



GLOBAL ENVIRONMENT FACILITY
INVESTING IN OUR PLANET

Naoko Ishii
CEO and Chairperson

July 6, 2017

Dear Council Member:

World Bank as the Implementing Agency for the project entitled: ***Regional (Dominica, Grenada, St. Kitts And Nevis, St. Lucia, St. Vincent and Grenadines): Caribbean Regional Oceanscape Project***, has submitted the attached proposed project document for CEO endorsement prior to final approval of the project document in accordance with World Bank procedures.

The Secretariat has reviewed the project document. It is consistent with the proposal approved by Council in June 2016 and the proposed project remains consistent with the Instrument and GEF policies and procedures. The attached explanation prepared by World Bank satisfactorily details how Council's comments and those of the STAP have been addressed. I am, therefore, endorsing the project document.

We have today posted the proposed project document on the GEF website at www.TheGEF.org. If you do not have access to the Web, you may request the local field office of UNDP or the World Bank to download the document for you. Alternatively, you may request a copy of the document from the Secretariat. If you make such a request, please confirm for us your current mailing address.

Sincerely,

 Naoko Ishii
Chief Executive Officer and Chairperson

Attachment: GEFSEC Project Review Document
Copy to: Country Operational Focal Point, GEF Agencies, STAP, Trustee



**GEF-6 WORLD BANK APPRAISAL STAGE: GEF DATA SHEET
REQUEST FOR CEO ENDORSEMENT**

PROJECT TYPE: Full-sized Project
TYPE OF TRUST FUND: GEF Trust Fund

For more information about GEF, visit TheGEF.org

PROJECT INFORMATION

Project Title: Caribbean Regional Oceanscape Project			
Country(ies):	Grenada, Saint Kitts and Nevis, Saint Lucia, Saint Vincent and the Grenadines, and Dominica	GEF Project ID: ¹	9451
GEF Agency(ies):	WB (select) (select)	GEF Agency Project ID:	P159653
Other Executing Partner(s):	OECS Commission	Submission Date:	2017-06-09
GEF Focal Area (s):	Multifocal Areas	Project Duration(Months)	48
Integrated Approach Pilot	IAP-Cities <input type="checkbox"/> IAP-Commodities <input type="checkbox"/> IAP-Food Security <input type="checkbox"/>		
Name of Parent Program	[if applicable]	Agency Fee (\$):	598,500

A. FOCAL AREA STRATEGY FRAMEWORK AND OTHER PROGRAM STRATEGIES²

Focal Area Objectives/Programs	Focal Area Outcomes	Trust Fund	GEF Project Financing (\$)	Cofinancing (\$)
IW-1 Program 1 (select) (select)	Outcome 1.1: Political commitment/shared vision and improved governance demonstrated for joint, ecosystem-based management of transboundary water bodies.	GEF TF	6,000,000	13,900,000
BD-4 Program 10 (select) (select)	Outcome 10.1 Biodiversity values and ecosystem service values integrated into accounting systems and internalized in development and finance policy and land-use planning and decision-making.	GEF TF	300,000	0
(select) (select) (select)		(select)		
(select) (select) (select)		(select)		
(select) (select) (select)		(select)		
(select) (select) (select)		(select)		
(select) (select) (select)		(select)		
(select) (select) (select)		(select)		
Total project costs			6,300,000	13,900,000

B. PROJECT FRAMEWORK

¹ Project ID number will be assigned by GEFSEC.

² When completing Table A, refer to the excerpts on [GEF 6 Results Frameworks for GETE, LDCF and SCCF](#) and [CBIT Programming Directions](#).

Project Objective: strengthen capacity for ocean governance and coastal and marine geospatial planning in selected Caribbean countries.

Project Component	Grant Type	Expected Outcomes	Expected Outputs	Trust Fund	GEF Project Financing (\$)	Confirmed Cofinancing (\$)
1-Strengthening Ocean Governance	TA	Strengthened capacity for ocean governance through the development and endorsement of Coastal and Marine Spatial Plans and associated training, in a participatory manner. Strengthened National and Regional Ocean Strategies/Policies	6 six marine spatial plans (MSPs) including a regional MSP, and 4 new coastal master plans (CMPs) developed, and endorsed by member countries. 90% of stakeholder groups participating in consultations 6 Coordinating bodies formed and actively oversee the development of the national and regional level marine and coastal spatial plans At least 2 National policies developed in support of ocean governance.	GEF TF	4,000,000	1,800,000
2-Strengthening Knowledge and Capacity	TA	Improved OECS ocean data coverage and access to ocean education on existing platforms.	4 Knowledge partnerships formed to develop and/or deliver training and data on the blue economy. 75 Decision makers sensitized on how to transition to the Blue Economy. IWLearn activities completed Learning products developed on the blue economy	GEF TF	1,985,000	11,000,000
	(select)			(select)		1,100,000
	(select)			(select)		
	(select)			(select)		

	(select)		(select)		
Subtotal				5,985,000	13,900,000
Project management Cost (PMC) ³ See also note below			(select)	315,000	
Total GEF Project Financing				6300000	13900000

If Multi-Trust Fund project: PMC in this table should be the total and enter trust fund PMC breakdown here ()
Note that the PMC is slight higher than 5% since this project covers 5 countries and will generate higher project management costs compared to covering only 1 country.

C. SOURCES OF CONFIRMED COFINANCING FOR THE PROJECT BY SOURCE AND BY NAME (\$)

Please include letters confirming [cofinancing](#) for the project with this form

Sources of Co-financing	Name of Co-financier (source)	Type of Cofinancing	Cofinancing Amount (\$)
Recipient Government	OECS Commission	In-kind	2,900,000
Others	The Nature Conservancy	In-kind	4,000,000
Others	Virtual Educa Foundation	In-kind	7,000,000
Others		(select)	
(select)		(select)	
(select)		(select)	
(select)		(select)	
(select)		(select)	
(select)		(select)	
Total Co-financing			13,900,000

D. TRUST FUND RESOURCES REQUESTED BY AGENCY, FOCAL AREA AND COUNTRY¹

GEF Agency	Trust Fund	Country Name/Global	Focal Area	Programming of Funds	(in \$)		
					GEF Project Financing (a)	Agency Fee (b) ²	Total (c)=a+b
WB	GEF TF	Regional	International Waters	(select as applicable)	6,000,000	570,000	6,570,000
WB	GEF TF	Grenada	Biodiversity	(select as applicable)	300,000	28,500	328,500
(select)	(select)		(Select)	(select as applicable)			0
(select)	(select)		(Select)	(select as applicable)			0
(select)	(select)		(Select)	(select as applicable)			0
(select)	(select)		(Select)	(select as applicable)			0
(select)	(select)		(Select)	(select as applicable)			0
(select)	(select)		(Select)	(select as applicable)			0
(select)	(select)		(Select)	(select as applicable)			0
(select)	(select)		(Select)	(select as applicable)			0
Total Grant Resources					6,300,000	598,500	6,898,500

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 Refer to the [Fee Policy for GEF Partner Agencies](#)

E. DOES THE PROJECT INCLUDE A “NON-GRANT” INSTRUMENT? No

³ PMC should be charged proportionately to focal areas based on focal area project grant amount in Table D below.

