundfish resources in the NBSLME is the result of a combination of several factors and drivers, including high local and international demand for shrimp and groundfish fisheries products, limited employment opportunities in rural coastal areas, weaknesses in fisheries governance and management, and overcapacity and poor gear selectivity across most of the industrial and small-scale fishing fleets (trawl and non-trawl target fisheries). These problems have been well-documented (Singh-Renton and McIvor, 2015).

The economic reality of the fisheries sector is one of both global and local drivers. The demand for fish and fish products (for human consumption and animal feed and aquaculture as well as for non-food uses such as pharmaceuticals) continues to grow locally, nationally, regionally, and globally. Such high demand drives unsustainable exploitation of a renewable natural resource resulting in reduction of fish stocks and subsequent decreasing catches. Consequently, the long-term viability of these fisheries, compounded by increasing costs of fishing operations, as well as the social and economic conditions of fishery-dependent coastal communities, are threatened. The demand for fishery products is also fueled by government policies and incentives (financial, fiscal, social) that encourage investment in fisheries leading to overcapacity of the fishing fleets (too many boats chasing too few fish) across the NBSLME. Related to the latter are government policies that promote fish and

other living marine resources as essential for food security in some countries, particularly as a source of protein, and as a key economic sector providing revenue, jobs, and foreign exchange. Technological developments, such as improved boat engines, gear haulers, more efficient fishing gears, and fish location equipment also increase fishing intensity, encouraging short-term gains but incurring long-term losses.

#### Barriers that need to be overcome to address the problems/threats

Despite efforts made by NBSLME countries to sustainably manage their respective fisheries, some barriers continue to hinder wider adoption and implementation of EAF management, as outlined below. More generally, the NBSLME sub-region suffers from limited capacity (tools, skills, experience, knowledge, institutional support) to apply EAF thinking and practices from the national (government agencies) to the local community (fisherfolk, SSF) level, which has been a persistent barrier for achieving sustainable fisheries in the NBSLME sub-region.

##### **i. Lack of adequate fisheries data and information at national and sub-regional levels.**

Consistent and reliable fisheries data and statistics to inform effective decision making, especially in shrimp and groundfish small-scale fisheries, are generally lacking across the NBSLME sub-region. While there are reliable fish stock assessment methods that can be applied where data is limited (e.g. Carruthers and Hordyk, 2018, Hordyk et al. 2015, Froese et al. 2017), these models require regularly sampled representative datasets. However, fisheries data collection methods in the project countries are often insufficient to obtain such datasets. For instance, data and information on fishers, vessels, catch, and fishing effort as well as biological data of exploited species in addition to ecological information are often inadequate. A major challenge is the lack of cooperation particularly by small-scale fishers in providing accurate data, which strongly influences the reliability of stock assessments. Furthermore, in all the project countries there is limited availability of socio-economic data along the entire fisheries value chain particularly for SSF. The collection of such data and information is often sporadic and ad hoc and not an integral part of the overall fisheries data collection effort. Moreover, socio-economic data and information are not mainstreamed in the development of fisheries management frameworks.

This situation is compounded by limited institutional capacity to collect, analyze, and

assess data gathered for fisheries management particularly for EAF.

Another constraint is the absence of a fully functional, centralized fisheries management information system (FMIS) in the target countries and weak technical capacity to utilize such platforms and apply the information in developing and monitoring EAF management frameworks. There is a clear need for review of national data collection programmes and the application of robust and efficient data gathering and analysis approaches and methods, in combination with the introduction of platforms for easy management and reporting of fisheries data and information.

A related constraint is the general lack of regular stock assessments for priority shrimp and groundfish stocks including shared stocks. This can be attributed to the limited availability of timely and reliable data and information, financial resources, and technical capacity in the countries to conduct stock assessments as well as to use the assessments in developing fisheries management recommendations. Countries often rely on the help of external experts (which can come at a significant financial cost) and mechanisms such as the WECAFC/CRFM/IFREMER Shrimp and GroundFish Working Group and the CRFM for assessments of their fisheries resources.

The challenges are even more pronounced with respect to shared shrimp and groundfish stocks. There is limited collection and sharing of harmonized data and information and joint stock assessments among the countries, related in part to weak institutional and technical capacity, limited information on stock identification and geographic distribution, as well as limited cross-border collaboration among the countries for assessment and management of their shared stocks. Apart from the WECAFC/CRFM/IFREMER Shrimp and Groundfish Working Group and CRFM, there are no established sub-regional mechanisms to facilitate the collection and sharing of data or to conduct joint stock assessments for shared stocks.

**ii. Weak governance and management for sustainable fisheries nationally and sub-regionally.**

National multi-sectoral governance arrangements or mechanisms that can guide EAF adoption and implementation are termed 'national intersectoral coordination mechanisms' (NIC), which include fisheries advisory committees and multi-stakeholder working groups (Compton, 2020). NICs exist in

various forms in the three countries and are provided for in national fisheries policy frameworks (as in Guyana) or established by ministerial decree (as in Suriname). In other cases, the mechanisms have not yet been endorsed by the government (as in Trinidad and Tobago, where currently there is no formally approved national fisheries policy/legislation to support co-management). Where these mechanisms do exist, they are often considered weak and ineffective. A major weakness highlighted by all three participating countries is that NICs are not sufficiently participatory, with poor involvement of local stakeholder groups, particularly with respect to the representation of women and minority stakeholder groups. Other multi-stakeholder mechanisms face challenges such as poor representation of fisheries sub-sectors, inactive members, poor communication and sharing of information, and limited knowledge of and weak capacity for fisheries co-management. Improved inter-agency collaboration is needed for effective co-management and Monitoring, Control and Surveillance (MCS). Furthermore, the fisherfolk organizations that are represented on the NICs need to be strengthened to enable them to function more effectively as organizations and in turn to improve the functioning of the NICs of which they are members.

Another constraint is weak and outdated legal/regulatory frameworks that do not adequately provide for the development and implementation of EAF management plans, particularly for SSF. A positive development has been the preparation of the Sub-regional Shrimp and Groundfish EAF Strategy and Fisheries Management Plan (FMP) under the CLME+ Shrimp and Groundfish sub-project, which was endorsed by the WECAFC/CRFM/IFREMER Working Group in 2020. The three countries have started to use the sub-regional plan in the development or updating of their respective FMPs but require additional capacity strengthening to support EAF management of priority shrimp and groundfish resources. Differences in management regimes and legal frameworks among the countries hinder cross-border collaboration in the assessment and management of shared stocks.

**iii. Weak incentives to support behavioral change towards adoption of EAF management among SSF.** Incentives and opportunities, such as access to financial support and developed value chains, supported by appropriate policies and legal frameworks to encourage small-scale fishers and fish workers to adopt more sustainable fisheries practices and at the same time improve their livelihoods, have been generally lacking for the NBSLME fisheries. As demonstrated across a variety of regions (e.g., Defeo and Vasconcellos, 2020; Vasconcellos and ?nal, 2022), the successful transition to EAF often involves collective changes in the processing and marketing of fish products, shifting from high volume/low price products to low volume/high price products for human consumption. However, this must consider the particular context in the project countries, for example, in countries such as Guyana where the government has been promoting fisheries as a cheap source of animal protein.

On the financing supply side, traditional institutions tend to avoid fisheries investments that are considered high risk. Alternatively, where fisheries-specific financing is provided, these institutions have limited capacity and experience implementing investments focused on sustainable outcomes and value addition by SSF operators. In particular, there is a risk aversion towards investing in value-added fisheries products, with a preference towards investing in the harvesting segment of the value chain to the detriment of post-harvest segments that could realize higher profit margins, and act as an incentive for fishers to adopt associated responsible fishing practices. While some financing for sustainable investments and small and medium-sized enterprises support does exist, limited awareness by fisheries operators, particularly small-scale fishers, of these opportunities and methods of value addition and use of by-products with commercial potential is a barrier to their uptake.

A major gap in knowledge exists with regards to the value chains of products originating from the demersal gillnet fishery, which necessitates further detailed study particularly in Trinidad. Some investment in capacity building has been made in processing of underutilized species (e.g., salting and smoking in Trinidad), but investments in physical infrastructure and marketing are necessary, which require further research and development and financing. There is also a need to improve food safety and the quality of shrimp and groundfish caught in the artisanal fishery in addition to artisanal processing capacity. Investment in health and safety of artisanal processing channels and upgrading of processing and packaging methods for fish from sustainable fisheries are also required. Further studies

and stakeholder engagement are needed to identify end markets and steps towards their development, as is building local capacity to capitalize on opportunities to enhance local value chains. Behavioral change among fish consumers also needs to be encouraged to support the shift to more sustainable fisheries. Among the issues that need to be addressed in this regard are low consumer demand for locally produced valued added products (due to availability of cheap imported substitutes, and comparatively lower packaging standards compared to imported products in the middle and higher ends of the market) and poor consumer awareness of the environmental costs of certain harvest methods and limited premium price for sustainably caught fish.

With the right incentives and enabling governance conditions and sufficient capacity, the above changes can improve livelihoods, maximize economic benefits, and support the recovery of overfished stocks. If adequately capacitated and with a supportive enabling environment, SSF leaders, fisherfolk organizations, and communities can be encouraged to proactively adopt fishing, processing, and marketing practices that support sustainable fisheries and enhance livelihoods.

#### **iv. Lack of knowledge and poor availability of information on EAF and management for sustainable fisheries.**

Poor knowledge and experience of the integration of EAF into conventional fisheries management planning, as well as of the economic, social and environmental benefits of EAF has been a persistent challenge in the region. This is due in part to limited availability and access to EAF-related information including in an appropriate form for different target audiences, which limits the effectiveness of awareness-raising efforts, knowledge dissemination, and promotion of good practices for EAF management. There is a need to develop and test a set of approaches for disseminating information on EAF using diverse methods, particularly among fishing communities.

Capacity for communications and outreach activities is very limited in the target country fisheries agencies. For instance, none of the three participating fisheries agencies has its own communications strategy and action plan or a budget for communication and outreach. In Guyana, there is a particular need for improved communication/outreach capacity and resources to cover issues related to EAF and sustainable fisheries, and a need to refocus the Fisheries Department's online presence and public relations activities. Similarly, in Suriname, financial and human resources at the Fisheries Directorate for both informing the wider public and for more targeted outreach of technical information to fisherfolk communities are limited and there is need for Dutch translation capacity. Internal institutional policies also hamper effective and timely communication and outreach efforts. For example, in Suriname, all communication material must go through both the Ministry of Agriculture, Animal Husbandry and Fisheries (MAAHF) Communications Department and the government's central communications department before being published.

Trinidad and Tobago is also faced with a similar situation where more human capacity (trained staff in communication and media skills) and financial resources are needed within the Fisheries Division for effective communication, particularly at the community level and in relation to raising awareness among fishers of the implications of the new legal and regulatory framework within the new Fisheries Bill. In relation to this, the Corporate Communications Unit has expressed willingness to help design a communication plan with specific deliverables for the EAF4SG project.

Generally, there is poor knowledge about EAF management especially among SSF. An additional constraint is the poor capacity of most fisherfolk organizations (FFO) and other (industrial) fishery organizations to communicate EAF management messages; while representatives of these organizations are usually well-informed, there is a clear need to improve their communication capacity

and channels to ensure that information is disseminated in an effective and timely manner to fishers and fish workers downstream.

Within the EAF4SG project there will be a need to effectively communicate to fisheries stakeholders, including on new data collection systems and new regulations governing sustainable fisheries practices. A particular challenge is to reach individual fisherfolk at the local level, who vary in the levels of literacy and who may not use modern communication devices or social media platforms. As mentioned above, none of the three participating Fisheries agencies have their own communications strategy and action plan or budget to implement such plans and few experienced or trained staff, which limits the effectiveness of the communications and knowledge management efforts. Within the fisheries sector, men are generally involved in the input and production areas of fisheries whereas women are more engaged in processing and distribution (see Gender section). The lack of gender-specific outreach programmes, communication materials and messaging within fisheries in all three countries also represents a weakness and needs to be addressed if outreach/communication activities in the fisheries sector are to be more effective and the industry become more equitable.

The project aims to develop and implement measures to overcome these barriers through four components. Although the overall scope of the project encompasses the shrimp and groundfish fisheries of the NBSLME sub-region, due to the limited size of the project most of the actions will be focused on specific fisheries and target communities within the sub-region. The lessons learned from these selected fisheries/communities will inform actions for scaling-up the approach in the future.

## **b) Baseline scenario and any associated baseline projects**

### i. Relevant regional and sub-regional programmes and interventions

Recognition that urgent action is needed to halt the degradation of the region's marine environment and overexploitation of its living marine resources is reflected in the CLME+ SAP. The SAP addresses the three principal cross-cutting and inter-linked priority transboundary environmental threats that impact the region's living marine resources and associated societal benefits, as identified by the TDA that was conducted under the previous CLME project: (i) unsustainable use of fisheries resources, (ii) habitat degradation and modification of the community structure of ecosystems, and (iii) pollution. The proposed EAF4SG project responds directly to the first two threats, in alignment with the CLME+ SAP (Box 2).

#### **Box 2: Relevance of the EAF4SG project to the implementation of the CLME+ SAP**

The proposed project seeks to support the implementation of the regional governance arrangements for sustainable fisheries (SAP Strategy 2) and efforts to enhance the governance arrangements for implementing an ecosystem approach for the shrimp and groundfish fisheries of the Guianas-Brazil shelf (SAP Strategy 6). Its proposed outputs and outcomes will contribute to achievement of the SAP Ecosystem Quality Objective 'restoration and maintenance of fish stocks at a sustainable level and adoption of responsible fishing operations and fisheries management practices'. In addition, the project will help to address the wider vision statement of the CLME+ SAP 'a healthy marine environment in the CLME+ provides benefits and livelihoods for the well-being of the people of the region', and the SAP's stated Societal Benefits Objective 'Contribution to human well-being, socio-economic development, food security and enhanced livelihoods from goods and services provided by the ecosystems are optimized'.

The SAP Actions Progress Tracking Portal ([clmeplus.org](http://clmeplus.org)) indicates that there has been poor delivery for those actions under Strategy 2 to which the EAF4SG project seeks to contribute. Actions under Strategy 6 to which the EAF4SG project also seeks to contribute show moderate

to limited progress (Actions 6.1, 6.7, 6.8 and 6.10) and good progress for 6.11. Hence, measures proposed through the EAF4SG project to support achievement of the SAP actions remain highly relevant.

From a fisheries perspective, all three countries participating in the EAF4SG project have been involved in the implementation of the CLME+ SAP. For instance, they participated in the FAO CLME+ sub-project on shrimp and groundfish of the NBSLME (under Strategy 6) and contributed to the development of a sub-regional fisheries strategy and management plan for shrimp and groundfish resources and advanced the development of their respective national fisheries management plans, with Suriname completing the process in early 2021. In addition, all three countries, especially Suriname and Trinidad and Tobago, have taken steps to improve their national fisheries statistical systems. In addition, all three countries were involved in the development of the Regional Plan of Action for Illegal, Unreported, and Unregulated Fishing (RPOA-IUU), and their fisheries administrations and other government agencies have actively participated in capacity building in MCS (under Strategy 2); Trinidad and Tobago has been particularly active in the development of the regional policy coordination mechanism for ocean governance (Strategy 3).

Several regional projects have sought to promote the adoption of some form of the ecosystem approach, such as Ecosystem-Based Management (EBM) and EAF, for the sustainable management of shared living marine resources in the CLME+ region. Among these are the FAO-GEF project 'Sustainable Management of Bycatch in Latin America and Caribbean Trawl Fisheries' or REBYC II LAC (2015-2021), which focused on reducing environmental impacts of bottom trawl fisheries; the FAO-GEF project 'Developing Organizational Capacity for Ecosystem Stewardship and Livelihoods in Caribbean Small-Scale Fisheries' or Stewardfish (2018-2021), which aimed to empower fisherfolk to more actively participate in fisheries co-management; and the UNDP-GEF CLME+ Project (2015-2021), which incorporated an FAO-executed sub-project on the shrimp and groundfish of the NBSLME (2017-2021). One of the major outputs of the sub-project was the development and endorsement of a sub-regional EAF Fisheries Management Strategy and Fisheries Management Plan for the shrimp and groundfish resources of the Guianas-Brazil shelf (Box 3). However, the sub-regional FMP has not been fully implemented and needs review and updating.

**Box 3: Sub-regional EAF Strategy and Fisheries Management Plan for the shrimp and groundfish of the Guianas-Brazil shelf**

The sub-regional EAF strategy and fisheries management plan were endorsed by the WECAFC/CRFM/IFREMER Working Group on Shrimp and Groundfish of the North Brazil-Guianas Shelf in November 2020 and at a high-level meeting of fisheries authorities of Brazil, French Guiana, Guyana, Suriname, and Trinidad and Tobago in June 2021. The goal of the sub-regional fisheries management strategy is to provide strategic direction for the sustainable use of shared shrimp and groundfish fisheries resources of the Guianas-Brazil Shelf, taking into consideration that there is no sub-regional decision-making arrangement for the management of these shared resources, but also acknowledging that this is not a prerequisite to begin effective sub-regional fisheries management. Among the elements that need to be developed for sub-regional decision-making capacity are a technical forum, a decision-making forum, technical sub-committees, and a Secretariat.

The sub-regional fisheries management plan seeks to provide short to medium term guidance to managers and industry in a framework for a multilateral EAF management of shared shrimp and groundfish resources and their ecosystems on the Guianas-Brazil shelf. It addresses the technical activities and requirements to guide national EAF management plans in support of shared resource management. Successful implementation of EAF is expected to achieve long-

term sustainability and improve the economic returns from the resources overall through stakeholder engagement and improved compliance. Based on stakeholder consultations in Guyana, Suriname and Trinidad and Tobago, harmonized national management objectives for the Atlantic seabob fishery, the penaeid shrimp fishery, the groundfish fishery, and the southern red snapper fishery were incorporated in the plan.

A regional mechanism that has embraced the EAF concept is the CRFM, whose governance entities have called upon all CRFM Member States to strengthen their commitment to implementation of the ecosystem approach to fisheries and aquaculture. The CRFM Continental Shelf Fisheries Working Group has been providing guidance on improving management of the Marine Stewardship Council (MSC)-certified Seabob fisheries in the NBSLME by taking an ecosystem approach to its management. More generally, CRFM has been providing capacity building and training in EAF to fisherfolk, fisheries administrations, and other stakeholders in the region.

## ii. Relevant FAO initiatives and capacity

Several relevant FAO initiatives support streamlining of data and statistics in the WECAFC area with backing from the European Union (EU) project GCP/SLC/020/EC: Support to the activities of the transversal WECAFC, CRFM, OSPESCA, IFREMER and Caribbean Fisheries Management Council (CFMC) Fisheries Data and Statistics Working Group (FDS-WG). Among the main outcomes is the endorsement of an interim Data Collection Reference Framework (DCRF<sup>[1]</sup>) by WECAFC (FAO, 2020). The DCRF is an instrument to support fisheries management in the context of EAF and for capacity building in the WECAFC region. Other EU-financed projects targeting EAF management in the WECAFC region include GCP/SLC/016/EC: Support to the implementation of the Regional Plan of Action to deter and eliminate Illegal, Unreported and Unregulated Fishing in the Western Central Atlantic; GCP/SLC/217/EC: Support to the Secretariat of WECAFC in implementing targeted actions of the 2019-2020 Workplan on improved regional fisheries governance; and GCP/SLC/219/EC: Support to the secretariat of WECAFC for an effective implementation of priority actions of the Programme of Work agreed at the 17th Session of the Commission. The WECAFC/CRFM/OSPESCA Fisheries Data and Statistics Working Group and the WECAFC/CRFM/IFREMER Working Group on Shrimp and Groundfish of the Guianas-Brazil shelf are key mechanisms for continuing information sharing and technical support for NBSLME countries and will be directly involved in the project as partners.

Implementation of innovative approaches to fisheries data collection, and processing and analysis of fisheries statistics have been initiated in the WECAFC region with co-funding from the FAO CLME+ sub-project on shrimp and groundfish resources of the NBSLME (2017-2021), the FAO-GEF REBYC II LAC project (2015-2021), and the FAO-GEF CC4FISH (2018-2021). FAO has invested in supporting fisheries information management system development in the region, most notably through the Calipseo system. For example, FAO has been supporting Suriname and Trinidad and Tobago in implementing the Calipseo statistical system for fisheries data from industrial and small-scale fisheries. In Suriname, the Calipseo platform has been deployed and is operational for the collection and processing of industrial fisheries data since early 2022. Further work is needed to streamline the artisanal (sample-based) data collection methodology in the Calipseo system, in which the EAF4SG project will play an important role. In Trinidad and Tobago, the deployment of the system has advanced significantly but improvements are still required to, among others, train data collectors in species identification and implementation of the recommended adjustments for improvement of the artisanal catch and effort sampling and data collection system. The proposed EAF4SG project will build on and support these activities. Another FAO platform is the WECAFC Decision Support System, which is a key outcome of the CLME + project and a repository of all data and information to support decision making for implementation of the EAF-EBM approach.

Regarding communication and knowledge management, the various FAO Country Offices in the target countries have excellent working relationship with top tier media establishments, which should facilitate wider distribution and impact of project results. For instance, FAO Guyana has a fulltime Communication Specialist and has supported outreach/communications on several fisheries projects in the last 2-3 years with input to events planning and execution, development of videos, procurement of high-resolution images for brochures and posters, development of fisheries-related stories (human interest) and press releases, and a social media outputs on fisheries-related projects. **FAO Trinidad and Tobago** (FAO TT) coordinates communications for both Trinidad and Tobago and Suriname (there is no separate FAO Suriname office). The FAOTT office has a communications Consultant who works with FAO project leads to review and disseminate project communication products via FAO Caribbean's website and social media platforms<sup>[2]</sup> (the FAO Caribbean website and Twitter mainly attract government and civil society stakeholders). Currently, the FAO TT office (also responsible for Suriname) does not have Dutch translation capacity, which limits support for communication activities for Suriname. As in Guyana, FAO TT has supported dissemination of fisheries projects related material in the local newspapers, e.g. national implementation of the CC4Fish project in Trinidad and Tobago. The FAOTT office also has capacity to provide technical assistance on multimedia tools and the monitoring and feedback on the uptake of communications products. The FAO-GEF Coordination Unit at **FAO HQ in Rome** has developed a communications worksheet and 'success story' guidance to support projects in developing communications plans and articles on projects to meet FAO standards for publishing on corporate platforms. These will be deployed during the project.

In terms of knowledge management, FAO has considerable expertise, including on the design and testing of locally adaptable tools for fisheries data collection, monitoring and reporting (such as mobile apps), including on catch statistics and data analytics, generation of statistics. This includes a recently developed tool to assess the extent of EAF implementation (the EAF IMT tool), which will be piloted by the EAF4SG project, as well as metadata management platforms and support for national statistical systems (such as Calipseo, which will be extended through the EAF4SG project under Component 1). In addition, FAO has wide experience with the publication and dissemination of fisheries- and EAF-related information (e.g. new fact sheets engine on EAF measures). In terms of document and publication management, and data persistence and re-use, FAO has considerable capacity and experience with regional multi-topic metadata-driven on-line Atlases, such as the Regional Database for WECAFC currently being developed, which enable flexible, locally owned, secure, and spatially explicit knowledge management. Other relevant FAO specialized knowledge management capacity, such as OpenASFA<sup>[3]</sup>, is already available in the region.

#### *Other regional bodies with knowledge management and communications expertise*

Several donor-funded projects in the NBSLME region have elements that address communication. These include the recently completed FAO-GEF CC4Fish (which included Trinidad and Tobago), FAO-GEF Stewardfish projects (which included Guyana) and the FAO-GEF REBYC II project (which included Suriname and Trinidad and Tobago). In addition, many of the regional institutions active in the environment-development arena, such as the Caribbean Natural Resources Institute (CANARI), have significant experience with communication and outreach programmes, including related to fisheries, and an understanding of the most appropriate communications tools and approaches. The EAF4SG project will build on the capacity and lessons learned from these and other relevant projects on proven approaches to outreach and communications in the region.

#### iii. GEF-supported projects

The recently approved GEF-funded 'Protecting and Restoring the Ocean's Natural Capital, building Resilience and supporting region-wide Investments for sustainable Blue Socio-Economic

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Development (PROCARIBE+) project has been specifically designed to continue supporting and upscaling 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. The PROCARIBE+ project will produce the next iteration of the regional SAP(s) by 2025. In doing so, it aims to support effective planning and the management of 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'. The proposed EAF4SG project compliments the delivery of this project for the NBSLME sub-region through supporting its sustainable management of marine resources aims, including improved governance and enhancement of stakeholder involvement through NICs and co-management of fisheries.

Also relevant is the recently approved CAF-FAO-GEF 'Promoting National Blue Economy Priorities Through Marine Spatial Planning in the Caribbean Large Marine Ecosystem Plus' (BE-CLME+) project, which supports national and regional development priorities and will contribute Blue Economic development plans for the Caribbean/Caribbean Community (CARICOM) region, with tailored national blue economy and financing strategies to support sustainable development. The project, of which Guyana is a beneficiary, also has a focus on the use of Marine Spatial Planning to inform the establishment of MPAs, the assessment of selected fisheries value chains and the promotion of ecosystem-based fisheries management. The proposed EAF4SG project compliments and links with the BE-CLME+ project through supporting greater blue economy opportunities through value chain assessments and support for policy and investment environment of new business opportunities that encourage EAF management in SSF.

The CLME+ sub-project on shrimp and groundfish resources of the NBSLME (2017-2021) led to, among others, the endorsement in June 2021 of a sub-regional Fisheries Strategy and Management Plan for shrimp and groundfish resources by the fisheries authorities of Brazil, Guyana, Suriname and Trinidad and Tobago, and provided support for trainings in EAF, introduction to data-limited stock assessments, and the development of national fisheries management plans. The proposed EAF4SG particularly builds on this project.

The EAF4SG project also complements the recently-completed GEF-FAO CC4Fish project. The objective of CC4Fish was to increase resilience and reduce vulnerability to climate change impacts in the Eastern Caribbean fisheries sector, including Trinidad and Tobago among the seven beneficiary countries, through introduction of adaptation measures such as capacity building of fisherfolk and aquaculturists and mainstreaming of climate change into fisheries governance. The project components addressed 1) understanding and awareness of climate change impacts and vulnerability; 2) increasing fisherfolk, aquaculturists and coastal community resilience to climate change and variability; and 3) mainstreaming of climate change adaptation in multi-level fisheries governance. Among the activities

developed, particular emphasis was placed on safety at sea with training of 1,200 fisherfolk in safety at sea, engine repair, value adding activities, fish handling and processing and other kinds of capacity building activities to enhance safety of fisherfolk; increase income through value adding and decrease fish waste, and fisheries and aquaculture response to emergency including climate change adaptation and disaster risk management sensitive fisheries policies, plans and legislation and fisheries-sensitive climate change policies at the national and regional level.

The GEF-funded 'Developing Organizational Capacity for Ecosystem Stewardship and Livelihoods in Caribbean Small-Scale Fisheries (StewardFish)' project supported seven countries, including Guyana, to empower fisherfolk throughout fisheries value chains to engage in resource management, decision-making processes and sustainable livelihoods, with strengthened institutional support at all levels. One of the key deliverables documented in terms of capacity development of fishers is the proposal for development of a Caribbean Network of Fisherfolk Organizations (CNFO) Leadership Institute (CERMES, 2020). The CNFO, which has chapters in Guyana, Suriname, and Trinidad and Tobago, has taken full ownership and is leading this peer-to-peer learning and mentoring mechanism. The

CNFO Leadership Institute could potentially support fisherfolk training and other stewardship building activities in the EAF4SG project.

The EAF4SG project is complementary to the recently approved FAO-GEF REBYC III LAC CLME+ project, which entered the development stage in early 2022. REBYC III LAC will focus on addressing the issue of bycatch and discards in non-trawl fisheries in Barbados, Guyana, Suriname, and Trinidad and Tobago including the issue of Abandoned, Lost, or otherwise Discarded Fishing Gear (ALDFG). Consequently, it is seen as the "sister project" to the proposed EAF4SG given three of the target countries are in common and several of its elements overlap in terms of focus, e.g., supporting value chain development for fisheries products that adopt more responsible fisheries practices (in this case reducing or eliminating bycatch through adoption of bycatch mitigation measures). The two projects will collaborate closely, facilitated by having several key staff operating from the same offices.

Finally, the proposed project is consistent with, and supports, the GEF-6 Coastal Fisheries Initiative (CFI) which is built on the rationale that overfishing is a threat to ocean health and that the biological diversity in the world's oceans is concentrated in near-shore waters. The CFI is based on the need for more integrated approaches to sustainable development and ocean management. A parallel is seen in the proposed project especially regarding adoption and implementation of EAF, critical capacity development, and improved institutional integration and stewardship for sustainable development.

#### iv. National efforts to address EAF management

Relevant projects and initiatives are being conducted in all three project countries with the involvement of a range of stakeholders including the public sector as well as the private sector, civil society, and fisherfolk organizations. These stakeholder groups will be instrumental in supporting EAF management at the national and local levels. The latter three groups in particular are a crucial source of local knowledge on fishing and will be engaged in project activities to improve fisheries data collection (under Component 1), in the development and implementation of strengthened EAF management and monitoring frameworks (under Component 2), and in value chain analysis and the development of new business opportunities based on more sustainable practices (Component 3). Further details on their activities of relevance to the project are provided below.

#### **Guyana**

The Fisheries Department has identified inadequate data and the lack of a Fisheries Management Information System as well as limitations to the utilization of the data especially in stock assessments as a major barrier to improved fisheries management. For the small-scale groundfish fisheries, data collection is limited to catch and effort from surveying fish landing sites. However, the field sampling strategy is not well-defined and small-scale fishers are often unwilling to share information with data collectors. The collection of socio-economic data and information on the fisheries sector is spread among the Fisheries Department, the Ministry of Labour, and the Guyana Statistics Bureau. However, these efforts are limited, and more comprehensive data is needed for the identification, assessment and prioritization of the socio-economic issues along the entire fisheries value chain.

Management of the marine fishery sub-sector in Guyana is the responsibility of the Fisheries Department under the Ministry of Agriculture and is guided by the national Marine Fisheries Management Plan (MFMP). The current FMP (2013-2021) was adopted in 2019 and has been under review and revision since 2021. In the ongoing process to develop the new MFMP (2022 ? 2027), the Fisheries Department has embraced the EAF framework and measures have been formulated to reduce the impact of fisheries on the environment; improve data collection and monitoring procedures; and strengthen communication, coordination, and information-sharing. EAF is also envisaged in the Seabob FMP, Marine Mammal Protection Act (MMPA), and the Code of Conduct for Captains.

Fisheries-specific management plans have been developed under the scope of the national MFMP. Of particular relevance are the Seabob FMP (2015 to 2021), Penaeid Shrimp Management Plan, Red Snapper Management Plan, Shark Management Plan, and Artisanal Fisheries Framework and

Management Plan (2019-2024). In developing Guyana's FMPs, consideration was given to the Sub-regional Shrimp and Groundfish Strategy and FMP. The main factors affecting the capacity to implement and monitor the FMPs are: 1) absence of reliable data and statistics; 2) insufficient programmatic and human technical capacity to develop research programmes; and 3) insufficient financial resources. Another factor that constrains effective fisheries management in the country is weak enforcement. Previous management measures in support of more sustainable shrimp and groundfish fisheries in Guyana have included the use of turtle exclusion devices (TEDs) and bycatch reduction devices (BRDs). Particular attention has focused on the Atlantic seabob fishery with measures to improve data collection, management, reporting, establishment of an at-sea observer programme, and monitoring and enforcement programmes. In 2011, the Shell Beach Protected Area was designated under the Protected Areas Act. This area is rich in biodiversity and serves as nursery for numerous species of fish, endangered sea turtles, as well as manatees, dolphins and other aquatic life. Further, in 2000, the Fisheries Department designated 496 km<sup>2</sup> of adjacent sea spaces as no netting zones.

While co-management of fisheries resources has not been implemented in Guyana, stakeholders have traditionally been involved in decision-making through consultations and membership on various bodies. For example, a Fisheries Advisory Committee (FAC), which is comprised of representatives of the Fisheries Department, various ministries, Coast Guard, Guyana Association of Trawler Owners and Seafood Processors (GATOSP), and artisanal fishers, among others, has been appointed. Another mechanism is the Seabob Working Group (SWG), which was established in 2012 to oversee the MSC certification process for the Atlantic seabob fishery. Its members include representation from the GATOSP, artisanal fishers, small-scale processors, WWF, FAO, and the Fisheries Department. The fisheries private sector (represented by GATOSP) is especially active in the seabob MSC certification process to ensure sustainable exploitation of the seabob.

The Guyana National Fisherfolk Organization (GNFO) plays an important role in fisheries governance as the national umbrella organization representing small-scale fisherfolk's socio-economic interests on Guyana's FAC. It has also actively participated in several national and regional fisheries initiatives aimed at strengthening EAF management, including the FAO-GEF StewardFish project during which the Organization strengthened its board and engaged its members in practical ecosystem stewardship activities. The GNFO is also a member of the CNFO, which plays a significant role in fisheries governance at the regional level.

Value chain studies were conducted in May 2022 on the Guyanese Atlantic seabob fishery at both industrial and artisanal scales under the FISH4ACP project. FISH4ACP is aimed at enhancing the productivity and competitiveness of fish value chains, while ensuring environmental sustainability and social inclusiveness. Growing domestic demand for high quality shrimp and groundfish combined with increased local disposable income creates a significant opportunity for artisanal fishers of shrimp and groundfish but requires investment in health and safety of artisanal processing channels and upgrading in processing and packaging methods.

The Fisheries Department does not have a dedicated communications and outreach unit, communications specialist, nor a specific knowledge management and communication strategy, although financial resources are allocated in the annual Fisheries Department budget for outreach and communications activities. However, its parent Ministry of Agriculture has a Communications Unit that can be called upon to support its communications efforts. However, additional capacity is required to improve the impact of the Department's outreach and communications efforts. Most stakeholder communications/outreach by the Fisheries Department is undertaken by the individual Fisheries Officers responsible for specific regions of the country, with the use of social media applications such as WhatsApp. At the senior political levels, the Minister of Agriculture along with other ministerial colleagues and senior functionaries of other agencies regularly conduct outreach to bring fisherfolk up to date with government initiatives, plans, and policies.

## Suriname

The Fisheries Directorate (FD) has engaged with FAO since 2019 on the implementation of FAO's Calipso information system. The FD's Research and Statistics Division has staff for data processing and analysis as well as data enumerators at artisanal fishery landing sites and sea-going observers. No detailed (logbook) data nor biological or environmental parameters to support EAF are currently being collected. All industrial vessel operators are obligated to submit landing reports to the FD. However, the current level of analysis of collected data is restricted to the production of yearly total landings per fleet segment. The collection of socio-economic information on the fisheries sector is also limited, with information collected by the FD only through the fishing license application process and by the National Bureau of Statistics. While socio-economic elements are considered ad hoc in decision making, there is no formal or structural analysis of socio-economic data and information, partly due to the lack of human capacity.

The technical capacity for fish stock assessment is limited and the few stock assessments that exist have been conducted with the help of outside experts. The only species being assessed on a regular basis is the Atlantic seabob, in support of MSC certification. Under the CRFM Continental Shelf Working Group (CRFM, 2019), there has been some collaboration with Guyana on the seabob fisheries whereby the same assessment model and management regime (e.g. harvest control rules - HCR) have been applied to the fisheries in both countries although there was no joint stock assessment in the strict sense.

In Suriname, the fishing sector is managed by the Ministry of Agriculture, Animal Husbandry and Fisheries (MAAHF). The FD is responsible for fisheries management, while the Fish Inspection Institute is responsible for the safety of fishery products. The main legal instruments for fisheries management are the Sea Fisheries Act (1980) for marine fisheries and the Fish Stock Protection Act (1965) for inland water fisheries. Through several initiatives (supported by FAO) in 2016 and 2020-2021, the fisheries legal framework was updated and both acts combined in a Fisheries Act, which incorporates EAF considerations. However, the act remains in draft and under review at the MAAHF.

The Sub-regional Shrimp and Groundfish Fisheries Management Strategy and FMP were considered during the drafting of the national FMP in 2019-2020, with support from the FAO CLME+ Shrimp and Groundfish sub-project. The FMP has been updated to cover the period 2021-2025 and was officially endorsed by the MAAHF Minister and representatives of both the industrial and artisanal fisheries. Apart from the national FMP, a fishery-specific management plan for the demersal trawl fishery for the Atlantic seabob was first drafted in 2010 in support of the fishery's MSC certification, which was granted in 2011. Suriname's FMPs including the seabob FMP incorporate EAF principles such as the impact of fisheries on non-target (ETP) species, marine habitats, and the wider marine ecosystem.

A relevant initiative is the Fishery Improvement Programme (FIP) for the demersal gillnet and demersal trawl fisheries in Suriname, which is a private-sector initiative to improve the management of both fisheries and comply with the standards of FisheryProgress (<https://fisheryprogress.org/fip-profile/suriname-corvina-and-acoupa-weakfish-driftnet-and-trawl>). Technical support and oversight in its execution are provided by the non-governmental organization (NGO) Cedepesca. The FIP is focused on promotion of EAF management including improving fisheries data collection to support stock assessment and improved management planning, in line with the MSC standard.

