



PROJECT IDENTIFICATION FORM (PIF)

PROJECT TYPE:

TYPE OF TRUST FUND: GEF TF

PART I: PROJECT IDENTIFICATION

Project Title:	Sustainable management of bycatch in Latin America and Caribbean trawl fisheries (REBYC-II LAC)		
Country(ies):	Brazil, Colombia, Costa Rica, Mexico, Suriname, Trinidad & Tobago	GEF Project ID:¹	5304
GEF Agency(ies):	FAO	GEF Agency Project ID:	621538
Other Executing Partner(s):	<p>Brazil, Ministry of Fisheries and Aquaculture</p> <p>Colombia, Instituto de Investigaciones Marinas y Costeras (INVEMAR), Autoridad Nacional de Acuicultura y Pesca (AUNAP)</p> <p>Costa Rica, Instituto Costarricense de Pesca y Acuicultura (INCOPECA)</p> <p>Mexico, Instituto Nacional de Pesca (INAPESCA), Secretaría de Agricultura, Ganadería, Desarrollo Rural, Pesca y Alimentación (SAGARPA)</p> <p>Suriname, Ministry of Agriculture, Animal Husbandry and Fisheries,</p> <p>Trinidad & Tobago, Fisheries Division of the Ministry of Food Production, Land and Marine Affairs</p>	Submission Date:	March 27, 2013
GEF Focal Area (s):		Project Duration (months):	60
Name of parent program (if applicable): <ul style="list-style-type: none"> • For SFM/REDD+ <input type="checkbox"/> • For SGP <input type="checkbox"/> • For PPP <input type="checkbox"/> 		Agency Fee (\$):	551,000

A. FOCAL AREA STRATEGY FRAMEWORK²:

Focal Area Objectives	Trust Fund	Indicative Grant Amount (\$)	Indicative Co-Financing (\$)
IW-2. Outcome 2.2: Institution for joint ecosystem-based and adaptive management for LMEs and local ICM frameworks demonstrate sustainability. Core output 2.2: National and local policy/legal/institutional reforms adopted.	GEFTF	1,625,200	5,245,750
IW-2. Outcome 2.3: Innovative solutions implemented for reduced pollution, rebuilding or protecting fish stocks with rights-based management, ICM, habitat (blue forest) restoration/conservation, and port management. Core output 2.3: Types of technologies and measures implemented on local demonstration and investments.	GEFTF	4,174,800	11,816,750
Total project costs		5,800,000	17,062,500

¹ Project ID number will be assigned by GEFSEC.

² Refer to the reference attached on the Focal Area Results Framework and LDCE/SCCF Framework when completing table A.

B. PROJECT FRAMEWORK

Project Objective: Enhanced management of bycatch and conservation of 'blue forest' habitats in the Latin American and Caribbean (LAC) bottom/shrimp trawl fisheries through effective public and private sector partnership and adoption of best practices that support sustainable livelihoods.						
Project Component	Grant Type ³	Expected Outcomes	Expected Outputs	Trust Fund	Indicative Grant Amount (\$)	Indicative Co-financing (\$)
1. Improved collaborative institutional and regulatory arrangements for bycatch management	TA	<p>1a. Enabling and coherent legislation and institutional arrangements implemented in all project countries across the region to effectively manage bycatch, reduce ecosystem impacts of trawl fishing and improve the livelihoods of trawl fishers.</p> <p>1b. Institutional arrangements for public and private sector partnership are in place to support fisheries bycatch management and livelihoods in all pilot areas.</p>	<p>1.1. Analysis of national fisheries (bycatch) governance, legislation and international instruments in all project countries and gaps and reform/adjustment options identified and their implementation initiated.</p> <p>1.2. The International Guidelines on Bycatch Management and Reduction of Discards adopted and trawl bycatch management plans for pilot areas agreed by all project countries.</p> <p>1.3. Agreed enabling frameworks for adaptive co-management (e.g. council, forum) to manage bycatch implemented in all pilot areas and rights-based management (RBM) implemented in at least two pilot areas.</p>	GEFTF	500,000	1,550,000
2. Strengthening management and optimizing utilization of bycatch within EAF framework	INV	<p>2a. Cost-effective solutions implemented for managing bycatch, reducing ecosystem impacts and enhancing livelihoods and food security for at least 25% of trawlers in project areas</p> <p>2b. Unsustainable bycatch reduced at least by 30% compared to baseline in all pilot areas.</p>	<p>2.1. Participatory socio-economic and gender-disaggregated fisheries data (incl. bycatch and discards) collection and monitoring processes standardized and implemented throughout the value chains in all pilot areas.</p> <p>2.2. Sensitive habitats in key fishing ground in pilot areas mapped using also the traditional knowledge. Selection criteria and recommendations for demarcating fishing zones and areas for spatial-temporal closures are identified in at least 3 project areas.</p> <p>2.3. Collaborative management (e.g. forums, councils) operating in all pilot areas.</p> <p>2.4. Trawl Bycatch</p>	GEFTF	3,240,000	8,550,000

³ TA includes capacity building and research and development.

			<p>Management Plans implemented in 5 project countries.</p> <p>2.5. More selective trawl gear and/or alternative fishing practices used by at least half of the trawlers in the pilot areas.</p> <p>2.6. SWOT and feasibility analysis of potential new technologies and possible incentive mechanisms carried out for all trawl fisheries in project areas.</p> <p>2.7. Market-based measures and better utilization of sustainable bycatch identified and in place in at least three pilot areas to facilitate the move to responsible practices.</p> <p>2.8. Capacity development programs on bycatch management and co-management developed and implemented for at least 1000 primary stakeholders in selected pilot areas.</p>			
3. Sustainable livelihoods; diversification and alternatives	TA	<p>3a. Sustainable livelihoods strengthened for fishers and fish workers in all pilot areas.</p> <p>3b. Alternative fisheries and other livelihoods in place in particular for the small-scale fisheries sector in the pilot areas.</p> <p>3c. Resilience of coastal livelihoods increased in the pilot fisheries.</p>	<p>3.1. The role of bycatch and discards in livelihoods, food security and poverty reduction understood in all pilot areas.</p> <p>3.2. Fishers' needs and capacity to engage in best practices, sustainable utilization of discards and alternative livelihoods assessed through focus groups, surveys and workshops conducted in all pilot areas.</p> <p>3.3. Fishers' and fish workers' skills and capacity increased in alternative fisheries livelihoods and other livelihoods in all pilot areas.</p> <p>3.4. Analysis of costs and benefits (incl. social, cultural and economic impacts and gender) of alternative fisheries and other livelihoods completed in at least 5 pilot areas.</p> <p>3.5. Successful demonstration, deployment and transfer of relevant adaptation technology to</p>	GEFTF	1,260,000	3,950,000

			targeted groups. 3.6. Feasibility analysis and capacity development strategy of incentive packages facilitating the change carried out in selected fisheries. 3.7. Alternative and socio-economically effective capture fisheries practices and related livelihoods demonstrated in selected pilot areas.			
4. Project progress monitoring and information dissemination	TA	Project implementation based on results-based management and application of project findings and lessons learned in future operations.	4.1. Project monitoring system operating and providing systematic on-progress information related to project outcome and output targets in all countries. 4.2. Mid-term and final evaluation conducted and project implementation adjusted according to recommendations. 4.3. Project-related "best-practices" and "lessons-learned" published and disseminated in all countries. (as part of this output 1% of the GEF grant will be going towards supporting IWLEARN activities such as participation in WICs and other regional and global IWLEARN meetings, produce a minimum of two Experience notes etc. 4.4. Project website created following IWLEARN guidance and developed into a regional information sharing mechanism in all countries.	GEFTF	550,000	2,200,000
Sub-Total					5,550,000	16,250,000
Project management Cost (PMC) ⁴					250,000	812,500
Total project costs⁴					5,800,000	17,062,500