(If [non-grant instruments](#) are used, provide in Annex B an indicative calendar of expected reflows to your Agency and to the GEF/LDCF/SCCF/CBIT Trust Fund).

F. PROJECT'S TARGET CONTRIBUTIONS TO GLOBAL ENVIRONMENTAL BENEFITS⁴

Provide the expected project targets as appropriate.

Corporate Results	Replenishment Targets	Project Targets
1. Maintain globally significant biodiversity and the ecosystem goods and services that it provides to society	Improved management of landscapes and seascapes covering 300 million hectares	<i>hectares</i>
2. Sustainable land management in production systems (agriculture, rangelands, and forest landscapes)	120 million hectares under sustainable land management	<i>hectares</i>
3. Promotion of collective management of transboundary water systems and implementation of the full range of policy, legal, and institutional reforms and investments contributing to sustainable use and maintenance of ecosystem services	Water-food-ecosystems security and conjunctive management of surface and groundwater in at least 10 freshwater basins;	<i>Number of freshwater basins</i>
	20% of globally over-exploited fisheries (by volume) moved to more sustainable levels	<i>Percent of fisheries, by volume</i> █
4. Support to transformational shifts towards a low-emission and resilient development path	750 million tons of CO _{2e} mitigated (include both direct and indirect)	<i>Metric tons</i>
5. Increase in phase-out, disposal and reduction of releases of POPs, ODS, mercury and other chemicals of global concern	Disposal of 80,000 tons of POPs (PCB, obsolete pesticides)	<i>Metric tons</i>
	Reduction of 1000 tons of Mercury	<i>Metric tons</i>
	Phase-out of 303.44 tons of ODP (HCFC)	<i>ODP tons</i>
6. Enhance capacity of countries to implement MEAs (multilateral environmental agreements) and mainstream into national and sub-national policy, planning financial and legal frameworks	Development and sectoral planning frameworks integrate measurable targets drawn from the MEAs in at least 10 countries	<i>Number of countries</i> 5
	Functional environmental information systems are established to support decision-making in at least 10 countries	<i>Number of countries</i> 5

⁴ Update the applicable indicators provided at PIF stage. Progress in programming against these targets for the projects per the *Corporate Results Framework* in the [GEF-6 Programming Directions](#), will be aggregated and reported during mid-term and at the conclusion of the replenishment period. There is no need to complete this table for climate adaptation projects financed solely through LDCF, SCCF and/or CBIT.

ANNEX A: PROJECT PREPARATION GRANT (PPG) REPORTING⁵

PROVIDE DETAILED FUNDING AMOUNT OF THE PPG ACTIVITIES FINANCING STATUS IN THE TABLE BELOW:

PPG Grant Approved at PIF:			
<i>Project Preparation Activities Implemented</i>	<i>GEF/LDCF/SCCF/CBIT Amount (\$)</i>		
	<i>Budgeted Amount</i>	<i>Amount Spent To date</i>	<i>Amount Committed</i>
Feasibility Studies for Comp 1 and 2, operational manual, donor roundtable	146,118	38,948	59,114
Total	146,118	38,948	59,114

ANNEX B: CALENDAR OF EXPECTED REFLOWS (if non-grant instrument is used)

Provide a calendar of expected reflows to the GEF/LDCF/SCCF/CBIT Trust Fund or to your Agency (and/or revolving fund that will be set up)

⁵ If at CEO Endorsement, the PPG activities have not been completed and there is a balance of unspent fund, Agencies can continue undertake the activities up to one year of project start. No later than one year from start of project implementation, Agencies should report this table to the GEF Secretariat on the completion of PPG activities and the amount spent for the activities; and report to Trustee on the closing of PPG in the quarterly report to Trustee.

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INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOPMENT

PROJECT APPRAISAL DOCUMENT

ON A

PROPOSED GRANT FROM

THE GLOBAL ENVIRONMENT FACILITY

IN THE AMOUNT OF US\$6.3 MILLION

TO THE

ORGANISATION OF EASTERN CARIBBEAN STATES

FOR A

CARIBBEAN REGIONAL OCEANSCAPE PROJECT (REGIONAL)

June 25, 2017

Environment and Natural Resources Global Practice
Latin America And Caribbean Region

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CURRENCY EQUIVALENTS
(Exchange Rate Effective June 2, 2017)

Currency Unit = Eastern Caribbean Dollar (XCD)

XCD 2.71 = US\$1

US\$1 = SDR 0.74

FISCAL YEAR
OECS Commission: July 1 – June 30

ABBREVIATIONS AND ACRONYMS

BD	Biodiversity
Caricom	Caribbean Community
CANARI	Caribbean Natural Resources Institute
CBF	Caribbean Biodiversity Fund
CCI	Caribbean Challenge Initiative
CLME+	Caribbean Large Marine Ecosystem
CMSP	Coastal and Marine Spatial Plan
CNFO	Caribbean Network of Fisherfolk Organizations
CLME+ SAP	Caribbean Large Marine Ecosystem and its Strategic Action Programme
CRFM	Caribbean Regional Fisheries Mechanism
CROP	Caribbean Regional Oceanscape Project
DG	Director-General
ECROP	Eastern Caribbean Regional Ocean Policy
EEZ	Exclusive Economic Zone
EU	European Union
FAO	Food and Agriculture Organization
FM	Financial Management
GDP	Gross Domestic Product
GEF	Global Environment Facility
GIS	Geographic Information System
GND	Grenada
GRS	Grievance Redress Service
HPU	Head of Procurement Unit
IFR	Interim Financial Report
IMF	International Monetary Fund
IP	Indigenous Peoples
IPF	Investment Project Financing
IPPF	Indigenous Peoples Policy Framework
IW	International Waters
IWC	International Waters Conference
IW:Learn	International Waters Learning Exchange and Resources Network
M&E	Monitoring and Evaluation