There are no policy instruments or regulations that specifically address fisheries co-management in Suriname. The national FMP 2021-2025, however, includes a chapter on governance, decision making and participation, with associated objectives, strategies, and actions to improve stakeholder involvement and participation in management. In addition, in 2017, five local and one national overarching FFOs were formally established. To support the implementation of the Seabob FMP, a Seabob Working Group was established by the MAAHF in 2010 as a ministerial committee consisting of representatives of the Fisheries Department, seabob industry representatives, artisanal fisheries representatives, WWF Guianas, and the Coast Guard. Other active NICs are the National Working

Group on Shrimp and Groundfish and the Fisheries Advisory Council, both of which include representatives of local or national FFOs. An active fishing industry organization is the Surinaamse Seafood Associate, which plays a key role in representing the socio-economic interests of industrial fishers and fish processors and has expressed particular interest in the economic aspects of the project (under Component 3). The Associate is a member of Suriname's FAC and participated in stakeholder meetings under the previous REBYC-II LAC project.

The Fisheries Department of Suriname has no formal knowledge management and communication strategy for promoting sustainable fisheries. Communications on fisheries matters are delivered

through the MAAHF, which hosts a **communications division** (CD). A CD extension officer is embedded within the FD, but has little or no resources (e.g., computer, camera) so is dependent on the CD to undertake any communications work. Outreach and communication on technical fisheries matters to relevant institutions and groups is largely through regular meetings of the NICs. More formal communications on fisheries management, such as fisheries regulations, is done through official announcements of the MAAHF. Social media are now a major channel for reaching target audiences, with direct fishery stakeholders often informed through WhatsApp (groups) while most communication to the wider public is channeled through press releases and social media platforms. However, communication needs of specific stakeholder groups have not been identified and there are limited opportunities for stakeholders to provide feedback.

### **Trinidad and Tobago**

The Fisheries Division's Marine Fishery Analysis Unit is responsible for the implementation of its ongoing fisheries monitoring programmes and producing fisheries statistics. However, the Division's current human resource capacity to conduct routine data collection to inform fisheries management decision-making is inadequate. In addition, there are important gaps in landings and effort data and there is no regular collection of comprehensive social and economic data nor formal requirement for the inclusion of such data in decision-making for the fisheries sector (although the proposed 2020 Fisheries Management Bill contains clauses on the need for management measures to take socio-economic factors into account). Currently, the Fisheries Division lacks the capability to conduct socio-economic analyses. A National Fisheries Management Information System is being developed in collaboration with the Ministry of Agriculture, Land and Fisheries (MALF) Information Technology (IT) Unit and with FAO's support through the Project 'Fisheries Management and Marine Conservation within a Changing Ecosystem', and the GEF/FAO CC4Fish project. The development of the system began in 2016/2017 and activities included training and deployment of the FAO Calipseo database.

The Fisheries Division has limited human capacity and financial resources for conducting regular fish stock assessments. However, shrimp and groundfish assessments were conducted in 1992 under the Project for the Establishment of Data Collection Systems and Assessment of the Fisheries Resources (FAO/UNDP: TRI/91/001); and in 1997 through a CARICOM Fisheries Resource Assessment and Management Programme/FAO/Danish International Development Agency Stock Assessment Workshop on the Shrimp and Groundfish Resources of the Guiana-Brazil Shelf. Other stock assessments for specific shrimp and groundfish fisheries, which were conducted between 1997-2014, were facilitated through scientific meetings of the CRFM and fisheries assessment workshops convened by the FAO and the WECAFC through its Working Group on Shrimp and Groundfish.

Participation in these Working Groups contributed to strengthening **the** capacity of the Fisheries Division in stock assessment and bio-economic analysis.

Efforts are underway to strengthen the legal framework for fisheries management including EAF, through the development of the Fisheries Management Bill 2020, which is still awaiting government endorsement. The Bill includes provisions to facilitate participatory/co-management arrangements and proposes the establishment of a Fisheries Management Fund, to support the preparation and implementation of FMPs and fisheries strategies, plans and programmes, and the costs of stakeholder participation. Currently, Trinidad and Tobago does not have an approved FMP for its shrimp and

groundfish fisheries or gillnet (demersal/pelagics) fishery. Draft plans for the 'shrimp trawl fishery', the 'Hard-substrate Demersal Fisheries' (which includes some species, such as some snappers, which are also part of the groundfish fisheries), 'sharks' (which are captured in demersal gillnets), and 'artisanal fishery for coastal pelagics' (which includes use of gillnets) were

prepared in 2014, 2013, 2017, and 1992 respectively, but these were never formally approved by Cabinet. A draft integrated fisheries management plan (IFMP),

incorporating and updating the previously drafted plans, and

aligned with the Sub-regional Shrimp and Groundfish Strategy and FMP, was initiated with support from the FAO CLME+ Shrimp and Groundfish sub-project but not finalized.

Fisheries co-management in Trinidad and Tobago is limited and not covered by the current legislative framework. Nevertheless, local fisherfolk organizations have been involved in promoting value chain development and building fisherfolk capacity in relevant areas through various national and regional initiatives. Among the more active local fisherfolk organizations in Trinidad are the Moruga La Ruffin Fishing Cooperative and Claxton Bay Fishing Association, which have undertaken value chain development including in fish processing and improving access to fishing input supplies. They also play a key role in advocacy in their communities and have been engaged in policy and planning processes via community consultations hosted by the Fisheries Division. Other civil society organizations in Trinidad and Tobago play important roles in building capacity for EAF management at the national and local levels. Future Fishers, for instance, is a registered non-profit organization established to improve sustainable use and management of Trinidad and Tobago's coastal and marine resources, while supporting opportunities for better governance, economic growth, and social advancement of the fishing community. The organization has been successful in mobilizing resources from government and private sector sources, including from Trinidad and Tobago's Green Fund and BHP Billington Trinidad and Tobago, to implement projects aimed at building awareness of ecosystem management and improving fisheries value chain and production processes targeted at fishing communities on the east and north-east coasts of Trinidad. Future Fishers is currently implementing the first phase of the project 'Capacity Building of Fishers Initiative for Sustainable Harvest, Education and Research' which is aimed at encouraging local stakeholder participation and collaboration in the sustainable use of coastal and marine resources to create livelihood opportunities and a greater level of commitment to the environment. Some of these organizations were involved in the National Working Group for the Sustainable Management of Bycatch in Latin America and Caribbean Trawl Fisheries that was established under the REBYC-II LAC project. Their participation in the working group contributed to strengthening fisherfolk capacity to engage with government and other stakeholders.

A major gap in knowledge exists with regards to the value chains of products originating from the Trinidad demersal gillnet fishery (a target fishery for the EAF4SG project). While some investment in capacity building has been made, further investments in physical infrastructure (financed by the government or private sector) and marketing are necessary. The Fisheries Division, **under the REBYC-II Project**, contracted the **Caribbean Fisheries Training and Development Institute** (CFTDI) to conduct training in **health and safety standards in fish handling**, as well as smoking, salting and ready-to-cook techniques for the trawl communities of **Otaheite and Orange Valley and surrounding areas**, to support opportunities for fishers, vendors **and boat owners** to develop a wider range of value-added products.

The MALF has a **Corporate Communications Unit** that is responsible for all its communications activities, including those of the Fisheries Division. Moreover, there is no ongoing communication programme within the Fisheries Division, or a specific communication strategy and action plan for fisheries, or a designated budget for communications. Instead, communication activities tend to be driven by specific projects. The MALF has a dedicated website on which the Fisheries Division is featured. Project results are disseminated through social media as well as meetings that are often held with local communities.

**c) Proposed alternative scenario with a brief description of expected outcomes and components of the project and the project's Theory of Change**

The proposed four-year EAF4SG project seeks to achieve more sustainable shrimp and groundfish fisheries in the NBSLME through building stakeholder capacity and strengthening the enabling environment for the implementation of EAF management by the participating countries, combined with developing incentives linked to the adoption of more responsible practices by fishing communities. It will place emphasis on addressing the major barriers and constraints to the development and implementation of EAF in the shrimp and groundfish fisheries. In so doing, the project is expected to ensure, on the longer term, the provision of ecosystem goods and services in the NBSLME, which contribute socio-economic and cultural benefits to the countries such as reduced vulnerability to economic and environmental shocks including climate change impacts, and improved food and income security for fisherfolk communities (especially for women). On a broader level, the project will contribute to the achievement of several Sustainable Development Goals (SDG) and Targets.

Objective of the EAF4SG project

The project has been designed to deliver Global Environmental Benefits (GEB) and the overall project objective, as well as to assist countries to address key transboundary environmental threats highlighted by the CLME+ SAP, including unsustainable fisheries. The project objective is to advance adoption and implementation of the Ecosystem Approach to Fisheries (EAF) in the shrimp and groundfish fisheries in the North Brazil Shelf Large Marine Ecosystem, supporting country implementation of the CLME+ SAP, with successful solutions for potential scale up to other LMEs. The longer-term global

environmental goal that the project seeks to contribute to is a 'healthy, resilient NBSLME with threats to marine environment minimized and biodiversity protected and utilized sustainably contributing to the region's sustainable 'blue economy' and SDGs'.

## Target communities and fisheries

The fisheries and communities to be targeted by the project in each of the three project countries were identified by the beneficiary countries, based on criteria such as their economic importance, their role in supporting livelihoods and food security, and potential for value added product development as well as the need to improve data collection. Other important considerations are the general overfished state of some of the NBSLME shrimp and groundfish stocks and the negative impacts of these fisheries on other marine biota and benthic habitats. The target fisheries and communities identified by the countries are as follows (with final selection of the target fishing communities to be confirmed during the first three months of the project):

Guyana: The Atlantic seabob trawl and the demersal gillnet fisheries. The three fishing communities to be targeted are: Parika (Region 3), D'Edward (Region 5), #66 (Region 6).

Suriname: The demersal gillnet (driftnet) fishery. The five communities to be targeted are: Nieuw-Nickerie (Nickerie); Totness (Coronie); Boskamp (Saramacca); Paramaribo, Nieuw-Amsterdam (Commewijne); and Galibi (Marowijne).

Trinidad and Tobago: The trawl fishery for penaeid shrimp and associated groundfish (artisanal/SSF and non-artisanal); and the artisanal gillnet fishery (monofilament and multifilament nets). The top 10 home ports/landing sites associated with the use of the monofilament gillnet as primary gear are located in the following communities: Iacos, Morne Diablo, La Ruffin, Otaheite, Mayaro, Erin, Claxton Bay, Fullerton, Orange Valley, Brickfield, and La Brea.

### **Project Components and Outcomes**

The key elements of the project's Components, outcomes, and outputs are presented below, along with the project's causal logic and how its immediate planned outcomes lead to longer-term changes. The latter is summarized in the project's Theory of Change (ToC). This sets out the project's causal logic and relationships between the project's outputs (goods and services delivered by the project) and immediate project outcomes shown in the project Results Framework (Annex A1), which are changes resulting from the use of the project outputs by key stakeholders, medium and longer-term changes and states (changes not deliverable through efforts of the project alone), and the project's ultimate desired impact (fundamental, durable changes in environmental and social benefits).

The project will be implemented through the four interlinked technical Components, each of which addresses one of the four key barriers acting against the achievement of more responsible, sustainable fisheries identified above. Parts of Components 1, 2, and especially 3 will focus on selected communities engaged in shrimp and groundfish fisheries in the three participating countries.

**Component 1:** Enhancing or developing national and sub-regional EAF-based fisheries management information systems, supporting countries implementation of CLME+ SAP priorities. Activities under this Component will address the significant gaps in data and data management and analysis in the shrimp and groundfish fisheries of the NBSLME. This will be done by reviewing current data collection and analysis systems and building institutional and stakeholder capacity for the application

of EAF management information systems at the national and sub-regional levels, taking into consideration the shared nature of many of the stocks under exploitation.

*Outcome 1.1:* Improved national and sub-regional data and data management systems supporting EAF fisheries management. This will focus on improving existing fisheries management information systems (FMIS) and the comprehensiveness and quality of the data in the three beneficiary countries and at the sub-regional level, including through improving data collection, fisheries statistics, and analyses of fisheries and socio-economic data and interpretation. It will include activities to build the technical capacity of key fisheries stakeholders for application of the improved EAF-based fisheries management information systems and support improved national and sub-regional stock assessments, including the use of approaches that can be applied to data-limited stocks. This Outcome has four outputs:

Output 1.1.1. Analysis of existing fisheries management information systems (FMIS) and data in the three target countries and sub-regional level undertaken and recommendations for improvement developed.

Gaps and deficiencies in FMIS and data collection and analysis to support EAF management of the shrimp and groundfish fisheries will be identified and recommendations made to address them. In delivering this output (particularly in relation to sub-regional aspects), the project will seek the collaboration of the WECAFC/CRFM/IFREMER Shrimp and Groundfish Working Group and the WECAFC Fishery Data and Statistics Working Group, among others. In addition, it will explore opportunities for cooperation with WECAFC initiatives for fisheries data dissemination, such as the

## WECAFC Fisheries and Resources Monitoring System (FIRMS) platform and WECAFC-FIRMS regional database. Activities will include:

? Review of all aspects of fisheries data collection and information management in the three countries and at the sub-regional level including:

- primary data collection frameworks and methodologies including the scope and representativeness of the data being collected, and fisheries and socio-economic data needs;
- existing FMIS including data processing and analysis;
- application of the data and information in fisheries management and challenges faced by each of the three countries in data collection, processing, analysis, and reporting;
- other existing sources of fisheries data and information in addition to the national fisheries authorities (e.g., other state agencies, academic institutions, national statistics bureau, and regional and international organizations);
- policies and mechanisms for the sharing of data among the countries on shared shrimp and groundfish stocks.
- A capacity needs assessment to identify priority capacity needs (technical, human resources, and financial) regarding fisheries data collection including socio-economic data, analysis, and interpretation among different target audiences (managers, scientists, data collectors, data processors, etc. with particular attention to gender balance), in consultation with the national fisheries authorities and other relevant bodies.

? Development of recommendations for the establishment of or improvement to fisheries data collection and information management systems in the project countries based on the outcomes of the review. These will include recommendations for the full implementation of the Calipseo platform

(Suriname and Trinidad and Tobago), and development of an appropriate system such as Calipseo where a centralized FMIS is lacking (Guyana). Recommendations will also extend to establishing or improving sub-regional data sharing policies and mechanisms and promoting regional harmonization in data collection and analysis.

? Development of a sustainability plan for sustaining an appropriate FMIS in each country, which will include estimation of financial costs.

**Output 1.1.2.** Technical capacity for the application of EAF-based fisheries management information systems among key fisheries stakeholders built, including data collection, fisheries statistics, analyses of fisheries data, and interpretation.

Delivery of this output will build on previous work done in the countries to strengthen capacity for the application of EAF-based FMIS, e.g., under the FAO Calipseo initiative and the CLME+ Shrimp and groundfish sub-project. Capacity building efforts for FMIS, such as those initiated under the Calipseo initiative in the countries, will be strengthened and continued. Consideration will be given to the use of a blended approach consisting of face-to-face in-person training and online platforms such as the Caribbean Network of Fisherfolk Organizations (CNFO) Leadership Institute platform, which was established under the FAO-GEF StewardFish project. Activities will include:

? Development and delivery of capacity building courses to key target audiences. Areas to be covered will include collection, analysis, and management of fisheries, environmental and socio-economic data for EAF, and integration of data and information for EAF management implementation and monitoring. Activities will include sub-regional training workshops on data collection, to take place early in the project so that countries can conduct harmonized data collection for some key shared stocks (to be determined at the start of the project).

? On-the-job, hands-on training of technical fisheries personnel and provision of necessary software and tools. This could include a combination of pilot data collection in the three countries, and national and sub-regional workshops on data handling, preparation, and analysis.

**Output 1.1.3.** National and sub-regional stock assessments of selected priority species developed with relevant management recommendations.

This output will build on previous efforts made by the countries in fish stock assessments, which in many cases are incomplete or outdated. The project will support improved national and sub-regional stock assessments for priority target national and shared stocks (to be identified) including using approaches for assessment of data-limited stocks and bioeconomic models. Opportunities will be sought to strengthen technical capacity for stock assessment for shrimp and groundfish at the national level through harnessing the expertise within the Shrimp and Groundfish Working Group and regional institutions, among others. Particular effort will be made to harmonize the assessments of shared stocks among the countries, through, for example, joint stock assessments conducted by national experts, supported by the WECAFC/CRFM/IFREMER Shrimp and Groundfish Working Group, CRFM, and other experts. Activities will include:

? Hands-on workshops to carry out the actual assessments (national and sub-regional levels, to respond to national and sub-regional requirements) after at least one year of data has been collected. Results will be validated and shared with key stakeholders, and mechanisms proposed for regular assessments and periodic updating of completed assessments as new data becomes available.

? Development of management recommendations for specific target species/stocks based on the assessments, in consultation with national fisheries authorities, other state agencies, and fishing sector representatives, among others.

**Output 1.1.4.** Fisheries-related socio-economic data for selected fisheries within national EAF-based fisheries management information systems, including value chain data, collected and analyzed.

The project will assess the adequacy of the available socio-economic data sets, for example, for the identification, assessment, and prioritization of the socio-economic issues that affect fisheries ecosystems and value chains (to be informed by work on value chains under Component 3). The types of data collected by the countries, methodology for data collection, the level of disaggregation of the data (e.g., by gender, sub-sector, value chain level) and the institutional capacity to collect and utilize such data in developing EAF management plans and measures will be considered. Activities will include:

? Identification of the scope of socio-economic data required for EAF management of selected fisheries, the availability of such data along the fisheries value chain, and gaps and deficiencies in its quality as well as how and by whom this data can be gathered most efficiently.

? Development and implementation (in the first year if feasible) of a framework and methodology for collection and analysis of socio-economic data within the overall national fisheries data collection programme for each country (linked to outputs 1.1.1. and 1.1.2).

? Collection of socio-economic data (for the selected fisheries and fishing communities that will be targeted by the project) and its accommodation in the national FMIS. Pilot activities will be implemented on the collection and integration of socio-economic data and information with other types of fisheries data to produce EAF management recommendations.

**Component 2:** Strengthening national and sub-regional governance arrangements for EAF fisheries management, supporting countries implementation of CLME+ SAP priorities. Activities under this Component will focus on strengthening national and sub-regional fisheries governance with emphasis on improving the participation of SSF stakeholders and minority groups and particularly on building capacity for co-management. This will be addressed through three outcomes.

*Outcome 2.1:* Strengthened stakeholder engagement in national decision-making for EAF management. This outcome will emphasize improving representation on, and operationalization of the

National Inter-sectoral Coordination Mechanisms (NICs) for fisheries management in each of the three participating countries, and particularly improving the ability of stakeholders to engage in co-management of fisheries resources. Capacity building efforts will seek to include women and youth among the beneficiaries. This Outcome has two outputs:

**Output 2.1.1.** National inter-sectoral coordination mechanisms for EAF in three participating countries supported and fully operational.

The project will harness experiences, studies and resources for organizational strengthening of NICs from other projects and initiatives including the findings and recommendations of previous assessments of NICs in the three target countries that were conducted under the CLME+ Shrimp and Groundfish sub-project (Compton, 2020). Among the areas to be assessed and improved where necessary are the legal mandate for EAF-based collaborative decision-making, membership including

gender balance, organizational and operational aspects, enabling policies and legislation, developing EAF recommendations, and sustainable financial resources. Special attention will be paid to stakeholder participation in these NICs, including by women and minority groups and representatives from the shrimp and groundfish fisheries sub-sector, drawing upon the Stakeholder Engagement

Strategy and Gender Action Plan developed during the PPG phase. Activities will include:

? Examination of existing NICs and other similar arrangements in each of the three countries to identify key areas needing improvement to enable them to become fully operational and more effective in EAF management. A situational analysis will be conducted to understand any changes since the 2020 NIC assessments. In addition, NICs' mandates and terms of references (TOR) will be examined for incorporation of EAF principles in relation to the shrimp and groundfish fisheries and proposals made to address any identified deficiencies.

? Support the organization of meetings of each established NICs, ensuring wide participation of stakeholder groups, to develop strategic action plans for strengthening the functioning of NICs and sub-regional mechanisms for stakeholder participation in the management of shrimp and groundfish fisheries. Where NICs are awaiting formal government endorsement or their terms have ended, the project will support actions to accelerate endorsement or term extensions and sustain the NICs. Where there is no functioning NIC (Trinidad and Tobago), a working group similar to a NIC will be established, building on the working group initiated under the REBYC II LAC project.

? Development of measures to improve communication and knowledge-sharing from outgoing to new members and among the different multi-sectoral mechanisms.

**Output 2.1.2.** Capacity of SSF stakeholders from target communities/fisheries to participate in co-management of fisheries assessed and developed.

The project will build on the relevant outputs (e.g. **Information and Communication Technology** -ICT and EAF training courses and manuals), results, and experiences of previous projects such as the REBYC II LAC, StewardFish, CC4Fish, and the CLME+ Shrimp and Groundfish sub-project on strengthening fisheries stakeholders' capacity for co-management. Where feasible, existing virtual platforms will be employed to deliver training (e.g. CNFO Leadership Institute established under StewardFish). Capacity building for fisherfolk will be provided through their organizations and include improving knowledge and skills in areas such as ICT, leadership, financial management, policy cycles, governance, advocacy, communication, and compliance. In addition, SSF communities and state fisheries-related agencies will be sensitized and capacitated including with tools, skills, and knowledge to apply EAF thinking and practices in joint decision-making. Women, minority groups, and the youth will be accorded specific attention, with tailored capacity building as appropriate (drawing on the Gender Action Plan as appropriate, see Annex O). Capacity building will also consist of disseminating knowledge and experience of the integration of EAF into conventional fisheries management planning, and raising awareness of the economic, social, and environmental benefits of EAF. Activities will include:

? Conduct of a capacity needs assessment of FFOs in target communities in the three project countries and national fisheries-related agencies in relation to co-management, in consultation with community representatives and the national fisheries authorities.

? Development and implementation of a training of trainers programme, targeted to community leaders, FFOs, fisheries agencies and practitioners, to enhance capacities to engage in participatory

forms of EAF co-management in the sub-region, building on the results of the needs assessment. The programme will be tailored to the realities and needs identified in each country.

? Development and implementation of pilot projects on EAF co-management by FFOs and fishing communities (e.g. under letters of agreement with local NGOs or civil society organizations (CSOs) that have been involved in the training of trainers programme), to identify good practices, lessons, and experiences for wider application. Examples of pilot projects may include participation in enforcement, creation of an enabling environment for government and fishing community representatives to meet and discuss issues of common interest and propose management measures (need legal recognition), and data collection from SSF.

*Outcome 2.2:* Improved EAF management planning and implementation for shared resource management of shrimp and groundfish at national and sub-regional levels. This outcome involves the updating of sub-regional and national FMPs for shrimp and groundfish fisheries and capacity building to improve monitoring of implementation of the FMPs and enhance sub-regional collaboration in management of shared fisheries resources. In addition, efforts will be made to support engagement of the three countries in EAF management of shared shrimp and groundfish fisheries resources at the sub-regional level and address constraints to the implementation of the sub-regional FMP. This Outcome has three outputs:

### Output 2.2.1. National and sub-regional Fisheries Management Plans updated as part of EAF management cycle.

The project will support the national fisheries authorities in Guyana, Suriname and Trinidad and Tobago in reviewing and updating existing FMPs (including the seabob FMPs in Suriname and Guyana) and completing and finalizing the IFMP for Trinidad and Tobago, to ensure that they adequately cover priority shrimp and groundfish resources and incorporate EAF considerations. The Sub-regional Strategy and FMP for the Shrimp and Groundfish Fisheries of the North Brazil-Guianas Shelf will be reviewed and updated and guide the updating or development of the national EAF FMPs/implementation plans to ensure harmonization particularly where shared stocks are concerned. The project will harness the support of the WECAFC/CRFM/IFREMER Shrimp and Groundfish Working Group and national and regional experts in conducting the review and update/finalization of the FMPs. Activities will include:

? Review and updating of the Sub-regional Strategy and FMP for the shrimp and groundfish fisheries of the North Brazil-Guianas Shelf.

? Conducting national workshops for the review, harmonization and finalization of the Trinidad and Tobago draft plan for the shrimp trawl fishery (which was prepared in 2014 but never formally approved by Cabinet) and the draft integrated fisheries management plan (which was initiated under the FAO CLME+ Shrimp and Groundfish sub-project but not concluded).

? Conducting national workshops for the review and updating of existing FMPs (Guyana and Suriname), with particular attention to evaluating their effectiveness, stakeholder participation in the evaluation and updating process, use of best available scientific and local knowledge, the effects of fishing on the environment, interaction of fisheries with other sectors, acquisition and integration of fisheries data and information, and socio-economic considerations.

? Development of new FMPs for other priority species, using the management recommendations emanating from the assessments.

Output 2.2.2. Capacity for monitoring of implementation of Fisheries Management Plans for national Shrimp and Groundfish fisheries built.

This output will be closely linked to technical capacity building in Outputs 1.1.2. and 2.1.1 since the integration of EAF data and application of existing FMIS will be crucial to facilitate monitoring (and vice versa). Stakeholder capacity for the application of the FAO EAF Implementation Monitoring Tool will also be strengthened (FAO, 2021c). The main target audience will be the national structures that are responsible for monitoring in each country, such as the national fisheries authorities and multi-stakeholder arrangements such as NICs. Existing in-country capacity, such as academic institutions, as well as the WECAFC/CRFM/IFREMER Shrimp and Groundfish Working Group and CRFM Continental Shelf Working Group will be harnessed to contribute to monitoring of the implementation of national shrimp and groundfish FMPs. Activities will include:

? Capacity needs assessment for the monitoring of the implementation and effectiveness of national FMPs for shrimp and groundfish fisheries.

? Based on the capacity needs assessment, development and implementation of activities (including national workshops) to strengthen the technical capacity of national fisheries authority personnel and other relevant bodies including NICs to jointly monitor the implementation and effectiveness of the shrimp and groundfish FMPs, using the EAF Implementation Monitoring Tool.

? Preparation of other monitoring frameworks for the FMPs, with targets and reference points, indicators, data requirements, etc. and strengthening institutional capacity for utilizing these frameworks, including their incorporation into national FMPs.

? Provision of appropriate tools, knowledge, training, and institutional support for EAF at all levels for strengthening inter-agency collaboration (e.g., national fisheries authority, maritime authority, coast guard, navy, maritime police, port authority) and capacity for monitoring the implementation of national FMPs.

Output 2.2.3. Management measures and plans for shared fisheries resources at sub-regional level supported (sub-regional Strategy and Management Plan for Shrimp and Groundfish), developed in participatory manner.

While the need for cross-border collaboration and harmonized research and assessment at the sub-regional level is well-recognized, there are ongoing concerns among the countries, e.g., harmonized Conservation and Management Measures (CMMs), taking into account the different management regimes, legal frameworks, and traditions in each country. To help in addressing such concerns, the project will draw on experiences and lessons from the collaboration between Guyana and Suriname on the management of the seabob fisheries (under the CRFM Continental Shelf Working Group) and foster open and transparent discussions among the countries. The project will strengthen cross-border collaboration in data collection, data sharing, and stock assessments using harmonized approaches, and in joint management of the major shared stocks. Activities will include:

? Support the establishment/operation of a sub-regional technical advisory working group to promote the discussion and definition of harmonized data collection and management measures for key shared stocks and support the update and implementation of relevant elements of the sub-regional strategy and FMP for shrimp and groundfish on the NBSLME.

? Development and execution of a pilot activity to deliver elements of the sub-regional FMP using a particular species or species group that is relevant for the three countries (e.g. proposing and evaluating the feasibility of common management measures such as minimum landed size and mesh size based on previous stock assessments and legal frameworks).

? Supporting countries' engagement in mechanisms such as the WECAFC/CRFM/IFREMER Shrimp and Groundfish Working Group and the CRFM Continental Shelf Working Group.

*Outcome 2.3:* Strengthened national legal and regulatory frameworks for EAF-focused fisheries management. Project efforts to deliver this outcome include a review of current national legal and regulatory frameworks for EAF management, in particular in relation to SSF. Measures to improve legal and regulatory frameworks for EAF will be identified, e.g., technical measures, CMMs and HCRs, particularly in relation to SSF, followed by promotion and advocacy work to support their adoption. This Outcome has two outputs:

Output 2.3.1. Current national legal and regulatory frameworks for EAF reviewed, particularly in relation to SSF, including for co-management.

? Examination of the current national legal and regulatory frameworks for fisheries management in the three countries to identify the gaps and deficiencies for EAF and co-management, in particular for shrimp and groundfish SSF. Particular attention will be paid to whether the frameworks explicitly incorporate SSF, provisions for inclusive, participatory fisheries governance and resource management, gender considerations, and capacity building for co-management and implementation of EAF, and other relevant elements.

? Examination of the extent to which the national frameworks are aligned with the international SSF Guidelines and other related regional and international guidelines and policies such as the Regional Code of Conduct for Caribbean Fisheries 2020-2025 (CNFO, 2020), development of which was guided by EAF principles, the WECAFC Regional Plan of Action (RPOA)-IUU, the sub-regional shrimp and groundfish FMP, and the SSF Protocol under the Caribbean Community Common Fisheries Policy (CCCFP).

Output 2.3.2. Recommendations for improving national legal and regulatory frameworks for EAF, e.g., technical measures, CMMs and HCRs, and co-management particularly in relation to SSF, identified, advocated and adopted.

To facilitate their adoption, development of recommendations for improving these frameworks will be highly participatory, involving representatives of key stakeholder groups. This output will also consider the sub-regional FMP and recommendations. Activities will include:

- 1) Identification of opportunities and development of practical recommendations to strengthen the legal and regulatory frameworks for EAF, e.g., by development and incorporation of technical measures, CMMs and HCRs, and co-management and other EAF principles in the management of small-scale fisheries for shrimp and groundfish (based on output 2.3.1).
- 2) Supporting amendment and finalization of the frameworks and acceleration of the political processes for their political endorsement.
- 3) Promotion and advocacy efforts targeting fisheries-related state agencies, NICs, and SSF communities for adoption of the improved frameworks.

**Component 3:** Encouraging Small scale Fisheries (SSFs) to adopt more sustainable fishing practices through new business opportunities, supporting the implementation of the CLME+ SAP priorities.

This Component aims to support the improvement of the livelihoods/incomes of small-scale fishers through a greater uptake of sustainable fisheries practices aiming at safeguarding the environment. The project will provide capacity building, technical support, and contribute towards improved access to financing for small-scale fishing communities in support of diversifying their activities and increasing their incomes derived from more sustainably managed fisheries. Particular attention will be given to women and young people. At the broader level, the project will identify and promote incentives including financial/fiscal, social and market access measures and mechanisms, and support the development of national economic policy to enable more business opportunities and greater investment and stimulate behavioural change towards sustainable fisheries practices. Component 3 consists of two outcomes.

*Outcome 3.1:* New gender-sensitive business opportunities to promote EAF management developed and available in target SSF communities linked to NBSLME fisheries. The aim of this outcome is to create incentives for a greater uptake of sustainable fishing practices among small-scale fishing communities through the identification of new opportunities for enhancing the economic value of catches originated from sustainably managed fisheries. Value chain assessments (VCAs) will be developed for target species aiming to identify and assess new EAF management-related business opportunities and improve existing business models. Subsequently, capacity building activities will be developed for fisher communities to take advantage of these opportunities. The Outcome has two outputs:

Output 3.1.1. Gender-sensitive value chain assessments (VCAs) for SSF value chains performed for target species and communities, and business opportunities identified and prioritized.

Value chain assessment of the production of key fisheries products from inputs to end consumption will be undertaken. By analyzing the geography, actors, and gender dynamics involved in the development of products from a particular species under EAF management, as well as the final consumption of products in various end markets, the project will gain a greater understanding of the various ways in which value can be enhanced so that it ultimately supports the adoption of EAF measures. The value chain analyses will be guided by the FAO Developing Sustainable Food Value Chains Guiding principles[1]. This analysis will be used to identify the root causes for value chain underperformance, and the identification of leverage points where small changes can lead to significant impacts in terms of livelihood and environmental outcomes. The VCAs will also play an important role in identifying capacity building needs to be served under output 3.1.2.

The VCAs will build on previous value chain studies and fill information gaps related to the development of new market channels for all fisheries products from the shrimp and groundfish fisheries. The VCAs will be gender-sensitive and identify in which segments of the value chain women and men are predominant (including estimated numbers by gender and income earned) and the implications for power relationships between actors.

Particular attention will be paid to existing gaps in the understanding of the value chains originating from demersal gillnet fisheries. The VCAs will help to identify capacity building needs in the project countries as well as priority areas for sustainable financing under outcome 3.2. Activities for the value chain studies will include:

- ? Gender sensitive value chain mapping and analysis for selected species
- Identification of core value chain actor types and gender distribution, production processes, value chain geography, and profitability at each segment of the value chain.
- An analysis of end markets and consumer demand for current and potential new products from the selected value chains.

- Identification of main socio-economic, environmental and institutional challenges to value chain development, including but not limited to, entry barriers, non-tariff barriers to trade, production bottlenecks, geographic and transportation challenges, and enterprise resources and capabilities. Other challenges to be considered include limited collective arrangements among fishers (e.g. cooperatives, associations), compliance issues with existing national and international sanitary and environmental regulations, the sustainability of target species and other external factors affecting the resilience of the fisheries value chains to unexpected shocks and changes (e.g. climate change, pandemic restrictions, etc).

? Development of recommendations for value chain upgrading and identification of priority training needs and presentation of the recommendations and findings to stakeholders at a national workshop.

? Based on recommendations a workshop focusing on the development of a participatory capacity building plan for the priority capacity building needs will be conducted. Capacity building needs for the activation of value chain recommendations/ upgrading of the value chain will be prioritised by beneficiaries. Capacity building needs could be related to but not limited to production and processing methods, cold chain management, marketing and packaging, and transportation management for each of the targeted communities. This will be used to inform the implementation of capacity building plans in output 3.1.2.

Initial value chains and potential areas for upgrading that will be analyzed include:

- High value export markets for large sized and higher quality (through improved post-harvest handling) groundfish catch.
- High value domestic markets for higher quality (through improved post-harvest handling) groundfish catch, including import substitution opportunities.
- Domestic markets for value added products to capitalize on growing income levels and shifting consumer preferences (particularly in Guyana).
- Use of waste from processing to create new products such as fish silage.

Output 3.1.2. Capacity for target fisher folk communities to take advantage of new EAF management related business opportunities identified and built.

Using the information gathered from value chain studies, priority actions for capacity building and market development will be identified using a participatory approach. Priority actions will be specific to each project country and appropriate pilot projects will be considered. Activities in each of the project countries will include:

? Implementation of initial capacity building programme with target communities and enterprises, for the development of individual resource mobilisation strategies and business plans, and identification of priority communities and enterprises for further mentoring and capacity building. Materials from this capacity building programme and lessons learnt will be documented to allow for future replication and enable access of this important material to other fisheries-based enterprises. For each country one to two communities and enterprises will be selected for further mentoring and capacity building using the criteria identified by stakeholders during project implementation including but not limited to: alignment of fishing activities with existing EAF plans and focus on target species.

? Development of a detailed participatory resource mobilization strategy and business plan with two enterprises/ communities per country. Working with business specific mentors, selected enterprises will identify priority, processing, marketing, packaging and the financial feasibility of EAF opportunities (identified in output 3.1.1) to inform the development of a participatory resource mobilisation strategy and business plan with two enterprises/ communities per country. Resource mobilisation plans will be linked and presented in seminars under output 3.2.2.

? Provision of technical support and capacity building programmes on enterprise development in one or two target fishing communities and/or fisheries enterprises per country using a start-up incubator and mentorship approach. This approach will involve each of these communities/enterprises working with a business or technical mentor who can provide capacity building in the priority areas identified in the business plan. These communities/enterprises will be identified and their capacity and needs assessed during the inception phase of the project. This output will be used as a proof of concept that can be replicated and scaled up. Capacity building and mentoring in areas that support sustainable business development and value addition will be informed by the VCAs in output 3.1.2. Potential areas of support include but are not limited to value addition (such as through processing, smoking, drying or production of new products from waste) to current landings (e.g. in meeting third-party sustainability certifications for market access, and upgrading of marketing and packaging approaches to meet consumer demands, and design and piloting of online marketing tools to shorten value chains).

*Outcome 3.2:* Policy and investment environment supportive of new business opportunities that encourage EAF management in SSF. Activities to deliver this outcome will focus on reviewing and updating policies and financial frameworks relevant to investing in sustainable small-scale fisheries, with identification and promotion of policies, strategies and measures to encourage fishers and markets to adopt and spread EAF management practices in SSF. For instance, the project will work to enhance potential access to micro-credit and insurance for SSF ventures supportive of sustainable fisheries. This Outcome has three outputs:

**Output 3.2.1.** Policies and financial frameworks (based on global good practices) that can support investments in SSF reviewed, and recommendations identified and promoted.

This output focuses on strengthening the enabling environment to support greater investments in EAF, encouraging both private and public sector involvement and commitment. In order to implement EAF management recommendations in SSF, financial and capital resources will be needed. Support from financial institutions, both formal and informal, is needed to purchase equipment, for receiving training in the implementation of EAF measures and use of associated equipment, and to manage any revenue risks that may come with the adoption of EAF management measures. By analyzing the situation in the project countries and understanding global best practice with regards to financing for EAF in SSF, this output aims to improve access to financing services to support uptake of sustainable practices by fishers and relevant enterprises. Activities associated with this output in each of the project countries will include:

? Review of global, regional and national financial frameworks and investment policies applicable to SSF. In each of the project countries, mechanisms for financing of sustainable activities exist, yet efforts are needed to build the capacity and awareness of SSF operators to access these opportunities, and address risk aversion linked to the development of new value chains and untested production/harvest methods; and

? Development and dissemination of recommendations arising from the policy and framework review, including recommendations on how project objectives can be achieved using existing financial frameworks and policies, and on how these can be improved to support investments in SSF (e.g. through appropriate tax frameworks to encourage investment).