C. INDICATIVE CO-FINANCING FOR THE PROJECT BY SOURCE AND BY NAME IF AVAILABLE, (\$)

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Amount (\$)
GEF Agency	FAO	Grant	200,000
GEF Agency	FAO	In-kind	450,000
National Government	Ministry of Fisheries and Aquaculture, Brazil	Grant	1,632,500
National Government	Ministry of Fisheries and Aquaculture, Brazil	In-kind	1,632,500

⁴ To be calculated as percent of subtotal

National Government	Instituto de Investigaciones Marinas y Costeras (INVEMAR), Autoridad Nacional de Acuicultura y Pesca (AUNAP), Colombia	Grant	600,000
National Government	Instituto de Investigaciones Marinas y Costeras (INVEMAR), Autoridad Nacional de Acuicultura y Pesca (AUNAP), Colombia	In-kind	600,000
National Government	Instituto Costarricense de Pesca y Acuicultura (INCOPECA), Costa Rica	Grant	400,000
National Government	Instituto Costarricense de Pesca y Acuicultura (INCOPECA), Costa Rica	In-kind	400,000
National Government	Instituto Nacional de Pesca (INAPESCA), Secretaría de Agricultura, Ganadería, Desarrollo Rural, Pesca y Alimentación (SAGARPA), Mexico	Grant	1,895,881
National Government	Instituto Nacional de Pesca (INAPESCA), Secretaría de Agricultura, Ganadería, Desarrollo Rural, Pesca y Alimentación (SAGARPA), Mexico	In-kind	1,895,881
National Government	Ministry of Agriculture, Animal Husbandry and Fisheries, Suriname	Grant	687,280
National Government	Ministry of Agriculture, Animal Husbandry and Fisheries, Suriname	In-kind	687,280
National Government	Fisheries Division of the Ministry of Food Production, Land and Marine Affairs, Trinidad & Tobago	Grant	260,000
National Government	Fisheries Division of the Ministry of Food Production, Land and Marine Affairs, Trinidad & Tobago	In-kind	310,749
Bilateral Aid Agency	NOAA	In-kind	450,000
Others	Universities of Paraná and Rio Grande, Brazil	Grant	390,749
Private Sector	Private Fishing Sector	Grant	623,226
Private Sector	Private Fishing Sector	In-kind	846,454
CSO	WWF/Mexico	Grant	1,500,000
CSO	WWF/Mexico	In-kind	1,500,000
CSO	The Caribbean Regional Fisheries Mechanism (CRFM)	In-kind	100,000
Total Co-financing			17,062,500

D. INDICATIVE TRUST FUND RESOURCES REQUESTED BY AGENCY, FOCAL AREA(S) AND COUNTRY¹

GEF Agency	Type of Trust Funds	Focal Area	Country Name/ Global	Grant Amount (\$) (a)	Agency Fee (\$) (b) ²	Total (\$) c=a+b
FAO	GEFTF	International Waters	Global/Regional	5,800,000	551,000	6,351,000
Total Grant Resources				5,800,000	551,000	6,351,000

¹ In case of a single focal area, single country, single GEF Agency project, and single trust fund project, no need to provide information for this table. PMC amount from Table B should be included proportionately to the focal area amount in this table

² Indicate fees related to this project.

E. PROJECT PREPARATION GRANT (PPG)⁵

Please check on the appropriate box for PPG as needed for the project according to the GEF Project Grant:

Amount Requested (\$) Agency Fee for PPG (\$)⁶

- No PPG required
- (Upto) \$50k for projects up to & including \$ 1 million
- (Upto) \$100k for projects up to & including \$ 3 million

⁵ On exceptional basis, PPG amount may differ upon detailed discussion and justification with the GEFSEC.

⁶ PPG fee percentage follows the percentage of the GEF Project Grant amount requested.

- (Upto) \$150k for projects up to & including \$ 6 million 200,000* 19,000
- (Upto) \$200k for projects up to & including \$ 10 million
- (Upto) \$300k for projects above \$ 10 million

* USD 200 000 is being requested for project preparation because of the high costs of doing project preparation in 6 countries and at the regional level. The multi-country approach requires extensive coordination efforts and bringing partners together for 1-2 regional workshops doing the preparation to insure regional ownership of and approach in project design.

PPG AMOUNT REQUESTED BY AGENCY (IES), FOCAL AREA(S) AND COUNTRY(IES) FOR MFA AND/OR MTF PROJECT ONLY

Type of Trust Funds	GEF Agency	Focal Area	Country Name/ Global	PPG (\$) (a)	Agency Fee (\$) (b)	Total (\$) c=a+b
GEFTF	FAO	IW	Regional	200,000	19,000	219,000
Total Grant Resources						

PART II: PROJECT JUSTIFICATION⁷

A. PROJECT OVERVIEW

A.1. Project description. *Briefly describe the project, including: 1) the global environmental problems, root causes and barriers that need to be addressed; 2) baseline scenario and any associates baseline projects; 3) the proposed alternative scenario, with a brief description of expected outcomes and components and the project; 4) incremental cost reasoning and expected contributions from the baseline, the GEFTF, LDCF/SCCF and co-financing; 5) global benefits (GEFTF, NPTF) and adaptation benefits (LDCF/SCCF); 6) innovativeness, sustainability and potential for scaling up.*

1. Global environmental problems, root causes and barriers that need to be addressed

Industrial and semi-industrial bottom/shrimp trawling in tropical and sub-tropical areas tends to generate exceptionally large quantities of bycatch and low-value fish. In general, a significant part of this bycatch is discarded and unreported. Shrimp is often one of the target species but the catches typically consist of a large number of species and sizes. In the Caribbean and Latin American region, detailed information on the composition, volume, value and potential utilization of bycatch – as well as on the fishing impact on seabed habitats – is largely inadequate but it has been demonstrated that these fisheries have a significant impact on targeted and non-targeted fishery resources, marine ecosystems and fishing communities. It is recognized that in general the bycatch portion of the trawl catch in the project countries consists of juveniles of ecologically important and economically valuable finfish, small-sized fish species and fish that is damaged or low quality for other reasons. Catches typically consist of many finfish species that may be considered bycatch in the industrial shrimp trawl fisheries but targeted catch in the small-scale fisheries. Moreover, trawlers may catch turtles – especially if not equipped with turtle excluder devices (TEDs). Trawlers may also bring up coral or other seabed flora and fauna when trawling in areas with such seabed structures, damaging sensitive bottom habitats. Bycatch, discards and collateral habitat damage are jeopardizing future revenue, livelihoods and long-term food security. Many of the finfish species taken as bycatch in these trawl fisheries are migratory and transboundary, and are largely shared by the countries.

The trawl subsector in the project region is large and diverse, and involves both small and large-scale trawlers. The total number of vessels/boats involved in bottom/shrimp trawl fishing is estimated to about 140,000 units. These fisheries constitute an important part of the total marine fisheries economy in these countries with an estimated average share of total marine capture fisheries employment of 28 percent (about 110,000 fishers) and about 17 percent of total reported marine catches (approximately 380,000 metric tons annually). Hundreds of thousands people in the region rely, directly or indirectly, on healthy trawl fisheries for their livelihoods. Because of generally decreasing catches in particular of more valuable species as well as

⁷ Part II should not be longer than 5 pages

increasing fuel prices, and weak market access and inadequate post-harvest practices, many fishers find it difficult to maintain the profitability of their operations.

Most of these trawl fisheries are in practice open access with few and poorly enforced management regulations, in particular with regard to bycatch and discards. Conflicts between fleet segments are common when zoning regulations are not enforced, e.g. larger trawlers encroaching on waters reserved for small-scale fishers. Although bycatch and discards may represent significant economic losses to the communities at large, there are often limited incentives for industrial fishers to avoid bycatch. It is noteworthy, though, that bycatch is often problematic to trawlers by considerably slowing down their operation, causing inferior catch quality and by increasing fuel consumption, thereby posing a serious risk to the economy of their fishing. Better information on solutions and their positive impact on fishing economy combined with encouraging regulations may create incentives for bycatch and discards reduction.