MOU	Memorandum of Understanding
MOW	Mapping Ocean Wealth
MSP	Marine Spatial Plan
MTR	Midterm Review
NDC	Nationally Determined Contribution
NLTA	Non-lending Technical Assistance
NGO	Nongovernmental Organizations
NOGC	National Ocean Governance Committee
OECS	Organisation of Eastern Caribbean States
OGT	Ocean Governance Team
PDO	Project Development Objective
PIU	Project Implementing Unit
POM	Project Operational Manual
PPSD	Project Procurement Strategy for Development
PSC	Project Steering Committee
RF	Results Framework
RPS	Regional Partnership Strategy
SAP	Strategic Action Programme
SDG	Sustainable Development Goal
SESA	Strategic Environmental and Social Assessment
SIDS	Small Island Developing States
SKN	Saint Kitts and Nevis
SLU	Saint Lucia
SSDD	Social and Sustainable Development Division
SVG	Saint Vincent and the Grenadines
TA	Technical Assistance
TNC	The Nature Conservancy
TOR	Terms of Reference
UWI-CERMES	The University of the West Indies-Centre for Resource Management and Environmental Studies
VEGA	Virtual Educa Global Alliance
WBG	World Bank Group

Regional Vice President: Jorge Familiar

Country Director: Tahseen Sayed Khan

Senior Global Practice Director: Karin Erika Kemper

Practice Manager: Paul Martin (acting)

Task Team Leader(s): Sylvia Michele Diez, Pawan G. Patil



BASIC INFORMATION

Is this a regionally tagged project? Yes	Country(ies) Dominica, Grenada, St. Kitts and Nevis, St. Lucia, St. Vincent and the Grenadines	Financing Instrument Investment Project Financing
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- Situations of Urgent Need of Assistance or Capacity Constraints
- Financial Intermediaries
- Series of Projects

Approval Date 21-Sep-2017	Closing Date 31-Dec-2021	Environmental Assessment Category B - Partial Assessment	Focal Area International waters
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Bank/IFC Collaboration No	
------------------------------	--

Proposed Development Objective(s)

The Project Development Objective is to strengthen capacity for ocean governance and coastal and marine geospatial planning in the participating countries.

Components

Component Name	Cost (US\$, millions)
Strengthening Ocean Governance	4.00
Strengthening Knowledge and Capacity	1.99
Project Management, Monitoring and Assessment	0.31

Organizations

Borrower : OECS



Implementing Agency : OECS Council

PROJECT FINANCING DATA (US\$, Millions)

Counterpart Funding

Trust Funds

Parallel Financing

Total Project Cost:

6.30

Total Financing:

6.30

Financing Gap:

0.00

Of Which Bank Financing (IBRD/IDA):

0.00

Financing (in US\$, millions)

Financing Source	Amount
Global Environment Facility (GEF)	6.30
Total	6.30

Expected Disbursements (in US\$, millions)

Fiscal Year	2018	2019	2020	2021	2022
Annual	0.48	0.95	2.10	2.76	0.00
Cumulative	0.48	1.44	3.54	6.30	6.30

INSTITUTIONAL DATA

Practice Area (Lead)

Environment & Natural Resources

Contributing Practice Areas

Climate Change



Climate Change and Disaster Screening

This operation has been screened for short and long-term climate change and disaster risks

Gender Tag

Does the project plan to undertake any of the following?

a. Analysis to identify Project-relevant gaps between males and females, especially in light of country gaps identified through SCD and CPF

Yes

b. Specific action(s) to address the gender gaps identified in (a) and/or to improve women or men's empowerment

No

c. Include Indicators in results framework to monitor outcomes from actions identified in (b)

No

SYSTEMATIC OPERATIONS RISK-RATING TOOL (SORT)

Risk Category	Rating
1. Political and Governance	Moderate
2. Macroeconomic	Moderate
3. Sector Strategies and Policies	Low
4. Technical Design of Project or Program	Moderate
5. Institutional Capacity for Implementation and Sustainability	Substantial
6. Fiduciary	Substantial
7. Environment and Social	Low
8. Stakeholders	Substantial
9. Other	
10. Overall	Moderate



COMPLIANCE

Policy

Does the project depart from the CPF in content or in other significant respects?

Yes No

Does the project require any waivers of Bank policies?

Yes No

Safeguard Policies Triggered by the Project

Yes No

Environmental Assessment OP/BP 4.01

✓

Natural Habitats OP/BP 4.04

✓

Forests OP/BP 4.36

✓

Pest Management OP 4.09

✓

Physical Cultural Resources OP/BP 4.11

✓

Indigenous Peoples OP/BP 4.10

✓

Involuntary Resettlement OP/BP 4.12

✓

Safety of Dams OP/BP 4.37

✓

Projects on International Waterways OP/BP 7.50

✓

Projects in Disputed Areas OP/BP 7.60

✓

Legal Covenants

Sections and Description

The Recipient shall maintain throughout Project implementation, with composition, resources, terms of reference and functions acceptable to the World Bank, a Project Implementation Unit.

Sections and Description

Not later than 60 days after the Effective Date, the Recipient shall appoint or ensure the appointment of representatives to, and periodically convene and ensure the appropriate functioning of, a Project Steering Committee.

Sections and Description

The Recipient shall ensure that the Participating Countries, by no later than twenty-four (24) months after



Effective Date, establish and thereafter maintain the appropriate appointment of representatives to their respective National Ocean Governance Committees

Sections and Description

The Recipient shall carry out the Project in accordance with the arrangements, procedures and guidelines set out in the Project Operational Manual.

Sections and Description

The Recipient shall ensure that the terms of reference for any consultancy in respect of any activity under the Project shall be satisfactory to the World Bank and duly incorporate the requirements of the World Bank’s Safeguard Policies then in force, as applied to the advice conveyed through such technical assistance.