## Output 3.2.2. Access to financing by SSF for EAF venture opportunities increased.

New SSF ventures will require capital for the transition to new production approaches, products and markets. As these are new ventures unfamiliar to traditional providers of capital in this space, they will require support to access capital for the implementation of EAF measures and success of the ventures. Thus, this output aims to create a more supportive enabling environment for new SSF by improving awareness and understanding amongst relevant financial institutions. This component will also aim to de-risk investments in these new ventures by providing support to access publicly available capital, and where possible fund enabling investments through technical support to allow for proof of business concept for EAF ventures to access further private capital. Activities associated with this output in each of the project countries will include:

? Development of awareness raising and information campaign targeted at existing and potential funders of new SSF ventures, specifically:

- Awareness raising with existing financial institutions that support fisheries, and those identified under output 3.2.1 that have the potential to support sustainable investments in SSF, on the importance and potential of developing new value chain channels, production methods, harvest approaches, and markets. [Many of the financial institutions that can potentially provide financing for SSF need improved education and awareness to shift their current practices away from supporting activities that can ultimately have negative environmental impacts.]

- Development and implementation of a public information campaign targeted at both financial institutions and potential recipients of financing.

- Presentation of selected business plans from output 3.1.2 to financial institutions and other relevant potential funders.

? Seeking financial support for the implementation of pilot projects and first phases of resource mobilization strategies under output 3.1.2 for the development of alternative livelihoods for target communities and enterprises. Under this activity, project personnel and mentors will work with enterprises to seek funds for the activation of 1-2 pilot projects per country as demonstrations for later replication.

## Output 3.2.3. Strategies and measures to encourage fishers and markets to adopt and promote EAF management in SSF identified, developed, and disseminated.

This output will build on previous activities by developing strategies to increase the adoption of key EAF management measures. Strategies developed will be relevant to local culture and conditions, and place emphasis on ensuring that benefits are realized by women and youth involved in the value chain. Since consumer preferences are also critical to the adoption of EAF measures and realization of associated benefits, this output will ensure that strategies and approaches are adapted to influence consumer decisions. Activities associated with this output in each of the project countries will include:

? Study of local and international demand side factors, which will include a review of national consumer preferences and barriers to consumption of current and potential new products from SSF including value added products developed under output 3.1.2.

? Identification, prioritization, and implementation of appropriate innovative tools and approaches for supplier/buyer matching for products under EAF management. Using information gathered from value chain studies, stakeholders including SSF suppliers and existing and potential clients will work towards the identification (from global good practice) of an approach for the matching of suppliers in SSF to buyers. This approach could include the use of a digital market platform allowing for the posting of production information, receipt of payment, building of credit history and information of product quality[2]. Alternatively, this approach could include the use of social intermediary that can identify and connect producers with differentiated markets.[3]

**Component 4:** Supporting knowledge management, outreach, and lesson learning for EAF and implementation of associated CLME+SAP priorities.

This component largely seeks to improve adoption and implementation of the EAF through improving communication, knowledge and understanding of EAF management. It supports the capacity to deliver this among relevant stakeholders, especially in relation to SSF, and focuses on knowledge management and communications to ensure that knowledge is captured and shared, and awareness of the Project's objectives, activities, achievements is raised among stakeholders and other target audiences. Processes will be put in place to facilitate the synthesis, exchange and uptake of project-specific lessons learned, best practices, and expertise developed during project implementation, and to support the adaptive management of the Project. Key tools to facilitate the dissemination of information and knowledge products will be the development of a knowledge sharing hub and information packages to a wide range of target groups including national governments and regional (e.g. Regional Fisheries Management Organizations- RFMOs) and global entities (e.g., UN agencies). Component 4 also includes project Monitoring and Evaluation (M&E) to ensure that the project is adequately monitored during implementation, and as a tool for adaptive management to improve project delivery, results and oversight.

In addition to developing a project-specific knowledge management and communications plan, the project will develop and pilot a model for an outreach strategy and action plan for each of the three Fisheries Departments to improve the effectiveness of their outreach activities in relation to EAF. This will be incorporated into the annual work programme of each Fisheries Department with budgetary and staffing resources assigned for its implementation.

The resources and management arrangements needed for the delivery of activities under this Component will be shared with the REBYC III CLME+ project for greater efficiency of communication, knowledge management and M&E activities, given both projects have many countries, target fisheries, project partners and stakeholder groups in common. This joint approach will enable more impactful, coordinated and cohesive awareness raising and knowledge transfer efforts by the two projects, supporting wider uptake of their key messages and results and greater awareness of solutions to management for sustainable fisheries in the CLME+ region.

*Outcome 4.1:* Knowledge of processes, measures, options, and incentives for effective EAF management to improve sustainability of fisheries increased among key stakeholder groups.

This outcome will be based on the development and implementation of a EAF communication and outreach programme across the target fisheries in the three countries. Activities will be targeted at individual fishers, fishing industry (capture, processing and distribution) and the wider fish-buying public. To ensure effective and impactful delivery of knowledge products, the project will be able to draw upon the experiences and lessons learned from previous FAO-GEF projects, such as the REBYC II LAC project and GEF-5 Common Oceans Areas Beyond National Jurisdiction (ABNJ) programme.

It will also be able to link and exchange experiences with the Communications Team of the recently approved GEF-7 FAO-led Common Oceans ABNJ programme.

A part-time project Knowledge Management and Communications (KMC) Officer (KMCO), to be embedded in the Project's Management Unit, will be employed by the project for its entire 4-year duration, to organize and execute its knowledge management, outreach and communications activities, and support outreach efforts undertaken through the national fisheries agencies. A KMC Working Group will also be established to advise on the development and to coordinate KMC activities across the project and with the REBYC III CLME+ project. This group will be established with representatives from each of the key stakeholder groups, e.g. outreach/communication officers from the participating fisheries agencies. The KMC Working Group will meet on a bi-annual basis, organized by the KMCO who will provide secretarial functions to the group. It is expected that the working group will be operated online only (no face-to-face meetings unless non-project funded opportunities arise). This Outcome will be delivered through the following three outputs.

Output 4.1.1. EAF Outreach Strategy and Plan to promote greater understanding of EAF management in target fisheries developed and implemented.

The project will seek to communicate key elements of the EAF and need to move towards more sustainable practices in the target fisheries, across a range of stakeholder groups. This will include targeted capacity building and resources for effective communications in the three national fisheries agencies, building on initial capacity needs identified by the three fisheries agencies and lessons from previous communications/awareness-raising/outreach initiatives (see baseline section). Activities/deliverables will include:

- ? Development of an EAF Outreach Strategy and Plan for EAF focused on the target fisheries, with clear identification of roles and responsibilities, deliverables, resources and timing (what, how, when, who and with what resources).
- ? Development of EAF management outreach and awareness-raising materials for the target fisheries and their key stakeholder groups (varying according to country needs and defined in the EAF Strategy and Plan).
- ? Outreach training programme for the three national fisheries agency staff in effective techniques and approaches for communicating selected EAF messages (e.g. communicating messages through stories, effective use of social media).
- ? Development of a plan with identified funding for long-term support for fisheries outreach activities in each country (e.g. through tailored courses through the University of the West Indies campuses in the region or through national universities in Suriname and Guyana).

Output 4.1.2. Project successes, experiences and lessons learned identified and disseminated to key EAF4SG stakeholders.

The management of project-derived information and knowledge is an integral part of the project operations, essential for generating content for up-scaling of project achievements, lessons and good practices, strengthening institutional memory, and supporting stakeholder engagement. The use of knowledge to strengthen capacity is seen as particularly critical to the project's success. The project will identify and disseminate its experiences, achievements and lessons learnt, to a range of stakeholders in the NBSLME region and beyond to promote greater awareness, understanding and acceptance of solutions for addressing EAF management in tropical fisheries, and make knowledge of these more widely and easily available.

This output will coordinate all project knowledge management, outreach and communication needs across the project (including those in components 1-3). To achieve this a core element of Component 4 will be the development of a project KMC Plan that will direct the project's knowledge generation,

storage, lesson learning and sharing/exchange, as well providing a coherent, coordinated framework for the project communication activities, and maximize the impact through strategic identification of knowledge management and communication activities, events and stakeholder participation opportunities. Activities/deliverables will include:

? Development of a project KMC Plan. This will identify and promote key project messages, results and successes, with target audiences, resources needed, partner relationships and timing identified. It will identify mechanisms and tools for effective knowledge-sharing across the project, and include sections on: objectives and approach; target audiences (with a mapping exercise of stakeholder interests, areas of expertise and communication platforms and resources in relation to KM and communications); key messages; tools, channels and mechanisms (dedicated websites, knowledge-sharing platforms, meetings and events, social media, other media); knowledge management activities; communication activities; roles and responsibilities; human and financial resources; monitoring and reporting; and timetable/programming. Furthermore, it will provide guidance on how to collect and share best practices, lessons learned, and innovative solutions to EAF issues. The KMC approach builds on acknowledged best practices widely employed by FAO, such as the Knowledge Sharing Toolkit<sup>[4]</sup> and be in line with the principles of the FAO Knowledge Strategy (2011) and GEF's Knowledge Management Strategy and associated guidance.<sup>[5]</sup> It also takes recent experiences of other FAO-GEF programs where KMC activities have had a significant focus, including the FAO-GEF Coastal Fisheries Initiative (CFI), into consideration. The KMC Plan will be developed during the first three months of implementation. It will be led by the KMC Officer and reviewed and updated annually as required.

? Project-generated knowledge and communication products developed and shared through available knowledge-sharing platforms and processes to facilitate exchange of lessons, best practice, and expertise generated during project implementation, including information packages, media packs, with establishment and operation of project website (linked to relevant national fisheries agency websites) acting as a project knowledge-sharing hub. It is expected that a range of media and channels will be employed to promote project results including through newspapers, TV (largely their websites), social media and newsletters, as well as through videos (e.g. video footage of project activities) and still photography (collection of stock images), infomercials, posters, infographics, project participation in public events such as expos, meetings, fisher folk observances and other PR activities that engage with target audiences. Knowledge products will cover the mainstreaming of gender in project activities.

? A project-specific visual identity will be developed, including design guidelines, templates and layouts for use in knowledge management and communication activities, and a standard 1-page fact sheet on the project (initially covering aims and expected results, partners, etc.), will be developed during the first 3-months of the project implementation.

? A structured lesson-learning framework will be designed and applied to the project with regular **reviews** of project results (tied to the project's M&E plan, see section 9 below). This will be undertaken through a participatory mapping exercise of shared experiences and good practices with project partners and key stakeholder groups directly involved with the project, undertaken as a part of an annual project review (linked to development of the GEF Project Implementation Review, see section 9). This is considered a key tool for documenting and disseminating project-generated knowledge.

The project's aims to promote lessons learned in EAF adoption and implementation to a wide range of GEF-eligible countries in the NBSLME and in other LMEs, and a broader dissemination of experience

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and lessons learnt generated by the project will be pursued through engaging national and regional technical and educational institutions, and regionally and internationally through South-South cooperation mechanisms. Consequently, the project's knowledge management approach will place particular emphasis on stakeholder engagement and the KMC Plan will be linked to the project's Stakeholder Engagement Strategy and Plan (see section 2 of Project Document) to ensure robust information dissemination and exchange to increase awareness and engagement on the topics of EAF in the public domain.

Although the project specifically addresses knowledge management activities under this Component, the project employs knowledge management to support capacity building and training actions under all the components. In this regard, in collaboration with the FAO e-learning Academy, the KMC will also support the development of online KMC tools, including tools to facilitate courses and material to advance the project's requirements on capacity building.

Monitoring of, and reporting on, knowledge management and communications activities will be embedded in the project M&E Plan (see Section 9) to support adaptive management of the Project. They will feed into project reports, with descriptions of the activities, following the reporting requirements of the relevant implementing agencies and the GEF.

Output 4.1.3. Roadmap and materials for scaling of successful project solutions for implementation of EAF management in NBSLME fisheries to the wider CLME region and beyond developed and implemented by relevant stakeholders, including 1% allocation to IW:LEARN activities. Activities/deliverables will include:

? A 'roadmap' for scaling up project successes and experiences to neighbouring countries with similar or shared NBSLME fisheries and EAF challenges, such as Brazil, Venezuela and French Guyana<sup>[6]</sup>, and the wider Caribbean region and globally.

? A key element of the 'roadmap' will include active engagement with IW:LEARN<sup>[7]</sup> and the CLME+HUB.<sup>[8]</sup> This will further effective dissemination of knowledge and project successes and lessons learned in EAF adoption and implementation in the wider Caribbean and to other LMEs and the wider IW community. The project will also draw on the profound expertise and experiences available via these platforms especially participating in exchanges on topics related to EAF, SSF development, and marine conservation issues at the national and regional levels and be an active learner from past experiences in other regions by participating in trainings, workshops, IW Conferences and any other exchange formats pertaining to EAF at the national and regional levels. The project will further contribute to GEF Experience Notes and Results Notes (at least two experience notes and one results note), Good Practice Briefs and other relevant knowledge products during project implementation to the IW:LEARN platform following IW:LEARN guidance. The Project Management Unit will also facilitate partner participation (e.g. by fisheries agency representatives from each participating country) in external knowledge-sharing exchanges such as the IW:LEARN biennial conferences and any relevant regional events hosted by IW:LEARN. A minimum of 1% of the GEF IW grant financing will be ring-fenced to support participation in IW:LEARN activities (see project budget in Annex A2).

*Outcome 4.2: Effective gender-responsive project implementation based on adaptive management.*

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A comprehensive, gender-sensitive project Monitoring and Evaluation (M&E) system will be applied to the EAF4SG project (see Section 9). In line with the Minimum Fiduciary Standards for GEF Partner Agencies and the 2019 GEF Evaluation Policy, GEF Agencies are responsible for ensuring that projects are properly designed with M&E plans and that projects are adequately monitored during implementation. These monitoring plans should include appropriate performance and results indicators for projects and programmes needed to adequately monitor project activities, production of outputs and progress toward outcomes. Mid-term reviews (MTRs) are not a strict requirement for Medium Sized projects such as the EAF4SG. However, an MTR of the project will be undertaken for adaptive management purposes (probably combined with the MTR for the EAF4SG's sister project, the REBYC III CLME+ project). The EAF4SG project will also be subject to an independent Terminal Evaluation (which may also be shared with the REBYC III CLME+ project, depending on timing).

Gender concerns are integrated into the M&E framework, e.g., through specific indicators with allocated M&E budget to ensure they are monitored, to ensure that benefits to women (and youth and disadvantaged groups) are tracked and flow from the project. This Outcome has two outputs.

Output 4.2.1. A gender-responsive project Monitoring and Evaluation (M&E) system using data disaggregated by sex, age and ethnicity designed and operational, and in line with FAO and GEF requirements.

The project will implement a gender-responsive project M&E and lesson learning framework that will feed results into the project's communications activities (helping to identify successes and lessons learned), as well as supporting effective, adaptive management of the project.

Activities/deliverables will include:

- ? Establishment of the Project Steering Committee (PSC) as the project oversight body and convened at least once a year.
- ? Inception workshop with review and endorsement of M&E Plan by the PSC.
- ? Regular monitoring of project indicators (according to the M&E Plan ? see section 9), and reporting on project results (including the annual GEF Project Implementation Review -PIR, and 6-monthly FAO Project Progress Report- PPR).

Output 4.2.2. Terminal Evaluation carried out. Activities/deliverables will include:

- ? Terminal Evaluation (TE) conducted before the official closure of the project.
- ? TE report with results and recommendations to FAO, GEF and the participating governments.

It should be noted that gender concerns are mainstreamed across all four components, outcomes and outputs and will be integrated into the M&E framework to ensure that women (and youth and disadvantaged groups) are direct beneficiaries of the project.

### **Project Theory of Change, including linkages, assumptions, drivers and longer-term outcomes and impacts**

Several of the project Outcomes, both within and between components, interlink and work together or are dependent on the progress and results of others (as depicted by the network of arrows in Figure 2 below, the graphical representation of the Theory of Change). For instance, improved EAF management planning and implementation under Outcome 2.1 depends in part on improved data

gathering, analysis and management under Outcome 1.1 as well as strengthened stakeholder engagement in EAF decision-making under Outcome 2.1. Such linkage represents project risk (failure to deliver one set of activities may impede delivery of another).

In addition, the achievement of the project outcomes and progress towards the project objective and longer-term impacts depends on a number of wider assumptions being met. Assumptions are defined here as external factors or conditions that need to be present for change to happen, but are beyond the power of the project to influence or directly address, e.g. turnover of government officials, global financial situation. Assumptions that directly relate to achievement of the project's immediate outcomes are that:

A1. Government fisheries agencies, fishing communities and private sector fishery groups are willing to engage in co-management of fisheries and marine resources.

A2. Social and cultural barriers do not prevent women from effectively participating in the sustainable management of fisheries.

A3. The private sector is willing (or can be encouraged) to invest in activities to address new business opportunities and to provide a supportive environment for EAF management.

A4. There is sufficient and continued commitment (political support, staff, resources, etc.) by national government institutions responsible for fisheries policy, legislation and management for actions to adopt and continue to implement EAF management.

A5. Perverse subsidies can be eliminated and do not continue to reward unsustainable fishing and encourage overcapacity of fishing fleets.

A6. Countries continue to see the value of, and commit resources for, national and sub-regional cooperation and collaboration to address EAF management.

A7. Domestic and international markets for sustainable fisheries value chain products can be sufficiently developed and maintained to provide long-term secure sources of income for fishing communities, particularly for SSF and the benefit of women.

A8. Future climate change impacts do not irreversibly affect the structure and function of the CLME+ marine and coastal ecosystems and habitats.

In addition, operation of the project itself rests on several preconditions, including that: (i) the project can secure the external expertise and technical assistance required for a full and timely implementation of project activities (needed for delivery of all Components, but especially Components 1-3); (ii) there is continued commitment of the participating institutions and actors from national to community level during the project lifetime, manifest through their continued staff involvement and co-financing contributions; (iii) there are no major political changes in participating countries that would prevent the project's institutional framework from continuing to operate and deliver project results; and (iv) the Covid-19 pandemic does not continue to have significant negative impacts on the ability of key stakeholders to engage with the project and deliver results or that adaptive management measures are not able to mitigate these impacts. In addition, it is assumed that fishing communities will grasp the opportunities offered by sustainable co-management and are willing to invest the required time and energy to change to more responsible fishing practices measures (particularly encouraged through activities under Component 3); in other words, that the project can interest sufficient numbers of fisher folk to abandon their old practices and engage in new ventures which may have a financial risk. Conversely, there are several impact drivers<sup>[9]</sup> that may make progress towards achievement of project outcomes more likely, notably:

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D1. The fishing industry (particularly the small-scale fisheries subsector) is keen to engage in new business ventures for sustainable fisheries.

D2. Obligations under international/regional policy and legal frameworks, such as the Landing Obligations under the EU Common Fisheries Policy and the US Seafood Import Monitoring Program (SIMP), which are encouraging more responsible fishing practices in order to maintain fish exports.

D3. Increased awareness among government decision and policy makers about the value of marine ecosystems and their role in climate change mitigation and sustainable development, the opportunities offered by the blue economy (particularly for supporting recovery from the COVID pandemic) and need to manage coastal and marine resources sustainably, together with increased promotion of the value of marine ecosystems by number of global level initiatives such as the High-Level Panel on Sustainable Ocean Economy.

D4. Increasing global demand for premium certified sustainable fish products and/or those which meet national legislation of import countries for fisheries that apply EAF principles.

D5. Regional initiatives and forums, notably the CLME+ SAP, promoting regional visions, building capacity and facilitating increased inward investment for sustainable management of marine resources, along with international legal obligations, such as national commitments to the CLME+ SAP, SDGs, United Nations Framework Convention on Climate Change (UNFCCC) and the Convention on Biological Diversity (CBD).

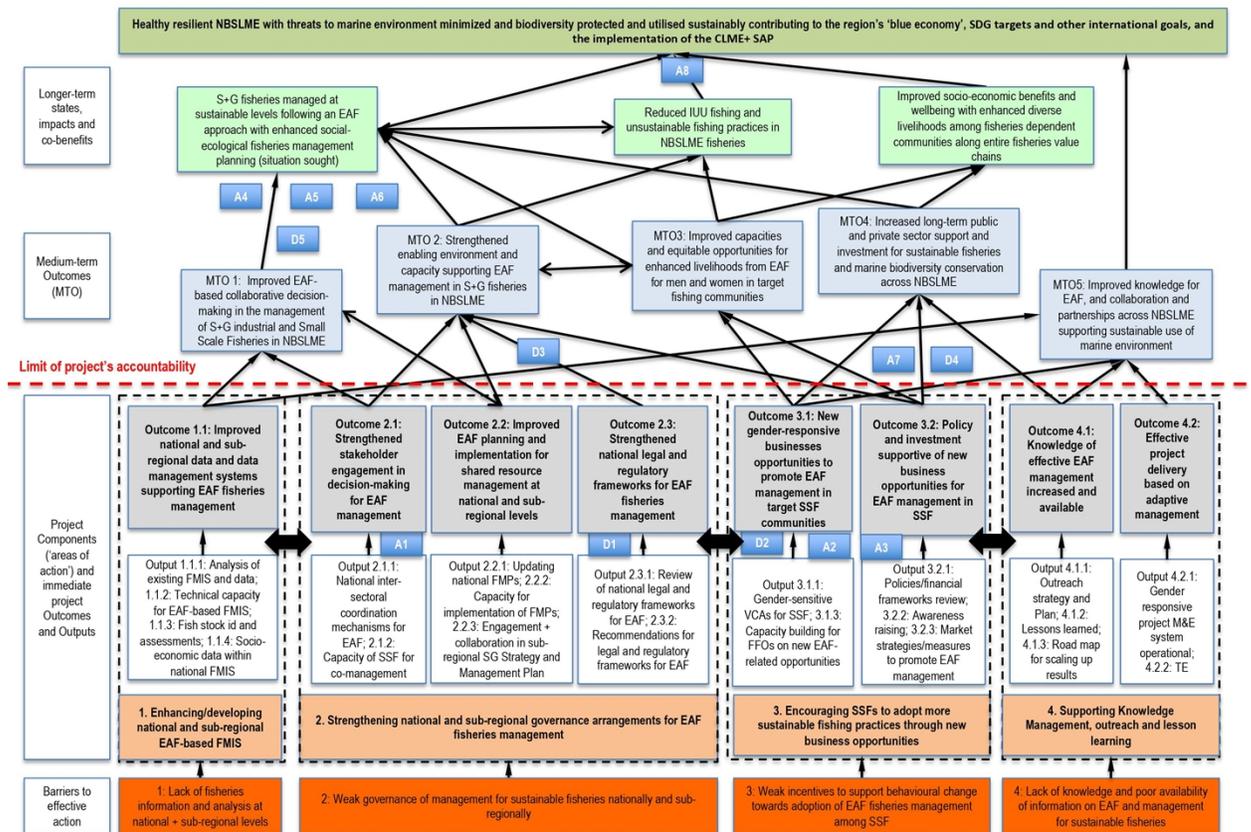


Figure 2: Theory of Change for the EAF4SG project (A = Assumption; D = Driver. Arrows depict major linkages, lesser ones are not shown)

If the project's outcome-level assumptions and impact drivers are met, then delivery of the four project Components will result in further gains along the causal pathway. Together the four Components and their eight Outcomes combine to affect several medium-term outcomes (MTO). For instance, the outcomes associated with Components 1 to improve data and data management systems and Component 2 to strengthen stakeholder engagement in decision-making will combine to improve EAF-based collaborative decision-making in the management of shrimp and ground fisheries (both industrial and SSF) in the NBSLME (MTO1). Similarly, achievement of outcomes under Component 2 to strengthen legal and regulatory frameworks for EAF fisheries and support targeted capacity in EAF management together with those under Component 3 to encourage new gender-sensitive EAF-related business ventures and related policy incentives work together to strengthen the enabling environment to support EAF management in shrimp and groundfish fisheries in NBSLME (MTO2).

The project's focus on building capacity for EAF and promotion of co-management (outcomes under Component 2) and supporting new ventures based on more sustainable fisheries e.g. by adding value along fisheries value chains or providing alternative livelihood options (outcomes under Component 3) will offer more equitable opportunities for enhanced and sustainable livelihoods for both women and men in target fishing communities particularly for SSF communities (MTO3) and lead to increased long-term public and private sector investment for sustainable fisheries and marine biodiversity conservation across the NBSLME (MTO4). Together these four medium-term outcomes supported by other non EAF4SG project interventions and resources will lead to the NBSLME shrimp and groundfish fisheries managed at sustainable levels following an EAF approach with enhanced social-ecological fisheries management planning (situation sought), whilst also contributing to reducing IUU fishing in the NBSLME region (especially through Component 2 related activities), with improved socio-economic benefits and wellbeing and diverse, enhanced livelihoods among fisheries dependent communities along fisheries value chains. Apart from gains in specific countries and the shrimp and groundfish fisheries, the delivery of project outcomes would also contribute to the general knowledge base on effective EAF measures, as well as supporting wider collaboration and partnerships efforts to address sustainable use of marine resources in the NBSLME region and beyond (MTO5), contributing, for instance, to implementation of the CLME+ SAP and to the 2030 and other international targets. Achievement of these longer-term outcomes, which is beyond the immediate achievement and accountability of the project, is subject to further assumptions (A4-A8) and three additional drivers (D3-D5), namely that:

A4. There is sufficient and continued commitment (political support, staff, resources, etc.) by national government institutions responsible for fisheries policy, legislation and management for actions to adopt and continue to implement EAF management;

A5. Perverse subsidies can be eliminated and do not continue to reward unsustainable fishing and encourage overcapacity of fishing fleets;

A6. Countries continue to see the value of, and commit resources for, national and sub-regional cooperation and collaboration to address EAF management;

A7. Domestic and international markets for sustainable fisheries value chain products can be sufficiently developed and maintained to provide secure, long-term sources of income for fishing communities, particularly for SSF and the benefit of women;

A8. Future climate change impacts do not irreversibly affect the structure and function of the CLME+ marine and coastal ecosystems and habitats;

D3. Obligations under international/regional policy and legal frameworks, such as the EU regulations concerning food safety and control of trade from IUU fishing and the US SIMP, which are encouraging more responsible fishing practices in order to maintain fish exports;

D4. Increasing global demand for premium certified sustainable fish products and/or those which meet national legislation of import countries that require no/mitigated bycatch especially ETP species such as marine mammals;

D5. Regional initiatives and forums, notably the CLME+ SAP, promoting regional visions, building capacity and facilitating increased inward investment for sustainable management of marine resources, along with international legal obligations, such as national commitments to the CLME+ SAP, SDGs, UNFCCC and CBD.

Together, these would be expected to lead to the long-term ?situation sought? of the

*NBSLME Shrimp and groundfish fisheries managed at sustainable levels following an EAF approach with enhanced social-ecological fisheries management planning*, and over the longer term and with additional external inputs (e.g. other national and donor-funded initiatives) to the long-term state of a *healthy, resilient NBSLME with threats to the marine environment minimized and biodiversity protected and utilized sustainably contributing to the region?s ?blue economy?, SDG targets and other international goals, and the implementation of the CLME+ SAP?*.

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

The proposed project is aligned with GEF-7 International Waters objective 1: Strengthening national blue economy opportunities to reduce threats to marine and coastal waters, and specifically two areas of strategic action namely IW-1 Sustaining healthy coastal and marine ecosystems and IW-2 Catalyzing sustainable fisheries management. National stakeholders in all three project countries have underscored the significant level of concern about the overfished status of the shrimp and groundfish stocks (some of which are shared) and the impacts of the demersal fisheries on the health and productivity of the marine ecosystem and biodiversity. Selection of the project?s target fisheries was based on these and other concerns, which are also highlighted in the CLME+ TDA and SAP. Through addressing governance, technical, and socio-economic aspects, the project will catalyze greater adoption and implementation of EAF measures particularly within SSF, thereby contributing to reduced environmental and ecological threats from demersal fishing and helping to restore and sustain healthy coastal and marine ecosystems and the delivery of vital ecosystem services that underpin blue economy opportunities. Specifically, the project proposes to create an enabling environment for EAF by updating national and sub-regional legal, regulatory and management frameworks, improving co-management and strengthening collaboration among the three countries (under Component 2) as well

as strengthening capacity to support the implementation of EAF at the national and sub-regional levels (mostly Components 1 and 2). The proposed activities will also contribute to addressing IUU fishing and overfishing and incentivize management for more sustainable demersal fisheries. At the same time, the project will assist the countries in identifying sustainable public and private national investments in the blue economy through supporting new initiatives and incentives to adopt EAF particularly among SSF (under Component 3), including market mechanisms to support sustainable fisheries value chains with new business opportunities that are expected to catalyze wider adoption of sustainable fisheries management. Greater adoption of sustainable fisheries practices by small-scale fishers through the value chain/livelihood approach will lead, in the longer term, to environmental benefits (healthy marine ecosystems and fish stocks), which underpin productive shrimp and groundfish fisheries in the NBSLME.

Of particular relevance to the IW Focal area is the shared nature of the NBSLME and its living marine resources including some of the shrimp and groundfish stocks. This calls for cooperation among the countries in the management of these shared resources. Thus, the project will strengthen transboundary cooperation among the three countries in the sustainable management of the NBSLME demersal fisheries, which has been already initiated through frameworks such as the CLME+ SAP and which the three countries have endorsed. A key GEF priority within the IW Focal Area is to invest in projects that support SAP implementation. The EAF4SG project directly supports many Strategies and associated Actions of the CLME+ SAP, as listed in Box 2 above. The project contributes to IW:LEARN (detailed in Component 4 and the Knowledge Management section), which will be used to disseminate knowledge and lessons learned in EAF implementation to other countries fishing in the NBSLME, among others.

The project is also aligned with the GEF Biodiversity Focal Area (GEF-7 BD 1-1 Mainstream biodiversity across sectors as well as landscapes and seascapes, and BD 2 Address direct drivers to protect habitats and species).

Biodiversity considerations will be mainstreamed in the fisheries sector, specifically in the shrimp and groundfish fisheries, through incorporation of EAF into fisheries policy, legislative, and management frameworks at the sub-regional and national levels. This will promote the sustainable exploitation and conservation of marine biodiversity and support the recovery of overfished shrimp and demersal fish stocks in the NBSLME. Moreover, it will help to reduce the capture of target non-target species, particularly of globally endangered, threatened, and protected species such as turtles and certain species of sharks and rays, and reduce the negative impacts of demersal fisheries on benthic marine and coastal habitats.

With respect to BD 2, the project will help to address excessive fishing effort and harmful fishing practices, which are among the direct drivers of habitat destruction and biodiversity loss, as documented for example in the CLME+ TDA on which the CLME+ SAP is based. As previously mentioned, the EAF4SG project will support the implementation of several CLME+ SAP Actions (see Box 2). Arising from the project will be lessons and experiences in the implementation of EAF, which will have a high potential for replication and upscaling in other fisheries and countries in the NBSLME and beyond, thus having wider implications for the protection of marine biodiversity.

Extensive stakeholder consultations during the PPG phase did not yield additional information but have corroborated the project's alignment with the GEF IW and Biodiversity focal areas, as described in the foregoing.

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

An incremental GEF investment is essential to successfully advance the adoption and implementation of EAF in the shrimp and groundfish fishery of the NBSLME. The central problem that the project seeks to address is the unsustainable level of catch of target species in the shrimp and groundfish fisheries of Guyana, Suriname and Trinidad and Tobago and the wider NBSLME sub-region. Apart from affecting target species, current fishing practices also have a significant negative impact on non-target species (ETP species are of particular concern) and, depending on the gear type, adverse wider knock-on impacts on marine habitats and biodiversity in the sub-region. Current fishing and post-harvest operations are also wasteful in terms of fishing efficiency and post-harvest loss.

Under the current baseline and without GEF financing, the four main barriers identified above will continue to act against the greater adoption and implementation of EAF fisheries management, with potentially severe socio-economic and environmental consequences. Many of the necessary activities to address these barriers to promote EAF among the shrimp and groundfish fisheries in the NBSLME sub-region are not likely to be undertaken or may be too limited to be effective. For instance, although a sub-regional Fisheries Strategy and Management Plan for shrimp and groundfish resources, developed through the GEF-FAO CLME+ sub-project on shrimp and groundfish of the NBSLME, has been endorsed by the countries, it is not yet fully implemented largely because of a lack of resources. Similarly, while Suriname is currently implementing its national Fisheries Management Plan 2021-2025, the Operational Plan needs review and updating, as the completion of several actions has been delayed, and Trinidad and Tobago has not adopted an EAF-based FMP, which is envisioned when the Fisheries Management Bill 2020 is approved. Furthermore, all three countries require assistance to further strengthen governance and technical capacity for EAF implementation, among other areas, for which the GEF intervention is required.

Without the GEF financing, effective EAF management of the shrimp and groundfish fisheries will continue to be hampered by persistent gaps in the availability of consistent and reliable data and information brought about by factors such as inadequate technical capacity of national fisheries agencies and other key stakeholders to apply EAF-based FMIS particularly for SSF (including collection, analysis and interpretation of fisheries data and statistics as well as socio-economic data and information along the entire fisheries value chain) and stock assessments of priority national and shared shrimp and groundfish stocks on which to base EAF management measures and regulations. While the three countries have each initiated efforts to establish some form of FMIS and conduct stock assessments of certain species, they require further support to fully install and operationalize an appropriate FMIS, undertake stock assessments and to apply relevant data and information in the development and monitoring of EAF fisheries management plans. By addressing these gaps and constraints through capacity building of relevant stakeholders and improving FMIS in the three beneficiary countries and at the sub-regional level (Component 1), the GEF financing will strengthen the data and knowledge base that is essential for more effective decision-making for EAF management.

EAF management requires the participation of a broad range of stakeholders with the requisite knowledge, skills, and abilities to meaningfully engage in participatory decision-making, co-management, and fisheries value-chain development. The GEF intervention is required to build the capacity of not only government stakeholders, but also of civil society, fishing industry, and private sector stakeholders who play important roles in sustainable fisheries management at the regional, national, and local levels. In the case of national and local fisherfolk organizations (e.g. GNFO, Surinaamse Seafood Associate, Moruga La Ruffin Fishing Cooperative, and Claxton Bay Fishing Association), this will include supporting their engagement in multi-stakeholder decision-making processes (through Component 2) and strengthening of their organizational and business development and management capacities (through Component 3). Without the GEF support, these groups are likely to continue to suffer from low capacity, rendering them ineffective in supporting EAF implementation.

Without the GEF intervention, the countries' ability to fully implement EAF management of the shrimp and groundfish fisheries will continue to be hindered by ineffective inter-agency collaboration and the absence of, or weak multi-stakeholder fisheries management mechanisms (such as NICs). The

GEF intervention will support the formation and/or strengthening of partnerships and relationships among a range of stakeholders from the public, private, academic, civil society and fishing industry sectors through participatory and inter-sectoral approaches. This will be especially beneficial to small-scale fishing industry stakeholders, who, without the GEF intervention, will continue to have limited opportunities to develop strategic partnerships. Furthermore, the lack of resources to support capacity building for stakeholder participation will result in the continued low levels of co-management and uptake of EAF management at the local level. The GEF increment will strengthen fisheries stewardship through improving co-management involving local communities, particularly SSF communities (Component 2). Furthermore, without GEF financing, national policy and legal frameworks will remain inadequate for the development and implementation of EAF management plans, and the Sub-regional Shrimp and Groundfish FMP will not be effectively implemented. Enabling policy, regulatory and fisheries management frameworks will also be strengthened through the GEF-7 project (under Component 2) with specific actions to support implementation of the national and sub-regional FMPs for the NBSLME shrimp and groundfish fisheries, including the necessary strengthened capacity for EAF management of priority shrimp and groundfish resources.

Under the current baseline, the lack of incentives and opportunities to improve livelihoods linked to more sustainable fisheries practices, and inadequate policies and legal frameworks to encourage SSF to adopt such practices, will persist in the NBSLME shrimp and groundfish fisheries. Private sector investment will continue to view responsible fisheries approaches as costly and with limited benefits (the MSC certified seabob fishery in Guyana and Suriname being a rare example). Similarly, financial institutions are likely to avoid fisheries investments that are considered high risk because of limited knowledge, capacity and experience in investing in fisheries managed under an EAF paradigm and the opportunities offered through sustainable management of living marine resources. The GEF investment will target fisheries value chains, and identify, develop and promote incentives and new blue economy business opportunities for improved livelihoods from sustainably managed fisheries to encourage greater public and private investments in more responsible fishing technologies and practices (Component 3). In addition, the GEF financing will also strengthen the enabling environment (e.g. national economic policies and legal frameworks, measures to improve access to finance services such as credit and insurance, targeted awareness raising for targeted financing institutions, linkage between fisherfolk organizations and markets for responsibly caught fish, etc.), thus encouraging the adoption of behaviours, including by fish consumers, that promote more responsible fisheries.

Under the baseline, the limited availability of and access to EAF-related information by stakeholders, compounded by weak stakeholder capacity for effective communication and outreach, will continue to hinder the promotion and uptake of lessons and good practices for EAF management. In the absence of the GEF financing, given the recent conclusion of several sustainable fisheries focused initiatives in the region (e.g. the FAO CLME+ Sub-project on Shrimp and Groundfish of the NBSLME and the REBYC II LAC project), there is a potential danger of the loss of critical institutional knowledge, expertise, and opportunities to leverage information and project results, and importantly, loss of political momentum for sub-regional cooperation towards improving the implementation of EAF by the NBSLME countries. The net result will likely be only modest progress towards implementing EAF approaches, based on the capacity and interests of individual governments at the expense of a coordinated approach to sustainable living marine resources management for shared stocks in the NBSLME. With the GEF increment, improved communication, awareness, knowledge and understanding of EAF management among relevant stakeholders at the government, private sector and fishing community levels will support the adoption and implementation of EAF (Component 4). This will be facilitated through building stakeholder capacity in effective communications, including the use of innovative ICT tools, the exchange of lessons on EAF implementation and strengthening knowledge networks such as e-learning hubs.