The situation is exacerbated by the fact that quantitative information on bycatch and discards and seabed damage in bottom/shrimp trawling is relatively poor. Most countries do not have adequate financial and human capabilities to monitor and report on bycatch and discards. There are no standardized and harmonized formats for bycatch and discards data collection and monitoring. This has contributed to the lack of clear management objectives and actions, and has severely constrained the communication between resource managers and the industry. Recent development in the methods for evaluating data-poor fisheries is likely to provide useful practical assessment tools and significant progress.

The countries and the regional fisheries organizations have not succeeded in establishing adequate collective and coordinated management, monitoring, control and surveillance of the resources and fisheries. This is due to a range of factors including lack of political will, weaknesses on regional/sub-regional decision making mechanisms, insufficient institutional capacity, and the complex nature of fisheries. There have not been sufficient incentives to manage these fisheries stocks on a durable basis. Furthermore, management actions have tended to encourage competition among fishers for obtaining the greatest share of catches available, often leading to significant overcapacity. Lack of alternative livelihoods options further aggravates these problems.

In short, most existing management and conservation measures (related to fisheries and bycatch) in the project region are insufficient and are not incorporated into broader fisheries management context. The key lesson learned from the earlier global interventions has been that multiple stresses on coastal and marine systems, including bycatch and discards, must be addressed in an integrated manner, taking into account all major drivers. Hence, addressing bycatch and discards only as a technological issue (*baseline scenario*) will fail to produce long-term community results. Actions on bycatch must be set within a more comprehensive understanding of fisheries and their governance, including technological aspects.

Effective management of trawl fisheries in the project region is likely to require rationalization of fishing capacity and reduction of fishing effort in specific fisheries. The decision to address overcapacity will need to be based on a thorough understanding of the bio-economic impacts such rationalization will have on both the marine resources and those dependent on them as a source of livelihood and income. Minimizing the socio-economic impacts of downsizing on fishing communities will require well thought out exit strategies and will only succeed with political will and “buy in” from fisher’s organizations and other key stakeholders. Identifying viable alternative livelihood opportunities for the vessel owners and fishing crews will be the key in this regard.

A large share (more than 80%) of shrimp catches enters the international trade and those market demands are often a major driver for this fishing. Despite the importance of these fisheries in the fish trade and export, there are still very few fisheries certified for their sustainability in the project region. Likewise, in the absence of widespread consumer awareness of the threats from these fisheries on marine resources and the biodiversity, the high demand has not generated adequate market incentives for the supply of sustainable products (exception is the USA demand for Turtle Excluders for shrimp export to USA). An increasing use of trade and catch documentation schemes to demonstrate the sustainability and legality of these fisheries can be expected in the near future and this development should be supported on the supply side in the project region with the support of this project. Obstacles associated include the high costs of certification processes plus the difficulties in meeting requirements for certification and eco-labelling schemes (mainly due to the lack of adequate human/physical resources). The traceability requirements may also be problematic.

Clearly, bycatch is a complex issue, requiring resource and biodiversity issues to be tackled alongside human needs, involving a mix of policy, technical and community support measures. The reality of fishery sector interactions in the project region includes complex and diverse fishing practices, major social and economic dependencies, and constrained institutional capacity. Strong focus needs to be placed on controlling the fisheries and areas of major ecosystem impact which have some practical potential for being addressed. Engagement of the private sector to develop and adopt best practice guidelines and participate directly in the development work is fundamentally important and should be facilitated through commitment of resources and engagement in Public-Private Partnerships through co-management arrangements.

In summary, the baseline projects that are mainly conducted on national level in the project countries fall short of achieving the long term solutions of sustainable fisheries and bycatch management, mainly due to the following barriers:

Barrier 1: Insufficient regulatory and institutional frameworks (Comp. 1)

- Inadequate capacity to manage, monitor and enforce
- Inadequate governance capacity to deal with transboundary issues
- Inadequate governance frameworks for assigning long-term rights to resources
- Lack of adaptive co-management experience
- Inconsistent, incoherent and misfit regulations on bycatch/discards

Barrier 2: Lack of relevant information for priority setting and decision making (Comp. 2)

- Insufficient data on bycatch, discards, habitat damage, sensitive habitats
- Insufficient data on fishing operations, operational costs, fishing strategies
- Inadequate data collection systems and support for developing such systems
- Lack of transparency, awareness and participation in fisheries data collection
- Insufficient understanding on the role of bycatch on livelihood, food security and poverty alleviation.

Barrier 3: Lack of incentives and alternatives (Comp. 2 and 3)

- Lack of cost-effective and sustainable fishing practices to replace energy hungry and destructive fishing practices
- Insufficient incentives to improve and/or change practices
- Lack of alternative livelihoods (often causing fishing overcapacity)
- Insufficient awareness and technology transfer support programs

Barrier 4: Conflicting goals and interests among primary stakeholders (Comp. 1, 2 and 3)

- User conflicts are common
- User conflicts often lead to overcapacity and poor profitability
- Current management practices do not reduce competition among fishers

2. Baseline scenario and investments by countries providing co-financing to the project

In the baseline scenario the degradation of fisheries resources and livelihoods will continue in the region mainly due to weak capacity for participatory sustainable fisheries management at systemic, institutional and human resources levels. Investments will not result in a comprehensive and effective development of sustainable management practices and productive and profitable fisheries. Management actions and interventions will remain ineffective due to the barriers described above. Hence, the existing regulations and interventions will achieve little in stopping the on-going degradation of fisheries resources and related livelihoods (unless the weakness of the current capacity in the institutional framework is addressed).

The six participating countries will co-finance the project through their on-going and future projects and baseline activities dealing with the assessment and management of their trawl fisheries (e.g. surveys, testing of modified fishing gears, data collection, databases). They will also offer staff time and provide office space, information systems, laboratories and other services for this project. The total indicative co-financing that will be provided from the participating countries and other co-financing partners in grant and in-kind amounts to USD 17,062,500 (Part I, Table C). Below is a summary of country baseline activities and the baseline co-funding:

Brazil: Brazil is planning the implementation of various actions aiming at the reduction of bycatch in shrimp fisheries along the Brazilian coast starting in 2013. These activities include: (i) Evaluation of

the effectiveness of bycatch exclusion device in trawl nets shrimp fisheries off Pernambuco and Alagoas States in the Northeastern Brazil and (ii) Introduction of bycatch reduction devices (BRDs) in small-scale trawl fishing off southern Brazilian coast, including assessment and co-management perspectives. Similar projects are also been planned in the North and Southeast regions of Brazil starting by 2014. Furthermore, through the bilateral cooperation between Brazil and Norway, three projects are formulated to: (i) manage transboundary stocks in the Southwestern Atlantic Ocean, (ii) manage overexploited fish stocks in the Northeast Region of Brazil and (iii) reduce discards and other waste in Amazon fisheries. These projects will also promote the trilateral cooperation between Brazil, Uruguay and Argentina and will involve, besides Norwegian researchers, research institutions and universities from the three countries. The Brazilian Ministry of Fisheries and Aquaculture will provide an indicative amount of USD 3,265,000 in co-financing for the proposed project.

Colombia: Colombia has had the following activities for evaluation and management of shrimp trawl fisheries: (i) monitoring of shrimp trawling effort and catches (annual), (ii) surveys (cruises) on stock status and data collection of bycatch (specific activity), (iii) experiments on selective fishing gears (specific activity), and (iv) testing of gear modifications and alternative fishing gears to reduce the environmental impact of trawl fishing (specific activity). For the next five years, Colombia plans to continue monitoring the implementation of fishing regulations and will conduct scientific surveys (cruises) each year on Pacific and Caribbean coasts to explore the status of stocks and other relevant issues. Colombia will commit USD 1,200,000 in indicative co-financing for the proposed project from these initiatives and other in-kind co-financing to be provided by the Coastal and Marine Research Institute (“Instituto de Investigaciones Marinas y Costeras – INVEMAR”), and the National Aquaculture and Fisheries Authority (“Autoridad Nacional de Acuicultura y Pesca – AUNAP”).