Conditions

Type Effectiveness	Description The Recipient has adopted a Project Operational Manual to the satisfaction of the World Bank.
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Type Effectiveness	Description The Recipient’s execution and delivery of the Grant Agreement has been duly authorized or ratified by all necessary actions.
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PROJECT TEAM

Bank Staff

Name	Role	Specialization	Unit
Sylvia Michele Diez	Team Leader(ADM Responsible)	Marine/Coastal Sciences	GEN04
Pawan G. Patil	Team Leader	Economist	GEN06
Sonia Cristina Rodrigues Da Fonseca	Procurement Specialist(ADM Responsible)	Procurement Specialist	GGO04
Shonell Jodian Robinson	Financial Management Specialist	Financial Management	GGO22
Anders Jensen	Team Member	M&E Specialist	GENGE
Ceren Ozer	Team Member	Regional Ocean Education	GGELI



		Exchange	
Christopher James Warner	Team Member	Climate Change Adaptation	GCCFM
David I	Team Member	FM	GGO22
Lisa Lui	Team Member	Lead Counsel	LEGLE
M. Yaa Pokua Afriyie Oppong	Safeguards Specialist	Social Safeguards	GSU07
Raha Shahidsaless	Team Member		GTC04
Ramon E. Anria	Safeguards Specialist	Social Safeguards	GSU04
Shafick Hoossein	Safeguards Specialist	Environmental Safeguards	GEN05
Tatiana Cristina O. de Abreu Souza	Team Member	FM/Disbursement	WFALA
Extended Team			
Name	Title	Organization	Location
Jorge Barbosa	CROP Consultant		



OECS COUNTRIES
CARIBBEAN REGIONAL OCEANSCAPE PROJECT (REGIONAL)

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I. STRATEGIC CONTEXT

A. Country Context

1. **The small island countries of the Organisation of Eastern Caribbean States (OECS)¹ have traditionally encountered serious development challenges, coupled with low growth, high debt, and limited fiscal space to maneuver around these problems.** Starting with the global financial crisis in 2008, tourism, remittances, and financial sector activity suffered considerably, and public debt and fiscal imbalances increased sharply. OECS countries recorded a cumulative drop in output of 6 percent during 2009–12; at the same time, periodic natural disasters continued to batter their infrastructure and economies. Although, for the 2013–2015 period OECS economies started to recuperate driven by a steady recovery in tourism and the United States economy, regional growth decelerated at an estimated pace of 2.2 percent in 2016. This has slowed the performance in key sectors (i.e. tourism, construction, agriculture, and investment inflows) that was only partly offset by lower fuel prices. In line with the region’s potential output, the average regional growth rate is expected to stabilize at 2.2 percent in 2017 and over the medium term through 2019.

2. **OECS countries have not reduced poverty and unemployment rates to levels compatible with their per capita income levels.** Official poverty rates were 30.2 percent in Saint Vincent & the Grenadines (SVG), 37.7 percent in Grenada², 3.9 percent in Saint Kitts and Nevis³, and 24.1 percent in Saint Lucia. Poverty is concentrated in rural areas, and female-headed households are more likely to be poor. The already high historic unemployment rates were aggravated by the fallout of the 2008 financial crisis that significantly reduced demand for OECS exports and services. The more recent recovery in real GDP growth has helped reduce the unemployment rate (i.e. now down to 25.1 percent in SVG and 28.2 percent in Grenada), but it remains higher among youth, exceeding 30 percent in both countries.

3. **The OECS marine and coastal assets offer an unprecedented opportunity for strengthening the region’s economy and closing the gap on poverty and unemployment rates.** The OECS marine ecosystem is characterized by diverse features (i.e. coral reefs, mangroves, sea grasses, sandy beaches, and rocky shores). These features provide a wide array of goods and services that help fuel the regional economy including, among others, (a) seafood, (b) tourism and recreation, (c) coastal protection and resilience from reefs and mangroves, and (d) carbon sequestration. These key elements of the region’s economy are, however, undermined by unsustainable anthropogenic practices including poorly planned coastal development and overexploitation of marine resources. To combat unsuitable practices, continue reaping the benefits of the ocean economy, and maximize returns to eradicate poverty and catalyze sustainable

¹ Established in 1981 by the Treaty of Basseterre, this intergovernmental organization promotes economic harmonization and integration, human and legal rights, and good governance. In 2011, the Revised Treaty of Basseterre Establishing the Organisation of Eastern Caribbean States Economic Union entered into force. The organisation has seven founding and full members (Antigua and Barbuda, Dominica, Grenada, Montserrat, Saint Kitts and Nevis, Saint Lucia, and Saint Vincent and the Grenadines) and three associate members (Anguilla and the British Virgin Islands—British Overseas Territories; and, Martinique, an overseas territorial collectivity of France which joined in 2015).

² Data for 2008

³ Preliminary LFS estimates in 2013 for Saint Kitts and Nevis, and 2015 data for Saint Lucia.



development, countries must focus on integrated management approaches that are both adaptive and fully collaborative.

B. Sectoral and Institutional Context

4. **Economic growth opportunities in the Caribbean are threatened by increasing development pressures and competing interests for the use of marine and coastal resources and its ocean space.** The region is experiencing rapid growth in coastal development that is negatively affecting the natural barriers of protection against increasingly unpredictable tropical storms of greater strength. Coastal development is contributing to soil erosion and coral reef degradation both of which are directly responsible for great revenue losses in the tourism sector. Rapid development is also associated with increased marine and coastal pollution as well as competition for space and resources. As such, about 85 percent of untreated wastewater is discharged into the ocean. In addition, the region's fisheries, for example, are increasingly threatened by unsustainable fishing practices leading to an alarming decline in economically important species, such as reef fish, pelagics, conch, lobster, and shrimp. These anthropogenic threats are compounded by the impacts of climate change and variability; this is expected to increase the frequency of natural disasters, which have already caused an economic impact above 50 percent of Caribbean countries' annual GDP⁴ in specific years. The combination of these threats exacerbates conflicts among sectors and industries over resources and space in which to carry out their activities. This unsustainable pattern of development has a real effect on the future opportunities for prosperous growth and needs to be urgently addressed.

5. **The current mechanisms for planning coastal and marine development as well as for addressing user conflict and unsustainable practices are disjointed and often lack a cohesive common goal.** Resource management and strategic planning is currently performed on a sectoral basis, independent of what are often perceived as the external interests of competing industries, ministerial jurisdictions, or resource users. This disjointed planning is further limited by (a) incomplete information regarding the overall impact on the marine and coastal resource base (from all sectors and users), (b) inadequate internal capacities and skills, and (c) underdeveloped and often inadequate planning tools. Cross-sectoral collaborative values and integrated planning practices of both the marine and coastal space must be inculcated among the array of institutions operating in the Caribbean.