Given that most fish stocks are shared between several countries in the NBSLME sub-region and involve multiple stakeholders, coordination, and support for advancing EAF at the sub-regional level is essential. Under business as usual, financing opportunities are likely to be uncoordinated, failing to take advantage of economies of scale and experiences from other NBSLME nations (Brazil, French

Guiana, Venezuela) and other countries in the wider Caribbean and IW community. Investments by national governments in fisheries would be directed to largely maintaining core functions with ad hoc, non-strategic, incoherent and piecemeal projects to fill urgent gaps, which would likely fail to address the overarching and long-term needs of the fisheries and the fisherfolk who depend on them for their livelihoods but who have few alternative livelihood options. In the absence of the GEF incremental investment, this baseline is particularly likely following the Covid-19 pandemic, which has had significant economic and societal impacts on NBSLME countries, and when governments are likely to focus their attention on other immediate human development challenges over the next few years. Moreover, private sector investors will remain cautious due to the uncertainties over recovery from the pandemic.

Overall, under the 'business as usual' scenario without GEF investment, it is likely that participating countries would only integrate EAF approaches in fisheries management planning on an ad hoc or opportunistic basis, without coherent national and sub-regional roadmaps that include the interests of the multiple relevant stakeholders. Unsustainable fishing of target species, compounded by IUU fishing, within the NBSLME will continue in those fisheries for which EAF management is not fully adopted and consistently implemented, leading to the loss of marine biodiversity and degradation of critical habitats.

The alternative through the GEF will allow collective actions to align conservation and economic goals, creating significant incremental benefit above the baseline, 'non-project' option with respect to the provision of ecosystem goods and services in the NBSLME. Indeed, for a relatively small investment, the GEF intervention will result in significant positive impacts, including over 5,982,900 ha of globally significant marine habitats under improved management and an estimated 20,000 mt of globally over-exploited marine fisheries moved to more sustainable levels. The project will help to support delivery of the objectives of the CLME+ SAP strategies, particularly Strategy 6 that, inter alia, promotes the development and implementation of EAF through national and sub-regional fisheries management plans for shared shrimp and groundfish fisheries resources in the NBSLME sub-region. It will also deliver important development, social and economic co-benefits, which are not likely in the absence of the GEF investment, through increased sustainable blue economy and diversified livelihood and decent work opportunities, reduced vulnerability to economic and environmental shocks (including climate change impacts), improved food and income security for fisherfolk communities, greater involvement of communities (particularly women) in fisheries management decision-making, and the broader well-being of the fishing communities in the countries involved. The GEF project will also support national post-Covid recovery efforts in the participating countries, support of which under the baseline would be limited.

The GEF funds will leverage a range of additional (above baseline) commitments, inputs and investments from FAO, CRFM, WECAFC, UWI and the participating countries, as well as from the fisheries sector including private sector (e.g. commercial vessel operators and financiers), fisherfolk communities and national and regional fisheries associations, and civil societies, and will connect with other areas of major policy implementation and development investment. The project's total co-financing is US\$ 7,814,157, which comprises both in-kind and cash contributions from project partners. Collectively, the three countries are providing US\$2,762,212 of in-kind and cash co-financing in the form of staff time, use of equipment, office space, etc. The CFRM Secretariat is providing US\$200,000 (in-kind co-financing) and the WECAFC Secretariat US\$247,000 (cash and in-kind combined). The GEF Implementing Agency, FAO, is providing cash and in-kind contributions totalling US\$2,309,760 through its various offices (country, sub-regional and headquarters), while the executing agency (UWI) is contributing a total of US\$979,000 (UWI-CERMES and UWI Faculty of Food and Agriculture) in in-kind co-financing. The project's proposed multi-stakeholder coordinated approach will provide the necessary base for making coherent and viable investments, and consequently the cost-effectiveness of the project is expected to be high.

## **f) Global environmental benefits (GEFTF) and/or adaptation benefits (LDCF/SCCF)**

The project will contribute to several GEF-7 Core indicators targets, principally those related to the

GEF IW Focal Area. These include: **GEF Core indicator**

### **8? Globally over-exploited marine fisheries**

**moved to more sustainable levels** through the increased adoption and implementation of EAF management (both industrial and SSF) in the NBSLME region, with a conservative estimate of roughly 20,000 mt of over-exploited fisheries moving towards more

sustainable levels; **GEF Core indicator 5? Area of**

### **marine habitat under improved practices**

(excluding protected areas) covering approximately 5,982,900 ha through supporting the implementation of fisheries management and marine biodiversity conservation plans within the EEZs

of the target countries that aim to deliver more sustainable fisheries; and **GEF Core**

### **indicator 7? Number of shared water**

**ecosystems** (fresh or marine) under new or improved cooperative management, contributing to one LME?the NBSLME system?through implementation of some of the key aims of the CLME+ SAP (particularly Strategy 6), related to sustainable fisheries including strengthened EAF and establishment and/or enhancement of national and sub-regional co-management arrangements among the three participating countries. Finally, it is expected that the project will target around

12,000 people (8,000 men, 4,000 women), addressing **GEF-7 Core**

### **Indicator 11? Number of direct beneficiaries**

**disaggregated by gender** as co-benefit of GEF investment, across the three participating countries. These figures include the important part-time and seasonal labour forces in the fisheries, and those involved in proposed value chain developments.

Selection of the fisheries to be targeted by the project was partly based on the general overfished state of some of the NBSLME shrimp and groundfish stocks and the negative impacts of these fisheries on other marine biota (including populations of vulnerable and globally endangered, threatened or protected species) and benthic habitats. Demersal driftnet and trawl fisheries in Guyana, Suriname and Trinidad and Tobago have known bycatch of various vulnerable and globally endangered, threatened or protected (ETP) species including Green Turtle (*Chelonia mydas*), Olive Ridley (*Lepidochelys olivacea*), Nurse Shark (*Ginglymostoma cirratum*), Scalloped Hammerhead (*Sphyrna lewini*), Spotted Eagle Ray (*Aetobatus narinari*), Manta Ray (*Manta birostris*), Guiana Dolphin (*Sotalia guianensis*), Goliath Grouper (*Epinephelus itajara*) and others. By reducing excessive fishing effort and destructive fishing practices through wider adoption and implementation of EAF management, the project will move the shrimp and groundfish fisheries to more sustainable levels. Moreover, through EAF-based CMMs (building on prior efforts of the FAO-CLME+ Sub-project on Shrimp and Groundfish of the NBSLME), the project will reduce fishing-related mortality of ETP species by piloting and promoting techniques and practices that both reduce the likelihood of their capture and increase their post-release survival. Thus, the project will help to protect and restore populations of target and non-target fish and

invertebrates as well as of vulnerable and ETP species that have been decimated through fishing. Benthic habitats and associated faunal communities in the NBSLME will also be protected and restored through the adoption of fishing practices with minimal ecological impacts.

In addition, climate change issues will be addressed through improving the health of marine ecosystems thus increasing their resilience to climate change impacts and their capacity to help mitigate climate change by promoting carbon sequestration and storage. In addition, there is evidence that marine fauna also plays an important role in carbon sequestration and storage (Greenpeace, 2019), hence protecting and restoring marine fauna populations through EAF will contribute to carbon sequestration. The project will also strengthen the resilience of fisher communities to climate change impacts by creating opportunities to enhance and diversify livelihoods and improve food and nutrition security, and indirectly by also improving the resilience to climate change impacts of marine ecosystems and living marine resources on which fisher communities are highly dependent.

The proposed project will address SDG Goal 14 'Life below Water' which calls for specific actions in fisheries inter alia: address overfishing and illegal fishing; effectively regulate harvesting including destructive fishing practices; increase economic benefits from sustainable management of fisheries and aquaculture; provide access for small-scale fisherfolk to resources and markets and implement UN Convention on the Law of the Sea (UNCLOS) provisions. The project will particularly address SDG Targets 14.2 (Protect and restore ecosystems), 14.4 (Sustainable fishing), 14.7 (Increase economic benefits from sustainable use of marine resources), and 14.a (Increase scientific knowledge, research and technology for ocean health) and 14.b. (Support small-scale fishers).

The project is in support of the CBD's Post-2020 Global Biodiversity Framework (Kunming-Montreal Global Biodiversity Framework), particularly with respect to Goal B: 'Biodiversity is sustainably used and managed and nature's contributions to people, including ecosystem functions and services, are valued, maintained and enhanced, with those currently in decline being restored, supporting the achievement of sustainable development for the benefit of present and future generations by 2050' and targets including:

? Target 2: 'Ensure that by 2030 at least 30 per cent of areas of degraded terrestrial, inland water, and coastal and marine ecosystems are under effective restoration, in order to enhance biodiversity and ecosystem functions and services, ecological integrity and connectivity?; and

? Target 9. 'Ensure that the management and use of wild species are sustainable, thereby providing social, economic and environmental benefits for people, especially those in vulnerable situations and those most dependent on biodiversity, including through sustainable biodiversity-based activities, products and services that enhance biodiversity, and protecting and encouraging customary sustainable use by indigenous peoples and local communities.?'

The project is also relevant to the UN Decade of Ecosystem Restoration (2021-2030) of which the overarching goal is to halt and reverse the destruction and degradation of ecosystems worldwide, and the UN Decade of Ocean Science for Sustainable Development (2021-2030), specifically the priority area of 'A sustainably harvested and productive ocean'. Ultimately, the lessons and experience in the implementation of EAF will be widely disseminated to promote EAF and the achievement of associated GEBs in other countries of the NBSLME and other regions.

## **g) Innovativeness, sustainability, potential for scaling up and capacity development**

*Innovation:* Central to the project's goal is advancing the adoption and implementation of the innovative concept of EAF. Innovation is evident in each of the components of the project. Innovative and adaptive fisheries management practices such as building stewardship through co-management activities that involve the use of ICT tools and e-learning hubs, encouraging public-private partnerships for SSFs, leveraging business opportunities that improve training in business skills and value chain analysis for SSF underscored by decent work, and introducing new policy directives that support investments in SSF are worthwhile initiatives under the project. Capacity development will introduce fisherfolk leaders (men and women) to new systems of organization management and other skills to better participate in EAF management some of which will involve new technology and ICT, minimizing conventional classroom formal training in preference to more hands-on approaches to the extent possible. On the other hand, fisheries officers from the three countries will be trained on theory and practice of recently developed data-limited stock assessment methods using packages developed for the freely available R language for statistical computing. The Calipseo system is a new fisheries data collection and dissemination platform developed by FAO to support countries with a modern and customizable national fisheries statistics and management information system. Its full implementation will be a major innovation.

*Under Component 3,* the project will promote innovation in production methods, by facilitating the adoption of approaches to maximize the use of landed products and waste through the development of new value chain channels. This component will also promote innovation in the local financing industry by introducing traditional lenders to impact investing approaches that look not only at financial return but also environmental benefits. Currently, these approaches are not being used in the Caribbean and their introduction will lead to innovation in financing approaches in this geography. Component 3 will promote innovation in the use of ICT technology and other approaches to improve supplier-buyer matching for fisheries sales. Fishers, particularly SSF, currently rely on traditional marketing and sales techniques, which will be improved by the identification and development of locally appropriate ICT marketing approaches. Another innovation will be the adaptation of existing processing techniques such as drying, smoking, and fish silage production to local conditions and SSF as most production methods are developed for large-scale producers.

*Sustainability:* Sustainability of project results is built into the project design with actions to minimize the risks to sustainability. Four dimensions of sustainability are considered: financial, institutional, socio-economic, and environmental sustainability.

**Financial:** During the final 12 months of the project, a financial sustainability plan will be developed with follow-up proposals to support sustainability of project results. Each of the project countries has specific measures in place or proposed that are expected to contribute to financial sustainability. For example, the Guyana Fisheries Department intends to propose a new budget line to the central government for continuation of project activities; seek loans, grants, and in-kind support from national, regional, and international agencies; and improve revenue collection through licencing and MCS activities. The Suriname Fisheries Department is currently focusing its activities around a series of 4-year projects (2021-2025) funded through the national budget. Among the projects' focal areas are strengthening fisheries statistics, research, and MSC certification, which contribute to sustainable (EAF) management of the country's fisheries. In addition, a Fisheries Fund proposed in the new draft Fisheries Act will also support financial sustainability of project results. Trinidad and Tobago's draft Fisheries Bill proposes the establishment of a Fisheries Management Fund.

*Demonstrating that fish* is sourced from sustainably managed fisheries (e.g. marine fisheries certification standards) will make the fishing industry more competitive on regional and world markets as consumer demand for sustainably harvested fish grows. Recent fish import requirements by some developed countries to prohibit the intentional mortality or serious injury of some bycatch species/groups in the course of commercial fishing operations or to have procedures in place to reliably certify that a country's exports of fish and fish products are not the product of an intentional

killing or serious injury (e.g. the US Marine Mammal Protection Act ? Fish and Fish Product Import Provisions), also encourage the adoption of sustainable fisheries practices.

**Institutional**: The project's capacity building efforts (within all four Components) to promote wider implementation of EAF, including strengthening national fisheries authorities and other fisheries-related state agencies as well as SSF for co-management, with a focus on fisherfolk organizations, will be central to the sustainability of its results and the long-term implementation of

EAF. Fisheries agencies will be strengthened to support fisherfolk organizations and *vice*

*versa*. Promotion and advocacy efforts targeting fisheries-related state agencies, NICs, and SSF communities for adoption of the improved frameworks (to be supported under Component 4) will also contribute to sustainability. Importantly, enshrining the requirement to implement EAF within national policy and legislation and mainstreaming EAF into fisheries management decision making in the three target countries (through Component 2) will help create the enabling platform for wider and more permanent adoption and implementation of EAF across both SSF and industrial fisheries in the NBSLME. For example, in Suriname, the adoption of the new Fisheries Act in which EAF is fully streamlined will be a major step in institutionalizing EAF. Moreover, the national Fisheries Management Plan 2021-2025 also embraces EAF and has been endorsed by both the government and the fisheries sector. One of the Department's projects is focused on capacity building, which is funded through the national budget. In Trinidad and Tobago, the promulgation of the Fisheries Bill will be significant in terms of institutional sustainability at the national level. The Guyana Fisheries Department intends to conduct continuous capacity building activities such as training of staff and stakeholders in core EAF skillsets and improve communication and consultative processes among relevant stakeholders.

Further support for the sustainability of project results will come from the strong project partnerships with well-established regional entities such as WECAFC and CRFM, which share similar aims and mandates regarding responsible fisheries. Of note is that the project has been designed in close alignment with existing endorsed policies and mechanisms, such as the CLME+ SAP (politically endorsed by 25 countries including the three project countries and 8 overseas territories), the CCCFP and the Caribbean Small-Scale Fisheries Protocol (adopted by the 12th Ministerial Council of CRFM in May 2018), and the CRFM 2022-2030 Strategic Plan. Consequently, the project does not rely heavily on establishing new institutional frameworks or mechanisms that would be required to promote its goals after it concludes. Institutional sustainability will be further promoted by the involvement of the CRFM Secretariat in the project, providing the opportunity to ensure that the project results are embedded in its strategy and programmes. Similarly, the involvement of the WECAFC/CRFM/IFREMER Working Group on Shrimp and Groundfish will contribute to promoting sustainability through the uptake of project results in its work. A regional organization with a potentially important role in sustaining project results is the CNFO and the CNFO Leadership Institute, for example, through providing training and raising awareness about EAF. CNFO has become a key player for engaging with fisherfolk throughout the region and provides a regional platform for peer-to-peer fisherfolk learning.

It is expected that by the end of the project (year 4), the key fisheries-related institutions, organizations and stakeholders will have sufficient capacity to ensure continuity of the project results. A ?training of the trainer? approach and learning-by-doing methodologies, combined with an effective Knowledge Management programme (Component 4) promoting wide sharing of project-generated information (with project data base/knowledge repository), lessons learned and good practice including linkage with well-established knowledge platforms and the websites of project partners, will ensure that capacity and knowledge generated by the project will be sustained over the longer-term. Such capacity and knowledge in themselves will facilitate sustainability of project results since they contribute to the enabling environment for implementation of EAF.

**Socio-economic**: The project is designed to reduce socio-economic risks to the sustainability of project results through empowering fisherfolk and fishing communities and promoting participatory co-management of fisheries (through Component 2) that takes into account the local dynamics of social-ecological systems, which are critical to the successful application of EAF. Integral to this are project efforts to promote gender equality and gender mainstreaming throughout its components, to strengthen capacity from the ground up, as well as employment of learning-by-doing methodologies. Developing the potential of alternative livelihoods, building better connections to relevant markets, and enhancing capacity in fisheries value chain analysis (through Component 3), facilitating new policies that support investments in SSF with new business opportunities developed, will help ensure more sustainable livelihoods and improved local food security and nutrition as well as increasing the resilience of the target coastal communities against economic and social shocks and climate change impacts.

These actions and promotion of fisheries co-management will offer the potential for fair and decent work including improved working conditions in the fisheries industry and therefore promote a better quality of life for workers (particularly for women) and their families, further supporting sustainability

of project results. In this context, the FAO *Voluntary Guidelines for Securing Small-Scale Fisheries*, and the *Code of Conduct for Responsible Fisheries (CCRF)* and the Caribbean Small-Scale Fisheries Protocol will provide guiding principles for the design and implementation of project activities targeted at SSF communities. Other mechanisms that are relevant to promoting socio-economic sustainability are the FAO Country Programming Frameworks (which cover national priorities such as food and nutrition security; and sustainable management and utilization of natural resources including fisheries) and various national development plans and strategies (see Section on national priorities).

**Environmental**: Environmental sustainability will be ensured through the implementation of an EAF management approach in the NBSLME shrimp and groundfish fisheries (particularly through Component 2). EAF addresses environmental/ecological (and socio-economic) objectives and by building capacity for EAF in the participating countries, the project will promote the adoption of sustainable fisheries practices, consequently reducing or eliminating threats to marine biodiversity and benthic habitats from fishing, consistent with the CLME+ SAP objectives. This makes the project compliant with the FAO Environmental and Social Standards, with a 'low risk' rating.

**Scaling-up**: Promoting the transfer of project successes to non-participating countries (both coastal and island states) in the NBSLME and wider CLME+ region as well as other tropical and sub-tropical LMEs is a major element of Component 4. Project results are likely to be of particular value to non-project countries involved in fisheries in the NBSLME sub-region, notably Brazil, France (French Guiana) and Venezuela, all of which will be invited to project knowledge sharing and lesson learning activities, which will promote upscaling up of project impacts and sustainability of project results. Project results, successful lessons and good practices will be disseminated and scaled up through both national, regional and global level partners and initiatives, including through measures to implement the CLME+ SAP, project linkage through non-participating member countries of CRFM, WECAFC and OSPESCA, and other GEF-financed projects including the recently approved UNDP-GEF PROCARIBE+ project, the CAF-FAO-GEF Promoting National Blue Economy Priorities Through Marine Spatial Planning in the Caribbean Large Marine Ecosystem Plus project, and the FAO-GEF REBYC III CLME+ project. All these initiatives support measures for sustainable use of natural resources in the CLME+ region, and exchange and collaboration on approaches and methods will support mutual up-scaling of results.

Sharing of knowledge on successful development of real-world solutions to EAF management is a key feature of the project, and the transfer and scaling up of project-generated knowledge through the direct involvement of multiple end-users (fishers, managers, fishing agencies, environmental NGOs, etc.) will be facilitated through project Component 4.

The existence of several closely connected (in space and time) GEF-funded projects offers unprecedented opportunities for synergies and scaling up through linkages and networking and potential leverage to achieve greater economies of scale depending on the sequencing of activities. The REBYC III CLME+ project is of particular relevance given its focus on aspects of EAF, notably bycatch and discard reduction and mitigation, and the overlap in target countries – both the EAF4SG and REBYC III CLME+ projects include Guyana, Suriname and Trinidad and Tobago, and the latter project is considered the ‘sister project’ to the proposed EAF4SG project.

The project will maintain close ties with the regional fishery bodies (RFB) – CRFM, WECAFC, OSPESCA – and others in the RFB network linked to FAO including the associated working groups such as the Shrimp and Groundfish Working Group, Fishery Advisory Committees and the National Inter-sectoral Coordination Mechanisms in the target countries, research institutions (notably UWI) and NGOs (CANARI, CNFO, WWF, Cedepesca, and Conservation International). These can be co-opted to disseminate project successes and lessons, and in the case of the NICS, to promote results to national governments. The involvement of the CRFM Secretariat in the project will help to facilitate scaling up through CRFM’s member states (which include Guyana, Suriname, and Trinidad and Tobago). Additionally, a proposed project e-learning hub will be freely available and easily accessible, providing increased opportunities for fisherfolk in non-participating Caribbean countries to engage in sustainable fisheries. At the global level, project results will be disseminated through FAO-supported fisheries networks and IW:LEARN and LME:LEARN communities (see <https://www.iwlearn.net/> and <https://ioc.unesco.org> respectively). With respect to IWLEARN, 1% of the project budget has been allocated to facilitate involvement with this network.

Additionally, the project also offers the potential to scale up impact through activities to attract private sector investments in responsible fisheries at the local, national, sub-regional and CLME+ wide levels, including through the strengthening of co-management (through Component 2); new or strengthened policies supporting private sector investments in SSF, the development of incentives for new business opportunities, and strengthening capacity in value chains (through Component 3); and facilitating access to improved knowledge on effective, locally relevant solutions to achieving responsible fisheries through online content (through Component 4). Related to this, it is expected that follow-up bankable proposals will be developed to scale-up the key achievements of this project during the final year of the project as part of a project sustainability strategy.

*Under Component 3*, capacity building to support the development of fisheries business plans and resource mobilisation plans will be documented along with lessons learnt to allow for this capacity building to be repeated with other enterprises. Further technical capacity building in value chain upgrading (harvest methods, processing techniques, etc.) will also be documented into a format appropriate for fishers to allow for replication of these trainings necessary.

***Capacity development:*** A central focus of the EAF4SG project is to strengthen the enabling environment for sustainable management of the NBSLME shrimp and groundfish fisheries through capacity development of key stakeholders at all levels for the implementation of EAF management, including planning and monitoring. This is reflected in the incorporation of capacity development across all four project components. Capacity strengthening efforts will address the identified needs in the three participating countries as well as at the sub-regional level. Therefore, tailored capacity strengthening efforts will be required for different target audiences, depending on their respective needs and anticipated roles in the implementation of EAF management of the shrimp and groundfish fisheries. Among the key target audiences will be national fisheries-related state agencies (technical personnel and decision makers), fishers and fish workers (small-scale and industrial) along the entire fisheries value chain including representatives of national FFOs, and

financial institutions. Special effort will be made to ensure that women and the youth are adequately represented among the major beneficiaries of capacity development efforts. In addition to strengthening individual capacity through the provision of training and hands-on activities, the project will enhance institutional capacity, for example, through the provision of appropriate software and tools. Capacity building efforts will include:

? technical capacity building of national fisheries agencies in areas such as collection, analysis and interpretation of data required for EAF including fishing industry, biological, environmental, and socio-economic data; fish stock identification and assessments; and the establishment and application of FMIS in the project countries (Component 1);

? strengthening governance arrangements and stakeholder capacity at the national and sub-regional levels for engagement in collaborative decision-making for the EAF-based management of shrimp and ground fisheries, with focus on strengthening NICs for EAF management in three participating countries and the capacity of SSF stakeholders from target communities to participate in co-management (Component 2);

? strengthening the legal and regulatory frameworks for EAF management including updating of national and sub-regional FMPs and targeted capacity building in EAF management (Component 2);

? developing the capacity of target fishing communities and fisheries enterprises to enable them to take advantage of new EAF-related business opportunities to be identified, including training in enterprise development and value addition to fisheries landings. This will be accompanied by updating of national policies and financial frameworks to support investments in sustainable small-scale fisheries and to encourage fishers and markets to adopt and promote EAF management practices. For instance, the project will work to enhance potential access to micro-credit and insurance for SSF ventures supportive of sustainable fisheries (Component 3); and

? strengthening knowledge management and communications to improve adoption and implementation of the EAF in the shrimp and groundfish fisheries (Component 4). This will include targeted training programmes and resources for the three national fisheries agencies in outreach and effective techniques and approaches for communicating EAF messages. Specific outputs will include an EAF Outreach Strategy and Plan and EAF management outreach and awareness-raising materials for key stakeholder groups. A particularly important output to support capacity development on the longer term will be lessons and experiences in EAF adoption and implementation (including those derived from pilot demonstration projects), for dissemination at the national, sub-regional, regional and international levels (through South-South cooperation mechanisms).

## **5) Summary of changes in alignment with the project design with the original PIF**

The main changes that have occurred following approval of the Project Identification Form (PIF) for the EAF4SG project, reflected in this Project Document, are presented in Table 1.

**Table 1. Summary of changes in project design between the PIF and Project Document**

Subject	PIF	Project Document	Justification
<i>Executing Agency (EA) arrangements</i>	FAO was to be the Implementing Agency (IA) for the project but no executing agency was identified at the PIF stage. Several possible candidates were provisionally identified e.g. UWI, CRFM, CANARI, but the selection was left until the PPG period when an assessment and negotiations could be undertaken.	The University of the West Indies (UWI) will be the project's Executing Agency (EA) and have the overall executing and technical responsibility for the Project, with FAO providing oversight as GEF IA.	UWI ? specifically the Faculty of Agriculture - was chosen as the EA due its reputation for vocational training and capacity building, as the host for one of the most respected technical institutions (CERMES) for marine fisheries in the Caribbean, and its capacity and successful record of management and delivery of large-scale regional projects through its Business Development Unit (BDU, which will host the Project Management Unit (PMU) within the Faculty of Agriculture. This arrangement will ensure a clear separation of functional and financial responsibilities between the project's Implementation Agency (FAO) and Executing Agency (UWI).
<i>Co-finance</i>	Total co-financing estimated in the PIF was US \$ 7,813,521 of which an estimated US \$ 512,930 was as cash co-financing.	Total amount of co-financing US \$ 7,814,157, which is slightly more than the original amount. However, the cash co-financing was only US \$ 400,000 is cash/grant co-financing, although an additional amount of US\$194,337 is identified as public investment.	Some co-financiers contributed more than indicated at the PIF stage and other potential partners/co-financiers dropped out (particularly the group of international donors (International donors such as NOAA, WWF, IFREMER, Conservation International, Caribbean Development Bank, Inter-American Development Bank). However, some co-financiers (or potential co-financiers) have indicated that they may be able to provide additional co-financing during the first or second year of the project e.g. IFREMER.
<i>Project targets</i>  <i>Core indicator 8</i>	22,000 mt	20,000 mt	The difference of 2,000 mt is due to recalculation based on more recent (2020) data not available at the PIF stage and a better understanding of the target fisheries (formerly confirmed by the participating fisheries agencies during the PPG stage) and their operation than was available at the PIF stage.

<b>Subject</b>	<b>PIF</b>	<b>Project Document</b>	<b>Justification</b>
<p><i>Project framework and targets</i></p> <p><i>Outcome 1.1 indicator</i></p>	<p><i>Indicator: Number of fisheries/countries with functional information systems supporting technical fisheries management advice, including socio-economic data.</i></p>	<p><i>Indicator: Number of countries with information systems (FMIS) hosting information on target fisheries (e.g. on gender disaggregated socio-economic data and SSF, including catch effort, etc.) feeding into EAF management decisions</i></p>	<p>After consultation with partners, the indicator made ?SMARTer? and refocused on countries with FMIS for the target fisheries rather than the wider indicator of all fisheries (including non-target fisheries) which would be outside the scope of the project</p>
<p><i>Project framework and targets</i></p> <p><i>Outcome 2.1 indicator</i></p>	<p><i>Indicator: Number of fisheries/countries with operational inter-sectoral coordination mechanisms for management advice</i></p>	<p><i>Indicator: Number multi-stakeholder/ multisectoral EAF management NICs</i></p>	<p>After consultation with partners and receipt of more up-to-date information on the status of the NICs in each country, indicator was reformulated to target the number of NICs rather than the countries in which they are present or need to be established or operationalised.</p>
<p><i>Project framework and targets</i></p> <p><i>Outcome 2.1 indicator</i></p>	<p><i>Indicator: Number of updated management recommendations emanating from co-managed fisheries</i></p>	<p><i>Indicator: Number of FFOs in target communities involved in co-management pilot projects</i></p>	<p>Following review by project partners the indicator was made more specific to the communities involved with the fisheries targeted by the project.</p>
<p><i>Project framework and targets</i></p> <p><i>Outcome 2.2 indicator</i></p>	<p><i>Indicator: Number of fisheries management plans updated and adopted at national and sub-regional level.</i></p> <p>-</p>	<p><i>Indicator: Updated Fisheries Management Plans for target fisheries</i></p>	<p>Following discussions with fisheries agencies it was agreed to remove the specific mention of national and sub-national management plans as at PPG stage it could not be guaranteed that an updated sub-regional plan could be agreed by end of project (unlike national level plans) due to involvement of a number of countries not directly participating in the project.</p>

Subject	PIF	Project Document	Justification
<p><i>Project framework and targets</i></p> <p><i>Outcome 2.2 indicator</i></p>	<p><i>Indicator: Number of harmonized management measures for shared resources developed and adopted nationally</i></p>	<p><i>Indicator: Number of harmonized management technical measures for shared resources (e.g. minimum sizes) developed and adopted nationally</i></p>	<p>The indicator was made more specific (SMARTer) specifying the management measures related to technical measures and giving an example of one measure which will be tracked. The indicator above focuses on 'technical' measures developed and adopted 'nationally', whereas this indicator focuses on broader management recommendations that could update the sub-regional plan. These may also include both technical and non-technical recommendations, such as 'reducing fishing effort', improving mechanisms for controlling access, MCS, etc., and are not linked to the actual adoption of the measures nationally.</p>
<p><i>Project framework and targets</i></p> <p><i>Outcome 2.2 indicator</i></p>	<p><i>Indicator: Number of technical working group meetings organized in support of the assessment and management of shared resources</i></p>	<p><i>Number of harmonised sub-regional SG fisheries management recommendations developed as part of updating of sub-regional SG management plan</i></p>	<p>Following review the PIF indicator was deleted as (i) it was more relevant to Outcome 2.1 and (ii) it essentially repeats existing indicators under Outcome 2.1. However, an additional indicator was added reflecting the outcome to improve EAF management planning at the sub-regional level.</p>
<p><i>Project framework and targets</i></p> <p><i>Outcome 2.3 indicator</i></p>	<p>Indicator: Number of countries/fisheries with updated regulatory frameworks for SSF</p>	<p>Indicator: Number of target fisheries with updated national regulatory frameworks supporting EAF-focused shrimp and groundfish fisheries management</p>	<p>Wording of indicator made more specific for the target shrimp and groundfish fisheries rather than the original indicator which could apply to any small-scale fisheries.</p>
<p><i>Project framework and targets</i></p> <p><i>Outcome 3.1 indicator</i></p>	<p>Wording of the Outcome.</p> <p>New businesses ventures to promote EAF management in target SSF communities developed and widely available in target NBSLME fisheries</p>	<p>New gender-sensitive businesses opportunities to promote EAF management developed and available in target SSF communities in target NBSLME fisheries</p>	<p>Wording of Outcome 3.1 modified to indicate that the opportunities available are specific to the target SSF communities and to highlight that there will be a specific emphasis on opportunities for women under this Outcome.</p>

Subject	PIF	Project Document	Justification
<p><i>Project framework and targets</i></p> <p><i>Outcome 3.1 indicator</i></p>	<p>Indicator: Number of income-generating opportunities supporting EAF management provided at selected pilot sites (to be identified in the PPG phase)</p>	<p>Indicator: Number of new fisheries products piloted in target SSF communities in target fisheries (including opportunities for women, youth and minority groups)</p>	<p>Following review by stakeholders indicator was modified as the term 'income generating opportunities' was seen as too vague ('products' is more tangible and measurable), and to reflect the focus on SSF communities with specific attention given to opportunities for women, youth and minority groups</p>
<p><i>Project framework and targets</i></p> <p><i>Outcome 3.1 indicator</i></p>	<p>Indicator: Number of direct male and female beneficiaries working in the harvesting and post-harvest sectors benefiting directly and indirectly from the project</p>	<p>Indicator: Number of male and female project beneficiaries with improved skills and knowledge on new businesses opportunities to promote EAF management working in the harvesting and post-harvest sectors</p>	<p>After consultation with partners, the indicator was made SMARTer to reflect the focus of the outcome on building capacity to enable key stakeholders in the harvesting and post-harvest sectors to be able to develop new EAF-related business ventures. The original indicator was considered not sufficiently specific in relation to EAF management.</p>
<p><i>Project framework and targets</i></p> <p><i>Outcome 3.2 indicator</i></p>	<p>Indicator: Number of policies, measures and financial instruments established enabling the transition to EAF-compatible fisheries management</p>	<p>Indicator: Number of new or improved gender-sensitive policies, measures and/or financial instruments (investments, grants, loans) established enabling the transition to EAF-compatible fisheries practices</p>	<p>Indicator made gender-sensitive to ensure that gender-related issues are integrated into any policies, measures or financial instruments developed through the project and that these are monitored, and to identify what kind of financial instruments are to be considered within the project.</p>
<p><i>Project framework and targets</i></p> <p><i>Outcome 3.2 indicator</i></p>	<p>Indicator: Number of fishers accessing established or new financial instruments in support of sustainable fishing practices and value chain improvements</p>	<p>Indicator: Number of fisher folk organisations accessing new or improved financial instruments (investments, grants, loans) in support of sustainable fishing practices and value chain improvements</p>	<p>It is unclear at the PPG stage exactly how many individuals would either be able or willing (due to personal circumstances) to access financial instruments in support of sustainable fishing practices and value chain improvements. Also, following discuss with fisheries agency partners it was agreed that results of outcome 3.2 would be better measured through monitoring uptake or new measures, legislation, etc. by fisherfolk organizations, which are the primary stakeholder group at the community level targeted by the project.</p>

Subject	PIF	Project Document	Justification
<p><i>Project framework and targets</i></p> <p><i>Outcome 4.1 indicator</i></p>	<p>Indicator: Number of webinars/reports/publications/local awareness-raising events and other knowledge products delivered to disseminate knowledge from the project (results, good practice and lessons learned).</p>	<p>Indicator: Percentage increase in knowledge on EAF principles and practices among national fisheries staff compared with baseline levels at start of project implementation according to project surveys</p>	<p>Following consultation with FAO communication specialists on how to best measure the impact of the project's awareness-raising activities, the indicator was reformulated to reflect the effectiveness of the project's efforts in embedding new knowledge among key stakeholder groups, and not just a measure of the project outputs (number of webinars/reports/publications/local awareness-raising events and other knowledge products delivered). However, it is recognised that a baseline measurement of current knowledge will need to be made at the start of project implementation.</p>
<p><i>Project framework and targets</i></p> <p><i>Outcome 4.1 indicator</i></p>	<p>No equivalent indicator in PIF</p>	<p>Indicator: Level of engagement in IW:LEARN activities through participation and delivery of key products (GEF Indicator 7.4[1]).</p>	<p>An additional indicator was added to Outcome 4.1 to reflect the relevant GEF-7 Core Indicator 7.4.</p>
<p><i>Project framework</i></p> <p><i>Output 1.1.2</i></p>	<p>Output 1.1.2: Technical capacity building for the application of EAF-based fisheries management information systems among key fisheries stakeholders delivered, including data collection, fisheries statistics, analyses of fisheries data and interpretation</p>	<p>Output 1.1.2: Technical capacity for the application of EAF-based fisheries management information systems among key fisheries stakeholders built, including data collection, fisheries statistics, analyses of fisheries data, and interpretation.</p>	<p>The wording of the output was revised following feedback by reviewers to make it clearer what would be delivered through the project</p>

Subject	PIF	Project Document	Justification
<p><i>Project framework</i></p> <p><i>Output 1.1.3</i></p>	<p>Output 1.1.3: Improved national and sub-regional fish stock identification and stock assessments of selected priority species developed with relevant management recommendations</p>	<p>Output 1.1.3: National and sub-regional stock assessments of selected priority species developed with relevant management recommendations</p>	<p>The wording of the output was revised following feedback by reviewers to make it clearer what would be delivered through the project</p>
<p><i>Project framework</i></p> <p><i>Output 1.1.4</i></p>	<p>Output 1.1.4: Improved fisheries-related socio-economic data for selected fisheries within national EAF-based fisheries management information systems, including value chain data.</p>	<p>Output 1.1.4: Fisheries-related socio-economic data for selected fisheries within national EAF-based fisheries management information systems, including value chain data, collected and analyzed</p>	<p>The wording of the output was revised following feedback by reviewers to make it clearer what would be delivered through the project</p>
<p><i>Project framework</i></p> <p><i>Output 2.1.1</i></p>	<p>Output 2.1.1: National inter-sectoral coordination mechanisms for EAF in three participating countries improved and fully operational</p>	<p>Output 2.1.1: National inter-sectoral coordination mechanisms for EAF in three participating countries supported and fully operational</p>	<p>The wording of the output was revised following feedback by reviewers to make it clearer what would be delivered through the project</p>
<p><i>Project framework</i></p> <p><i>Output 2.1.2</i></p>	<p>Output 2.1.2: Capacity of SSF stakeholders from target communities/fisheries for co-management in EAF fisheries management improved, including though enhanced Information, Communication and Technology (ICT) skills and resources and enabling legislation.</p>	<p>Output 2.1.2: Capacity of SSF stakeholders from target communities/fisheries to participate in co-management of EAF fisheries assessed and developed</p>	<p>Output simplified without (unnecessary) detail on areas where capacity will be targeted. The wording of the output was revised following feedback by reviewers to make it clearer what would be delivered through the project</p>