Costa Rica: Costa Rica has projects on monitoring and data collection of its shrimp trawl fisheries, assessment of the status of the target species, and evaluation of economic performance of these fisheries. Costa Rica is also investigating the conflicts between the trawl and artisanal (small-scale) fisheries, and assessing the socio-economic impacts of Marine Protected Areas established along coastal areas. Instituto Costarricense de Pesca y Acuicultura (INCOPECA) will contribute in total USD 800,000 as indicative co-financing through the national projects and other activities related to the proposed project.

Mexico: Mexico has invested in a number of projects with the goal to minimize the bycatch of non targeted species and juveniles, and to reduce fuel consumption in trawl fisheries. Current and future projects focus among others on (i) the modernization of the bottom trawling shrimp fleet system in the Pacific coast and (ii) development of infrastructure and analytical basis for the evaluation of new technologies for the conservation and protection of marine resources and the environment, applied to the shrimp trawl fishery and others. These projects are under the responsibility of Instituto Nacional de Pesca (INAPESCA/SAGARPA), Coordinadora Nacional de las Fundaciones Produce, Comisión Nacional de Pesca y Acuicultura and Gobierno del estado de Oaxaca. Through the activities developed under these projects, Mexico will contribute in total USD 3,791,762 as indicative co-financing for this project.

Suriname: The ministry of Agriculture, Animal Husbandry and Fisheries has on-going projects on the following topics that are directly linked to the proposed project: (i) Improvement of the fisheries data collection system, (ii) Improved collaborative management arrangements on coastal fisheries (including shrimp trawl fishing), (iii) Strengthening bycatch management within the EAF framework, (iv) Diversification and alternative livelihoods, (v) Stakeholder awareness and participation, (vi) Updating and implementation of the fisheries management plan, and (vii) Setting up a training school for fishermen for data collection and provision regarding fisheries activities. Through these project and activities, Suriname will contribute in total USD 1,374,560 as indicative co-financing for this project.

Trinidad and Tobago: Fisheries Division of the Ministry of Food Production, Land and Marine Affairs has a series of projects and activities that support ongoing national, bi-lateral, regional and international initiatives related to the assessment and management of the shrimp and groundfish fisheries that are shared with other countries on the north eastern South American continental shelf. Specific activities include gear trials for artisanal, semi-industrial and industrial trawl fleets and preparation of awareness materials and consultations with the industry. Additional projects focus on the finalization of the draft Fisheries Management Act for Trinidad & Tobago and incorporation of

fisheries concerns into Integrated Coastal Zone Management (ICZM). In the latter case the activities involve stakeholder consultations and representation of fisheries concerns with respect to the oil and gas production sector, and includes the monitoring of Certificates of Environmental Clearance and participation in negotiations for fisher folk compensation. These projects will commit USD 570,749 in indicative co-financing for this project.

Other co-financing partners such as WWF-Mexico and CRFM and the private fishing sector in the participating countries will contribute with an estimated total amount of USD 5,400,000 in co-financing. This co-financing will be further detailed and confirmed during full project preparation.

3. The proposed alternative scenario

The GEF alternative scenario allows for a concerted action that provides high-quality assistance and capacity building, and effective collaboration among countries, partners and stakeholders, creating national and regional synergies. By addressing the main barriers identified and ensuring local-national-regional-international linkages as well as public and private sector partnerships, the project will create significant incremental benefits above the 'non-project' option with respect to long-term solutions for sustainable resource utilization and environmental goods and services. The proposed project will provide an opportunity for a major scaling up and strengthening of participatory and sustainable fisheries and bycatch management within a globally important fisheries sector. In doing so, the project will introduce various actions through four interlinked components. These components are summarized here and will be elaborated fully under the project preparation phase.

Under Component 1, GEF support will enable the development of policy and institutional arrangements that will effectively contribute to sustainable management of bycatch and reduction of ecosystem impacts of bottom/shrimp trawl fishing at regional, national and local levels. GEF incremental resources will enable stakeholders to develop and adopt a package of modifications in the policy and regulatory framework to strengthen participatory and adaptive fisheries management as the primary mechanism to achieve sustainability and to deal with bycatch/discards issues. The establishment of institutional frameworks for public private sector partnerships will also be supported to allow for strengthened bycatch management and livelihoods in all pilot areas. The work will include a gap analysis for national fisheries (bycatch) governance, legislation and international instruments, and development of agreed enabling frameworks for adaptive co-management and rights-based management (RBM) in selected fisheries in the project countries. The international Guidelines on Bycatch Management and Reduction of Discards will be incorporated into bycatch management plans for project pilot areas to be agreed by all project countries. Coherence of policies between fisheries and environment departments will be studied in project countries. Component 1 will ensure that the weaknesses of the existing institutional frameworks are addressed, thus creating an enabling environment for sustainable fisheries and fisheries bycatch management.

Under Component 2, GEF's incremental investment will support the development and demonstration of cost-effective measures and practical tools for managing bycatch, reducing ecosystem impacts and enhancing livelihoods and food security for at least 25% of trawlers in project areas through the implementation of Trawl Bycatch Management Plans based on the International Guidelines for Bycatch Management and Reduction of Discards (within EAF framework). GEF incremental resources will enable strengthening of the capacity of selected fisheries at the pilot sites to assess, manage, monitor and sustainably utilize fisheries resources through appropriate actions. The work will include mapping of sensitive habitats in key fishing grounds in pilot areas and recommend and implement demarcated fishing zones and areas for spatial-temporal closure based on agreed selection criteria. The testing of adaptive fisheries strategies and management plans by fishers will also be supported. Costs and benefits of potential new/adapted technologies and other measures are demonstrated and best practices in bycatch management are introduced in selected fisheries. Dialogue and partnerships between the fishing sector and the regional/national fisheries governance will be promoted by addressing issues that are of particular concern to primary stakeholders. These include identifying fisheries-specific incentive-mechanisms, market-based measures, improved sustainable utilization of bycatch and the use of cost-effective (fuel-efficient) fishing practices that facilitate the move to responsible practices. Development of positive business and social drivers linked to improved fishing practices is one of the key issues for change. GEF intervention in Component 2 will allow for enhancing fishers' and other primary stakeholders' knowledge and technical capacity on bycatch and collaborative management. GEF incremental resources will ensure for key stakeholders, including user groups, investments and capacity development programs on bycatch management, co-management and EAF.

Because bycatch and discards often consist of smaller size fish of low economic value, they are not appreciated. These fish, however, are of high nutritional value and have the potential to be utilized rather than wasted. These resources could play an important role in food and nutrition security particularly for the vulnerable coastal populations. In order to optimize the utilization of a sustainable bycatch, proper markets and appropriate technology for their processing needs to be identified. Value chain analysis for the medium/large and small-scale bottom trawl fisheries will be conducted to address the development outcome of the project and to address the following questions at each stage of the value chain: Who are involved and in what ways? What are the species caught and where do the fish go at each stage? Who gets how much for what type of work? Where are the women, what are they doing, and how much do they get for their involvement? What role does sustainable bycatch play, or could potentially play, in food and nutrition security and in responsible fisheries? In what areas can improvements within the value chain be introduced and who would be affected? These questions, followed by an analysis, will help to achieve a clearer understanding of the dynamics of value-chains in trawl fisheries on a range of scales in the project region. Specifically, the questions asked at each stage will analyze the distribution of benefits in the value-chain and the linkages between the relative benefits obtained and the design of the chain. Ultimately, this information will provide findings on how the countries can increase the value derived from their fishery resources. In addition, this information can be used to explore various determinants of relative benefits. Therefore, participatory gender-disaggregated data collection and monitoring processes through the value chains will be standardized and sensitive habitats in key fishing grounds in the selected pilot fisheries areas will be mapped using also the traditional ecological knowledge. Component 2 of the GEF intervention will ensure that the capacity on bycatch management among local, national and regional fisheries “authorities” is enhanced. The private sector is promoted to take a lead role in adopting and scaling up the approaches developed by the project.