6. **The OECS has jurisdiction over an extensive area of marine and coastal space along with its associated living and non-living resources.** The OECS countries are characterized by a land to sea ratio in average greater than 1:80, subject to delimitation of maritime boundaries. Such a large space presents opportunities for the OECS to diversify its economy, and the application of a 'blue economy' approach, will help ensure that ocean development expands economic output, creates jobs, reduces poverty, and builds local skills while conserving the public good nature of the marine and coastal resources. Coastal and marine spatial planning are tools available to create a coordinated and forward-looking vision of the blue economy recognizing the multiple economic uses of ocean space while preserving the valuable integrity of the marine ecosystem. Therefore, a 'blue economy' approach is essential to ensure cross-

⁴ Saint Lucia (1980, 69 percent of GDP), Jamaica (1988, 65 percent of GDP), Antigua and Barbuda (1995, 71 percent of GDP), Dominica (1995, 78 percent of GDP), Saint Kitts and Nevis (1995, 85 percent of GDP; 1998, 139 percent of GDP), Honduras (1998, 81 percent of GDP), Grenada (2004, 212 percent of GDP), Guyana (2000, 56 percent of GDP), and Haiti (2010, 120 percent of GDP). Source: Charles, Keren Carla. 2013. *Fiscal Risks Related to Catastrophes in LAC*. The World Bank Group.



sectoral and multistakeholder planning in the process of addressing issues linked with conflicts over space and resources both at the national and regional levels.

7. **To promote a common approach to ocean governance (that is, pursue a blue economy⁵), the OECS has taken a first step through the adoption of the Eastern Caribbean Regional Ocean Policy (ECROP) and its Strategic Action Plan.** Endorsed by the OECS' Heads of Government in 2013⁶, ECROP guides the future use of the region's marine waters and provides a basis for enhanced coordination and management of ocean resources within the Eastern Caribbean. The OECS Commission operates within the regional mandate of ECROP which encourages the collaborative formulation of well-integrated governance frameworks capable of addressing marine user conflicts and protecting the fragile legacy of their marine environment. With few spatial planning initiatives of smaller scale adopted so far, ECROP calls for multiple-use ocean planning and integrated management techniques for better decision making over transboundary marine systems. This Project responds to such demand, through the adoption of coastal and marine spatial plans to coordinate management across sectors and resources and integrate environmental management directly with economic development. These plans will build upon early national marine planning efforts⁷ and will help Eastern Caribbean countries better understand and then reform governance of the diversity of ocean uses and economic activities, resulting in a more secure framework for sustained investment in the blue economy.

8. **At a regional level, a number of initiatives were launched to better measure and conserve the Caribbean Sea's natural capital, therefore supporting the basis for the transition to a blue economy.** For example, since 2009 the Global Environment Facility (GEF) has funded a Caribbean Large Marine Ecosystem (CLME+) Project implemented by the United Nations Development Programme, to better assess the status of the ecological systems and the region's natural capital, and support policy recommendations for conservation.⁸ Similarly, in 2013, nine Caribbean states and territories signed the Caribbean Challenge Initiative (CCI) Leaders Declaration committing to effectively conserve and manage at least 20 percent of the marine and coastal environment by 2020, together with sustainable financing mechanisms established (for example, Caribbean Biodiversity Fund [CBF]) to fund operating costs over the long term. Six OECS member states are participating in the CCI. Of these, four are currently Caribbean Regional Oceanscape Project (CROP) participating countries. Another initiative is the Climate Resilient Eastern Caribbean Marine Managed Areas Network (ECMMAN) Project (managed by the OECS Commission in partnership with TNC) which aims at establishing new marine managed areas while providing improved livelihood opportunities to the Eastern Caribbean. These and other regional initiatives will lay a strong foundation for the implementation of CROP.

C. Higher Level Objectives to which the Project Contributes

⁵ Blue Economy definition: A sustainable ocean economy, where economic activity is in balance with the long-term capacity of ocean ecosystems to support this activity and remain resilient and healthy (Economist Intelligence Unit 2015).

⁶ Endorsed at the 57th Meeting of the OECS Authority which took place at Sandals Grande Resort and Spa, in St. John's Antigua over the period June 2-4, 2013 under the Chaimanship of the Honourable Baldwin Spence, Prime Minister of Antigua and Barbuda.

⁷ National Ocean Policies in Saint Vincent and the Grenadines, and Saint Kitts and Nevis (draft); Integrated Coastal Zone Management policies in Grenada and Saint Lucia, among others.

⁸ <http://www.clmeproject.org/index.html>. Full title and scope of CLME+ Project is: Catalyzing Implementation of the Strategic Action Programme for the Sustainable Management of Shared Living Marine Resources in the Caribbean and North Brazil Shelf Large Marine Ecosystems.



9. **The proposed Project directly promotes the World Bank Group’s Twin Goals, contributes to the WBG’s OECS Regional Partnership Strategy (RPS) FY2015–2019 Framework, and to the ECROP.** More specifically, the Project directly responds to the Bank’s overarching Twin Goals (eradicating extreme poverty and promoting shared prosperity) by working toward the longer-term objectives of supporting food security, creating jobs for coastal populations, and increasing resilience to climate variability of those who depend on the marine resources, which are among the poorest and most vulnerable. The Project is also consistent with the WBG’s OECS RPS FY2015–2019 Framework, Report Number: 85156-LAC⁹, by contributing to the competitiveness and resilience areas of engagement¹⁰. In addition, the Project is aligned with ECROP and the associated Strategic Plan, which provides the framework for enhanced coordination and management of ocean resources within the Eastern Caribbean, where OECS has a key role to play in regional ocean governance¹¹.

10. **The Project is also designed to support achieving the goal of the GEF-6 International Waters (IW) focal area** - to promote collective management for transboundary water systems and subsequent policy reforms for the sustainable use and maintenance of ecosystem services. More specifically, through the development of geospatial plans and capacity building, the Project responds to IW Objective 1 of GEF VI to “catalyze sustainable management of transboundary water systems by supporting multi-state cooperation through foundational capacity building, targeted research and portfolio learning”, and to BD Objective 4 of GEF VI to “mainstream biodiversity conservation and sustainable use into production seascapes and sectors”.

11. **At the global level, the Project is well positioned to support the Sustainable Development Goals (SDGs), the Nationally Determined Contributions (NDCs), and the Convention of Biological Diversity’s Aichi targets.** This Project will directly contribute toward the achievement of SDG 14, dedicated to the conservation and sustainable use of the oceans for sustainable development, which will be an indispensable building block supporting additional SDGs such as to end poverty (SDG 1) and climate action (SDG 13), among others,¹² in the sustainable development platform. Likewise, the Project is well-positioned to contribute to the climate change policies and measures of the OECS countries, outlined in their NDCs.¹³ Finally, the implementation of the marine spatial plans (MSPs) will also contribute to achieving the Aichi targets through incorporating protected areas into spatial designs with the purpose of conserving marine and coastal ecosystems (Target 11).