Subject	PIF	Project Document	Justification
<p><i>Project framework</i></p> <p><i>Output 2.2.1</i></p>	<p>Output 2.2.1: Updating of national and sub-regional Fisheries Management Plans (FMPs) as part of EAF management cycle</p>	<p>Output 2.2.1: National and sub-regional Fisheries Management Plans updated as part of EAF management cycle.</p>	<p>The wording of the output was revised following feedback by reviewers to make it clearer what would be delivered through the project</p>
<p><i>Project framework</i></p> <p><i>Output 2.2.2</i></p>	<p>Output 2.2.2: Capacity for monitoring of implementation of Fisheries Management Plans for national Shrimp and Groundfish fisheries improved</p>	<p>Output 2.2.2: Capacity for monitoring of implementation of Fisheries Management Plans for national Shrimp and Groundfish fisheries built</p>	<p>The wording of the output was revised following feedback by reviewers to make it clearer what would be delivered through the project</p>
<p><i>Project framework</i></p> <p><i>Outputs 2.2.3 and 2.2.4</i></p>	<p>Output 2.2.3: National engagement in development of harmonized management measures and plans for shared fisheries resources at sub-regional level supported</p> <p>Output 2.2.4: Sub-regional collaboration on management of shared fisheries resources enhanced</p>	<p>Output 2.2.3: Management measures and plans for shared fisheries resources at sub-regional level supported (sub-regional Strategy and Management Plan for Shrimp and Groundfish), developed in participatory manner.</p>	<p>Following review of all four outputs under Outcome 2.2, it was decided to reduce the number of outputs as there was a degree of overlap between the original outputs 2.2.1, 2.2.3 and 2.2.4. As a result, Output 2.2.1 remained the same focused on updating national and sub-regional management plans, but Outputs 2.2.3 and 2.2.4 which address wider collaboration and engagement for common management of shared fisheries in the sub-region were merged and a reformulated Output created to help with clarity. The wording of the output was revised following feedback by reviewers to make it clearer what would be delivered through the project</p>
<p><i>Project framework</i></p> <p><i>Output 2.3.1</i></p>	<p>Output 2.3.1: Review of current national legal and regulatory frameworks for EAF, in particular in relation to SSF, including for co-management</p>	<p>Output 2.3.1: Current national legal and regulatory frameworks for EAF reviewed, particularly in relation to SSF, including for co-management.</p>	<p>The wording of the output was revised following feedback by reviewers to make it clearer what would be delivered through the project</p>

Subject	PIF	Project Document	Justification
<p><i>Project framework</i></p> <p><i>Output 3.1.1</i></p>	<p>Output 3.1.1: Socio-economic (including cost-benefit) analyses associated with adoption of EAF management undertaken and promoted in target communities, with results communicated to key fishery industry stakeholders in target NBSLME fisheries</p>	<p>Output 3.1.1:</p> <p>Gender- sensitive value chain assessments (VCAs) for SSF value chains performed for target species and communities, and business opportunities identified and prioritized.</p>	<p>Reworded output with term 'gender-sensitive' added to demonstrate that gender-related issues are clearly part of the analysis undertaken as part of this output. The wording of the output was revised following feedback by reviewers to make it clearer what would be delivered through the project</p>
<p><i>Project framework</i></p> <p><i>Output 3.1.2</i></p>	<p>Output 3.1.2: Value chain assessments (VCAs) for SSF value chains developed for target species and communities, and business opportunities identified</p>	<p>Output 3.1.2: prioritized</p> <p>Capacity for target fisher folk communities to take advantage of new EAF management related business opportunities identified and built.</p>	<p>The wording of the output was revised following feedback by reviewers to make it clearer what would be delivered through the project</p>
<p><i>Project framework</i></p> <p><i>Output 3.2.1</i></p>	<p>Output 3.2.1: Review of policies and financial frameworks that can support investments in SSF</p>	<p>Output 3.2.1: Policies and financial frameworks (based on global good practices) that can support investments in SSF reviewed, and recommendations identified and promoted</p>	<p>The wording of the output was revised following feedback by reviewers to make it clearer what would be delivered through the project</p>
<p><i>Project framework</i></p> <p><i>Output 3.2.2</i></p>	<p>Output 3.2.2: Strategies and measures to encourage fishers and markets to adopt and promote EAF management in SSF identified, developed and advocated</p>	<p>Output 3.2.2:</p> <p>Access to financing by SSF for EAF venture opportunities increased</p>	<p>The wording of the output was revised following feedback by reviewers to make it clearer what would be delivered through the project</p>

Subject	PIF	Project Document	Justification
<p><i>Project framework</i></p> <p><i>Output 3.2.3</i></p>	<p>Output 3.2.3: Potential access to micro-credit and insurance for new SSF ventures (including vessels, gears and fishers) supportive of sustainable fisheries established or enhanced</p>	<p>Output 3.2.3: Strategies and measures to encourage fishers and markets to adopt and promote EAF management in SSF identified, developed, and disseminated.</p>	<p>The wording of the output was revised following feedback by reviewers to make it clearer what would be delivered through the project</p>
<p><i>Project framework</i></p> <p><i>Output 4.1.1</i></p>	<p>Output 4.1.1: Knowledge Management, awareness-raising and communication strategy and action plan to promote greater understanding of EAF management developed and implemented</p>	<p>Output 4.1.1: EAF Outreach Strategy and Plan to promote greater understanding of EAF management in target fisheries developed and implemented</p>	<p>Output reworded for increased clarity and succinctness</p>
<p><i>Project framework</i></p> <p><i>Output 4.1.2</i></p>	<p>Output 4.1.2: Project lessons learned and recommendations for successful implementation of EAF management measures identified and disseminated</p>	<p>Output 4.1.2: Project successes, experiences and lessons learned identified and disseminated to key EAF4SG stakeholders</p>	<p>Output reworded to make it clearer that focus includes the results and experiences from the project as well as lessons and ?recommendations for successful implementation of EAF management measures?, is included in Output 4.1.3</p>
<p><i>Project framework</i></p> <p><i>Output 4.1.3</i></p>	<p>Output 4.1.3: Roadmap for scaling successful solutions for implementation of EAF management in NBSLME fisheries and beyond to wider CLME region developed and promoted by relevant stakeholders</p>	<p>Output 4.1.3: Roadmap and material for scaling of successful project solutions for implementation of EAF management in NBSLME fisheries and beyond to wider CLME region and beyond developed and implemented by relevant stakeholders including 1% allocation to IW:LEARN activities</p>	<p>Output text expanded to include ?material? for scaling up developed from the roadmap, and to include specific reference to involvement in IW:LEARN activities under this output.</p>

Subject	PIF	Project Document	Justification
<i>Project framework</i> <i>Output 4.2.1</i>	Output 4.2.1: A gender-sensitive project Monitoring and Evaluation (M&E) system designed and operational	Output 4.2.1: A gender-responsive project Monitoring and Evaluation (M&E) system using data disaggregated by sex, age and ethnicity designed and operational, and in line with FAO and GEF requirements operational	Additional text added to wording of output to make clear that the M&E system will monitor and report on sex, age and ethnicity and be in line with FAO and GEF requirements.
<i>Project framework</i> <i>Output 4.2.2</i>	Output 4.2.2: Mid-term Review and Final Evaluation carried out	Output 4.2.2: Terminal Evaluation carried out	As the EAF4SG project is a GEF Medium Sized project, a MTR is not required, although FAO will undertake some form of management review by the Lead Technical Officer (LTO) and the Funding Liaison Officer (FLO) at the mid-term point.

#### 1b. Project Map and Coordinates

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

The project sites (to be confirmed) and geo-referenced information and map where the project interventions will take place are as follows.

#### Coordinates

9°37' N, 61°14' W

02°46' S, 41°48' W

00°23' S, 40°35' W

12°05' N, 59°39' W

**Guyana:** Parika (Region 3), D'Edward (Region 5), #66 (Region 6)

**Suriname:** Nieuw-Nickerie (Nickerie), Totness (Coronie), Boskamp (Saramacca), Paramaribo, Nieuw-Amsterdam (Commewijne) and Galibi (Marowijne).

**Trinidad & Tobago:** The top 10 home ports/landing sites associated with the vessels recorded by the Fisheries Division, with monofilament gillnet being the primary gear, are (in decreasing order based on

number of vessels): Icacos, Morne Diablo, La Ruffin, Otaheite, Mayaro, Erin, Claxton Bay, Fullerton, Orange Valley, Brickfield, La Brea.



**1c. Child Project?**

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

NA

**2. Stakeholders**

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

**Civil Society Organizations** Yes

**Indigenous Peoples and Local Communities** Yes

**Private Sector Entities** Yes

**If none of the above, please explain why:**

A matrix describing the stakeholder consultations that were carried out during project formulation is provided at **Annex I2** (uploaded as a standalone project in the roadmap of the submission and also as part of the GEF Agency Project Document).

**Please provide the Stakeholder Engagement Plan or equivalent assessment.**

A detailed **Stakeholder Engagement Plan** for the execution of the project is provided at **Annex I2** (uploaded as a standalone project in the roadmap of the submission and also as part of the GEF Agency Project Document). This section provides a summary of the stakeholder engagement plan by briefly describing 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. This section also briefly describes the stakeholders who were engaged in project formulation during the PIF and PPG phases. A matrix describing the stakeholder consultations that were carried out during project formulation is provided at **Annex I2** (uploaded as a standalone project in the roadmap of the submission and also as part of the GEF Agency Project Document).

This project will draw together a large and diverse group of stakeholders at the regional, national and local levels who play important roles in fisheries in the NBSLME region. Key project partners include the national fisheries authorities of the three target countries (Fisheries Department, Ministry of Agriculture, Guyana; Fisheries Directorate, Ministry of Agriculture, Animal Husbandry and Fisheries, Suriname; and Fisheries Division, Ministry of Agriculture, Land and Fisheries, Trinidad and Tobago), as well as fisherfolk organizations (both national and local). Other stakeholder groups to be involved include private sector fishing enterprises (large, medium, small and micro scale), processors, marketers and retailers, and others involved along target fisheries value chains including institutions financing the fisheries. The project places emphasis on the effective participation of both women and men in the project with specific activities, expanded in the Gender Action Plan at Annex O, to help empower and directly benefit women (meeting both GEF and FAO gender policy objectives). The project also acknowledges that rural fishing communities are a vulnerable stakeholder group and that within rural fishing communities, women (who dedicate comparatively more time to household chores and childcare), unemployed young people and poor migrant populations are considered especially vulnerable. The project's stakeholder engagement plan identifies specific barriers that would constrain engagement of these vulnerable groups in the project and actions that can be taken by the project to overcome these barriers.

At the regional level, linkages with several Regional Fishery Bodies, principally the CRFM, the Central America Organization for Fisheries and Aquaculture (OSPESCA), and WECAFC, as well as NOAA, IFREMER (the French Sea Research Institute), and the Cartagena Convention Specially Protected Areas and Wildlife (SPAW) Protocol/Regional Activity Centre (RAC), as well as the CCCCC, will both support project delivery and facilitate scaling up and wider impact of project successes throughout the wider CLME+ area and global level. In addition, several regional academic institutes such as the UWI-CERMES in Barbados will be engaged. Strong linkages are also foreseen with civil society organizations including CANARI and CNFO, along with various national and local fisherfolk organizations. Environmental NGOs, such as Conservation International and WWF Guianas, will also be invited to participate as they both have active fisheries-related projects in the NBSLME region. The project will build on existing collaborations, particularly through those developed through the FAO-managed CLME+ Sub-Project on Shrimp and Groundfish of the NBSLME and the FAO-GEF REBYC-II LAC project.

During project implementation, stakeholder participation will include the provision of co-financing; participation in and facilitation of project activities such as workshops, trainings, working groups and value chain assessments; provision of project oversight through participation on the Project Steering Committee; provision of technical expertise and guidance on a range of topics including fisheries information management, fisheries governance and gender mainstreaming and participation in knowledge management through the institutionalization of project results and lessons learned to allow for up-scaling, replication, and sustainability. A detailed stakeholder identification and analysis matrix that includes the expected roles and responsibilities of stakeholders during project implementation is provided in the stakeholder engagement plan at **Annex I2** (uploaded as a standalone project in the roadmap of the submission and also as part of the GEF Agency Project Document).

Stakeholders will be engaged in project implementation using a range of engagement methods. The specific engagement methods used will depend on the target stakeholder group, the engagement

purpose and the capacity of the targeted stakeholder group to effectively receive information using a specific method. As part of the stakeholder analysis for the stakeholder engagement plan, stakeholders were placed into four broad categories described in Table 2. In general, stakeholder Categories 1, 3 and 4 consist of national and local government agencies, academic institutions, large and medium scale private sector enterprises, national and international civil society organizations, international donors and regional and international intergovernmental agencies. Stakeholder Category 2 generally consists of local civil society organizations, community-based organizations, local communities, local fisherfolk organizations and small and micro scale private sector enterprises. Table 3 briefly describes how different stakeholders will be engaged under the project based on their categorization.

**Table 2: Categorization of project stakeholders**

Category	Description
<b>Category 1</b> ? Stakeholders that will directly use the outputs of the project for improved EAF management and/or decision-making at the national and sub-regional levels	These stakeholders have very high interest in the project and will need to be significantly involved in the delivery of the project's outputs to ensure successful and sustainable outcomes. E.g. national fisheries agencies, regional fisheries bodies, national and regional fisherfolk organizations.
<b>Category 2</b> ? Stakeholders whose livelihoods will be directly affected by the project's outcomes/outputs	These stakeholders have very high interest in the project and include vulnerable and marginalized groups. They will need to be regularly consulted and kept informed of the long-term benefits of the project to their livelihoods. Their power to influence or decide on project implementation and execution is lower than Category 4 stakeholders, but they can significantly impact the success of the project through their non-participation in project activities. E.g. fisherfolk, rural fishing communities, local fisherfolk organizations.
<b>Category 3</b> ? Stakeholders whose interests/mandates/responsibilities are indirectly linked to the project's outputs/outcomes	These stakeholders have lower interest in the project than stakeholders in Category 1 and Category 2. They will likely be the least involved in implementing/executing the project, however, given the indirect links of the project's outputs and outcomes to their interests/mandates/responsibilities, may be important to consult for technical input and guidance based on the subject-matter. E.g. organizations with an interest in disaster preparedness and management or gender mainstreaming.
<b>Category 4</b> ? Stakeholders that have the power to directly influence or decide on project implementation/execution	These stakeholders have the highest influence on the implementation and execution of the project. These stakeholders are responsible for providing financial resources and technical oversight for the implementation of the project to ensure that it achieves its intended results. This category includes the members of the project team i.e. the donor, implementing partner, operational partner, executing partner(s), regional and national project coordinators and project steering committee.

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

**Table 3: Methods and frequency to engage with target project stakeholder groups**

<b>Stakeholder category</b>	<b>Engagement purpose</b>	<b>Engagement method</b>	<b>Frequency</b>	<b>Responsible entity</b>
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<b>Category 1</b>	Participate in joint planning and collaboration for delivery of project outputs	Direct emails	Direct emails and one-on-one meetings on a continuous basis	Operational partner
		Workshops/webinars		
		Project working group meetings	Workshops/webinars and/or project working group meetings at least quarterly	Executing partner (s)
	Participate in the review and validation of technical reports	One-on-one interviews (in-person or virtual)	Targeted communication products on a continuous basis	Regional coordinator
	Champion the project in national and regional technical advisory and decision-making fora	Targeted communication products (electronic and/or hardcopy)	Project webpage and social media on a continuous basis	National coordinators
		Project webpage		
	Participate in project activities	Social media	Traditional media as needed	
	Share technical and scientific knowledge	Traditional media (television, newspaper)	Caribbean list serves on a continuous basis	
	Keep updated on project implementation and status	Caribbean listservs	Project mid-term review at end of Year 2	
	Share lessons learned		Project evaluation at end of Year 4	
Participate in project evaluation		Submit and receive feedback on grievances on an as needed basis		

	Submit and receive feedback on grievances			
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<b>Category 2</b>	Share local knowledge	Direct emails	Direct emails and one-on-one meetings on a continuous basis	Operational partner
	Participate in project activities	One-on-one interviews (in-person or virtual)	Workshops/webinars, Trainings and/or project working group meetings at least quarterly	Executing partner (s)
	Champion project at local/community level	Small focus groups in the community	Small focus groups in the community at least twice annually	Regional coordinator
	Assist with mobilization of community stakeholders	Workshops/webinars	Targeted communication products on a continuous basis	National coordinators
	Keep updated on project implementation and status	Trainings	Project webpage, social media and WhatsApp on a continuous basis	
	Share lessons learned	Project working group meetings	Traditional media as needed	
	Participate in project evaluation	Project webpage	Project mid-term review at end of Year 2	
	Submit and receive feedback on grievances	WhatsApp	Project evaluation at end of Year 4	
		Social media	Submit and receive feedback on grievances on an as needed basis	
		Traditional media (television, newspaper)		
	Targeted communication products (electronic and/or hardcopy)			

<b>Category 3</b>	<p>Provide technical input and guidance on specific topics relevant to the project</p> <p>Participate in the review and validation of technical reports</p> <p>Participate in the design and delivery of topic-specific capacity building activities for target stakeholders (in collaboration with executing partners)</p> <p>Keep updated on project implementation and status</p> <p>Submit and receive feedback on grievances</p>	<p>Direct emails</p> <p>Meetings</p> <p>One-on-one interviews (in-person and/or virtual)</p> <p>Project webpage</p> <p>Social media</p> <p>Workshops/ webinars</p> <p>Trainings</p> <p>Caribbean listservs</p>	<p>Direct emails and one-on-one meetings on a continuous basis</p> <p>Workshops/webinars, trainings, project working group meetings at least quarterly</p> <p>Targeted communication products on a continuous basis</p> <p>Project webpage and social media on a continuous basis</p> <p>Traditional media as needed</p> <p>Caribbean list servs on a continuous basis</p> <p>Submit and receive feedback on grievances on an as needed basis</p>	<p>Operational partner</p> <p>Executing partner (s)</p> <p>Regional coordinator</p> <p>National coordinators</p>

<b>Category 4</b>	Review project work plans and budgets	Project steering committee meetings	Project steering committee meetings semi-annually	Project Steering Committee
	Provide guidance for and approve amendments to project budget and work plan	Written progress reports	Written progress reports quarterly	Implementing partner
		Official project emails		
		Official letters	Project mid-term review at end of Year 2	Operational partner
	Review and approve project progress reports	Written grievance reports	Project evaluation at end of Year 4	Executing partner (s)
	Review and approve project mid-term and evaluation reports		Official project emails on an ongoing basis	
			Official letters as needed	Regional coordinator
	Provide oversight and guidance on project implementation to ensure timely completion of the project within budget		Requests for disbursement of funds submitted annually	National coordinators
	Approve requests for disbursement funds		Facilitate conflict resolution on an as needed basis	
	Facilitate conflict resolution		Grievance deliberations on an as needed basis	

	<p>Keep updated on project implementation and status</p> <p>Register, analyze and address stakeholder grievances</p>			
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The required budget to support the activities set out in the Stakeholder Engagement Plan for the project is covered under the budget allocations to support activities under Components 1-3 (e.g. costs for rental of workshop venues, transport and accommodation for stakeholders to attend local, national and regional meetings, development of relevant communication products) and under Component 4 which addresses activities related to supporting knowledge management, outreach and lesson learning (e.g. costs for project webpage, social media, mid-term review, project evaluation).

During the PIF phase, stakeholder consultations were constrained by COVID-related lockdowns. Nevertheless, the project engaged with a variety of key stakeholders at the national and regional levels during the initial project development phase. This included the national fisheries agencies of Guyana, Suriname and Trinidad and Tobago, notably officials at the decision-making level (Permanent Secretaries/Ministries and GEF Operational Focal Point-OFP, and Chief Fisheries Officers), FAO (sub-regional office in Barbados as well as FAO Country Offices in Guyana, Suriname and Trinidad and Tobago), and the CRFM Secretariat, UWI-CERMES, and the GEF CLME+ project. In addition, the project had exchanges with the design teams of the GEF-funded PROCARIBE+, BE-CLME+ and recently approved REBYC III CLME+ projects to explore early possible collaboration and synergies. Project development was also informed by discussions with other regional GEF projects, particularly the FAO-GEF CC4Fish and StewardFish projects. Discussions included assessment of the current situation, identification of specific needs and prioritization of project activities based on an outline project concept document. The proposed project was presented at the Fourth (Virtual) Meeting of the WECAFC/CRFM/IFREMER Working Group on Shrimp and Groundfish in North Brazil-Guianas Shelf on 18-19 November 2020 and a virtual meeting to the national country partners on 20 July 2021, and a revised proposal was reviewed, and feedback offered by the participating countries in December 2021.

During the PPG phase, key regional, national and local project stakeholders were engaged in project formulation via one-on-one meetings, small group meetings, email exchanges and virtual regional workshops. A range of stakeholders from the inter-governmental, government, civil society (including fisherfolk organizations) and private sectors were targeted to get more detailed information on the project baseline, identify and prioritize target fisheries for the project, identify project stakeholders, provide co-financing, and provide specific inputs to the project formulation process. Additionally, selected project stakeholders, including national focal points, had the opportunity to review, comment on and validate the final draft of the project document.

During the PPG phase, two virtual regional workshops were convened. A regional PPG Virtual Inception workshop was held on 29 April 2022 to: (i) present the project concept that was accepted by the GEF; (ii) outline the project preparation process; (iii) identify key sources of information, stakeholders and partners to support drafting of the full project document; (iv) identify potential target fisheries for the project (v) present a work plan for the development of the project document and agree on roles and responsibilities. The inception workshop was attended by approximately 76 persons (35

women, 41 men) across the three target countries. A regional Virtual Validation workshop was held on 6 October 2022 to: (i) present the components of the project document, including the activities, that would be submitted to the GEF (ii) discuss and confirm the institutional arrangements, workplan, budget and co-financing for the project and (iii) discuss next steps. The validation workshop was attended by 49 persons (20 women, 29 men) across the three target countries.

**Select what role civil society will play in the project:**

**Consulted only;**

**Member of Advisory Body; Contractor; No**

**Co-financier; Yes**

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

**Executor or co-executor;**

**Other (Please explain)**

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

**Provide the gender analysis or equivalent socio-economic assesment.**

FAO is committed to gender equality and women's empowerment and has a specific gender policy and strategy that is integrated across all its programmes, projects and operations. The FAO Policy on Gender Equality 2020-2030[1] is set on a foundation of four objectives[2] that seek to promote gender equality for development and natural resource management, and on which the gender-related objectives of the project are focused. The project will follow both FAO and GEF gender policies to ensure that it maximizes participation, inclusion, opportunities, and benefits to women in all project activities, whilst respecting the norms, values and customs of targeted communities. The project will also complement the implementation of CRFM's gender mainstreaming policy and priorities for the fisheries sector and a regional Protocol[3] on securing sustainable small-scale fisheries for Caribbean Community fisherfolk and societies, which has been in force since 2018. The project also draws on experience gained from relevant regional projects including the recently completed 'Mainstreaming Gender Equality in Fisheries in the Caribbean' project which had a focus on improving governance for gender-responsive fisheries planning and decision-making and enhancing national capacities for mainstreaming gender into fisheries management within the CLME+ sub-project 'EAF for the Eastern Caribbean Flying fish'.

Guided by the Gender Action Plan (see Annex O, uploaded as a standalone project in the roadmap of the submission and also as part of the GEF Agency Project Document.) developed for the project, a gender-sensitive approach[4] will be adopted across the project and throughout its life cycle, with

representation of, and consultations with, women emphasized. The goal of gender equality will guide the selection of participants in project activities as well as in project staffing (particularly leadership positions), and specific opportunities and activity sets at both national and fishing community levels to help empower and directly benefit women giving them an equal voice and participation in decision-making (which link to FAO gender objectives 1 and 2) and benefit other minority or marginalized groups such as unemployed youth. Special attention will be given, where appropriate, to complementing any fisheries sector related post-COVID-19 recovery measures to ensure women and men's diverse needs are met. The project will also consider how best to engage and include groups representing youth (as agents of change through awareness creation) and persons with disabilities within the project.

Shrimp and groundfish fishery gender analyses have been recently conducted for Guyana[5], Suriname[6] and Trinidad and Tobago[7], along with a sub-regional integrated report[8], which have informed the development of the project. Additional gender data was collected and analyzed during the PPG stage to better understand the gender dimensions of the adoption and implementation of EAF in NBSLME fisheries and the impacts and sustainability of measures to support more responsible fisheries and along key fisheries value-chains and to ensure gender-specific views are fed into the design and implementation of project activities. A detailed assessment of the current situation of women in the sector and opportunities for more sustainable livelihoods based on adoption and implementation of EAF was undertaken and a project Gender Action Plan (Annex O) was developed during the PPG phase. The latter includes actions to be taken under each project component with specific gender targets and gender-specific indicators built into the project's M&E framework and necessary budgetary provision as appropriate. A gender specialist will be included in the project management team.

Women are conspicuous in the postharvest stages of value chains, but often less visible as boat owners and contributors to several types of fisheries enterprises, organizations, and livelihoods. Hence, although project activities targeted at women will be included in all four Components, Component 3 has a specific emphasis on opportunities for women, as women frequently play the major role in processing, packaging, marketing, distribution, and sale of fish products in both industrial and SSF. This will include a focus on support for new value chain and market development for products from target EAF-managed shrimp and groundfish fisheries, promotion of alternative income-generating activities (e.g. use of discards and fish waste for silage for local farmers), improving access to micro-credit facilities and insurance for existing or new EAF-related ventures, or alternative livelihood marine conservation schemes, as well as associated capacity enhancement for small business enterprise development specifically targeted at women (supporting FAO gender objectives 3 and 4).

The project policy, legislative and capacity building activities focusing on strengthening multi-level co-management (under Component 2) offer another important route to empower women in fisheries decision-making. Under Component 2, the project will work to ensure that gender is mainstreamed in national fisheries management plans in each of the project countries to counter the tendency to ignore women's roles in fisheries (also critical for addressing social protection and social standards more generally). Similarly, the project's strong partnerships with civil society organizations (across all Components) will help promote benefits for women in the fisheries sector. The project has set an initial

Core Indicator 11 target of generating direct benefits to approximately 8,000 males (out of a total of 16,000) and 4,000 females (out of 8,000) across the three participating countries.

In developing gender-responsive project activities and implementation measures, the project will draw on FAO's long-standing technical capacity in assisting FAO Members in the development of gender-responsive fisheries programmes and projects and supporting women's empowerment in the fisheries sector. FAO will provide guidance on gender mainstreaming for the project's activities and events, gender-sensitive knowledge product development, and gender-targeted awareness raising and capacity development activities including supporting improved capacity for collecting and reporting gender statistics and fostering women's economic empowerment throughout the targeted fisheries value chains. In addition, gender will have a special focus in the Communication Strategy of the project, which will ensure appropriate mainstreaming of gender into all communication products, with effective targeted communication products developed for women and distributed through the most gender-appropriate communication channels.

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[1] FAO. 2020. FAO Policy on Gender Equality 2020-2030. Rome.  
<http://www.fao.org/3/cb1583en/cb1583en.pdf>

[2] Objective 1: Women and men have equal voice and decision-making power in rural institutions and organizations to shape relevant legal frameworks, policies and programmes; Objective 2: Women and men have equal rights, access to and control over natural and productive resources, to contribute to and benefit from sustainable agriculture and rural development; Objective 3: Women and men have equal rights and access to services, markets and decent work and equal control over the resulting income and benefits; Objective 4: Women's work burden is reduced by enhancing their access to technologies, practices and infrastructure and by promoting an equitable distribution of responsibilities, including at household level.

[3] The protocol is being developed within the framework of the Caribbean Community Common Fisheries Policy (CCCFP), to fully incorporate the Voluntary Guidelines for Securing Sustainable Small-Scale Fisheries in the Context of Food Security and Poverty Eradication (the SSF Guidelines). Further, the proposed project recognizes that the UN Entity for Gender Equality and the Empowerment of Women (UN Women) and CARICOM entered into an MOU in January 2017. The project will explore every opportunity to support CARICOM in implementation of the objectives of this MOU through the proposed project.

[4] Gender Sensitive: Identify and acknowledge the existing gender differences and inequalities between women and men. Gender is integrated as a means to achieve other objectives without seeking to change structural barriers.

[5] Maison, D. and L. Perch. 2020. Enhancing the role of women in the shrimp and groundfish fishery in Guyana: gender analysis along the fishery value chain. CERMES Project Report to FAO

[6] Biharie, R. and L. Perch. 2020. Enhancing the role of women in the shrimp and groundfish fishery in Suriname: gender analysis along the fishery value chain. CERMES Project Report to FAO

[7] Chin, C. and L. Perch. 2020. Enhancing the role of women in the shrimp and groundfish fishery in Suriname: gender analysis along the fishery value chain. CERMES Project Report to FAO

[8] Perch, L., R. Biharie, C. Chin and D. Maison. 2020. Enhancing the role of women in the shrimp and groundfish fisheries in Guyana, Trinidad and Tobago, and Suriname: gender analysis along the fishery value chain sub-regional report. CERMES Project Report to FAO

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

Yes

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

**Improving women's participation and decision making Yes**

**Generating socio-economic benefits or services or women Yes**

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

Yes

#### **4. Private sector engagement**

**Elaborate on the private sector's engagement in the project, if any.**

Private sector stakeholders (both SSF and industrial) will be engaged in all four project components. As almost all the fishing vessels and processing facilities operating in the participating countries are privately owned, private sector engagement is essential for achieving the project's outcomes, securing its longer-term impacts, and importantly, for the scaling up and sustainability of project successes. The private sector (including fisherfolk and their fishing associations, small and micro-enterprises operating in the fisheries sector, and financial institutions) is a critical target audience for project efforts to change fisher attitudes, behaviors, and investments towards ecosystem-based fisheries management (largely through Components 3 and 4), including efforts to address IUU fishing and promote the wider adoption of EAF management. Moreover, moves to more sustainable fisheries also help to de-risk investment and financing, so there are clear commercial advantages to the private sector from the wider adoption and implementation of EAF. As part of ensuring effective engagement, the project will undertake a study to better understand the socio-economic interests of both industrial and SSF.

The project adopted a participatory approach involving both the industrial and SSF private sub-sectors from the project design phase and will continue to do so throughout implementation. For instance, the private sector will be co-partners in improving fisheries data collection (under Component 1) and in the development of strengthened fisheries policy, regulatory, management and monitoring frameworks (under Component 2). An important mechanism for private sector (both small-scale and industrial fisheries) engagement will be the NICs, which the project aims to strengthen for more effective co-management of the shrimp and groundfish fisheries (under Component 2). Particular attention will be paid to the involvement of women and minority groups. Fisherfolk, fishing associations, and small and micro-enterprises will be among the target beneficiaries of capacity building activities aimed at income-generating opportunities under Component 3. Under this Component, the project particularly aims to facilitate increased private investment in SSF through improving value chains and strengthening stakeholder capacity including in associated business and other skills and identifying viable business opportunities for alternative livelihoods and decent work in the NBSLME shrimp and groundfish fisheries. Special effort will be made to engage private financial institutions with potential interest in supporting sustainable fisheries and agri-entrepreneurial development (e.g., credit unions) since the project aims to facilitate increased private investment into sustainable fisheries business ventures.

The private sector will also be engaged in Knowledge Management and lesson learning activities (under Component 4) since it represents a key focus for dissemination and upscaling of project results. For example, FFOs and fisher cooperatives will be engaged to share information and communicate lessons learned to different stakeholders in the value chain. Enhancing the awareness, knowledge and skills of private fisheries enterprises will empower them to act as agents for market transformation and shift towards a more sustainable fishery capable of meeting the growing demand for fish and fish products in the beneficiary countries. Private sector stakeholders will be engaged in key roles as champions and in-kind co-financiers (e.g., through the participation of fishing association members in project activities).

FAO will provide expertise and unique added value to private sector engagement at the international and regional levels, and both CRFM and WECAFC (key project partners) will work closely with leading fisheries industry organizations. The NBSLME sub-regional EAF management plan[1] envisages private sector involvement in its implementation and in monitoring and evaluation[2]. The project also responds to the GEF's Private Sector Engagement Strategy (PSES[3]). In line with PSES guidance, private sector stakeholders will be engaged through a variety of approaches and mechanisms, including:

- ? Targeting communication activities and channels to inform private sector parties of the GEF process, objectives of the IW Focal Area and demonstrating potential entry points for the private sector;
- ? Providing guidance on potential private sector roles and support for the EAF4SG project based on identification of individual private sector company interests and priorities and their alignment with the project objectives and GEF country and focal area priorities;
- ? Convening of tailored private sector-specific workshops, consultations and working groups to explore possible matching of private sector interests with those of the project, as well as direct capacity building of private sector representatives (costs for the industrial sector involvement to be met through co-financing);
- ? Ensuring communication of private sector interest and engagement among the project institutional partners;
- ? Compiling lessons learned from the project's experience with private sector engagement with partners, and sharing them with partners and disseminating them through networks such as IW: LEARN, LME:LEARN and the CLME+HUB;
- ? Providing accurate and timely information for preparation of guidance documents, such as case studies.
- ? Exploring barriers to private sector involvement in the project and potential solutions.
- ? Ensuring project representation and promotion of project results at key fishing industry fora held in the participating countries and the NBSLME sub-region and wider region, such as meetings of the regional fisheries bodies (CRFM, WECAFC, and OSPESCA) and the Gulf and Caribbean Fisheries Institute; and
- ? Arranging co-hosted project events with senior fisheries industry leadership with specific objectives such as validation of project results (e.g., cost benefit analysis of EAF management in small-scale shrimp and groundfish fisheries).

The project will develop a Partnership and Stakeholder Engagement Strategy along with a Knowledge Management and Communications Strategy, both of which will include strategies for private sector engagement. Regular briefings to private sector partners by the Project Management Unit (PMU) staff will help strengthen coordination along with their representation on the regional Project Steering Committee (PSC) and national PSCs, as well as their direct interaction on key technical aspects of the project as appropriate.

The fact that private fisheries industry actors operating in the NBSLME region increasingly recognize the need for adoption of sustainable and responsible fisheries practices is a solid basis for effective interaction. Many of the larger private sector companies that were involved with the recently completed

REBYC II LAC project follow the FAO Code of Conduct for Responsible Fisheries and have some form of Social, Environmental and Governance policies and strategies. Some of these companies are interested in engaging with the EAF4SG project.

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[1] Anon. 2021. Guianas-Brazil Shrimp and Groundfish - Subregional Fisheries Management Plan with sub-plans for groundfish, penaeid shrimp, red snapper and seabob. CERMES Project Report to FAO.

[2] Mahon, R. and L. Fanning. 2020. CLME+ SAP monitoring report: North Brazil Shelf ecosystem (subregion) baseline 2011-2015. CLME+ Project, Cartagena Colombia, 80 pp.

[3] GEF/C.57/06 November 22, 2019

## 5. Risks to Achieving Project Objectives

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

The matrix below presents the major risks to the project, including climate risks[1], potential social environmental, political or fiduciary risks that might prevent the project objectives from being achieved, the impact and probability of occurrence (high-H, moderate-M or low-L), and the proposed mitigation actions to address these risks at the time of project implementation.

<b>Risk</b>	<b>Impact (H, M, L)</b>	<b>Probability of occurrence  H, M, L</b>	<b>Mitigation actions</b>	<b>Responsible party</b> (to be discussed with executing partner)
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Risk	Impact (H, M, L)	Probability of occurrence  H, M, L	Mitigation actions	Responsible party (to be discussed with executing partner)
<p>Low commitment and engagement in project (poor political support, staffing, co-financing, and/or changed priorities due to adverse economic conditions) from key partners and government institutions responsible for fisheries management.</p>	<p>M</p>	<p>M</p>	<p>The project has been designed to respond to national and regional fisheries priorities addressing EAF, SSF and blue growth, and in particular a sub-regional fisheries strategy and management plan for shrimp and groundfish and national fisheries management plans for the shrimp and groundfish fisheries (for Guyana and Suriname, which also have specific plans for Seabob as part of the MSC process; while for Trinidad and Tobago, the new Fisheries Management Bill 2020 makes provisions for fisheries management plans and the country expects to complete and finalize the integrated fisheries management plan with technical support under this EAF4SG Project. These include actions to help strengthen capacity of the national fisheries authorities as well as meet the needs of local fishing communities and associations. It also responds to, and directly supports, priorities of CRFM and WECAFC and their member states, and the project will leverage existing coordinating and cross-cutting intergovernmental and transboundary mechanisms that govern these institutions to ensure that participation remains strong. The need to adopt EAF and move towards more sustainable fisheries is well recognized in the region having had awareness raised on this issue through previous EAF and biodiversity conservation initiatives, including the CLME, CLME+ and REBYC-II LAC projects. In addition, FAO has extensive experience in working with many of the main project partners and there are</p>	

Risk	Impact (H, M, L)	Probability of occurrence  H, M, L	Mitigation actions	Responsible party (to be discussed with executing partner)
			<p>FAO representations in each of the participating countries which will facilitate continued political and institutional engagement in the project during implementation. Importantly, project-funded National Coordinators will be housed within the fisheries agencies to ensure that they are able to provide immediate capacity for project delivery.</p> <p>Political buy-in will also be maintained through strategic and periodic awareness-raising of all stakeholders and communication to key decision-makers including parliamentarians, and through carefully crafted messages to targeted audiences at the national level, including the participation of international partners such as the CNFO in supporting implementation of the EAF. The fact that the three participating countries participated in the previous FAO CLME+ Sub-project on Shrimp and Groundfish of the NBSLME and have been actively involved in the development of this follow up project demonstrates good political interest. The establishment of the PSC during the project inception phase will also ensure participation, ownership and engagement of key partners and maintain attention on the project.</p>	

Risk	Impact (H, M, L)	Probability of occurrence  H, M, L	Mitigation actions	Responsible party (to be discussed with executing partner)
Insufficient participation of local fishing communities during the life of the project.	M	M	<p>The project has a specific focus on SSF communities. Careful attention has been given to ensuring involvement of relevant local stakeholders, including fisherfolk, during the PPG stage, and will continue throughout project implementation. Specific activities and incentives are aimed at encouraging and supporting engagement, including promotion of fisheries co-management, a 'bottom-up' participatory approach and negotiated agreements, as well as demonstration of socio-economic benefits and use of trust-building and conflict resolutions mechanisms. Capacity building and training of local fishers will take place as much as possible to fit with their work calendar, e.g. during the low season to avoid participants missing fishing opportunities. Key project personnel in each country will be identified to act as fishing community liaisons/contacts and similarly specific individuals within the communities (project 'champions?') will be identified as focal points for the SSFs targeted by the project and to communicate project activities and progress within their communities. The project will carry out a structured Knowledge Management programme and targeted awareness-raising campaign to increase public understanding and awareness of EAF benefits which will have a particularly high profile at local level. In addition, an analysis of the performance of CLME+ and GEF-funded projects in the region during the COVID-19 pandemic, including the FAO CLME+ sub-project on shrimp and groundfish</p>	

<b>Risk</b>	<b>Impact (H, M, L)</b>	<b>Probability of occurrence  H, M, L</b>	<b>Mitigation actions</b>	<b>Responsible party (to be discussed with executing partner)</b>
			of the NBSLME and the REBYC-II LAC project, will be undertaken to determine what lessons can be learned from delivering training/capacity building virtually or blended in the evenings.	