Under Component 3, GEF support will enable to better understand the impact of bycatch and discards on livelihoods, and will support the identification and establishment of alternative livelihoods in particular for the small-scale fisheries. GEF incremental resources will enable strengthening the resilience and diversification of coastal communities, facilitating the process towards sustainable fisheries and poverty alleviation. The work will include the assessment of the role of bycatch and discards in livelihoods, food security and poverty alleviation. Fishers’ needs and capacity to engage in sustainable bycatch management practices, discards utilizations and alternative livelihoods will be assessed. Cost and benefit analysis (including social, cultural and economic impacts and gender issues) of alternative fisheries and other potential livelihoods will be conducted. A feasibility analysis and capacity development strategy (e.g. enterprise development skills, access to financial services, market access) of potential incentive packages will be done in selected fisheries, facilitating the change carried in selected pilot fisheries. Alternative capture fisheries practices or other related livelihoods will be demonstrated in selected pilot communities. Component 3 of the GEF intervention will ensure the identification of alternative livelihoods, reduction of excessive fishing capacity and effort, and thereby a potential revitalization of the fisheries sector under the auspices of the Code of Conduct for Responsible Fisheries. Post harvest activities such as handling, packaging, processing and marketing (value addition) are crucial in reducing losses and waste of already limited fisheries resources. These activities will create alternative livelihoods, particularly among women.

Under Component 4, GEF intervention will secure that project implementation is based on results-based management and that project monitoring system operates and provides systematic on-progress information related to project outcome and output targets. Project-related “best-practices” and “lessons-learned” will be disseminated and published. Most innovative solutions will be exchanged among participant countries and in the whole region. Regional, national and local policy and decision-makers and other primary stakeholders will be sensitized with regard to responsible trawl fisheries management. 1% of the GEF grant will be going towards supporting IWLEARN activities such as creating a website according to IWLEARN guidance, which will serve as a regional information sharing mechanism. The 1% will also cover participation in WICs and other regional and global IWLEARN meetings, produce a minimum of two Experience notes etc. A communication strategy will be prepared and addresses the following questions: What are the key messages? Who will deliver the key messages to what type of audience and how? What communication products should be produced by the project and for whom? GEF intervention in Component 4 fills important capacity, knowledge and awareness gaps. This is required to support participatory management of fisheries and fisheries bycatch and application of project findings and lessons learned in the future operations. Mid-term and final evaluation will be conducted and project implementation and sustainability strategy adjusted according to recommendations.

4. Incremental cost reasoning and expected contributions from the baseline, the GEFTF, and co-financing

The proposed project builds on and complements the baseline scenario. The GEF-funded alternative will address the above constraints and barriers through a regional concerted action focusing on selected fisheries and pilot cases. The project intends to build as far as possible around existing investments, institutions and learning processes, seeking to add value and positive impact specifically through promoting stronger regional awareness and participation, skills in addressing management issues, and demonstrated improvements in outcomes. It will link with a range of in-kind inputs from private sector, commercial vessel operators, national and regional fisheries associations, civil societies, and existing co-management arrangements, and is designed to connect with other areas of major policy implementation and development investment. As such, the cost-effectiveness of the project is expected to be high; direct and indirect economic values of resources protected and biodiversity sustained would be expected to exceed GEF investment. More specific data would be developed and would form part of the ongoing indicator system proposed within the project.

In the baseline scenario, the project countries – as well as of other countries in the region – pursue activities in support, directly or indirectly, of trawl fisheries and bycatch management. Still, coordination of efforts and effectiveness of outputs at national and regional levels will be minimal and wider synergy effects are largely lost. Without effective collaborative and participatory approaches in developing sound management strategies and practices, the negative impacts of current trawling practices are likely to continue and accelerate. This would result in significant and potentially irreparable damage to globally important aquatic habitats and ecosystems and consequent losses not just to ecosystem support functions, but to food and livelihood security and economic output.

In the baseline scenario, there is an increasing awareness of the threats to fishery sustainability that are caused by the bottom/shrimp trawl fisheries and unmanaged bycatch. However, without GEF involvement, it will take longer to address these threats because of limited access to technical assistance and capacity development support for identifying and implementing appropriate management solutions to these complex issues. By addressing these issues specifically and regionally, and widening the approach and participation, this project will create significant incremental benefit above the 'non-project' option with respect to environmental goods and services, their linkage with sustainable livelihoods, and with the broader well-being of the countries involved. Through broadening the project to include the harvesting and processing sectors, promoting improved bycatch management and eco-friendly fishing methodologies (certified if feasible and cost effective) and developing best practice guidelines, the benefits from the project will flow through the supply chain to the consumer.

5. Global environmental benefits

The project offers a unique opportunity for GEF to play a catalytic and transformational role in the development of sustainable bottom/shrimp trawl fisheries. With GEF's incremental support the project will engineer a shift from the current unsustainable practices to sustainable fisheries practices that will generate significant global benefits, as summarized in the following table:

Current practice	Alternative to be put in place by the project	Global benefits
Intensive and poorly managed exploitation of fisheries resources.	Enabling legislation and co-management arrangements integrated into national management processes. Ocean governance and area-based management tools further developed in the region.	National and local policy and institutional reforms in fisheries management adopted. Fisheries resources and ecosystem services restored.
Ineffective management of bycatch, high level of discards and significant degradation of key habitats.	Best practices and spatial management measures integrated into the management planning processes.	Sustainable and cost-effective measures and technologies demonstrated and implemented. Unsustainable bycatches reduced by 30%.
Destructive and fuel-intensive fishing practices in wide use.	Low impact, fuel efficient and socio-economically viable fishing practices demonstrated and adopted. Operational costs reduced.	Reduced pressure on critical marine habitats. Profitability of fishing increased.
Continued reduction of	Overcapacity and effort addressed and	Significant improvements in

livelihood potential, income and alternative options causing increased vulnerability of fishers and other primary stakeholders.	alternative livelihoods and fishing practices demonstrated. Sustainable utilization of discards promoted (value adding on sustainable bycatch). Vulnerability of fishers and other primary stakeholders to various ecological and economic shocks reduced.	livelihoods due to the improved status of fisheries resources, better utilization of bycatch, improved value chains and reduction of user conflicts. Alternative livelihoods identified and resilience of coastal livelihoods improved.
Inadequate capacity and incentives for the private fishing sector to modify fishing practices.	Effective incentives and solutions formulated and actively promoted with the private fishing sector.	Improved fisheries yields, catch quality, value of the catch and food security.
Weak development support to primary fishing industry.	Joint industry-government framework created for providing the industry with the appropriate decision making authority. Redeployment activities with sufficient technical backstopping supported to ensure a high probability of success. Effective technology transfer programs established.	Fishing sector capable of participating in the development of management strategies. Positive behavioral changes by vessel operators and processors translated into market opportunities.
Insufficient institutional capacity to coordinate regional management actions (often with conflicting goals).	Ecosystem Approach to Fisheries and collaborative adaptive co-management arrangements institutionalized.	Regional adoption of best practices guidelines in fisheries management and fishing operations.
User conflicts common and poorly managed leading to overcapacity.	Improved communication and partnerships between the industry and fisheries governance bodies reduces competition among fishers.	Joint industry-government management frameworks created and in force. Public attitude on fishing sector more positive.
Inadequate and poorly coordinated monitoring, control and surveillance of resources and fisheries, and a lack of transparency.	Coordinated and cost-effective collection of relevant data and information. Expanded/improved bycatch data collection and species risk assessments in place and critical bycatch and habitat hot-spots mapped for priority setting.	Gender disaggregated data and detailed information on the composition, value and utilization of bycatch and discards publicly available to promote transparency and credibility in bycatch management. Data poor fisheries situations properly addressed.