⁹ Endorsed by the Board of Executive Directors on November 13, 2014

¹⁰ In particular, Outcomes 1 and 2 of the competitiveness pillar, which respectively are, improved investment climate and increased tourism benefits; and Outcome 9 of the resilience pillar, which is to increase capacity to manage natural hazards.

¹¹ The Project would support the adoption of an integrated approach to development and management of the ocean (Action 3.2), and application of MSP for improved management (Action 3.3). As such, the Project will contribute to the protection of the vital marine habitats in the Caribbean Large Marine Ecosystem (LME) to the benefit of current and future generations.

¹² The Project is also a building block to end hunger, achieve food security, and improved nutrition (SDG 2), ensure healthy lives and promote well-being for all at all ages (SDG 3), and promote sustained, inclusive and sustainable economic growth, full and productive employment, and decent work for all (SDG 8).

¹³ The NDCs of the participating OECS countries emphasize improving climate change adaptation in priority sectors such as tourism and agriculture. By taking climate change into consideration as an emerging risk, as well as reflecting adaptation and mitigation in the design of coastal and marine spatial plans, the Project provides a framework to achieve some of the NDC commitments.



II. PROJECT DEVELOPMENT OBJECTIVES

A. PDO

12. The Project Development Objective (PDO) is to strengthen capacity for ocean governance and coastal and marine geospatial planning in the participating countries.

B. Project Beneficiaries

13. **The Project involves a range of beneficiaries at the national and community levels, given the large scale of the countries' marine environment.** In particular, direct beneficiaries include ministries from various sectors, nongovernmental organizations (NGOs), Civil Society Organizations (CSOs), and academia. Project activities will be targeted to these staff (both men and women) to enhance their capacity and provide the analytical tools needed to drive the blue economy agenda in the Eastern Caribbean. Through the increased knowledge and awareness of ocean-related issues and the blue economy, professionals in Government agencies would be empowered to actively engage and influence policy trajectories (and decision making) based on primary facts and data. As key stakeholders, they would receive targeted training to carry forward ocean governance in their country long after the close of the Project.

14. **Coastal communities and their organizations (CSOs) throughout the Caribbean are key stakeholders in the Project's outcomes and indirect beneficiaries of strengthened and integrated governance for a blue economy.** Artisanal fishing communities and similar small-scale resource users (including women and youth), as integral contributors to local and informal economies often lack the recognition and/or capacity to participate in the policy processes designed to address their concerns. Through an emphasis on a participatory approach to strengthening stakeholder relations and citizen engagement (both individually and through formal CSOs), the indirect beneficiaries will be empowered to take an active role in advocating for their needs and ensuring that their vulnerabilities and concerns are addressed. As stakeholders of CROP, their views and the importance of their livelihoods were part of the consultations initiated in the preparation of the Project and will continue in the development of the coastal and marine spatial plans. This will also be the case for other coastal communities exposed to similar pressures (particularly climate change) as well as other underrepresented vulnerable citizens of society including the elderly, youth, the disabled, indigenous communities, and women, among others.

15. **Members of industry in the private sector ranging from tourism to shipping will also be indirect beneficiaries of CROP's resulting spatial planning designs.** Relevant industries and business at all levels will participate in the geospatial planning process, thereby ensuring their continued contribution to local, national, and regional economies. Furthermore, engaging these stakeholders as partners in development will pave the way for future collaboration and private investment for the implementation, enforcement, and constant update of the resulting geospatial plans—coastal and marine. In this way, the private sector plays an important dual role as potential partners and indirect beneficiaries of CROP.

16. **Women make up a large proportion of the formal tourism workforce worldwide and in the Caribbean were estimated in 2010 to account for over 55 percent of all hotel/restaurant employees according to the Global Report on Women in Tourism.** Enhancing sustainable tourism has the potential to be a vehicle for empowering women, particularly in countries such as Grenada where the sector



constitutes such a large proportion of the GDP. Additionally, women accounted for over 15 percent of direct employment in the world's primary fisheries sector, and this is far higher in the post-harvest activities such as processing and retailing. Women, as indispensable contributors to the Caribbean economy and as players in key sectors linked to the health of the Caribbean Sea, such as tourism and fisheries, are most directly affected by changes and deterioration in ecosystem function. As such, the Project will (a) foster women's participation in engagement activities to bring a powerful voice and visibility to their contribution to Caribbean economies, and (b) through this dialogue, encourage the formulation of gender-sensitive policies (reflected in the geospatial designs) for the benefit of the Caribbean's blue economy, particularly pertaining to the region's ocean-based tourism and fisheries.

C. PDO-Level Results Indicators

17. **Three PDO-level results indicators will be used to monitor the success of the proposed Project:**
- (a) Marine spatial plans developed in a participatory manner and endorsed by participating member states and the OECS Commission.
 - (b) Coastal master plans developed in a participatory manner and endorsed by participating member states.
 - (c) Improved OECS ocean data coverage and access to ocean education on existing platforms.

III. PROJECT DESCRIPTION

A. Project Components

18. This Project seeks to program grant funding from the Global Environment Facility (GEF) in the following participating GEF-eligible countries:¹⁴ Commonwealth of Dominica, Grenada, Saint Kitts (Christopher) and Nevis, Saint Lucia, and Saint Vincent and the Grenadines.

Component 1. Strengthening Ocean Governance (GEF US\$4.00 million).

19. **The objective of this component is to strengthen ocean governance through (a) development of coastal and marine spatial plans (CMSP) and associated training, and (b) development of national ocean strategies/policies for participating countries and enhanced alignment of ECROP with the 2030 Development Agenda and recent MEAs¹⁵.** The development of CMSPs and new ocean strategies and/or policies would support more informed decision making over sustainable management of ocean spaces at both national and regional levels. CMSPs are particularly important to guiding decision-making over ocean spaces and reducing conflicts over multiple uses such as marine tourism, recreation, conservation of biodiversity, fisheries, gas/oil, mining, transport, etc. CMSPs bring a spatial dimension to the regulation of marine activities by helping to establish more effective geographical patterns of sea uses within a given

¹⁴ All of the founding and full members of the OECS are participating countries in the Project with exception of Antigua and Barbuda, who may opt in at a later phase, and the Overseas Territories—Anguilla, British Virgin Islands, Martinique, and Montserrat—who are not eligible to receive GEF financing. The World Bank is exploring alternative ways of integrating the Overseas Territories into the Project.