Risk	Impact (H, M, L)	Probability of occurrence  H, M, L	Mitigation actions	Responsible party (to be discussed with executing partner)
Private sector is hesitant to engage or invest in sustainable fisheries management improvements because of short-term financial interests and/or fear of legal action.	M	M	<p>Engagement and support by the private sector are important and will require dedicated attention by the project. Consequently, the project has engaged private sector groups directly from early in project design. There is growing pressure (drivers) for the fishing sector regionally and globally to demonstrate sustainable fishing practices, which can command a premium on fish prices. The benefits of adopting and implementing EAF will be demonstrated to both large- and small-scale fisheries. Financial institutions providing funding for the fisheries sector will be engaged by the project to encourage their financing of sustainable fisheries and the risks from not doing so highlighted. For example, the recently completed GEF-financed Caribbean Billfish Project has successfully shown that if interventions are designed to specifically address and respond to the needs of the private sector, uptake and sustainable management improvements can be made in a very short period. This is particularly the case if those improvements lead to both fisheries? conservation advances and increased efficiency and profitability (which is being addressed through project Component 3). In addition, a small number of companies will be approached and encouraged to act as ?champions? in the private sector to promote the financial, social and environmental advantages to be gained from supporting moves towards EAF. The project will identify financial and risk barriers to encourage market interventions, while also</p>	

Risk	Impact (H, M, L)	Probability of occurrence  H, M, L	Mitigation actions	Responsible party (to be discussed with executing partner)
			empowering fisherfolk (especially women and youths) with skills and financing to engage in entrepreneurial programmes. This combined bottom-up and top-down approach aims to make for a strong enabling environment for investors and the private sector generally.	
Insufficient capacity to support the proposed transformational changes, particularly with regard to institutional and administrative support.	M	M	The scope of the project has been agreed with the relevant stakeholders and, by focusing on a selected number of issues in a limited number of countries and locations, it will be possible to achieve results without putting undue pressure on the existing government institutions (particularly important due to the COVID pandemic). Capacity building at both the individual and institutional levels is a central element of the project within each component and capacity needs will be identified and a capacity building strategy and plan will be developed. In addition, project partnerships with non-governmental and academic institutions will help cushion the impacts of any changes to relevant national policies and political administrations.	

Risk	Impact (H, M, L)	Probability of occurrence  H, M, L	Mitigation actions	Responsible party (to be discussed with executing partner)
<p>Large number and diversity of stakeholders constrain efficient coordination and implementation of the project's activities.</p>	<p>M</p>	<p>M</p>	<p>Key stakeholders will actively support the project activities through the establishment and maintenance of partnerships managed by the PMU. A project stakeholder engagement strategy and plan were developed during the PPG to ensure effective, coherent and equitable stakeholder coordination. Addressing the issues of particular concern to stakeholders and demonstrating the socio-economic benefits will generate collective engagement among key stakeholders. The establishment of a PSC during the inception phase with appointment of National Project Committees and National Project Focal Points, and the strengthening of the national inter-sectoral coordination mechanisms during implementation will also support coordination and continued participation of the key partners. An effective Knowledge Management and Communication Strategy will also support stakeholder engagement and coordination.</p>	

Risk	Impact (H, M, L)	Probability of occurrence  H, M, L	Mitigation actions	Responsible party (to be discussed with executing partner)
<p>Women may be less able to participate and benefit from the project due to their generally greater child-care and family responsibilities compared with men.</p>	<p>M</p>	<p>M</p>	<p>A Gender Action Plan for the EAF4SG project has been developed and is presented in Annex O. Women tend to have responsibility for the bulk of household duties, consequently project activities targeted specifically at women will be programmed to ensure they are not excluded due to any family commitments. Special attention will be paid to ensuring that social and cultural barriers do not prevent women from effectively participating in the project in activities associated with fishing operations while expanding their options through training. The representation of women (as well as youth and other vulnerable groups) will be emphasized when selecting participants in project activities, as well as in project staffing; a gender sensitive approach will be adopted by the project throughout its life cycle. The project will focus on promoting participation of women, empowering them to engage in planning and decision-making within the project sphere (and also encouraging them to do so outside of the project), and to improve their productivity, income and living conditions. Project activities targeted specifically at women will be programmed to ensure they are not excluded due to any family commitments. Participation of women, but also of youth, will be promoted through multi-stakeholder workshops, consultation and validation processes used in project activities.</p>	

Risk	Impact (H, M, L)	Probability of occurrence  H, M, L	Mitigation actions	Responsible party (to be discussed with executing partner)
<p>Difficulty in defining sustainable fisheries value chains results in ineffective project interventions with poor engagement of local fisher groups.</p>	<p>M</p>	<p>M</p>	<p>Providing increased opportunities that benefit from the adoption of EAF and more responsible fisheries practices in the target shrimp and groundfish fisheries at the fishing community level is seen as important and the project has several approaches to address this. Specific value chains and opportunities to strengthen them will be identified and comprehensive training workshops and information campaigns launched early in project implementation to ensure the buy-in necessary for a successful project intervention. These will build on recent studies of fisheries value chains in the three countries (conducted in Suriname and Trinidad and Tobago for REBYC II LAC. Work is still to be done in Guyana on the seabob value chain for ACP4FISH).</p>	

Risk	Impact (H, M, L)	Probability of occurrence  H, M, L	Mitigation actions	Responsible party (to be discussed with executing partner)
<p>The current Covid-19 pandemic continues to have significant negative impacts on the ability of key stakeholders to engage with the project and deliver results (including delays, shortage of technical staff, reallocation of Government resources for other post Covid recovery measures with risk to project co-financing, etc), or adaptive management measures are not able to mitigate these impacts.</p>	M	M	<p>The project's mitigation strategies to address the COVID-19 pandemic will be guided by both GEF and FAO policies and guidelines on operating during the pandemic, and lessons learned through execution of other projects in the NBSLME and wider Caribbean region during 2020-2022 period. In addition, the project's strategy of not overly relying on individual staff, but on institutions and organizations, and spreading capacity development within individual countries so that as many individuals are involved and trained as possible, will help address some of the potential loss and reallocation of partner staff due to Covid-19. The FAO Sub-regional office (FAOSLC) and national FAO Country Offices will closely monitor the Covid situation and risks, with regular discussions held with project partners. The project will employ an adaptive management approach where work plans are frequently reviewed and revised to take into account changing circumstances as needed. Other co-financing sources for project activities not dependent on public sector funding will also be identified. In addition, meetings and workshops will be conducted virtually whenever feasible (within internet limitations), and as much as possible local resource persons will be engaged for interactions with communities (which will also help maintain local community buy-in and support dissemination of results). Access to internet facilities can be a barrier at the community level, particularly in poorer communities in Guyana,</p>	

Risk	Impact (H, M, L)	Probability of occurrence  H, M, L	Mitigation actions	Responsible party (to be discussed with executing partner)
			<p>Suriname, and Trinidad and Tobago. Consequently, key fishing community liaisons, who can participate in virtual meetings with the fisheries authorities and other stakeholders, will be identified in the relevant fishing communities and capacity building support offered to these individuals as required. It should also be noted that the project results can support opportunities to 'build back better', for example, through the adoption of more sustainable fishing practices and livelihood enhancement and hence contribute to post COVID-19 recovery plans.</p>	

Risk	Impact (H, M, L)	Probability of occurrence  H, M, L	Mitigation actions	Responsible party (to be discussed with executing partner)
<p>Adverse effects of climate variability and climate-driven changes and natural disasters (e.g. damages to infrastructure, ocean warming and changes to species abundance and distribution in the NBSLME) compromise the project's achievements, and in the longer term impact fishing operations.</p>	H	H	<p>Although noticeable climatic changes and impacts, such as major shifts in distribution or migratory routes of shrimp and groundfish species, are unlikely to occur over the four years of project implementation, climatic trends do need to be addressed and are a major concern of the project. The project will draw on the experience gained from several other initiatives in the region that have addressed climate vulnerability and resilience in fisheries, including the FAO-GEF ?Climate Change Adaptation in the Eastern Caribbean Fisheries Sector (CC4FISH)? project that have been undertaken in several Eastern Caribbean states. Furthermore, the FAO and CFRM have developed a Protocol on Climate Change Adaptation and Disaster Risk Management in Fisheries and Aquaculture in the Caribbean[2] that will inform the development and implementation of the project. Other climate impacts on the fishing communities and government agencies may also affect the project's delivery. For instance, government priorities may shift after a significant climate event, such as a hurricane, which can mean fewer resources for fisheries management (and hence project co-financing), as well as direct damage to government fisheries management structures, infrastructure and equipment (e.g. in Dominica, an entire building of fisheries division was destroyed, including computers, desks, printers, etc). An assessment (utilizing FAO technical expertise) of the impact of climate change on the target</p>	

Risk	Impact (H, M, L)	Probability of occurrence  H, M, L	Mitigation actions	Responsible party (to be discussed with executing partner)
			<p>fishing communities and key stakeholder groups in the participating countries was undertaken during the PPG stage. It found that the climate risk of the project is low/moderate with and without project modulation, and the level of vulnerability is moderate whereas the adaptive capacity at national and local levels is high for the three countries. This is due to strong government support to climate change adaptation. Over the longer term, there are likely to be significant impacts on fish populations and therefore fisheries and their dependent fishing communities. For instance, increased temperature and reduced productivity are correlated with reduced recruitment of penaeid shrimp which could lead to reduced biomass and lower catch per unit of effort, resulting in declining fishery productivity and related incomes[3]. The project's efforts to improve fisheries management through improving data collection, analysis and monitoring for the target shrimp and groundfish species (through Component 1) will support more effective decision-making (e.g. on setting fishing effort limits based on changes in recruitment, growth, survival and reproductive success) and more generally through the application of the precautionary principle within the EAF to prevent overfishing in the face of climate change. In addition, the project's promotion of transboundary agreements and cooperation between neighbouring countries and others in the region, including developing and/or modifying</p>	

Risk	Impact (H, M, L)	Probability of occurrence  H, M, L	Mitigation actions	Responsible party (to be discussed with executing partner)
			fishing agreements and collaborative management, will also support adaptation to climate change over the long-term. Overall, the project will result in healthier shrimp and groundfish populations and marine habitats, making them more resilient to climate change impacts. Similarly, improving livelihoods from sustainable fisheries will increase the resilience of fishing communities to such impacts.	

[1] GEF-STAP guidance on climate risk screening: <https://www.stapgef.org/stap-guidance-climate-risk-screening>

[2] FAO and Caribbean Regional Fisheries Mechanism, 2021. Protocol on Climate Change Adaptation and Disaster Risk Management in Fisheries and Aquaculture in the Caribbean. Barbados, 18 April 2018. Rome, Belmopan, 22 pp.

[3] Magraoui, A. L. Baulier and F. Blanchard, 2014. Effet du changement climatique sur le stock guyanais de crevettes p?n??des. Rapport final du projet PENECLIM. IFREMER, Guyane. 25 pp.

## 6. Institutional Arrangement and Coordination

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

The Food and Agriculture Organization (FAO) will be the GEF Implementing Agency (IA) of the project. The University of the West Indies (UWI) will be the project's Execution Agency (EA) and will house the Project Management Unit (PMU) and will have the executing and technical responsibility for the Project, with FAO providing oversight as GEF IA as described below. The UWI will be responsible for the day-to-day management of project results entrusted to it in full compliance with all terms and conditions of the Operational Partnership Agreement (OPA) signed with FAO[1]. As the Operational Partner (OP) of the project, the UWI is responsible and accountable to FAO for the timely implementation of the agreed project results, operational oversight of implementation activities, timely reporting, and for effective use of GEF resources for the intended purposes and in line with FAO and GEF policy requirements.

Within the IA (FAO) the project will be overseen by the Budget Holder (BH), Lead Technical Officer (LTO), Funding Liaison Officer (FLO) and the Project Task Force (PTF). The project will be executed by

the Faculty of Food and Agriculture (FFA) of the UWI. The Business Development Unit (BDU) of the FFA will host the PMU. The PMU will be composed of a Technical and Project Coordinator (TPC), Knowledge Management and Communication (KMC) Officer, Monitoring and Evaluation Expert (M&E), Administration and Operations Support Officer (AOS) and three outposted National Technical Coordinators (NTC), one in each country. The PMU will be guided by the Project Steering Committee (PSC), which will include representatives from the national fisheries agencies, implementing and executing agencies and other key regional partners. The project organization structure is presented in Figure 3 below.

It is important to notice that the PIF of the EAF4SG was developed in parallel with its sister project; the GEF ID 10857 ?Strategies, technologies, and social solutions to manage bycatch in tropical Large Marine Ecosystem Fisheries (REBYC-III CLME+)??. REBYC-III CLME+ aims at managing bycatch and reduce discards in the Caribbean and North Brazil Shelf Large Marine Ecosystems (CLME+) thereby promoting sustainable and responsible fisheries that provide economic opportunities while ensuring the conservation of marine living resources, supporting country implementation of the CLME+ SAP, and with successful solutions for potential scale up to other LMEs. REBYC-III CLME+ will be executed in Suriname, Guyana, Trinidad and Tobago, and Barbados. With the exception of Barbados these are the same countries of the EAF4SG. For this reason, during the PIF stage, it was agreed with the GEF that the project would be executed by the same agency to allow cost sharing of the PMU and ensure efficient use of the resources. This kind of arrangement will ensure that key activities related to gender mainstreaming, knowledge management, engagement of the private sector, organization of regional meetings, etc., will be executed by the two projects in full coordination, avoiding duplication of costs and maximizing cross-fertilizing and exchange.

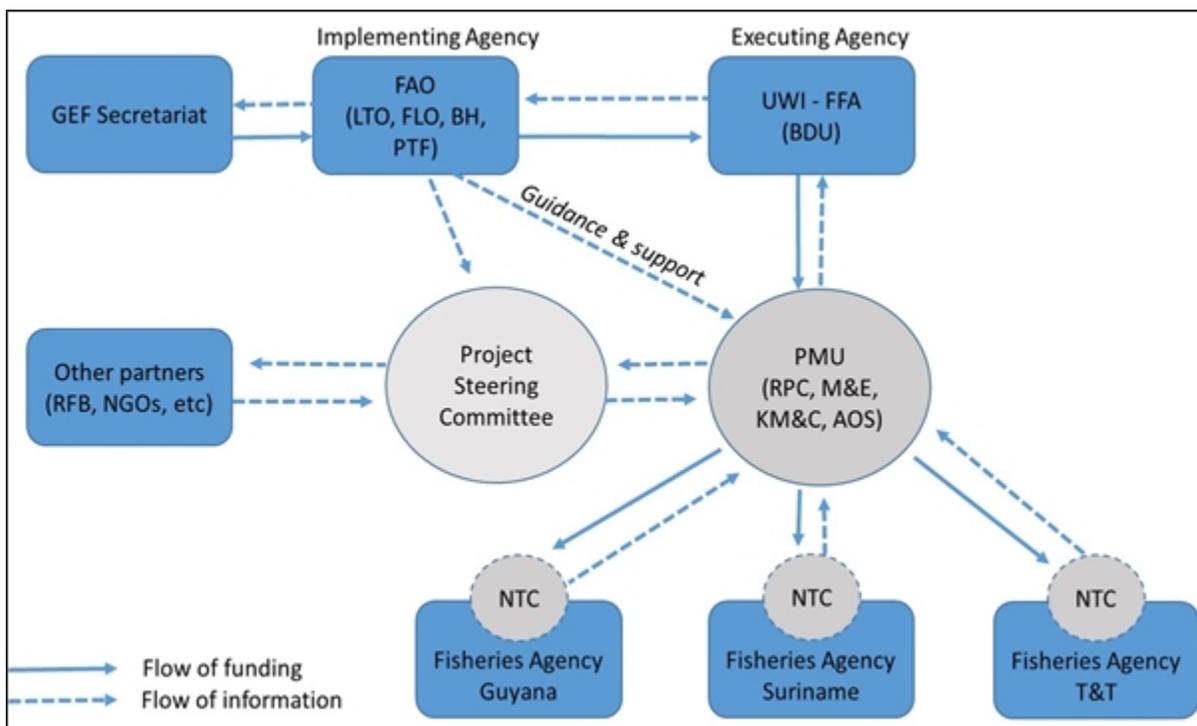


Figure 3. Institutional arrangements of the EAF4SG Project.

As the GEF IA, FAO will be responsible for providing project cycle management services as established in the GEF Policy and will hold overall accountability and responsibility to GEF for delivery of the results. FAO will provide oversight of project implementation and technical support to ensure that the project is being carried out in accordance with agreed standards and requirements. FAO's Fisheries and Aquaculture Division (NFI) will particularly assist with aspects of project implementation, acting as the lead technical unit, to ensure the technical and economic feasibility of the measures introduced by the project, and to facilitate sharing of experiences with other regions through FAO's global network. Specifically, FAO's responsibilities, as GEF IA, will include:

- ? Administrating funds from GEF in accordance with the rules and procedures of FAO;
- ? Overseeing project implementation in accordance with the project document, work plans, budgets, agreements with co-financiers, OPA(s) and other rules and procedures of FAO;
- ? Providing technical guidance to ensure that appropriate technical quality is applied to all activities concerned;
- ? Reporting to the GEF Secretariat and Evaluation Office, through the annual Project Implementation Review (PIR), on project progress and provide financial reports to the GEF Trustee.

The full outline of FAO's roles and responsibilities in the project is provided in detail in Annex K (FAO's role in internal organization).

The UWI will establish a PMU to ensure the day-to-day management of the Project. This will be located in the BDU of the UWI's FFA at the St. Augustine campus site in Trinidad. The BDU serves as the special projects' office of the FFA. More details on the UWI and the BDU and its history and relevant capacity to undertake the role of project EA is given in Annex P.

As the project's EA, UWI through the PMU will be accountable to FAO for the timely implementation of the project results, operational oversight of implementation activities, timely reporting, and for effective use of GEF resources for the intended purposes and in line with the IA and GEF policy requirements. Specifically, UWI's responsibilities, as GEF EA, will include:

- ? Establishing and supporting the PMU;
- ? Acting as Secretariat for the PSC;
- ? Ensuring that the project is executed according to the agreed work plan and budget;
- ? Reviewing and submitting the required reporting obligations to the IA, including half-yearly expenditure reports and annual PIR reports;
- ? Ensuring all procurement is done in compliance with Agency standards; and
- ? Communicating with and disseminating information to the Executing Partners (EP) and other stakeholders.

The government fisheries authorities in the three participating countries are expected to act as the national executing partners and focal point for national level activities, which will be carried out in close collaboration with the national fisherfolk organizations, as well as with other fisheries-related stakeholders. However, different executing agencies may have responsibility for individual project components in their country.

### **Project Steering Committee**

A Project Steering Committee (PSC) will be established for the Project comprising representatives from the national fisheries agencies, the RPC, representatives from the IA and EA and other key regional partners such as the WECAFC and CRFM, as well as the relevant national GEF Operational Focal Points

(OFP). The GEF Secretariat will be invited to participate as an observer. The RPC will be the Secretary to the PSC. The PSC will be the ultimate decision-making body with regard to issues affecting the achievement of the project's objectives. The PSC will normally meet once a year, although additional meetings, either in person or through multimedia (such as by video or skype conferences), can be called as necessary. Draft TORs for the PSC are appended in Annex M. The PSC will approve its TORs at its first meeting.

The members of the PSC will be responsible for:

- ? Oversight and review of technical activities carried out under the Project;
- ? Review and report on the progress towards the project's objectives and their contribution to the overall programmatic objectives;
- ? Assessment of the progress in the implementation of the Project in accordance with timelines and goals stated in the Results Framework, including review of the project Theory of Change assumptions;
- ? Taking consensus-based strategic decisions and recommendations when guidance is required by the Regional Project Coordinator;
- ? A review of the narrative that links the impacts of the activities, outputs and outcomes of the Project in particular in relation to their contribution to the project objective;
- ? Assessing effectiveness of the knowledge management and communication efforts at the project level;
- ? Reviewing sustainability of key project outcomes, including up-scaling and replication;
- ? Approval of the project's Annual Work Plan and Budget (AWP/B);
- ? Enhance synergy between the project and other relevant initiatives, including those related to the GEF International Waters Focal Area; and
- ? Reviewing and providing comments on independent external reviews and evaluations, as well as advise on any other issues that would be brought to its attention by the PMU.

### **Project Management Unit**

A Project Management Unit (PMU) will be established by the UWI, within the BDU of the FFA. Following the guidance of the PSC, the main functions of the PMU will be to ensure overall efficient management, coordination, implementation and monitoring of the Project through the effective implementation of the AWP/B. The PMU will be composed of a full-time TPC who will work over the life of the 4-year project. In addition, the PMU will include a Knowledge Management and Communication Officer (part-time), an M&E expert (part-time), an Administration and Operations Support Officer (full-time) and Operational Support Officer (part-time). In addition, the PMU will have an outpost National Technical Coordinator in each country with a part-time Support Officer, housed within the national fisheries agency. The RPC will work in close coordination with National Technical Coordinators and the national focal points designated in national fisheries agencies from the three participating countries. Specific TORs of the members of the PMU are provided in Annex N.

### **Project Task Force**

A Project Task Force (PTF) will be established within the IA to provide technical support and guidance to the Project. In addition to technical members, the PTF will include the project's BH, LTO, FLO and NFI officers from relevant technical teams. The PTF will also be supported by the relevant offices in FAO HQ such as finance office, legal office, and administrative support from the FAO-GEF Unit (OCBD) as needed.

### **Inception Workshop**

An Inception Workshop will take place within 8 weeks of the project's official start date of the Project with participation of the implementing and executing agencies, as well as key partners, to establish the PSC, agree on the specific details of the coordination mechanisms, as well as a project-level Knowledge Management and Communications strategy, partnership strategy, and arrangements for a cohesive project M&E plan.

### **Coordination with other relevant GEF-financed projects and other initiatives.**

During the inception period, the EAF4SG project will explore opportunities for synergies and collaboration, where appropriate, with relevant GEF and non-GEF projects at the national, sub-regional and regional levels. These projects are potential sources of co-financing for the EAF4SG project.

#### GEF projects

The EAF4SG project will be closely coordinated with other GEF regional projects listed in Table 4, through for example, the communication and knowledge exchange mechanisms under Component 4, as well as periodic meetings between their respective implementation teams.

As explain above, the coordination with the FAO-GEF REBYC III CLME+ project, which is considered the sister project of the EAF4SG project, will be particularly important due some technical similarities and the same IA (FAO). The PMU (Regional Technical Project Coordinator (RPC), Knowledge Management and Communication (KMC) Officer, Monitoring and Evaluation Expert (M&E), Administration and Operations Support Officer (AOS) and three outposted National Technical Coordinators (NTC), one in each country) will be shared with the FAO-GEF REBYC III CLME+ project to ensure maximum synergies, collaboration and optimization of resources allocated to project coordination, knowledge management, gender mainstreaming and communication. Coordination will further be facilitated by the fact that the same countries and national institutions are engaged in multiple projects.

#### Non-GEF projects

Relevant non-GEF projects at the national level with which the EAF4SG project can potentially coordinate are listed in Table 5. It is to be noted that the main sectors and project stakeholders—the SSF and industrial fisheries and related communities—are common to all these projects as well as to the EAF4SG project. In addition, in some cases the target species are the same (seabob, corvina and acoupa weakfish in the NBSLME) as are the objectives (e.g. strengthening capacity for ocean governance, promoting sustainable fisheries and improving value chains, and improving data collection and stock assessments). Therefore, coordination with these initiatives will be important to capitalize on potential synergies and ensure maximum benefits to stakeholders in the most cost-effective manner.

Systems for communication and exchange will be established with both the relevant GEF and non-GEF projects during the EAF4SG project's inception period and detailed in a project stakeholders and

partnerships plan (based on operationalizing the project's Stakeholder Engagement Plan), which will also be produced during the project inception period.

**Table 4. Relevant regional GEF-supported projects**

<b>Project title/Lead agency</b>	<b>Description/Participating countries</b>	<b>GEF Focal Area</b>	<b>GEF Funding (US \$)</b>	<b>Coordination approach</b>
Strategies, technologies and social solutions to manage bycatch in tropical Large Marine Ecosystem Fisheries (REBYC III LAC)/ FAO	<p>PIF approved. Builds on the previous REBYC II LAC project, in which Suriname and Trinidad and Tobago were among the participating countries. The objective is to manage bycatch and reduce discards in the CLME+ region thereby promoting sustainable and responsible fisheries that provide economic opportunities while ensuring the conservation of marine living resources, supporting country implementation of the CLME+ SAP, and with successful solutions for potential scale up to other LMEs.</p> <p>Barbados, Guyana, Suriname, and Trinidad and Tobago.</p>	IW	5,329,452	<ul style="list-style-type: none"> <li>- Shared PMU and KMC specialist (to be confirmed);</li> <li>- IW:LEARN exchange mechanism; knowledge products and events;</li> <li>- Project website;</li> <li>- Project communication activities (outreach and awareness-raising materials and events)</li> </ul>

<p>Protecting and Restoring the Ocean's Natural Capital, building Resilience and supporting region-wide Investments for sustainable Blue Socio-Economic Development (PROCARIBE+)/UNDP</p>	<p>PIF approved. Builds on the previous CLME+ project. The objective is Protecting, restoring and harnessing the natural coastal and marine capital of the Caribbean and North Brazil Shelf Large Marine Ecosystems to catalyze investments in a climate-resilient, sustainable post-covid Blue Economy, through strengthened regional coordination and collaboration, and wide-ranging partnerships.</p> <p>Regional, Colombia, Costa Rica, Panama, Bahamas, Belize, Cuba, Dominican Republic, Guatemala, Guyana, Honduras, Jamaica, St. Kitts and Nevis, Saint Lucia, Suriname, Trinidad and Tobago, Antigua and Barbuda, Brazil, Haiti, Venezuela.</p>	<p>IW</p>	<p>15,429,817</p>	<p>- IW:LEARN exchange mechanism; knowledge products and events;</p> <p>- Project website;</p> <p>- Project communication activities (outreach and awareness-raising materials and events)</p>
<p>Promoting national blue economy priorities through marine spatial planning in the Caribbean Large Marine Ecosystem Plus (BE-CLME+)/FAO</p>	<p>Concept approved. The objective is to promote blue economy development in the CLME+ through marine spatial planning and marine protected areas, ecosystem approach to fisheries, and sustainable seafood value chains.</p> <p>Regional, Barbados, Belize, Guyana, Jamaica, Panama, Saint Lucia.</p>	<p>IW, Biodiversity</p>	<p>6,308,400</p>	<p>- IW:LEARN exchange mechanism; knowledge products and events;</p> <p>- Project website;</p> <p>- Project communication activities (outreach and awareness-raising materials and events)</p>

Caribbean BluEFin (Caribbean Blue Economy Financing Project)/UNEP	<p>Concept approved. The objective is to create and strengthen nature-based Blue Economy opportunities and approaches in the Caribbean through innovative financing mechanisms.</p> <p>Regional, Bahamas, Dominican Republic, Grenada, Saint Lucia, St. Vincent and Grenadines.</p>	IW	6,000,000	<p>- IW:LEARN exchange mechanism; knowledge products and events;</p> <p>- Project website;</p> <p>- Project communication activities (outreach and awareness-raising materials and events)</p>
Caribbean Regional Oceanscape Project (Biodiversity & IW)/World Bank	<p>The objective is to strengthen capacity for ocean governance and coastal and marine geospatial planning in the participating countries.</p> <p>Regional, Dominica, Grenada, St. Kitts and Nevis, Saint Lucia, St. Vincent and Grenadines.</p>	IW, Biodiversity	6,300,000	<p>- IW:LEARN exchange mechanism; knowledge products and events;</p> <p>- Project website;</p> <p>- Project communication activities (outreach and awareness-raising materials and events)</p>

**Table 5. Relevant non-GEF projects**

Status	Name of project or programme	Host institution	Description	Country	Funding source	Potential for co-financing
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Project being implemented	Fish Stock Assessment study	Environmental Management Consultants Guyana	<p>This fish stock assessment study will apply length-based methods to assess the stock status and spawning potential of 12 key marine species captured by Guyana's artisanal and industrial fisheries sector. Stock assessments of the most abundant species caught by Guyana's artisanal fisheries are among the most significant data gaps for the fisheries sector. Ultimately, the study will lay the foundation upon which stock assessments can be expanded and continued in the long term.</p>	Guyana	Esso Exploration & Production Guyana Ltd	Output 1.1.3
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Project being implemented	MSC certification of seabob trawl fishery, Guyana	Private sector seabob trawl companies; MSC client is GATOSP	The seabob trawl fishing sector in Guyana is committed to keeping their fishery certified against the MSC standards, to ensure sustainable exploitation and guarantee market access for their product.	Guyana	Private sector	Outputs 1.1.3, 2.1.1, 2.2.3, 2.3.2
Project being implemented	MSC certification of seabob trawl fishery, Suriname	Private sector seabob trawl companies; MSC client: Heiploeg (PP-Group)	The seabob trawl fishing sector in Suriname is committed to keep their fishery certified against the MSC standards, to ensure sustainable exploitation and guarantee market access for their product.	Suriname	Private sector	Outputs 1.1.3, 2.1.1, 2.2.3, 2.3.2

Project being implemented	Fishery Improvement Program (FIP) for corvina ( <i>Cynoscion virescens</i> ) and acoupa weakfish ( <i>C. acoupa</i> ) driftnet and trawl fishery	Cedepesca and private sector partners	<p>The main objective of the FIP is to achieve the fisheries? certifiable status against the MSC standard within five years. The action plan for this FIP is to a large degree focused on promotion of EAF management including improved fisheries data collection and better management planning.</p> <p>Expected to run until 2025.</p>	Suriname	<p>Cedepesca and private sector partners.</p> <p>Budget of US\$90,000-100,000 per year</p>	Outputs 1.1.3, 2.1.1, 2.2.3, 2.3.2
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Project being implemented	FISH4ACP (an initiative of the African, Caribbean and Pacific States)	FAO Guyana	FISH4ACP aims to improve the economic, social and environmental sustainability of fisheries and aquaculture value chains in Africa, the Caribbean and the Pacific. In Guyana, local demand for fish products is expected to rise as a consequence of emerging oil and gas production. FISH4ACP aims to ensure that economic improvements go hand in hand with environmental sustainability and social inclusiveness.	Guyana	European Union	Outputs in all four EAF4SG project components to be identified during the inception phase.
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Project being implemented	Community Fishery Improvement Program (C-FIP) for the Suriname driftnet fishery	Conservation International (CI) Suriname	To improve food security and human well-being, CI Suriname is supporting sustainable and responsible small-scale fisheries. The program is focused on improving artisanal driftnet fisheries to sustainable levels, eventually reaching the sustainability standards/ requirements of certification such as Fair Trade or the MSC.	Suriname	Different funds/donors	Outputs 1.1.3, 2.1.1, 2.2.3, 2.3.2
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Project being implemented	Capacity Building of Fishers Initiative for Sustainable Harvest, Education and Research (CB?FISHER1)	Future Fishers (civil society organization)	<p>Project objectives:</p> <p>? To strengthen the Governance and Management of Future Fishers.</p> <p>? To identify and develop for implementation Fisheries harvesting and Post?harvesting business activities.</p> <p>? To increase the Ecosystem Management Awareness among primary stakeholders.</p> <p>? To strengthen the Fisher?s participation and commitment to the responsible use of natural and physical resources.</p>	Trinidad and Tobago	Trinidad and Tobago Green Fund.  Budget approx. US\$1.2 million.	Co-finance commitment from Future Fishers for the EAF4SG project.
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Project being implemented	Fishery Improvement Programme (FIP) for red snapper ( <i>Lutjanus purpureus</i> ) pot/trap fishery in Northern Brazil - Caribbean	Instituto Brasileiro de Desenvolvimento e Sustentabilidade (IABS)	The Northern Brazil Caribbean red snapper FIP aims to develop and implement a management plan for the fishery/stock based on defining clear objectives for management. Work will be done to define a stock assessment method and to verify the current status of the stock in relation to reference points.	Brazil	Unknown (supposedly private sector)	Only relevant when countries decide to work on red snapper fisheries on a regional level.
In preparation	Development and operationalization of an improved Fisheries Management Information System in Guyana	FAO Guyana	This FAO TCP program aims to deliver strengthened institutional capacity and stakeholder awareness for sustainable fisheries management through the implementation of an improved Fisheries Statistics and Management Information System in Guyana (SDGs 14 and 17).	Guyana	FAO TCP fund (?)	Outputs 1.1.1, 1.1.2, 1.1.3, 1.1.4, 4.1.1
In preparation	Grant to support fisheries data collection in Suriname	Suriname Fisheries Department	Improvement in fisheries data collection.	Suriname	Supported by a grant of US\$50,000 from Shell	Outputs 1.1.1, 1.1.2, 1.1.3

[1] It should be noted that the identified Operational Partner(s) or OP, results to be implemented by the OP and budgets to be transferred to the OP are non-binding and may change due to FAO internal partnership and agreement procedures which have not yet been concluded at the time of submission

## **7. Consistency with National Priorities**

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

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

The project will help the participating countries meet their responsibilities and commitments under numerous conventions and associated national strategies. The project directly addresses fisheries and marine conservation policies, plans and programmes supporting the implementation of current initiatives for sustainable use of marine resources as well as socio-economic development, including implementation of priorities in the CLME+ SAP and other international commitments of the target countries. More generally, it also supports the widely recognized need to further operationalize the EAF in the region.

### **National level priorities**

The EAF4SG project is fully aligned with several national priorities and policies identified in various documents and frameworks including the countries' respective FMPs, FAO Country Programming Frameworks (notably food and nutrition security; and sustainable management and utilization of natural resources including fisheries) and National Biodiversity Strategies and Action Plans (NBSAP).

Guyana's Low Carbon Development Strategy 2030 sets out the vision for the country's development through 2030 with respect to sustainable fisheries management, biodiversity conservation and protection, poverty reduction, small business development, and gender issues among others. EAF is incorporated in the national Marine Fisheries Management Plan (2022 - 2027) and the Marine Mammal Protection Act, among others. In addition, the development of a blue or ocean economy is one of the country's priorities. Guyana is also making significant effort towards obtaining MSC certification of its seabob fisheries, strengthening domestic markets for sustainably fished products, and improving its fisheries management information system. Among the Strategic Objectives of Guyana's NBSAP are: Improve the status of biodiversity by conserving ecosystems, species and genetic diversity in degraded areas; Harmonize legal and administrative frameworks that support the sustainable use, protection and management of biodiversity; Improve substantially biodiversity monitoring at the national level and within key productive sectors; and Strengthen the knowledge and capacity for conservation and sustainable use of biodiversity. These are among the elements with which the EAF4SG project Outcomes (particularly Outcomes 1.1, 2.2, 2.3, 3.1, 3.2 and 4.1) are aligned.

EAF management is a national priority in Suriname, as reflected in the national FMP (2021-2025) and the seabob FMP, which incorporate EAF principles such as the impact of fisheries on non-target (ETP)

species, marine habitats, and the wider marine ecosystem; improving fisheries data collection and management planning; and strengthening stakeholder participation in fisheries management. EAF management is also fully embraced in Suriname's Multi-year Development Plan (MOP 2022-2026), of which sustainability is one of the five underpinning values. The SDGs are integrated in the plan's goals, outcomes, and indicators and one of the Plan's policy areas is 'Livable Environment, Nature, and Safety', which is based on SDG 14 among others. The Plan's objectives include food security, employment opportunities, value add creation, and greening and green growth. The project is also aligned with several of the objectives of Suriname's NBSAP including conservation of biodiversity, sustainable use of biodiversity, knowledge acquisition through research and monitoring, capacity building, and raising awareness and empowerment through education and communication. Therefore, the project outcomes all support Suriname's FMPs as well as the objectives of its Multi-year Development Plan and NBSAP.