6. Innovativeness, sustainability and potential for scaling up

Firstly, the proposed project will trigger an integrated and participatory governance approach to bycatch/discards management by involving and engaging all key stakeholders, including small and large scale fishing sectors, indigenous and non-indigenous fishers, various environmental organizations, local communities and governments, in the process. The facilitation of this kind of partnering process is extremely important and innovative compared to the past where there have been many conflicts among these stakeholders and they have not been able to agree on the road-map towards sustainable fisheries practices. The project will foster a proactive and participatory co-management process where all the key stakeholders will have the capacity to be full partners in an integrated and adaptive fisheries management decision making process. The project will equip and strengthen these stakeholders with information, tools, and various policy and institutional options. The project will work through transfer of knowledge, skill development, application and replication of best practices and development of appropriate institutional legal frameworks to support the sustainability of the new management approach.

Secondly, the project will promote and facilitate the introduction and uptake of the most innovative and cost-effective approaches, practices and technologies (e.g. low impact and fuel efficient fishing practices) for bycatch mitigation and reduction of seabed damages. Joint development of practical and functional solutions and effective incentives for change will play a particularly important role in this project. The project will ensure that development in bycatch mitigation is embedded in the overall governance process. The project aims to maximize synergies between various measures and will directly and indirectly contribute to the achievement of regional and local socio-economic and environmental benefits, and thereby a more sustainable fishery.

Thirdly, while the project will encourage participation of both men and women, some of the project components will target women in particular (and other vulnerable groups such as youth) as the main

beneficiaries. Bycatch offers opportunities to generate additional income and women often take an active role in processing and selling bycatch products. In many areas these fisheries offer job opportunities also in the fish processing where the workers are often women, making the industry a key player in gender balance. Therefore gender-disaggregated data will be collected and analysed in the proposed project to understand the gender dimensions of bycatch/discards problems and the sustainability of alternatives along the value-chain. Gender-specific views on bycatch/discards management and alternative livelihood strategies will be fed into the project components. Furthermore, the co-management and potential certification schemes supported by the project will include social criteria for working conditions in the industry and would therefore promote better quality of life quality for plant workers (mostly women) and their families and will thus generate decent and fair jobs for employees and their dependents.

Fourthly, understanding the contribution of the trawl fisheries and different components of trawl catches to livelihoods, nutrition, food security and poverty alleviation is crucially important for the development of sustainable bycatch management strategies. Therefore, improving participatory collection and analysis of data on bycatch and discards, and of collateral seabed damage, using robust standardized procedures and methods adapted to data-poor situations, will play an important role in the project. Capacity building and training activities to be developed by the project will contribute to the empowerment of the local institutions, communities and populations, taking particular actions to provide adequate support to women and youth. Furthermore, by demonstrating the potential of alternative livelihoods and by identifying alternative markets the capacity of the countries to build resilient coastal livelihoods and execute responsible fisheries will significantly increase. Identifying potential certification strategies may be an important component in the solution and may greatly help in this process.

Finally, by effective engagement of the whole fishing sector it is possible to scale up from local pilot level solutions to more effective fishing fleet wide approaches. The project will effectively feed into the other regional bycatch management projects and initiatives, and will benefit from their lessons learned. Significant synergies are expected. The harmonizing of the methods and approaches will support future up-scaling to attain high quality results.

A.2 Stakeholders. Identify key stakeholders (including civil society organizations, indigenous people, gender groups, and other as relevant) and describe how they will be engaged in project preparation.

This Project draws together a large and diverse group of stakeholders who play important roles in tropical and subtropical bottom/shrimp trawl fisheries in the region, and who, through this Project, will build on their existing collaboration. Many of these stakeholders have participated in project identification. During project preparation, they will again participate through workshops and regular communications and through a number of pilot activities. The identification of these activities will be made once appropriate selection criteria are set and necessary consultation has occurred with all stakeholders. Hereafter is a brief description (not exclusive) of the main stakeholders expected to be involved in the preparation and implementation of the Project.

National Fisheries authorities: The countries have the responsibility to ensure the conservation and management of resources in their jurisdictions. They may provide for the project policy and legal support and research, advisory and other logistic services such as facilities for field implementation of project activities. Some countries may experience constraints in terms of infrastructure and capacity, especially in terms of data collection, reporting and processing.

Private fishing sector: A key group of stakeholders in the form of both small and large scale fishing enterprises and the processors, marketers and retailers. These are the primary actors in the supply of fish products to consumers. They may provide their experience and skills, practical services such as vessel time, and detailed fisheries data to the project. The private sector is expected to take a lead role in adopting and scaling up the approaches developed by the project.

Regional Fisheries Organizations (e.g. OSPESCA, OLDEPESCA): These organizations are important regional fisheries "bodies". They aim at strengthening national capacity and regional solidarity so their members can manage, control and develop their fisheries adequately. Their formal role is advisory. They will play an important role in the project by bridging the various objectives and dimensions in their member countries.

The Caribbean Regional Fisheries Mechanism (CRFM): The Caribbean Regional Fisheries Mechanism (CRFM) is an inter-governmental organization promoting and facilitating the responsible

utilization of the region's fisheries and other aquatic resources for the economic and social benefits of the current and future population of the region. CRFM promotes the efficient management and sustainable development of marine and other aquatic resources within the jurisdiction of Member States; establishes cooperative arrangements among interested States for the efficient management of shared, straddling or highly migratory marine and other aquatic resources; and provides technical advisory and consultative services to fisheries divisions of Member States in the development, management and conservation of their marine and other aquatic resources. The CRFM consist of three bodies – the Ministerial Council; the Caribbean Fisheries Forum; and the CRFM Secretariat. CRFM has 17 member countries. Over the years, the CRFM has been collaborating with the FAO/WECAFC Ad hoc Shrimp and Groundfish Group of the Guianas – Brazil Shelf in promoting and providing technical assistance to the countries of the area to improve the management of the shrimp and groundfish fisheries. It will collaborate with FAO in the delivery of the project, including such areas as data management, fisheries assessment, governance and management, implementation of participatory approaches, and public awareness raising.

WWF: WWF is a global conservation organization with activities around the world. It promotes sustainable fisheries management with private fishing sector, communities, governments and international institutions to reduce excess fishing effort and bycatch. The project will seek collaboration and synergies with the existing relevant programs of WWF in the project region. The participation of WWF will focus among others on the following topics: (i) impact assessments to improve the performance of management actions, (ii) assessment of key drivers affecting sustainability, (iii) stakeholder consultations and promotion of sustainable fisheries practices, (iv) assistance in the development and implementation of participatory approaches (e.g. co-management), (v) development of certification standards, and (vi) public awareness raising. Collaboration with the existing relevant programs of WWF in the project region will also play a role (synergies).

NOAA: NOAA is the USA primary federal government agency charged with science and stewardship of living marine resources. It plays an active role in the provision of data, science and management of various regionally and globally important fisheries, including the project region. The NOAA Fisheries Harvesting Systems Unit, based in Pascagoula Mississippi, have been actively involved in the development and evaluation of shrimp trawl bycatch reduction mitigation technology in the Gulf of Mexico and Atlantic for more than 30 years. Unit researchers will provide support for this project by assisting in the development of a standardized experimental design for testing and evaluation of mitigation technology. Unit divers and vessel time will be provided to make in situ observations of prototype bycatch reduction technology developed during the project. Harvesting systems and fishing methods specialists from NOAA will also provide guidance on the construction, installation and use of bycatch mitigation technology.

Universities/Research Institutes: Universities and research institutes in the project region have on-going research projects and a wide know-how of fisheries and fisheries management issues relevant to the project. The Center For Marine Studies of the Federal University of Parana (Brazil) has ongoing activities including research and outreach projects related to experiments with bycatch reduction devices and the assessment of robustness of marine protected areas. Through these activities, the Center for Marine Studies will provide support and co-financing for the proposed project.

FAO: GEF agency supervising and technically back stopping the project preparation and implementation. FAO will provide technical assistance to ensure that the project activities benefit from experiences elsewhere and meet current best practices.

A.3. Risks. Indicate risks, including climate change risks, potential social and environmental risks that might prevent the project objectives from being achieved, and, if possible, propose measures that address these risks to be further developed during the project design (Table format acceptable).