¹⁵ Approval of ECROP in 2013 preceded the emergence of the 2030 Sustainable Development Goals (SDGs) and recent Multilateral Environment Agreements (MEAs), such as the SAMOA Pathway and Paris Climate Accord, to which the OECS member states subscribed.



area. The process of developing CMSPs and associated strategies and/or policies is designed to decrease user conflict, improve planning and regulatory efficiencies, and preserve ecologically and economically valuable ecosystem functions and services. Citizen engagement and participation in the process of developing CMSPs and ocean strategies/policies is key to achieving more equitable distribution of benefits to all groups.

20. This component will support the development of (a) six marine spatial plans (MSPs)¹⁶, including a regional MSP which is in alignment with National MSPs, and four coastal master plans (CMPs)¹⁷ – together CMSPs, and associated training; and (b) at least two national strategies and/or ocean policies for participating countries absent of a current strategy/policy. Stakeholder participation will inform every aspect of plans’ design, development, and future implementation. In gathering social data, vulnerable and underrepresented groups (including women, youth, the elderly, indigenous and/or migratory communities – essentially more broad citizen engagement), will also be targeted. This component will finance the provision of goods, consulting and non-consulting services, training, workshops and operating costs.

Component 2. Strengthening Knowledge and Capacity (GEF US\$1.99 million)

21. **The objective of this component is to strengthen knowledge and capacity of citizens and institutions for ocean governance.** Recognition of the importance of oceans and the need to sustainably manage this frontier economic development space increased significantly since the United Nations Conference on Sustainable Development (Rio+20) and for the Caribbean region in particular as evidenced by the G20 Development Working Group meeting on the Blue Economy with Caribbean finance ministers in 2015.¹⁸ Ocean governance is considered the conduct of the policy, actions and affairs regarding ocean areas – essentially, the influence and actions by multiple stakeholders - public, private, and civil society (including with broad-based support by citizens) – to ensure appropriate stewardship over marine resources, both living and non-living. Assessments have suggested that there are at least three gaps that if addressed would enhance ocean stewardship, including policy/strategy formulation for ocean governance. The three gaps include a lack of reliable and accessible data and analytics to support decision-making over ocean assets, a lack of broad-based awareness of the importance of ocean spaces and access to cost-effective ocean education for SIDS, and a lack of sustainable investment to support countries’ aspirations to transition to a blue economy. This component will address these gaps.

22. This component will strengthen knowledge and capacity of public, private, and civil society sectors by expanding access to ocean data and ocean education with innovative tools and approaches through partnerships. The Project will specifically support (a) expanding the development and use of innovative tools that aggregate and analyze marine data for improved decision-making over ocean assets; (b)

¹⁶ One MSP for each participating country, and one regional MSP.

¹⁷ Coastal Master Plan already developed in Grenada will be replicated in the other four participating countries.

¹⁸ CROP is established to support coastal and small island nations on how to fully realize the economic potential of their marine jurisdiction under the UNCLOS within the Caribbean Sea while simultaneously supporting the Sustainable Development Goal (14) for ocean conservation and use, and relevant oceans mandates under the SOMOA Pathway for SIDS. One of the targets set within this SDG goal (14) is to increase the economic benefits to Small Island Developing States (SIDS) from the sustainable use of marine resources (both living and non-living). The intention of this component is to support SIDS across the Caribbean toward these targets and to identify and unlock the economic potential and contribution of their oceans resources and coastal and marine ecosystems through the promotion and stimulation of sustainable blue growth, poverty reduction and shared prosperity.



enhancing aggregation of, and access to educational content concerning the oceans, primarily via virtual approaches; (c) supporting an investor roundtable to forge new partnerships and raise interest in investing in countries’ transition to a blue economy; and (d) strengthening collaboration with UN to help support more effective GEF-supported CLME+ SAP implementation across OECS and the Caribbean region and support for IW-Learn. This component will finance the provision of goods, consulting and non-consulting services, training, workshops, and operating costs.

Component 3. Project Management, Monitoring and Assessment (GEF US\$0.31 million)

23. **The objective of this component is to ensure effective Project implementation, monitoring of activities and final Project evaluation.** The component will finance goods, consulting and non-consulting services, training and operating costs to the Project Implementing Unit for expenditures related to Project activities, including (a) Project coordination and management, including technical, administrative and fiduciary support, and compliance with environmental and social safeguards; (b) monitoring and evaluation (M&E), data collection, and stakeholder involvement and coordination, (c) Project audits.

B. Project Cost and Financing

24. **The Project will be funded by a GEF Trust Fund grant in the amount of US\$6.3 million.** The World Bank’s instrument would be an Investment Project Financing (IPF). In addition to GEF funding, partners will be supporting in parallel¹⁹ with a total of US\$13.9 million provided by The Nature Conservancy (TNC) in the amount of US\$4 million, Virtual Educa Foundation in the amount of US\$7 million, and in-kind OECS Commission’s and participating Member States’ contributions amounting to US\$2.9 million.

Table 1. Project Cost and Financing

Project Components	Project Cost (US\$, millions)	GEF Financing (US\$, millions)	% GEF Financing
Component 1. Strengthening Ocean Governance	4.00	4.00	100%
Component 2: Strengthening Knowledge and Capacity	1.99	1.99	100%
Component 3: Project Management, Monitoring and Assessment	0.31	0.31	100%
Total Costs	6.30	6.30	100%

C. Lessons Learned and Reflected in the Project Design

25. **The Project will apply multiple lessons from projects in the Caribbean, and elsewhere, including other GEF projects.** In particular, practical experience from regional marine projects, and the technical dimension of CMSP design and implementation have generated a wealth of lessons to learn from.

- **Adoption of a long-term perspective through sustained funding and long-lasting**

¹⁹ These parallel projects are not within the scope of this Project and therefore Bank’s procurement and FM regulations does not apply as confirmed at the Decision Meeting.



collaborative partnerships. These are key areas to ensure continuity in the iterative planning and subsequent implementation of activities. The Project takes this lesson on board by emphasizing the importance of stakeholder relations, particularly with the private sector and development partners, to foster ownership of the resulting geospatial plans and build a support network for sustained investment beyond the Project implementation.