The EAF4SG project will contribute to the following strategic initiatives identified in Trinidad and Tobago's National Development Strategy (Vision 2030): Support new and emerging sectors (includes fish and fish processing), improve the use of data for the management of biodiversity, and promote a culture of entrepreneurship and innovation through education and training. In addition, it will contribute to the National Social Mitigation Plan 2017 - 2022 to cushion the effects of the economic downturn on vulnerable groups and create opportunities for them to recover and to build their resilience. In this country, the legal framework for fisheries management including EAF is being strengthened through the Fisheries Management Bill 2020. In addition, the project is consistent with the national priorities for sustainable fisheries outlined in Trinidad and Tobago's NBSAP (2017-2022), which seeks to make fisheries (as well as agriculture and forestry) more productive and sustainable. Relevant National Biodiversity Targets include biodiversity conservation, innovation, and sustainable use; protection of natural habitats, including marine habitats; and sustainable management and harvest of the major commercially important fish and invertebrate stocks. Further, the NBSAP seeks to ensure that threats to threatened species are reduced and conservation status of such species improved.

Furthermore, the project will support national post-Covid recovery efforts, since the fisheries sector (and associated sectors such as tourism) is seen as an important sector that can support recovery from the COVID-19 pandemic (particularly at the local level) and to secure more sustainable food security. For instance, the 'Roadmap for Trinidad and Tobago Post COVID-19 Pandemic' identifies the Agriculture Sector (which includes fisheries and aquaculture) as an essential service and adopts 'policy positions to immediately and aggressively boost the agriculture sector and launch (TT)\$500 million Stimulus Programme for the Sector' to make Trinidad and Tobago a more food secure nation. The project contributes directly to meeting the objectives of the Government's Roadmap to Recovery Phase II, Pillar 2: Making Food Security a Reality, Area 1: Food Production, Result 2.7: Improved Administration of Fisheries Sector, as well as Result 2.4: Increased Financial Investments in Agricultural Research and Development.

### **Fit with regional level priorities**

The 2015-2025 Strategic Action Programme for the Sustainable Management of the Shared Living Marine Resources of the Caribbean and North Brazil Shelf Large Marine Ecosystems (CLME+ SAP), which has been politically endorsed by over 25 States of the Caribbean region, constitutes a major driver fostering consistent and converging strategies and policies among regional and national institutions concerned by

challenges to restore a better state of the Caribbean marine environment, including fishery resources, biodiversity, coastal habitats and reduced pollution. The project outcomes 1.1, 2.1, 2.2, 2.3, 3.1, 3.2 and 4.1 all support the CLME+ SAP aims to improve management of shared living marine resources and address unsustainable fisheries, habitat degradation and marine pollution, particularly strategy S6 - Implement EBM/EAF of the Guianas-Brazil continental shelf with special reference to the shrimp and groundfish fishery ? which is the specific focus of the EAF4SG project, but also S1 (Enhance the regional governance arrangements for the protection of the marine environment) and S2 (Enhance the regional governance arrangements for sustainable fisheries).

The 2014 Caribbean Community Common Fisheries Policy (CCCFP) is a regional treaty designed to help countries work together to ensure that the region's fisheries and other aquatic resources make a contribution to the region's development in a sustainable manner, and it calls for more scientific and market research, and attention to develop better and easier access to export markets, to support fishers and coastal communities and economic development. The CCCFP seeks to expand the data and information used in decision-making and resource management, enabling States and fishers to better protect their interests and manage the resources. The CRFM Strategic Plan (2013-2021) operationalizes the CRFM Agreement and CCCFP through goals and objectives that frame the workplan for the CRFM. Project outcomes 1.1, 2.1, 2.2, 2.3, 3.1, 3.2 and 4.1 all support development of the region's fisheries in a sustainable manner.

The Caribbean Regional Fisheries Mechanism (CRFM) Agreement is a legally binding agreement established in 2002 and seeks to establish a regional fisheries body to promote cooperation in the sustainable use and management of fisheries in the countries party to the Agreement. The region's priorities for fisheries development and management are further elaborated in the CRFM Strategic Plan (2013-2021) and updated for the forthcoming 2022-2030 period). The CRFM Strategic Plan is not binding, but it operationalizes the CRFM Agreement and CCCFP through goals and objectives that frame the work plan for the CRFM. The basic objective is to achieve sustainable social, economic and nutritional benefits, while preserving the health and productivity of the fish stocks, the integrity of the marine ecosystems, and ensuring a better standard of living and quality of life for fishermen and fishing communities that rely on fisheries. The EAF4SG project outcomes 1.1, 2.1, 2.2, 2.3, 3.1, 3.2 and 4.1 specifically address Strategic Goals 1 (Sustainable management and utilization of fisheries and aquaculture resources in the Caribbean region for the benefit of future generations) and 2 (Improve the welfare and sustainable livelihoods of fishing and aquaculture communities in the Caribbean region, by providing income and employment opportunities in fisheries and aquaculture sectors) and is aligned to Strategic Objective C (Sustainable management of fisheries resources as the project supports adopting and implementing the EAF), and to Strategic Objective G (Capacity building and institutional strengthening) as the project has capacity building elements built into each component and is particularly relevant to organizational result G2 (Fisherfolk organizations and their representatives are competent and capable to collaborate and participate actively in fisheries management and conservation processes at local, national and regional level), but is also relevant to G1 (Fisheries governance is benefiting from strengthened national fisheries administrations and other supporting institutional frameworks) as it stresses improvement in fisheries governance (under Component 2).

All three participating countries are members of the Western Central Atlantic Fishery Commission (WECAFC), and the project is aligned with WECAFC's Programme of Work as it relates to the following Technical Focus Area 1 (Improve regional fisheries governance), Area 2 (Increase regional information and collaboration in fisheries) and Area 3 (Strengthen regional fisheries management and best-practice approaches for fisheries and aquaculture development). The 2016 Interim Coordination Mechanism is a formal collaboration between WECAFC, OSPESCA and CRFM, which seeks to increase the uptake of information and fisheries management advice generated at national and sub-regional level to the regional level (under Outcome 1.1), support dissemination of best practices, improve harmonization and boost the impact of measures, decrees and regulations adopted within the frameworks of these RFBs. The three RFBs agreed to work on a number of priority areas such as the provision of advice in support of management of several fisheries including shrimp and groundfish, as well as addressing IUU fisheries. As

WECAFC members the three countries endorsed recommendations on shrimp and groundfish management in the Guianas-Brazil shelf in the 15th, 16th, and 17th sessions of WECAFC. Joint Working Groups on these species and fisheries have been established in recent years, and the Coordination Mechanism has built on these initiatives, and relevant Working Groups will provide technical advice to the EAF4SG project, particularly contributing to project outcomes 1.1, 2.1, 2.2, 2.3, 3.1 and 3.2. As members of WECAFC and CRFM, the national priorities of the three participating countries are reflected in WECAFC's current Programme of Work (2019-2020) and in CRFM's Strategic Plan (2013-2021).

The Regional Plan of Action to Prevent, Deter and Eliminate Illegal, Unreported and Unregulated Fishing (RPOA-IUU)[1] was developed with support from the GEF funded FAO CLME+ sub-project on shrimp and groundfish of the NBSLME and endorsed by WECAFC in July 2019. IUU fishing is one of the critical challenges facing the region. The WECAFC RPOA-IUU is an important link between the implementation of the International Plan of Action (IPOA)-IUU and the formulation of National Plans of Action to Prevent, Deter and Eliminate IUU fishing (NPOA-IUU) and corresponding measures to combat IUU fishing in WECAFC Member States. The RPOA-IUU has been developed in accordance with the principles and provisions of the IPOA-IUU, the PSMA and other complimentary international instruments. It contains 28 measures and actions to combat IUU fishing through effective regional cooperation among its 34 Member States and other sub-regional organizations to ensure that countries collaborate to implement their port, flag, coastal and market State responsibilities. Outcomes 2.2 and 2.3 support the target countries in contributing to improve their MCS framework thus contributing to addressing IUU fishing.

The Castries (Saint Lucia) Declaration on IUU fishing, approved by the Ministerial Council of CRFM in 2010, is a voluntary declaration. It seeks to prevent, deter and eliminate IUU fishing by enhancing effectiveness of monitoring, control and surveillance at the national and regional level by creating and sustaining the necessary harmonized and contemporary legislative and regulatory regime. It complements the Port State Measures Agreement (PSMA). Project Outcomes 2.2 and 2.3 support the target countries in contributing to improve their MCS framework thus contributing to addressing IUU fishing and implementation of the PSMA.

The project may also directly support the Cartagena Convention (1986) and its Protocol Concerning Specially Protected Areas and Wildlife (SPAW, 2000), which has been ratified by Guyana and Trinidad and Tobago.

### **Relevance to global level agreements**

The countries participating in this project are signatories to numerous conventions and agreements at the global and regional levels related to environment and development. Those listed below are the most relevant for the adoption and implementation of EAF in the shrimp and groundfish fishery of the NBSLME.

The 1982 United Nations Convention on the Law of the Sea (UNCLOS)[2] sets out the legal framework within which all activities in the oceans and seas must be carried out, including fisheries activities, and it sets out the sovereign rights of coastal States for the purposes of exploring and exploiting, conserving and managing living resources within areas under national jurisdiction, as well as their duties with regard to the conservation and utilization of such resources. While it does not explicitly state the need for an ecosystem approach to fisheries, it is one of its underlying principles. Current considerations in the NBSLME and Caribbean include maritime boundary delimitation negotiations, extending jurisdiction to the edge of the continental shelf where applicable, and a regime to be negotiated for the areas beyond national jurisdiction. All of these will impact fisheries, but few have the active involvement of fisherfolk organizations. Project Outcomes 1.1, 2.1, 2.2, 2.3, 3.1 and 3.2 all support the target countries in meeting obligations under this agreement to sustainably manage living resources (including fisheries) within their jurisdiction.

The 1992 UN Convention on Biological Diversity (UNCBD)[3] is a binding agreement that seeks to ensure the conservation of biological diversity, the sustainable use of its components and the fair and equitable sharing of benefits arising out of the utilization of genetic resources. The 1995 Jakarta Mandate further

develops the ecosystem approach adopted by the CBD. It encourages the use of integrated management of coastal areas as the most suitable framework for addressing human impacts on marine and coastal biological diversity and for promoting conservation and sustainable use of it. The three participating countries are all signatories of the UNCBD and have developed National Biodiversity Strategies and Action Plans (NBSAP), all of which contain specific references to the government commitment to sustainable use of coastal and marine resources. The project is in line with these NBSAPs, each of which outlines fisheries and marine conservation as a high priority. The CBD-linked Caribbean Challenge Initiative (CCI) to 'effectively conserve and manage at least 20 percent of the marine and coastal environment by 2020' has brought fisheries into close contact with biodiversity conservation and coastal management in several places. However, the fishing industry is often not well represented or fully involved in decisions that affect fisheries. Project Outcomes 1.1, 2.1, 2.2, 2.3, 3.1 and 3.2 all support the target countries in meeting obligations under this agreement to ensure the conservation of biological diversity and the sustainable use of its components.

The FAO Code of Conduct for Responsible Fisheries 1995 (CCRF)[4] was adopted by FAO in October 1995 by 80 countries as a voluntary instrument to promote principles and international standards of behaviour for sustainable and responsible fishing and aquaculture on a global scale. It seeks to establish: (i) principles for responsible fishing and fisheries activities, taking into account all their relevant biological, technological, economic, social, environmental and commercial aspects; (ii) policies for the conservation of fisheries resources and fisheries management; (iii) fisheries for food security; (iv) facilitation of the legal and institutional framework for sustainable fisheries; (v) the protection of living aquatic resources and their environments; and (vi) the trade of fishery products. The CCRF calls on States to adopt measures to minimize catch of non-target species, waste, and discards that include, 'to the extent practicable, the development and use of selective, environmentally safe and cost-effective fishing gear and techniques'. In addition, it calls for the involvement of all stakeholders and emphasizes the need for a participatory approach in the decision-making process and calls for an ecosystem-based approach to fisheries management. The CCRF calls for RFBs to play a role in collaborating in the implementation of the objectives and principles of the CCRF. National institutions have a key role to play as the CCRF can only be effectively achieved when governments incorporate their principles and goals into their national fishery policies and legislation. The principles of the CCRF appear within national policies and plans to different extents in the NBSLME sub-region, such as through FMPs, as well as the regionally binding CCCFP. Project Outcomes 1.1, 2.1, 2.2, 2.3, 3.1 and 3.2 all support the target countries in meeting obligations under this agreement with particular regard to Flag State duties, fishing operations and fishing gear selectivity.

The 1995 Conservation and Management of Straddling Fish Stocks and Highly Migratory Fish Stocks (1995 UN Fish Stocks Agreement- UNFSA)[5] is a legally binding agreement that complements the UNCLOS and entered into force in 2001. The UNFSA aims to ensure that measures taken for the conservation and management of straddling fish stocks and highly migratory fish stocks in areas under national jurisdiction and in the adjacent high seas are compatible and coherent and that there are effective mechanisms for compliance and enforcement of those measures on the high seas. Project Outcomes 1.1, 2.1, 2.2, 2.3, 3.1 and 3.2 all support the target countries in meeting their obligations under this agreement by contributing to the conservation and management of straddling fish stocks and highly migratory fish stocks.

The 2001 International Plan of Action to Prevent, Deter and Eliminate Illegal, Unreported and Unregulated Fishing (IPOA-IUU)[6] is a voluntary instrument developed within the framework of the CCRF. It seeks to prevent, deter and eliminate IUU fishing by providing States with comprehensive, effective and transparent measures by which to act, including appropriate regional fisheries management organizations. Essentially, it encourages countries to implement international fisheries instruments in their NPOA-IUU. National level activities to address IUU fishing vary. For instance, in Trinidad and Tobago an Action Plan to address IUU Fishing in the Ports and Waters under the Jurisdiction of Trinidad and Tobago has been developed and is being implemented under a Development Programme Project, whereas Suriname has no national plan of action for IUU. Outcomes 2.1, 2.2 and 2.3 support the target countries in meeting their obligations under this agreement to prevent, deter and eliminate IUU fishing, and project Outcome 1.1 supports better fisheries data to inform decision-making on addressing IUU.

The 2009 FAO Agreement on Port State Measures to Prevent, Deter and Eliminate IUU Fishing (PSMA)[7] aims to prevent IUU-caught fish from entering international markets through implementation of harmonized measures by countries and through regional fisheries management organizations (RFMOs) and focuses on IUU through implementing robust port state measures. It aims to enhance regional and international cooperation and block the flow of IUU-caught fish into national and international markets. In 2014 a WECAFC workshop on the PSMA was conducted to focus on its implementation from a legal and policy, institutional and capacity development, and operations point of view. Many opportunities for regional cooperation to implement port state measures were addressed. FAO/WECAFC continues to support implementation of the PSMA through national level training in each of the countries that acceded to the Agreement. Of the three participating countries in the project, two - Guyana and Trinidad and Tobago - are Parties to the Agreement. Outcomes 1.1, 2.2 and 2.3 support the target countries in meeting their obligations under this Agreement by improving overall levels on fisheries data collection and MCS, which are vital components of risk assessment in determining where to target port inspection resources.

The 1993 FAO Agreement to Promote Compliance with International Conservation and Management Measures by Fishing Vessels on the High Seas (1993 FAO Compliance Agreement)[8], addresses the responsibilities of Flag States and seeks to stop vessels that are flagged by States that are not a member of a RFMO from fishing in contravention with the conservation measures taken by the RFMO. Outcomes 2.2 and 2.3 support the target countries in contributing to their obligations under this agreement by facilitating transposing of conservation measures into national legislation and related MCS activities required to monitor implementation.

The 2014 Voluntary Guidelines for Securing Sustainable Small-scale Fisheries in the Context of Food Security and Poverty Eradication[9] are complementary to the CCRF and seek to enhance the contribution of small-scale fisheries to global food security and nutrition. They seek to support responsible fisheries and sustainable social and economic development, with an emphasis on small-scale fishers and fish workers, including vulnerable and marginalized groups. Caribbean fisherfolk have been engaged in promoting and implementing the SSF Guidelines and have advocated for a protocol to incorporate them in the CCCFP. Outcomes 1.1, 2.1, 2.2, 2.3, 3.1, 3.2 and 4.1 all support and promote the target countries in meeting their obligations under this agreement by contributing to support responsible fisheries and sustainable social and economic development.

The project also responds to a recent report from the High Level Panel for a Sustainable Ocean Economy on the science-based priorities for post-COVID-19 recovery. The project specifically addresses the call to 'invest in coastal and marine ecosystem restoration and protection'. More generally the project responds to all five 'areas of transformation' - ocean health, ocean wealth, ocean equity, ocean knowledge and ocean finance. It also contributes to the ambitions of the UN Decade of Ocean Science for Sustainable Development, as well as the UN Decade of Ecosystem Restoration (2021-2030). Outcomes 1.1, 2.1, 2.2, 2.3, 3.1, 3.2 and 4.1 all support the target countries in meeting their obligations under this agreement by contributing to investment in coastal and marine ecosystem restoration and protection.

The Sustainable Development Goals (SDGs) were adopted by the United Nations in 2015 as a universal call to action to end poverty, protect the planet, and ensure that by 2030 all people enjoy peace and prosperity. EAF4SG project outcomes 1.1, 2.1, 2.2, 2.3, 3.1, 3.2 and 4.1 all support the target countries to meet obligations of several SDGs in particular with regard to SDG 14 (Conserve and sustainably use the oceans, seas and marine resources for sustainable development), Target 14.2 to sustainably manage and protect marine and coastal ecosystems and Target 14.4 to effectively regulate harvesting and end overfishing, illegal, unreported and unregulated fishing and destructive fishing practices.

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[1] <http://www.fao.org/fi/static-media/MeetingDocuments/WECAFC/SAG2019/3.pdf>

[2] UNCLOS - [http://www.un.org/depts/los/convention\\_agreements/texts/unclos/unclos\\_e.pdf](http://www.un.org/depts/los/convention_agreements/texts/unclos/unclos_e.pdf)

[3] CBD - <https://www.cbd.int/doc/legal/cbd-en.pdf>

[4] Code of Conduct for Responsible Fisheries - <http://www.fao.org/3/a-v9878e.pdf>

[5] UN Fish Stocks Agreement - [http://www.un.org/depts/los/convention\\_agreements/texts/fish\\_stocks\\_agreement/CONF164\\_37.htm](http://www.un.org/depts/los/convention_agreements/texts/fish_stocks_agreement/CONF164_37.htm)

[6] IPOA-IUU - <ftp://ftp.fao.org/docrep/fao/012/y1224e/y1224e00.pdf>

[7] PSMA - [http://www.fao.org/fileadmin/user\\_upload/legal/docs/2\\_037t-e.pdf](http://www.fao.org/fileadmin/user_upload/legal/docs/2_037t-e.pdf)

[8] Compliance Agreement - <http://www.fao.org/docrep/meeting/003/x3130m/X3130E00.htm>

[9] SSF Guidelines - <http://www.fao.org/3/a-i4356e.pdf>

## **8. Knowledge Management**

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

Knowledge Management (KM) is an integral part of the project, essential for generating awareness, promoting learning and continuous improvement (linked to project M&E activities), generating content for up-scaling of project achievements, lessons and good practices, strengthening institutional memory, and supporting stakeholder engagement on key issues such as ecosystem-based fisheries management in the Caribbean. The use of knowledge to strengthen capacity is seen as particularly critical to the project's success. Consequently, the project has dedicated KM activities under Component 4 but will use KM to support capacity building and training actions under all the components. A core element of Component 4 will be the development of a Knowledge Management and Communications (KMC) Plan that will direct the project's knowledge generation, lesson learning, information storage and sharing/exchange, and awareness-raising activities with clear identification of roles and responsibilities, deliverables, resources and timing (what, how, when, who and with what resources). The project's aims to promote lessons learned in EAF adoption and implementation to a wide range of GEF-eligible countries in the NBSLME and in other LMEs, and a broader dissemination of experience and lessons learnt generated by the project will be pursued through engaging national and regional technical and educational institutions, and regionally and internationally through South-South cooperation mechanisms. Consequently, the project's KM approach will place particular emphasis on stakeholder engagement and the KMC Plan will be linked to the project's Stakeholder Engagement Strategy and Plan that ensures robust information dissemination and exchange to increase awareness and engagement on the topics of EAF in the public domain.

The project will benefit from a broad range of both innovative and established KM services, products, and expertise provided by FAO. These will be available through FAO co-financing, offering support over the entire data cycle including data collection, collation and reporting including on catch statistics and fisheries management information, the adoption of EAF practices data analytics, generation of statistics, and indicator dashboards. This will include the new FAO Calipso system[1] in support of national integrated fisheries statistics and management information, which is already deployed in Trinidad and Tobago, Suriname, Grenada and Dominica. Also relevant is the Western Central Atlantic Fisheries Information System (WECAFIS)[2], which was recently endorsed by WECAFC Commission and hosts the WECAFC

regional database supporting the data needs of the WECAFC Working Groups (WECAFIS is powered by a mix of iMarine Fisheries Atlas and FAO/NFI geospatial infrastructure). The project will also link to, and have access to support from, the Fisheries and Resources Monitoring System (FIRMS)[3] which enables RFBs and their Members to submit and disseminate peer reviewed information on status and trends of stocks and fisheries, and more specifically its WECAFC subset[4]; the EAF toolbox[5]; and the Aquatic Sciences and Fisheries Abstracts (ASFA)[6] database and its new OpenASFA facet operated under the ASFA Partnership, which provides operational support to improve the overall publications management of partner institutions? libraries with a focus on properly documenting and disseminating their grey literature and datasets.

Other KM systems that will be examined by the project include the Global Record of Stocks and Fisheries (GRSF)[7] that can test and promote the use of Unique Identifiers of Stocks and Fisheries for ecolabelling traceability and the iMarine-BlueCloud SDG14.4.1 VRE that offers an online training environment for stock assessment practitioners.[8] A decision on the most appropriate systems to adopt (and develop and modify) will be taken within the first 6 months of project implementation.

The EAF4SG project will help foster regional collaboration and partnerships on fisheries data management (e.g. with UWI, and CRFM) and to consolidate the regional component of a global business model for Calipseo aiming at offering sustainable post-project help desk and support services to the countries. It also offers the opportunity to enrich the above tools, such as: for the development of Calipseo modules on bycatch and discards, or socio-economics, or a Mobile Application module to enable data collection from the field; through tailoring features of WECAFIS for the project; and the development of specific features of OpenASFA for the Caribbean publication and dissemination workflows.

Online/virtual training and information exchange are expected to play a significant role in the project?s KM approach and will be supported through the creation of a dedicated digital project KM platform (part of the project website), linked to other relevant national, regional and global platforms, including existing FAO, CRFM, WECAFC, CARICOM and CLME+ websites. The project will also be able to draw on a broad range of innovative KM services provided by FAO to connect local data platforms to global data infrastructures to contribute to data standardization and harmonization, including on effective EAF management measures, capacity development for SFF, and fisheries value chains, and ensure a broad dissemination of knowledge for informed decision-making. In addition, the FAO eLearning Academy will support the project?s remote learning activities. FAO is particularly well capacitated for this effort with alignments to numerous fisheries management organizations globally. These formal and informal links, including the FAO FIRMS partnership, provide a platform to discuss and design locally adapted KM services.

The project will be an active partner of IW:LEARN, LME:LEARN and the CLME+ HUB to further effective dissemination of knowledge and project successes and lessons learned in EAF adoption and implementation to other countries operating fisheries in the NBSLME, the wider Caribbean and other LMEs, as well as the wider IW community. The project will also draw on the profound expertise and experiences available via these platforms especially participating in exchanges on topics related to EAF, SSF development, and marine conservation issues at the national and regional levels, and be an active learner from past experiences in other regions by participating in trainings, workshops, IW Conferences (by the project management unit and government representatives from each participating country) and any

other exchange formats pertaining to EAF at the national and regional levels. It will further contribute to GEF Experience Notes, Results Notes, Good Practice Briefs and other relevant knowledge products during project implementation. A minimum of 1% of the GEF IW grant financing will be ring-fenced to support participation in IW:LEARN activities, which will be identified by a specific budget line within the project budget. To ensure effective and impactful delivery of knowledge products through IW:LEARN, the project will be able to draw upon the experiences and lessons learned from engagement in IW:LEARN by previous FAO-GEF projects (e.g. REBYC II LAC project and GEF-5 Common Oceans ABNJ programme), as well as active FAO-GEF projects (e.g. GEF-7 Common Oceans ABNJ programme).

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[1] The Calipseo webpage is currently under development, but see <https://www.fao.org/wecafc/data/data-tools/en/>

[2] The WECAFIS map viewer is not yet public, but see <https://www.fao.org/wecafc/data/data-viewer/en/>

[3] <http://firms.fao.org/>. As an example, FORMS FIRMS has also released the FIRMS Global Tuna Atlas <https://www.fao.org/figis/geoserver/tunaatlas/> with catch statistics of tuna and tuna-like species around the world

[4] This can be accessed through <http://firms.fao.org/firms/search/institution/wecafc/en> as well as the WECAFIS map viewer (the prototype can be found at [WECAFIS-FIRMS data viewer \(d4science.org\)](http://www.d4science.org/wecafc-firms-data-viewer))

[5] <https://www.fao.org/fishery/en/eaf-net/toolbox>

[6] The ASFA database is the premier reference in the field of fisheries, aquatic and marine sciences. It is produced under the auspices of the ASFA Partnership, a network that includes 4 United Nations sponsoring agencies and more than 50 international and national partners as well as further 45 collaborating institutions and the ASFA Publisher. FAO provides the Secretariat for the ASFA Partnership.

[7] The Global Record of Stocks and Fisheries (GRSF) is an interactive web-based system that assigns unique identifiers to stocks and fisheries for an improved and comprehensive stock status data coverage, in support to the monitoring of the status and trends of fishery resources. GRSF also aims to support the United Nations Sustainable Development Goals (SDG) Indicator 14.4.1 'Proportion of fish stocks within biologically sustainable levels', and a tool for traceability and ecolabelling schemes with the aim to connect seafood industries and consumers to the scientific evidence of the status of stocks and fisheries. See GRSF catalogue at <https://i-marine.d4science.org/web/grsf/data-catalogue> and the map viewer at <https://i-marine.d4science.org/web/grsf/map-viewer>

[8] This includes SDG14.4.1 training workshops (700+ users registered) and is used to provide help desk support to users, including on data limited methods stock assessment algorithms

## 9. Monitoring and Evaluation

### Describe the budgeted M and E plan

The project results, as outlined in the project results framework (Annex A1), will be monitored regularly, reported annually and assessed during project implementation to ensure the project effectively achieves these results. Monitoring and evaluation (M&E) activities will follow FAO's and GEF's policies and

guidelines for monitoring and evaluation. The M&E system will also facilitate learning, replication of the project's results and lessons, which will feed the project's knowledge management strategy.

### Monitoring Arrangements

Project oversight and supervision will be carried out by the BH with the support of the PTF, LTO and FLO and relevant technical units in FAO Headquarters (HQ). Oversight will ensure that: (i) project outputs are produced in accordance with the project results framework and leading to the achievement of project outcomes; (ii) project outcomes are leading to the achievement of the project objective; (iii) risks are continuously identified and monitored and appropriate mitigation strategies are applied; and (iv) agreed project global environmental benefits are being delivered.

The FAO-GEF Coordination Unit and HQ Technical Units will provide oversight of GEF financed activities, outputs and outcomes largely through the annual PIRs, periodic backstopping and supervision missions.

Day-to-day project monitoring will be carried out by the PMU. Project performance will be monitored using the project results matrix, including indicators (baseline and targets) and annual work plans and budgets. In inception phase, the results matrix will be reviewed to finalize the identification of i) outputs; ii) indicators; iii) targets; and iv) any missing baseline information.

A detailed M&E plan, which builds on the results matrix and defines specific requirements for each indicator (data collection methods, frequency, responsibilities for data collection and analysis, etc.) will also be developed during project inception by the PMU M&E specialist. The project's M&E budgeted workplan is presented in Table 6.

**Table 6. M&E activities, responsible parties, budget and timeframe.**

GEF requirements in the M&E plan	Responsible parties	Estimated cost (USD) attributable to GEF funds	Timeframe
Inception workshop (combined with 1 <sup>st</sup> PSC meeting)	Regional Project Coordinator (RPC), M&E Expert, National Technical Coordinators (NTCs), Project Steering Committee (PSC), UWI with the support of the FAO LTO and FAO-GEF Coordinating Unit	USD 20,000	Within 3 months of CEO approval
Project inception report	RPC, M&E Expert, PSC with the approval of the LTO and FAO Mx Budget Holder (BH)	Time of M&E Expert, RPC, NTCs, and FAO Technical Units	Immediately after the kick-off workshop

GEF requirements in the M&E plan	Responsible parties	Estimated cost (USD) attributable to GEF funds	Timeframe
M&E planning	M&E Expert, RPC, NTCs, UWI ? FFA (Bursary), relevant FAO technical units, beneficiaries	Regional Project Coordinator: total USD 9,000  Time of M&E Expert, Gender Expert, and FAO Technical Units, and UWI-FFA (Bursary) inputs (as needed) covered by in-kind co-financing	During the first six months of project implementation
Build the capacity of the identified beneficiaries in terms of skills, knowledge and experience of M&E	M&E Expert, RPC, NTCs, beneficiaries	Time of M&E Expert, RPC, NTCs; and time of FAO Technical Units (principally FAO-GEF Coordination Unit M&R team) as in-kind co-financing	Twice (1st year and 3rd year) during the project lifetime (training of trainers and data-collection)
Measurement of project's core indicators and results framework indicators (outcome, progress and performance indicators, GEF-7 core indicators) including baseline data collection where needed and monitoring of socio-environmental and gender related risks	M&E Expert, RPC, NTCs, Gender Expert, project partners, local organizations	Time of M&E Expert, RPC, NTCs, Gender Expert, with input of participating stakeholders covered by co-financing.	Ongoing, with at least one quarterly review by M&E expert
Collecting and analyzing data on project delivery, performance and implementation	M&E Expert, RPC, NTCs, Fisheries Agencies focal points	Time of M&E Expert, RPC and NTCs, with time of Fisheries Agencies as in-kind co-financing	Twice during the project lifetime (in PY2 and PY4)
Project Progress Reports (PPR)	RPC, NTCs, M&E expert, with input from stakeholders and other participating institutions	Time of M&E Expert, RPC, NTCs, and FAO Technical Units	Biannual
Annual Project Implementation Review Reports (PIR)	Prepared by RPC with support of M&E Expert, FAO LTO and FAO BH, and inputs from NTCs. The FAO-GEF Coordination Unit clears and submits the PIR to the GEF Secretariat.	FAO staff time funded by agency fee, and RPC, NTCs and M&E Expert through PMU duties, and UWI-FFA (Bursary) inputs (as needed) covered by in-kind co-financing	Annually, typically between June and July

GEF requirements in the M&E plan	Responsible parties	Estimated cost (USD) attributable to GEF funds	Timeframe
Project Steering Committee Meetings	RPC, NTCs, M&E expert	Face-to-face (1st and 4th (final) meetings) and/or virtual meetings (2nd and 3rd meetings). Estimated PSC meeting travel and associated costs = USD 20,000 (1st PSC meeting covered under 'Inception Workshop' above). Cost 4th PSC ? USD 20,000. Total USD 40,000	Annually
Terminal Evaluation (TE)	FAO Evaluation Office (OED) and Independent Evaluation Consultants. The Evaluation Specialist will manage the decentralized independent TE of this project under the guidance and support of the OED.	External consultancy, including travel costs; total USD 45,000.  FAO staff time (including OED with FAO-GEF Coordination Unit input) and travel costs will be financed from GEF fees	To be launched six months before final review meeting
Terminal report	RPC, FAOSLC as BH (with the support of the FAO LTO and the FAO-GEF Unit); M&E Expert, with inputs from UWI-FFA(Bursary)	RPC and FAO staff time, with UWI-FFA as in-kind co-financing. Total USD 7,000	Two months before the project completion date
<b>TOTAL COST</b>		<b>USD 101,000</b>	

### Monitoring and Reporting

In compliance with FAO and GEF M&E policies and requirements, the PMU, in consultation with the PSC and the PTF, will prepare the following i) Project inception report; (ii) Annual Work Plan and Budget (AWP/B); (iii) Project Progress Reports (PPRs); (iv) annual Project Implementation Review (PIR); (v) Technical Reports; (vi) co-financing reports; and (vii) Terminal Report. In addition, the Core Indicators included in Annex F will be used to monitor GEBs and updated regularly by the PMU.

Project Inception Report. A project inception workshop will be held within two months of project start date and signature of relevant agreements with partners. During this workshop the following will be reviewed and agreed:

- the proposed implementation arrangement, the roles and responsibilities of each stakeholder and project partners;
- an update of any changed external conditions that may affect project implementation;
- the results framework, the SMART indicators and targets, the means of verification, and monitoring plan;
- the responsibilities for monitoring the various project plans and strategies, including the risk matrix, the Environmental and Social safeguards and Management Plan, the gender strategy, the knowledge management strategy, and other relevant strategies;
- finalize the preparation of the first year AWP/B, the financial reporting and audit procedures;
- schedule the PSC meetings;
- prepare a detailed first year AWP/B,

The PMU will draft the inception report based on the agreement reached during the workshop and circulate among PSC members, BH, LTO and FLO for review within one month. The final report will be cleared by the FAO BH, LTO and the FAO GEF Coordination Unit and uploaded in FAO's Field Program Management Information System (FPMIS) by the BH.

Results-based Annual Work Plan and Budget (AWP/B). The draft of the first AWP/B will be prepared by the PMU in consultation with the FAO Project Task Force and reviewed at the project Inception Workshop. The Inception Workshop inputs will be incorporated and subsequently, the PMU will submit a final draft AWP/B to the BH within two weeks after the workshop. For subsequent AWP/B, the PMU will organize a project progress review and planning meeting for its progress review and adaptive management. Once PSC comments have been incorporated, the PMU will submit the AWP/B to the BH for non-objection, LTO and the FAO-GEF Coordination Unit for comments and for clearance by BH and LTO prior to uploading in FPMIS by the BH. The AWP/B must be linked to the project's Results Framework indicators to ensure that the project's work and activities are contributing to the achievement of the indicators. The AWP/B should include detailed activities to be implemented to achieve the project outputs and output targets and divided into monthly timeframes and targets and milestone dates for output indicators to be achieved during the year. A detailed project budget for the activities to be implemented during the year should also be included together with all monitoring and supervision activities required during the year. The AWP/B should be approved by the PSC, LTO, BH and the FAO-GEF Coordination Unit, and uploaded on the FPMIS by the BH.

**Project Progress Reports (PPR):** The PPRs are used to identify constraints, problems or bottlenecks that impede timely implementation and to take appropriate remedial action. PPRs will be prepared based on the systematic monitoring of output and outcome indicators identified in the Project Results Framework (Annex A1), AWP/B and M&E Plan. Each semester the Regional Project Coordinator (RPC) will prepare a draft PPR and will collect and consolidate any comments from the FAO PTF. The RPC will submit the final PPRs to the FAO Sub-regional Office in Barbados every six months, prior to 31 July (covering the period between January and June) and before 31 December (covering the period between July and December). The July-December report should be accompanied by the updated AWP/B for the following Project Year (PY) for review and no-objection by the FAO PTF. The BH has the responsibility to coordinate the preparation and finalization of the PPR, in consultation with the PMU, LTO and the FLO. After LTO, BH and FLO clearance, the FLO will ensure that project progress reports are uploaded in FPMIS in a timely manner.

**Annual Project Implementation Report (PIR):** The PIR is a key self-assessment tool used by GEF Agencies for reporting every year on project implementation status. It helps to assess progress toward achieving the project objective and implementation progress and challenges, risks and actions that need to

be taken. Under the lead of the BH, the RPC will prepare a consolidated annual PIR report covering the period July (the previous year) through June (current year) for each year of implementation, in collaboration with national project partners (including the GEF OFP), the LTO and the FLO. The RPC will ensure that the indicators included in the project results framework are monitored annually in advance of the PIR submission and report these results in the draft PIR.

BH will be responsible for consolidating and submitting the PIR report to the FAO-GEF Coordination Unit for review by the date specified each year. FAO-GEF FLO will review PIRs and discuss the progress reported with BHs and LTOs as required. The BH will submit the final version of the PIR to the FAO-GEF Coordination Unit for final approval. The FAO-GEF Coordination Unit will then submit the PIR(s) to the GEF Secretariat as part of the Annual Monitoring Review of the FAO-GEF portfolio

**Technical Reports:** Technical reports will be prepared as part of project outputs and to document and share project outcomes and lessons learned. The LTO will be responsible for ensuring appropriate technical review and clearance of technical reports. Copies of the technical reports will be distributed to project partners and the PSC as appropriate.

**Co-financing Reports:** The PMU will be responsible for tracking co-financing materialized against the confirmed amounts at project approval and reporting. The co-financing report, which covers the GEF fiscal year 1 July through 30 June, is to be submitted on or before 31 July and will be incorporated into the annual PIR. The co-financing report needs to include the activities that were financed by the contribution of the partners.

Tracking and reporting on results across the GEF 7 core indicators and sub-indicators: As of July 1, 2018, the GEF Secretariat requires FAO as a GEF Agency, in collaboration with recipient country governments, executing partners and other stakeholders, to provide indicative, expected results across applicable core indicators and sub-indicators for all new GEF projects submitted for Approval. During the approval process of the EAF4SG project, expected results against the relevant indicators and sub-indicators have been provided to the GEF Secretariat. Throughout the implementation period of the project, the PMU is required to track the project's progress in achieving these results across applicable core indicators and sub-indicators. At project completion stage, the project team in consultation with the PTF and the FAO-GEF Coordination Unit is required to report achieved results against the core indicators and sub-indicators used at CEO Endorsement/ Approval.