Risks	Rating	Risk mitigation measures
Changes in key policies in the participating countries (beyond the control of the project) and changes in support for project objectives.	L	Through stakeholder participation in all phases of the project formulation cycle the national and regional support has been secured and will be strengthened and broadened during full project preparation and implementation. Project's priorities are in line with what stakeholders have agreed and are strongly anchored in an improved awareness among policy makers.

Insufficient capacity to support the proposed transformational changes, particularly with regard to institutional and administrative support.	M/H	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 locations, it is possible to achieve results without putting undue pressure on the existing institutions. Capacity building will be available from the Project as required.
Large number and diversity of stakeholders constrain efficient coordination and implementation of the project's activities.	L	Key stakeholders will gradually and actively support the project activities through the establishment of regional networks, partnerships and adaptive co-management arrangements. Addressing the issues of particular concern to stakeholders and demonstrating the socio-economic benefits will contribute to collective and harmonized approaches and actions among key stakeholders.
Conflicts between user groups (resource competition) and further economic downturn of the sector.	M	Co-management, participatory approach and negotiated agreements will be promoted, socio-economic benefits will be demonstrated, and conflict resolutions mechanisms will be used to minimize conflicts.
Resistance of private sector to change; no uptake of new technologies, and fishers reluctant to collaborate with the project because of short-term financial interests.	L/M	The project will engage the fishing sector to ensure that the market issues and cost-efficiencies are well understood and that proposed solutions are economically beneficial. Applying a participatory approach, demonstrating socioeconomic benefits of new solutions, and providing capacity building should gradually support the up-take.
Solutions not available that would create the expected changes while at the same time being acceptable to primary stakeholders in the context of their livelihoods, food security and poverty situation.	L/M	By working closely with fishers and other stakeholders, approaches and practices in bycatch management that are most suitable in particular local and regional situations will be selected, developed and adopted as required. Only countries with a strong commitment to improve bycatch management are from the outset partners in the project.
Lack of the motivation of fishers to comply as they will be economically disadvantaged.	M/H	The project will provide the mechanisms to effectively improve the motivation for complying with the measures mainly through better RBM and co-management arrangements. Specific activities and incentives are aimed in building motivation (rewards). The project will foster private/public communications and partnerships.
Adverse effects of climate variability and climate change driven natural disasters (e.g. damages to infrastructure, impacts of species abundance and distribution) compromise the Project's achievements.	L	Disaster risk reduction and management (tools exists and under development). Climate resilient management practices for particularly vulnerable ecosystems promoted including indicators allowing closer monitoring of the possible climate change impacts over time. Close coordination with the FAO-GEF supported "Climate Change Adaptation in the Eastern Caribbean Fisheries Sector (CCA)" project will help to address issues related to climate change.
Perverse subsidies continue.	M	Encouragement of governments to address subsidy issues.

H = High (greater than 60 percent probability that the outcome/result will not be achieved).

M = Medium (30 to 60 percent probability that the outcome/result will not be achieved).

L = Low (probability of less than 30 percent that the outcome/result will not be achieved).

A.4 Coordination. Outline the coordination with other relevant GEF financed and other initiatives.

The proposed project will coordinate and interact with a range of ongoing initiatives and projects (mentioned under section "co-financing" and other sections) related to fisheries governance and management in the region, including other FAO activities in the region, to ensure that best practices are incorporated into project's approaches.

Coordination with the Caribbean Large Marine Ecosystem (CLME) project (GEF ID:1032) will be imperative. CLME assists the Wider Caribbean Region to improve the management of their shared Living Marine Resources through an Ecosystem-Based Management (EBM) approach. The Strategic Action Programme (SAP) for the "Sustainable Management of the Shared living Marine Resources of the Caribbean Large marine Ecosystem and Adjacent Regions" that is under development at CLME will document the shared and commonly-agreed vision of the countries participating in the CLME with regard to the priority interventions,

reforms and investments that are required to ensure the sustainable provision of goods and services from living marine resources in the Wider Caribbean Region (WCR), including bycatch issues. It will as such be particularly important to coordinate activities in the proposed project with activities related to the implementation of the SAP.

Likewise, coordination with the FAO-SCCF supported “Climate Change Adaptation in the Eastern Caribbean Fisheries Sector (CCA)” project, currently under PIF preparation, will play an important role. The project will also coordinate and collaborate with REBYC-II CTI currently operational in South East Asia and other related FAO projects aimed at effective management of fishery resources and mitigation of environmental impacts of fisheries in other regions. These linkages, and those with a range of national and other initiatives, will be more expressly defined during project preparation.

B. DESCRIPTION OF THE CONSISTENCY OF THE PROJECT WITH:

B.1 National strategies and plans or reports and assessments under the relevant conventions, if applicable, i.e. NAPAS, NAPs, NBSAPs, national communications, TNAs, NCSAs, NIPs, PRSPs, Biennial Update Reports, etc.

It has generally been recognized in the Caribbean and Latin America region that there is a need to intensify the efforts for improving practices and move trawl fishing towards sustainability given the commercial importance of the species caught as bycatch and the serious impact trawling causes to the seabed environments. This process has been facilitated by the regional multi-lateral fisheries organizations. Furthermore, collaboration promoted by various NGOs (e.g. WWF) and regional programs (e.g. Caribbean Large Marine Ecosystem, CLME) related to some critical bycatch issues has played a significant role in the region. Throughout the region, rising awareness of potential climate change impact has further accentuated the concerns.

There is a plethora of national and local fisheries management strategies, plans and regulations in the project countries but they are often sectorial and weakly address the root causes related to bycatch and discards. In many cases the management of bycatch is approached as a technical issue only. The up-take of these technical measures by the fishing industry is weak and rule compliance is inadequate. There is inadequate awareness among the private fishing sector of the importance of managing the fishery resources and the need for responsible fishing. The participation of the private fishing sector in the management process has been weak although the situation has recently improved in some countries.

The national and regional priorities in bycatch management were identified and specified during the Regional Workshop on Bycatch Management and Reduction of Discards held in Costa Rica in February 2010. The workshop produced the “Puntarenas Declaration” which among others (i) expressed the growing concern of the countries on the impact of bycatch on the sustainability of fisheries, maintenance of marine biodiversity and food security in the Caribbean and Latin America region and (ii) demanded a call for support of a regional program aimed at mitigating problems associated with bycatch and discards. The workshop was attended by representatives of the fisheries administrations of 12 countries from the region and of several regional fisheries organizations (e.g. OSPESCA), other stakeholders (e.g. WWF and the National Marine Fisheries Service of the United States).

From a global perspective, this proposal promotes the implementation of the Code of Conduct for Responsible Fisheries and is consistent with the policy of the UN/FAO on issues relating to sustainable management of fisheries, including concepts such as co-management and certification/eco-labelling as well as being consistent with the Ecosystem Approach to Fisheries (EAF) and meeting the UN Millennium Development Goals (environmental sustainability and global partnership; end poverty and hunger; promote gender equality and empower women). The proposed project will implement the International Guidelines for Bycatch Management and Reduction of Discards (FAO 2011) and support the other global instruments intended to contribute to the effective conservation and management of fisheries resources. These instruments include the Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests in the Context of National Food Security (FAO 2012) and the International Guidelines for Securing Sustainable Small-Scale Fisheries (which is under final formulation and negotiation). The project will help the States better fulfil their international obligations on conservation and management of the living resources under their jurisdiction.

The proposed project will ensure effective regional cooperation for information sharing, standardization of protocols and technology transfer, and will link to related activities taking place in other regions (e.g. REBYC-

II CTI project “*Strategies for trawl fisheries bycatch management*” that is operational in 2012-2015 in SE Asia) to take full advantage of synergies, lessons learned and technical skills. The project will coordinate its activities with the CLME program to look for synergies and to secure that the outputs of the project will effectively be linked to the regional fisheries governance arrangements and support the implementation of the Strategic Action Plan on fisheries issues related to bycatch and discards which is under final formulation and negotiation. The project will also be aligned with the activities of the Western Central Atlantic Fisheries Commission (WECAFC) that is an inter-governmental forum for collaboration on marine fisheries in the Wider Caribbean Region. One of the primary goals of WECAFC is to strengthen the implementation of existing international fisheries instruments, including International Guidelines on Bycatch Management and Reduction of Discards.