**Terminal Report:** Within two months before the end date of the project, and one month before the Final Evaluation, the PMU will submit to FAO-GEF Coordination Unit a draft Terminal Report. The main purpose of the Terminal Report is to give guidance at ministerial or senior government level on the policy decisions required for the follow-up of the project, and to provide the donor with information on how the funds were utilized. The Terminal Report is accordingly a concise account of the main products, results, conclusions and recommendations of the project. The target readership consists of persons who are not necessarily technical specialists but who need to understand the policy implications of technical findings and needs for ensuring sustainability of project results.

### **Terminal Evaluation**

The GEF evaluation policy foresees that all Medium and Full sized projects require a separate terminal evaluation (TE). Such evaluation provides: i) accountability on results, processes, and performance ii) recommendations to improve the sustainability of the results achieved and iii) lessons learned as an evidence-base for decision-making to be shared with all stakeholders (government, execution agency, other national partners, the GEF and FAO) to improve the performance of future projects.

The BH will be responsible to contact the Regional Evaluation Specialist (RES) within six months prior to the actual completion date (NTE date). The RES will manage the decentralized independent terminal evaluation of this project under the guidance and support of FAO Office of Evaluation (OED) and will be responsible for quality assurance. Independent external evaluators will conduct the terminal evaluation of the project taking into account the GEF Guidelines for GEF Agencies in Conducting Terminal Evaluation

for Full-sized Projects?. OED will provide technical assistance throughout the evaluation process, via the OED Decentralized Evaluation Support team ? in particular it will also give quality assurance feedback on: selection of the external evaluators, Terms of Reference of the evaluation, draft and final report. OED will be responsible for the quality assessment of the terminal evaluation report, including the GEF ratings.

After the completion of the terminal evaluation, the BH will be responsible to prepare the management response to the evaluation within 4 weeks and share it with national partners, GEF OFP, OED and the FAO-GEF Coordination Unit. The BH will also send the updated core indicators used during the TE to the FAO-GEF Coordination Unit for their submission to the GEF Secretariat.

### **Disclosure**

The project will ensure transparency in the preparation, conduct, reporting and evaluation of its activities. This includes full disclosure of all non-confidential information, and consultation with major groups and representatives of local communities. The disclosure of information shall be ensured through posting on websites and dissemination of findings through knowledge products and events. Project reports will be broadly and freely shared, and findings and lessons learned made available.

### **10. Benefits**

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

The NBSLME region covers 1.1 million km<sup>2</sup> of ocean that supports food security, livelihoods and socioeconomic development in this region and beyond. The highly productive North Brazil Shelf supports important fisheries and has moderate levels of biodiversity characterized by an important degree of endemism. According to the CLME+ Transboundary Diagnostic Analysis (TDA), unsustainable fisheries, habitat degradation, and pollution are the three most important transboundary issues impacting the societal benefits obtained from the region's marine ecosystems. Root causes of these transboundary issues include weak governance; limited human and financial resources; inadequate knowledge; inadequate public awareness and participation; inadequate consideration of the value of ecosystem goods and services; population and cultural pressures; and trade and external dependency. Addressing these root causes requires strengthening regional cooperation, institutional reform, and capacity building at the regional, national and local levels.

By enhancing capacity to adopt and implement EAF in the shrimp and groundfish fisheries of the NBSLME, the project will contribute to addressing these root causes. National and local socioeconomic benefits of the project will be realized through activities that are aimed at building capacities and strengthening the institutional environment for participatory governance and sustainable livelihoods, which are key aspects of EAF.

The ecosystem approach recognizes that humans, with their varied cultural and social needs, are an integral part of many ecosystems. As such, EAF deals with the ecological aspects of fisheries management and the social and economic implications (good and bad) of management. Thus, implicit in promoting EAF is ensuring a balance between the ecological benefits derived from the sustainable management of fisheries resources and the economic and social benefits derived by those dependent on fisheries resources for food, livelihood and employment. In this regard, the project is expected to benefit 12,000 persons (8,000 males

and 4,000 females) and at least 20 fishing communities (the majority of which are rural) involved in the shrimp and groundfish fisheries in the three project countries[1].

The specific socioeconomic benefits of the project at the national and local levels include:

- ? Improved capacity to collect, analyze and utilize socio-economic data to inform the development, implementation and participatory monitoring and evaluation of EAF management plans. (Component 1)
- ? Increased involvement of small scale fisherfolk in decision-making due to improvements in their capacity to represent their interests and the institutionalization of participatory governance mechanisms and co-management arrangements. (Component 2)
- ? Improved resilience of fisherfolk to environmental and economic shocks due to greater diversification of livelihood opportunities within sustainable fisheries value chains. (Component 3)
- ? Strengthened social resilience to climate change of fishing communities, including of women, through building capacity in business skills and creation of livelihood opportunities within sustainable fisheries value chains. (Component 3)
- ? Improved income, at national and local levels from sustainable fisheries value chain development and development of existing and potential markets. (Component 3)
- ? Reduced food waste due to sustainable value chain development of underutilised fish species. (Component 3)
- ? Improved support for private and public sector investment in sustainable fisheries value chain development and sustainable fishing practices. (Component 3)
- ? Improved status of women in fisheries through gender mainstreaming in fisheries management plans and creation of opportunities and capacity building along sustainable fisheries value chains. (Component 2, Component 3).

The project will also contribute to the social and economic impact of future projects and initiatives through the documentation and dissemination of lessons learned and best practices that can be used for replication and up-scaling in other communities, countries and regions (Component 4).

In addition to the CLME+ SAP, the national and local socioeconomic benefits realized under the project will contribute to the achievement of societal and environmental goals and objectives outlined in a number of global and regional policy instruments, such as the CCCFP; Voluntary Guidelines for Securing Sustainable Small-Scale Fisheries in the Context of Food Security and Poverty Eradication (SSF Guidelines) and SDGs 1 (No poverty), 5 (Gender equality), 8 (Decent work and economic growth), 9 (Industry, innovation, and infrastructure), 12 (Responsible consumption and production), and 14 (Life below water).

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[1] Based on available CRFM statistical data on beneficiary countries, figures refer to aggregated data for the harvesting and post-processing sectors (Guyana: 8200 harvest, 5000 process; Suriname: 4500 harvest, 3000 process; Trinidad and Tobago: 5500 harvest, 1225 process). To estimate disaggregated values for M/F, we used 90% are males for harvesting, 35% are males for post-processing. The core indicator target is based on approximately 50% of the total number of men and women involved in the relevant fisheries.

## 11. Environmental and Social Safeguard (ESS) Risks

Provide information on the identified environmental and social risks and potential impacts associated with the project/program based on your organization's ESS systems and procedures

**Overall Project/Program Risk Classification \***

PIF	CEO Endorsement/Approval	MTR	TE
Low	Low		

**Measures to address identified risks and impacts**

Elaborate on the types and risk classifications/ratings of any identified environmental and social risks and impacts (considering the GEF ESS Minimum Standards) and any measures undertaken as well as planned management measures to address these risks during implementation.

**Supporting Documents**

Upload available ESS supporting documents.

Title	Module	Submitted
FAO ES Risk Identification Screening Checklist-EAf4SG	Project PIF ESS	
FAO ES Risk Certificate	Project PIF ESS	

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

Results chain	Indicators	Baseline	Mid-term target	Final target	Means of verification	Assumptions	Responsible for data collection
<p><b>Objective:</b></p> <p><i>To advance adoption and implementation of the Ecosystem Approach to Fisheries (EAF) in the shrimp</i></p>	<p><i>GEF Core Indicator 5:</i></p> <p><i>Area of marine habitat under improved EAF practices (excluding protected areas) (Hectares)</i></p>	0	2,000,0000	5,982,900	Fisheries management plans	Fisheries management is updated with improved EAF measures in project lifetime and continue to be applied	Fisheries Departments and project staff

Results chain	Indicators	Baseline	Mid-term target	Final target	Means of verification	Assumptions	Responsible for data collection
<i>and groundfish fisheries in the North Brazil Shelf Large Marine Ecosystem, supporting country implementation of the CLME+ SAP</i>	<i>GEF Core Indicator 7: Number of shared water ecosystems (fresh or marine) under new or improved cooperative management</i>	0	0	1	Adopted Conservation and Management Measures  Fisheries Management Plans	Government fisheries agencies, fishing communities and private sector fishery groups are willing to engage in co-management of fisheries and marine resources.  Fisheries Management Plans can be updated and measures under implementation within project lifetime and will continue to be applied.	Fisheries Departments and project staff

Results chain	Indicators	Baseline	Mid-term target	Final target	Means of verification	Assumptions	Responsible for data collection
	<i>GEF Core Indicator 8: Globally over-exploited marine fisheries moved to more sustainable levels (metric tons)</i>	0	5,000	20,000	Stock assessment reports  Adopted Conservation and Management Measures  Fisheries Management Plans	Stakeholders and fisheries departments support development of stock assessments and adoption and implementation of CMMs and FMPs	Fisheries Departments and project staff

Results chain	Indicators	Baseline	Mid-term target	Final target	Means of verification	Assumptions	Responsible for data collection
	<i>GEF Core Indicator 11: Number of direct beneficiaries disaggregated by gender as co-benefit of GEF investment</i>	0	2,400 (800 females, 1,600 males)	12,000 (4,000 females, 8,000 males)	Fisheries Management Plans  Project capacity building reports  Fisheries agencies reports	Stakeholders and fisheries departments support development, adoption and implementation of FMPs.  Fishers and other stakeholders participate proactively in project capacity building activities  No cultural, social or economic restrictions to women participating fully in project activities	Fisheries Departments and project staff

Results chain	Indicators	Baseline	Mid-term target	Final target	Means of verification	Assumptions	Responsible for data collection
	<i>Indicator 1: Improved scores of FAO EAF Implementation Monitoring Tool (IMT) for target shrimp and groundfish fisheries with</i>	Baseline (through expert and stakeholder) for the EAF Monitoring tool will be undertaken during first 9 months of project implementation	All countries show improved scores (>25% of all attributes) in all 3 main components of EAF (ability to achieve, ecological well-being and human well-being)	All countries show improved scores (>50% of attributes) in all 3 main components of EAF (ability to achieve, ecological well-being and human well-being)	EAF IMT Country Assessment Reports for baseline assessment and end of project assessment Baseline and final assessments based on consultation with experts and key stakeholders. Mid-term assessment based on expert knowledge.	State agencies and other stakeholders are willing to invest time and effort in applying EAF IMT at the national level	Fisheries Departments
<b>Component 1:</b> Enhancing or developing national and sub-regional EAF-based fisheries management information systems, supporting countries implementation of CLME+ SAP priorities							

Results chain	Indicators	Baseline	Mid-term target	Final target	Means of verification	Assumptions	Responsible for data collection
<p><u>Outcome 1.1:</u></p> <p>Improved national and sub-regional data and data management systems supporting EAF fisheries management</p>	<p><i>Outcome indicator 2: Number of countries with information systems (FMIS) hosting information on target fisheries (e.g. on gender disaggregated socio-economic data and SSF, including catch effort, etc) feeding into EAF management decisions</i></p>	<p>Current FMIS lack data on key areas required for effective EAF management and currently none of the countries has a completely operational FMIS</p> <p>None of the countries routinely collects socio-economic data</p>	1 country	3 countries	<p>Technical reports from supervising consultancies</p> <p>FMIS analysis reports</p> <p>Reports on management decisions by fisheries management decisions</p> <p>Data reports generated by countries</p> <p>Report on data sharing pilot activities at subregional level</p>	<p>Countries are able to implement recommendations for improvement of national FMIS and there is a continued commitment by fisheries divisions and stakeholders, especially fishers and fish workers for development of FMIS</p> <p>Fisheries departments and other relevant institutions are able to continue conducting surveys and incorporate socio-economic data analysis into</p>	Fisheries Departments

Results chain	Indicators	Baseline	Mid-term target	Final target	Means of verification	Assumptions	Responsible for data collection
						routine activities	

Results chain	Indicators	Baseline	Mid-term target	Final target	Means of verification	Assumptions	Responsible for data collection
	<i>Indicator 3: Increase in number of updated stock assessments for target species prepared in support of national and subregional management plans</i>	2 formal assessments for Atlantic seabob	6 (At least 2 stocks assessments per country) and 6 Management recommendations (2 per country) based on stock assessment results	12 (At least 4 stocks assessments per country)  3 stock assessments completed at the subregional level  12 management recommendations (4 per country) based on stock assessment results  3 harmonized subregional management recommendations	Stock assessment reports	Data collected for stock assessments at the national level is informative on status of stocks and assessment completed within the time frame  Governments are willing to invest in providing resources to implement the project's capacity building efforts, i.e. resources to undertake stocks assessments  Countries are willing and able to cooperate at the subregional level	Fishes departments and other relevant state institutions

Results chain	Indicators	Baseline	Mid-term target	Final target	Means of verification	Assumptions	Responsible for data collection
						including being able to collect data and conduct stock assessment work at the subregional level	
<p><u>Output 1.1.1:</u> Analysis of existing fisheries management information systems (FMIS) and data in the three target countries and sub-regional level undertaken and recommendations for improvement developed</p> <p><u>Output 1.1.2:</u> Technical capacity for the application of EAF-based fisheries management information systems among key fisheries stakeholders built, including data collection, fisheries statistics, analyses of fisheries data, and interpretation.</p> <p><u>Output 1.1.3:</u> National and sub-regional stock assessments of selected priority species developed with relevant management recommendations</p> <p><u>Output 1.1.4:</u> Fisheries-related socio-economic data for selected fisheries within national EAF-based fisheries management information systems, including value chain data, collected and analyzed</p>							
<p><b>Component 2:</b> Strengthening national and sub-regional governance arrangements for EAF fisheries management, supporting countries implementation of CLME+ SAP priorities</p>							

Results chain	Indicators	Baseline	Mid-term target	Final target	Means of verification	Assumptions	Responsible for data collection
<p><u>Outcome 2.1:</u></p> <p>Strengthened stakeholder engagement in national decision-making for EAF fisheries management</p>	<p><i>Indicator 4: Number multi-stakeholder/multisectoral EAF management NICs</i></p>	<p>T&amp;T ? 0</p> <p>Suriname ? only seabob WG</p> <p>Guyana ? only seabob WG</p>	<p>1 - Suriname ? NIC (Shrimp and Groundfish WG)</p>	<p>3 - NICs in each country are fully operational</p>	<p>Reports of NICs analysis and recommendations, including minutes of meetings (with details of representation and contributions)</p> <p>Enactment by ministries of new terms of reference of NICs where applicable</p>	<p>Countries are willing to strengthen and improve functioning of NICs with increased stakeholder participation for fisheries co-management</p>	

Results chain	Indicators	Baseline	Mid-term target	Final target	Means of verification	Assumptions	Responsible for data collection
-	<i>Indicator 5: Number of FFOs in target communities involved in co-management pilot projects</i>	0 (as no FFOs involved in project) and target communities to be fully defined at inception	Minimum 1 per country	Minimum 2 per country	Capacity building reports  Minutes of community meetings  Project reports on pilot co-management projects	Countries are willing to strengthen and improve stakeholder participation in fisheries co-management  Fisheries stakeholders are motivated to participate in co-management meetings, consultations and related activities	PMU staff
<p><u>Output 2.1.1:</u> National inter-sectoral coordination mechanisms for EAF in three participating countries supported and fully operational</p> <p><u>Output 2.1.2:</u> Capacity of SSF stakeholders from target communities/fisheries to participate in co-management of EAF fisheries assessed and developed</p>							

Results chain	Indicators	Baseline	Mid-term target	Final target	Means of verification	Assumptions	Responsible for data collection
<p><u>Outcome 2.2:</u> Improved EAF management planning and implementation for shared resource management at national and sub-regional levels</p>	<p><i>Indicator 6: Updated Fisheries Management Plans for target fisheries</i></p>	<p>2 seabob managements plans updated in Guyana and Suriname and one national fisheries management plan updated in Suriname</p>	<p>One national fisheries management plan updated for Guyana and one fisheries management plan developed for Trinidad and Tobago</p>	<p>Updated fisheries management plans for Guyana and Suriname and endorsed and operational fisheries management plan for Trinidad and Tobago</p>	<p>Fisheries Management Plans documents endorsed</p>	<p>Political support at ministerial level for endorsement of fisheries management plans</p> <p>Political support for enactment of Fisheries Bill in Trinidad and Tobago</p>	<p>Fisheries Departments</p>
	<p><i>Indicator 7: Number of harmonized management measures have been adopted technical measures for shared resources (e.g. minimum sizes) developed and adopted nationally</i></p>	<p>No harmonized management measures have been adopted</p>	<p>1</p>	<p>2</p>	<p>Project reports</p> <p>Revised national fisheries management plan</p> <p>Updated fisheries regulations</p>	<p>Participating countries will adopt and implement</p>	<p>Fisheries Department</p>

Results chain	Indicators	Baseline	Mid-term target	Final target	Means of verification	Assumptions	Responsible for data collection
	<i>Indicator 8: Number of harmonized sub-regional SG fisheries management recommendations developed as part of updating of sub-regional SG management plan</i>	No harmonized management recommendations have been developed	Identification of main stocks for stock assessment and development of harmonized management measures	Minimum of 3 harmonized sub-regional management recommendations developed	Reports of WECAFC/CRFM/IFREMER/working group on shrimp and groundfish of the North Brazil-Guianas shelf  Reports of stakeholder meetings at national level	Countries are willing to collaborate in the development and implementation of harmonized measures for management of shared stocks, and to jointly endorse recommendations	Fisheries Departments
<p><u>Output 2.2.1:</u> National and sub-regional Fisheries Management Plans updated as part of EAF management cycle.</p> <p><u>Output 2.2.2:</u> Capacity for monitoring of implementation of Fisheries Management Plans for national Shrimp and Groundfish fisheries built.</p> <p><u>Output 2.2.3:</u> Management measures and plans for shared fisheries resources at sub-regional level supported (sub-regional Strategy and Management Plan for Shrimp and Groundfish), developed in participatory manner.</p>							

Results chain	Indicators	Baseline	Mid-term target	Final target	Means of verification	Assumptions	Responsible for data collection
<p><u>Outcome 2.3:</u> Strengthened legal and regulatory frameworks for EAF-focused fisheries management</p>	<p><i>Indicator 9: Number of target fisheries with updated national regulatory frameworks supporting EAF-focused shrimp and groundfish fisheries management</i></p>	<p>There are incomplete national regulatory EAF frameworks for the target fisheries</p>	<p>Recommendations for improving regulatory EAF frameworks for at least 2 target fisheries drafted and shared with stakeholders</p>	<p>5 target fisheries with recommendations incorporated into revised regulatory frameworks supporting EAF-focused shrimp and groundfish fisheries management</p>	<p>Texts of recommendations for improvement of legal frameworks</p> <p>Reports from stakeholder workshop discussions</p> <p>Official texts on adoption of regulatory frameworks</p>	<p>Fisheries agencies and participating governments able to approve updated regulations within the timeframe of the project</p>	<p>Fisheries Department</p>
<p><u>Output 2.3.1:</u> Current national legal and regulatory frameworks for EAF reviewed, particularly in relation to SSF, including for co-management.</p>							
<p><u>Output 2.3.2:</u> Recommendations for improving legal and regulatory frameworks for EAF, e.g. technical measures, CMMs and HCRs, and co-management in particular in relation to SSF, identified, advocated and adopted</p>							
<p><b>Component 3:</b> Encouraging Small Scale Fisheries (SSFs) to adopt more sustainable fishing practices through new business opportunities, supporting the implementation of the CLME+ SAP priorities</p>							

Results chain	Indicators	Baseline	Mid-term target	Final target	Means of verification	Assumptions	Responsible for data collection
<p><u>Outcome 3.1:</u> New gender-sensitive businesses opportunities to promote EAF management developed and available in target SSF communities in target NBSLM E fisheries</p>	<p><i>Indicator 10: Number of new fisheries products piloted in target SSF communities in target fisheries (including opportunities for women, youth and minority groups)</i></p>	0	3	6	Project reports (pilot activity concept and final reports)	There are clear opportunities for new business ventures that can be created through the project and fishers are willing to engage in developing new ventures	Project team
	<p><i>Indicator 11: Number of male and female project beneficiaries with improved skills and knowledge on new businesses opportunities to promote EAF management working in the harvesting and post-harvest sectors</i></p>	0	60 (minimum 33% women)	200 (minimum 33% women)	Project capacity building reports	No social, cultural or financial impediments to women being involved in project activities	Project team

Results chain	Indicators	Baseline	Mid-term target	Final target	Means of verification	Assumptions	Responsible for data collection
<p><u>Output 3.1.1:</u> Gender- sensitive value chain assessments (VCAs) for SSF value chains performed for target species and communities, and business opportunities identified and prioritized.</p> <p><u>Output 3.1.2:</u> Capacity for target fisher folk communities to take advantage of new EAF management related business opportunities identified and built.</p> <p>prioritized</p>							
<p><u>Outcome 3.2:</u> Policy and investment environment supportive of new business opportunities that encourage EAF management in SSF</p>	<p>Indicator 12: Number of new or improved gender-sensitive policies, measures and/or financial instruments (investments, grants, loans) established enabling the transition to EAF-compatible fisheries practices</p>	0	1	3	<p>Copies of published policy statements financial regulations, financial institution (e.g. banks, credit unions) policies, etc.</p>	<p>Consultants will be solicited to develop policies within time frame</p>	<p>Project team with fisheries agencies inputs</p>

Results chain	Indicators	Baseline	Mid-term target	Final target	Means of verification	Assumptions	Responsible for data collection
	Indicator 13: Number of fisher folk organizations accessing new or improved financial instruments (investments, grants, loans) in support of sustainable fishing practices and value chain improvements	0	0	3	Documentation on number of loans and grant approved	Businesses attractive for investors can be developed  Project mentoring can provide support to level that proposed businesses can be financed  New improved gender-sensitive policies, measures and/or financial instruments (investments, grants, loans) will be developed	Project team with fisheries agencies / financial institutions inputs
<p><u>Output 3.2.1:</u> Policies and financial frameworks (based on global good practices) that can support investments in SSF reviewed, and recommendations identified and promoted.</p> <p><u>Output 3.2.2:</u> Access to financing by SSF for EAF venture opportunities increased.</p> <p><u>Output 3.2.3:</u> Strategies and measures to encourage fishers and markets to adopt and promote EAF management in SSF identified, developed, and disseminated.</p>							
<p><b>Component 4:</b> Supporting knowledge management, outreach, and lesson learning for EAF, and implementation of associated CLME+SAP priorities</p>							

Results chain	Indicators	Baseline	Mid-term target	Final target	Means of verification	Assumptions	Responsible for data collection
<p><u>Outcome 4.1:</u></p> <p>Knowledge of processes, measures, options and incentives for effective EAF management to improve sustainability of fisheries increased among key stakeholder groups</p>	<p>Indicator 14: Percentage increase in knowledge on EAF principles and practices among national fisheries staff compared with baseline levels at start of project implementation according to project surveys</p>	<p>Baseline measured through surveys at inception</p>	<p>20%</p>	<p>50%</p>	<p>Knowledge assessment surveys are accurate and reflective of project's awareness-raising efforts</p>	<p>Project training and knowledge assessment/ survey reports</p>	<p>Project team with inputs from fisheries agencies staff</p>
-	<p>Indicator 15: Level of engagement in IW:LEARN activities through participation and delivery of key products (GEF Indicator 7.4[1]).</p>	<p>No engagement in IW:LEARN</p>	<p>Level 2 engagement (website in line with IW:LEARN guidance active)</p>	<p>Level 3 engagement (participation of project staff in training/twinning events and production of at least one experience note and one results note)</p>	<p>M&amp;E reports (e.g. PIR) documenting engagement in IW:LEARN activities and events</p> <p>Copies of IW:LEARN experience and one results note</p>	<p>Individuals involved with project available to engage in IW:LEARN activities</p> <p>Relevant IW:LEARN events occur within the specified timeframe</p>	<p>Project team with fisheries agencies inputs</p>

Results chain	Indicators	Baseline	Mid-term target	Final target	Means of verification	Assumptions	Responsible for data collection
<p><u>Output 4.1.1:</u> EAF Outreach Strategy and Plan to promote greater understanding of EAF management in target fisheries developed and implemented</p> <p><u>Output 4.1.2:</u> Project successes, experiences and lessons learned identified and disseminated to key EAF4SG stakeholders</p> <p><u>Output 4.1.3:</u> Roadmap and material for scaling of successful project solutions for implementation of EAF management in NBSLME fisheries and beyond to wider CLME region and beyond developed and implemented by relevant stakeholders including 1% allocation to IW:LEARN activities</p>							
<p><u>Outcome 4.2:</u> Effective gender-responsive project implementation based on adaptive management</p>	<p>Indicator 16: Recommendations from operational M&amp;E system (including PSC and PIR recommendations) fed back into project implementation</p>	<p>No project M&amp;E system operational</p>	<p>Project M&amp;E system established and operational and any recommendations for adapting project implementation identified (including PSC and PIR recommendations) and adopted</p>	<p>Project M&amp;E system operational and any recommendations for adapting project implementation identified (including PSC and PIR recommendations) and adopted</p>	<p>M&amp;E reports (including PIR, PPR and PSC reports)</p>	<p>All required information will be accessible for M&amp;E feedback / project implementation</p> <p>PSC members fully engage with review and management of project</p>	<p>Project team with inputs from fisheries agencies and other stakeholders</p>
<p><u>Output 4.2.1:</u> A gender-responsive project Monitoring and Evaluation (M&amp;E) system using data disaggregated by sex, age and ethnicity designed and operational, and in line with FAO and GEF requirements operational</p> <p><u>Output 4.2.2:</u> Terminal Evaluation carried out</p>							

[1] [https://www.thegef.org/sites/default/files/documents/2022-05/EN\\_GEF\\_C.62\\_Inf.12\\_GEF-8%20Results%20Measurement%20Framework%20Guidelines\\_0.pdf](https://www.thegef.org/sites/default/files/documents/2022-05/EN_GEF_C.62_Inf.12_GEF-8%20Results%20Measurement%20Framework%20Guidelines_0.pdf)

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

NA

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

<b>PPG Grant Approved at PIF: USD 50,000</b>			
<i>Project Preparation Activities Implemented</i>	<i>GEFTF/LDCF/SCCF Amount (\$)</i>		
	<i>Budgeted Amount</i>	<i>Amount Spent to date</i>	<i>Amount Committed</i>
Financial Specialist	2,250	0	2,250
<b>National consultants</b>			
National Coordinator - Guyana	2,800	2,800	0
National Coordinator - Suriname	2,800	2,800	0
National Coordinator - T & T	2,800	2,800	0
<b><i>Subtotal national consultant</i></b>	<b>8,400</b>	<b>8,400</b>	<b>0</b>
<b>International consultants</b>			
GEF Project Design Expert and Team Leader	24,600	22,519	2,081
Technical Consultant	11,200	11,200	0
Regional Coordinator	1,300	1,300	0
Socio-economic, value chain and gender consultant(s)	2,250	2,250	0
<b><i>Subtotal International consultants</i></b>	<b>39,350</b>	<b>37,269</b>	<b>2,081</b>
<b>Total</b>	<b>50,000</b>	<b>45,669</b>	<b>4,331</b>

**ANNEX D: Project Map(s) and Coordinates**

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



### **The North Brazil Shelf LME Region**

(courtesy of John Knowles, former CLME+ Mapping and Monitoring Specialist)

#### **Coordinates:**

9°37' N, 61°14' W

02°46' S, 41°48' W

00°23' S, 40°35' W

12°05' N, 59°39' W

#### **ANNEX E: Project Budget Table**

**Please attach a project budget table.**

Enhancing capacity for the adoption and implementation of EAF in the shrimp and groundfish fisheries of the North Brazil Shelf Large Marine Ecosyst

(EAF4SG)

GEF Project ID: 10919

Project budget

FAO COST CATEGORIES	Component 1: Enhancing or developing national and sub-regional EAF-based fisheries management information systems, supporting countries implementation of CLME+ SAP priorities.	Component 2: Strengthening national and sub-regional governance arrangements for EAF fisheries management, supporting countries implementation of CLME+ SAP priorities.	Component 3: Encouraging Small-scale Fisheries (SSFs) to adopt more sustainable fishing practices through new business opportunities, supporting the implementation of the CLME+ SAP priorities.	Component 4: Supporting knowledge management, outreach, and lesson learning for EAF, and implementation of associated CLME+SAP priorities.	Outcome 4.2 (M&E budget)	Component 4	Sub Total Comp 1-4	PMC	TOTAL GEF
	Component 1	Component 2	Component 3	Component 4					
<b>5011 Salaries professionals</b>									
Technical and Project Coordinator (56% of time on technical issues, Comp 1-4)	10,500	16,500	12,000	9,000	15,502	54,502	41,498	96,000	
Administration and Operations Support Officer	0	0	0	0	0	0	48,000	48,000	
Knowledge Management and Communication Officer	0	0	0	0	31,500	31,500	0	31,500	
Part Time M and E Support Officer	0	0	0	0	0	0	10,000	10,000	
<b>5011 Sub-total salaries professionals</b>	<b>10,500</b>	<b>16,500</b>	<b>12,000</b>	<b>9,000</b>	<b>47,002</b>	<b>86,002</b>	<b>99,498</b>	<b>185,500</b>	
<b>5013 Consultants</b>									
International ad hoc consultant(s) Component 1	114,000	0	0	0	0	114,000	0	114,000	
International ad hoc consultant(s) Component 2	0	42,000	0	0	0	42,000	0	42,000	
International ad hoc consultant(s) Component 3	0	0	46,000	0	0	46,000	0	46,000	
Gender Specialist	0	0	0	0	10,000	10,000	0	10,000	
<b>Sub-total international Consultants</b>	<b>114,000</b>	<b>42,000</b>	<b>46,000</b>	<b>0</b>	<b>10,000</b>	<b>212,000</b>	<b>0</b>	<b>212,000</b>	
National Technical Coordinator Suriname	23,000	22,000	0	0	0	45,000	0	45,000	
National Technical Coordinator Guyana	23,000	22,000	0	0	0	45,000	0	45,000	
National Technical Coordinator Trinidad and Tobago	23,000	22,000	0	0	0	45,000	0	45,000	
Value Chain and capacity Building consultant (one per country)	0	0	87,000	0	0	87,000	0	87,000	
Consultant for capacity building on business plans and implementation of pilot projects (one per country)	0	0	141,000	0	0	141,000	0	141,000	
Consultant for the review of financial frameworks applicable to SSF & development (one per country)	0	0	45,000	0	0	45,000	0	45,000	
Consultant for study of demand side factors for new products and for development of innovative tools to improve supplier/buyer matching (one per country)	0	0	90,000	0	0	90,000	0	90,000	
<b>Sub-total national Consultants</b>	<b>69,000</b>	<b>66,000</b>	<b>363,000</b>	<b>0</b>	<b>0</b>	<b>498,000</b>	<b>0</b>	<b>498,000</b>	
<b>5013 Sub-total Consultants</b>	<b>183,000</b>	<b>108,000</b>	<b>409,000</b>	<b>0</b>	<b>10,000</b>	<b>710,000</b>	<b>0</b>	<b>710,000</b>	
<b>5014 Contracts</b>									
Media productions (Online ads, videos, photos as necessary)	0	0	10,000	0	0	10,000	0	10,000	
Contracts for Workshops, Project Steering Committees, Validations Meetings, inception and final meetings, etc.	0	0	0	20,000	53,000	53,000	0	53,000	
Audit costs UWI	0	0	0	0	0	0	20,000	20,000	
Terminal Report	0	0	0	7,000	7,000	7,000	0	7,000	
Independent Terminal Evaluation (TE)	0	0	0	45,000	45,000	45,000	0	45,000	
Publication, Translation, Dissemination and reporting costs	0	0	0	0	40,000	40,000	0	40,000	
Contracts for the 3 National Pilot Projects (1 in each country)	0	0	30,000	0	0	30,000	0	30,000	
<b>5014 Sub-total Contracts</b>	<b>0</b>	<b>0</b>	<b>40,000</b>	<b>72,000</b>	<b>145,000</b>	<b>185,000</b>	<b>20,000</b>	<b>205,000</b>	
<b>5021 Travel</b>									
Travel for PMU and Stakeholders for regional Project Steering Committees, inception and final meetings, workshops, validations meetings, etc.	74,984	95,000	0	20,000	30,000	199,984	0	199,984	
Travels to support Suriname (Component 1 & 2)	4,000	0	0	0	0	4,000	0	4,000	
Travels to support Guyana (Component 1 & 2)	4,000	0	0	0	0	4,000	0	4,000	
Travels to support Trinidad and Tobago (Component 1 & 2)	4,000	0	0	0	0	4,000	0	4,000	
<b>5021 Sub-total Travel</b>	<b>86,984</b>	<b>95,000</b>	<b>0</b>	<b>20,000</b>	<b>30,000</b>	<b>211,984</b>	<b>0</b>	<b>211,984</b>	
<b>5023 Training/Workshops</b>									
IW LEARN (Training publications and materials)	0	0	0	0	18,000	18,000	0	18,000	
Trainings to support Suriname (Component 1 & 2)	25,000	33,000	0	0	0	58,000	0	58,000	
Trainings to support Guyana (Component 1 & 2)	25,000	33,000	0	0	0	58,000	0	58,000	
Trainings to support Trinidad and Tobago (Component 1 & 2)	25,000	38,000	0	0	0	63,000	0	63,000	
Sub-regional trainings	50,000	20,000	0	0	0	70,000	0	70,000	
3 National Workshops on value chain mapping and analysis (1 for each country)	0	0	12,000	0	0	12,000	0	12,000	
3 National Workshops on participatory capacity building plan for enterprise (1 for each country)	0	0	9,000	0	0	9,000	0	9,000	
3 National Workshops for capacity building for target fishers communities (1 for each country)	0	0	12,000	0	0	12,000	0	12,000	
3 National Workshops for to validate business plans for enterprises (1 for each country)	0	0	9,000	0	0	9,000	0	9,000	
3 National Workshops for dissemination of recommendations on how to improve enabling environment based on the review of National, regional and global financial frameworks applicable to SSF (1 for each country)	0	0	12,000	0	0	12,000	0	12,000	
3 National Workshops for to validate the Pilot Projects (1 for each country)	0	0	25,000	0	0	25,000	0	25,000	
<b>5023 Sub-total Training</b>	<b>125,000</b>	<b>124,000</b>	<b>79,000</b>	<b>0</b>	<b>18,000</b>	<b>346,000</b>	<b>0</b>	<b>346,000</b>	
<b>5024 Expendable procurement</b>									
Publication, reports, promotion and extension materials, Stationary (papers, ink), Publication for training, reports, promotion and extension materials, information and promotion material, printing document cost, public document to promote and encourage the Suriname, Guyana and Trinidad and Tobago to implement EAF, etc	0	16,000	0	0	0	16,000	0	16,000	
<b>5024 Sub-total expendable procurement</b>	<b>0</b>	<b>16,000</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>16,000</b>	<b>0</b>	<b>16,000</b>	
<b>5025 Non-expendable procurement</b>									
Computers and office equipment	0	0	0	0	0	0	12,000	12,000	
Technical equipment to support monitoring and data collection for the execution of the national activities in Suriname, Guyana, and Trinidad and Tobago	60,000	0	0	0	0	60,000	0	60,000	
<b>5025 Sub-total non-expendable procurement</b>	<b>60,000</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>60,000</b>	<b>12,000</b>	<b>72,000</b>	
<b>5050 - GOE - Internal Common Services</b>									
PCU office (UWI)- partially cofinanced	0	0	0	0	0	0	25,000	25,000	
Office Supplies	0	0	0	0	0	0	5,000	5,000	
<b>5050 Sub-total GOE - Internal Common Services</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>30,000</b>	<b>30,000</b>	
<b>TOTAL</b>	<b>465,484</b>	<b>359,500</b>	<b>540,000</b>	<b>101,000</b>	<b>250,002</b>	<b>1,614,986</b>	<b>161,498</b>	<b>1,776,484</b>	
Subtotal Component 1	465,484								
Subtotal Component 2		359,500							
Subtotal Component 3			540,000						
Subtotal Component 4				250,002					

**ANNEX F: (For NGI only) Termsheet**

Instructions. Please submit an finalized termsheet in this section. The NGI Program Call for Proposals provided a template in Annex A of the Call for Proposals that can be used by the Agency. Agencies can use their own termsheets but must add sections on Currency Risk, Co-financing Ratio and Financial Additionality as defined in the template provided in Annex A of the Call for proposals. Termsheets submitted at CEO endorsement stage should include final terms and conditions of the financing.

NA

**ANNEX G: (For NGI only) Reflows**

Instructions. Please submit a reflows table as provided in Annex B of the NGI Program Call for Proposals and the Trustee excel sheet for reflows (as provided by the Secretariat or the Trustee) in the Document Section of the CEO endorsement. The Agency is required to quantify any expected financial return/gains/interests earned on non-grant instruments that will be transferred to the GEF Trust Fund as noted in the Guidelines on the Project and Program Cycle Policy. Partner Agencies will be required to comply with the reflows procedures established in their respective Financial Procedures Agreement with the GEF Trustee. Agencies are welcomed to provide assumptions that explain expected financial reflow schedules.

NA

**ANNEX H: (For NGI only) Agency Capacity to generate reflows**

Instructions. The GEF Agency submitting the CEO endorsement request is required to respond to any questions raised as part of the PIF review process that required clarifications on the Agency Capacity to manage reflows. This Annex seeks to demonstrate Agencies' capacity and eligibility to administer NGI resources as established in the Guidelines on the Project and Program Cycle Policy, GEF/C.52/Inf.06/Rev.01, June 9, 2017 (Annex 5).

NA