Most activities in the project will be executed in the selected fisheries in the large Caribbean and adjacent regions but some pilot cases will be implemented on the Pacific coast because of the high importance of shrimp trawl fishing in the area and the specific requests from the countries in the region.

Finally, the proposed project will build on the platform developed in 2002-2008 by FAO/UNEP/GEF project “*Reduction of Bycatch in Tropical Shrimp Trawling*” (REBYC-I). Several countries in the project region participated in REBYC-I that was a global project. Technical capacity was built through that project and the countries in the region are now ready to move forward in scaling up the targets in the proposed follow-up project. This follow-up project, following the recommendation of the Terminal Evaluation of REBYC-I, takes a more holistic approach combining the gear technology aspects more effectively with improved legislation and other forms of regulation and by taking into account socio-economic considerations.

B.2 GEF focal area and/or fund(s) strategies, eligibility criteria and priorities

This proposal is at the heart of the GEF International Waters (IW) mandate. Collective and catalysing transboundary actions are urgently needed in the Latin America and Caribbean bottom trawl fisheries to address the multiple stresses they suffer to provide long-term benefits for environment, food production, economic development and regional social stability before irreversible conditions develop. Most fish and shrimp stocks targeted by the bottom trawl fisheries in the Latin America and Caribbean are shared and are fully or overexploited. These fisheries suffer from serious transboundary governance failures such as inconsistent and incoherent regulations, causing reduced food supply, deepen poverty, social instability and growing user conflicts.

The proposal is specifically aligned with the major objectives of the GEF International Waters Objective 2: Catalyze multi-state cooperation to rebuild marine fisheries and reduce pollution of coasts and large marine ecosystems (LMEs) while considering climatic variability and change. In particular, the project is aligned with its key outcome 2.2 “Institution for joint ecosystem-based and adaptive management for LMEs and local ICM frameworks demonstrate sustainability” and outcome 2.3 “Innovative solutions implemented for reduced pollution, rebuilding or protecting fish stocks with rights-based management, ICM, habitat (blue forest) restoration/conservation, and port management and produce measureable results”.

The proposed project is a critical component in the global “efforts” to reduce the ecosystem impacts and increase the socio-economic benefits in the tropical and sub-tropical multispecies bottom/shrimp trawl fishing.

B.3 GEF Agency’s comparative advantage for implementing the project

FAO has an acknowledged global mandate with competence and comparative advantage in fisheries. FAO has developed global standards and instruments for fisheries management. Of particular relevance for this project is the FAO International Guidelines for Bycatch Management and Reduction of Discards which this project is designed to facilitate and complement the implementation of at the national and regional levels. In International Waters the FAO supported instruments also includes the Code of Conduct for Responsible Fisheries; enhancing institutional, planning and management capacity for sustainable fisheries; sustainable and ecosystem-based fisheries management, including in particular technical and normative measures for the reduction of the environmental impact of fisheries. FAO has led the work on implementing an ecosystem approach to fisheries and has produced codes of practices and standards related to product safety and responsible trade, including guidelines for the eco-labelling of fish and fishery products. This comparative advantage has been recognized inter alia in FAO's lead role to develop the before mentioned International Guidelines for Bycatch Management and Reduction of Discards, and its increasing influence in improving Regional Fishery Management Organizations, and in providing major technical resources to GEF LME

programmes. To promote the implementation of these instruments, FAO has prepared toolkits; published user guides; hosted specialized training and meetings for experts; carried out gear demonstrations; sponsored workshops for skippers, inspectors and other stakeholders; and produced web-based services, videos and publications in many languages. FAO has also partnered with the other multilateral organizations and Regional Fisheries Management organizations (RFMOs) to hold a series of workshops within fisheries industry. FAO has been actively involved in supporting the bycatch management in the member countries and provides technical assistance on building data bases designed to collect and manage fisheries data.

FAO is the United Nations agency with competency in all areas of fisheries and aquaculture, and enjoys a worldwide reputation, including with its 191 member countries, for the quality and effectiveness with which it is fulfilling its mandate. FAO Fisheries and Aquaculture Department provides technical inputs to the Committee on Fisheries (COFI) which is presently the only global inter-governmental forum where major international fisheries and aquaculture problems and issues are examined. COFI is also used as a forum in which global agreements and non-binding instruments are negotiated.

FAO has a long and successful track record of building capacity and promoting regional collaboration in fisheries through its country and regional offices and also through its technical/administrative support to Regional Fishery Bodies, including CPPS (Comisión Permanente del Pacifico Sur), COOPESCAAL (Comisión de Pesca Continental y Acuicultura para América Latina y el Caribe), COPACO/WECAFC (Comisión de Pesca del Atlántico Centro Occidental), CRFM (Caribbean Regional Fisheries Mechanism), and INFOPESCA (Centro para los Servicios de Información y Asesoramiento sobre la Comercialización de los Productos Pesqueros en América Latina y El Caribe).

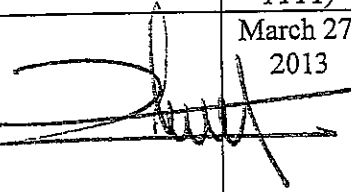
PART III: APPROVAL/ENDORSEMENT BY GEF OPERATIONAL FOCAL POINT(S) AND GEF AGENCY(IES)

A. RECORD OF ENDORSEMENT OF GEF OPERATIONAL FOCAL POINT (S) ON BEHALF OF THE GOVERNMENT(S): (Please attach the Operational Focal Points endorsement letter(s) with this template. For SGP, use this OFP endorsement letter).

NAME	POSITION	MINISTRY	DATE (MM/DD/YYYY)
Mr. Rodrigo Vieira Martins	GEF Operational Focal Point, General Coordinator for External Financing	MINISTRY OF PLANNING, BUDGET AND MANAGEMENT, SECRETARIAT OF INTERNATIONAL AFFAIRS – BRAZIL	FEBRUARY 26, 2013
Ms. Alejandra Torres Dromgold	GEF Operational Focal point, Head-International Affairs Office	MINISTRY OF ENVIRONMENT AND SUSTAINABLE DEVELOPMENT, COLOMBIA	FEBRUARY 7, 2013
Mr. Rubén Muñoz Robles	GEF Operational Focal point in Costa Rica	MINAET, DIRECCION DE COOPERACIÓN INTERNACIONAL, GOBIERNO DE COSTA RICA	JANUARY 25, 2013
Ms. Margarita Pérez Villaseñor	GEF Operational Focal Point, Deputy General Director (SHCP)	SECRETARIA DE HACIENDA Y CREDITO PÚBLICO (SHCP), MEXICO	MARCH 11, 2013
Ms. Henna Uirloo	The Permanent Secretary Environment	MINISTERI VAN ARBEID, TECHNOLOGISHE ONTWIKKELING EN MILIEU, SURINAME	JANUARY 30, 2013
Dr. Joth Singh	GEF Operational Focal Point, Managing Director (EMA)	ENVIRONMENTAL MANAGEMENT AUTHORITY (EMA), TRINIDAD AND TOBAGO	JANUARY 23, 2013

B. GEF AGENCY(IES) CERTIFICATION

This request has been prepared in accordance with GEF/LDCF/SCCF/NPIF policies and procedures and meets the GEF/LDCF/SCCF/NPIF criteria for project identification and preparation.

Agency Coordinator, Agency name	Signature	Date (MM/DD/ YYYY)	Project Contact Person	Telephone	Email Address
Laurent Thomas Officer-in-Charge Investment Centre Division Technical Cooperation Department FAO Viale delle Terme di Caracalla (00153) Rome, Italy TCI-Director@fao.org		March 27, 2013	Petri Suuronen, Fishery Industry Officer, FAO Rome and Daniela Kalikoski, Fishery Industry Officer, FAO Rome	+390657055 153 +390657055 034	Petri.Suuronen@fao.org Daniela.Kalikoski@fao.org
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