- **For regional Projects, it is critical to involve and get buy-in of all stakeholders from the different countries and regional entities early on during Project identification and design.** Key stakeholders (Government officials, private sector, academia, fisher organizations, indigenous communities, and civil society groups) have been engaged from the identification stage as part of the consultations in the 5 countries, and these have endorsed the concept and activities proposed under the Project.
- **Regional planning efforts should take the form of strategic regional frameworks rather than the traditional zoning approach.** This lesson is of great relevance to CROP considering its specific goal of delivering one regional MSP for the participating member states. The Project welcomes this lesson as an opportunity to (a) make use of the regional experience in preparing ECROP to craft a strategic regional framework of similar scope, and (b) craft such framework with built-in flexibility to allow member states currently not part of CROP to be easily integrated into the regional initiative.
- **It is key to communicate the authoritative mandate of the process as early as possible and maintain this presence throughout the duration of the Project²⁰.** This establishes legitimacy and fosters stakeholder's trust, both of which are critical for CROP's success. The Project takes this lesson on board by operating within the institutional arrangement of the OECS and within the mandate of ECROP.

IV. IMPLEMENTATION

A. Institutional and Implementation Arrangements

26. **The OECS is the recipient of the Project, and the OECS Commission is the implementing entity.** This implementation arrangement is proposed to ensure clear leadership of Project components and to facilitate strengthened regional and inter-ministerial coordination among the OECS Member States. Each participating country (GEF Operational Focal Point) has provided an endorsement letter²¹ to the World Bank/GEF authorizing this implementation arrangement.

²⁰ The leadership of the governments and that of the OECS must be communicated and remain prevalent.

²¹ Letters were submitted by: Dominica GEF Operational Focal Point (Mr. Lloyd Pascal- Ministry of Health and Environment) dated April 5, 2016; Grenada GEF Operational Focal Point (Mr. Fitzroy James - Ministry of Economic Development, Planning, Trade and International Business) dated May 5, 2016; Saint Vincent and the Grenadines GEF Operational Focal Point (Mrs. Janeel Miller-Findlay - Ministry of Economic Planning, Sustainable Development, Industry, Information and Labour) dated June 2, 2016; Saint Christopher and Nevis GEF Operational Focal Point (Mr. Lavern Queeley - Ministry of Sustainable Development) dated May 3, 2016; and Saint Lucia GEF Operational Focal Point (Ms. Caroline Eugene - Ministry of Sustainable Development, Energy, Science and Technology) dated May 3, 2016.



27. **The OECS Commission will be responsible for all Project aspects including procurement and financial management (FM), as well as technical coordination and M&E.** The Commission houses key units under the Social and Sustainable Development Division (SSDD) that will contribute to the implementation of the Project. In particular, the Ocean Governance and Fisheries Program (OGF) within the Environmental Sustainability Cluster (ESC) of SSDD, is responsible for the implementation of OECS' ECROP, and assumes a central role in the implementation of the Project. The OGF will be supported by ESC and the Commission's thematic specialists (procurement, financial management, M&E, environment, social, education, human resource, legal and communications), as well as the OECS Ocean Governance Team (OGT)²² which includes representatives from OECS Member States participating in the Project.

28. **The Project Implementing Unit (PIU) function will be discharged by the OGF which will be responsible for the day-to-day administration of the Project.** The PIU functions include coordination, technical support, procurement, FM, and reporting in accordance with the Grant Agreement and the Project Operational Manual (POM). The PIU is in place with existing OECS staff and consists of the following roles: general Project supervision by the OGF coordinator, in close collaboration with the OGT and National Ocean Governance Committees (NOGC) in participating countries, and the Commission's thematic specialists, as needed. During implementation, an additional staff will be hired to enhance capacity for Project implementation. The NOGCs, which includes sector ministries, agencies, and nongovernmental entities whose functions concern the health and wealth of the ocean, will support and provide guidance in the preparation/implementation of the coastal and marine spatial plans at the national level jointly with the OECS Commission. **A Project Steering Committee (PSC)** will be established to provide oversight and guidance in the implementation of CROP. It will be chaired by the Head of ESC and will comprise various experts from across the OECS Commission, and on a rotational basis, a member of the Ocean Governance Team from participating OECS Member States.

B. Results Monitoring and Evaluation

29. **The OECS Commission will be responsible for the overall M&E of the Project in collaboration with National Governments.** The Project's M&E system will generate timely and relevant information and analytical evidence required for assessing and managing the Project's implementation performance and ensuring progress toward meeting the PDO. The OECS Commission will oversee establishment of the M&E system to track technical, financial, social, environmental, and capacity building progress and results of the Project. This M&E system will monitor and evaluate the Project's performance in relation to the baseline situation by tracking inputs and outputs and continuously quantifying progress toward the PDO and intermediate results indicators included in the Results Framework (RF) (section VII). The PIU will be responsible for carrying out a Mid-Term Review and Final Evaluation.

C. Sustainability

30. **The Project will develop and provide participating countries with cutting-edge tools for coastal and marine spatial planning and integrated ocean governance to support their transition to a blue economy.** Through innovative education, skills and technology transfer, the Project will broker good examples and experiences from other regions of the world, to connect good practices to the region. With a focus on building in-house capacity of participating countries and the OECS Commission, trained staff

²² The OGT is established pursuant to the mandate by the OECS Authority at its 54th meeting in November 2012 to support the development and implementation of the OECS ECROP which was approved by the authority at its 56th Meeting in June 2013.



and the transferred analytical tools would remain in place long after the close of the Project. Furthermore, the CMSP tools, analyses, and policy frameworks developed would be scalable throughout OECS participating countries and beyond. For the long-term sustainability of these tools, the OECS Commission's OGF would help take these tools and experience to a larger scale in the region.

31. **The extensive partnership network created for CROP, particularly the partnerships with knowledge generating institutions, will enhance the sustainability of the resulting tools and spatial planning designs.** Universities, Foundations, NGOs and similar learning institutions/partners associated with CROP will become stewards of the technical knowledge generated during the spatial planning and design stages. Not only will this knowledge form the basis of the cutting-edge tools used to build capacity at various levels, but it can also form part of teaching curricula for the future leaders of Eastern Caribbean countries and beyond.

32. **The design of the Project will likely increase the probability of sustainability considering that consultation and buy-in from multiple stakeholders is critical to ocean governance.** Through facilitated citizen engagement, the Project aims to foster a collaborative synergy among sectoral ministries, private industries, and resource users (stakeholders at all levels) both in-country and across the region. The participatory approach of CROP – an essential aspect of ocean governance – will ensure that stakeholder voices are heard, their issues are documented and considered, and that measures to protect stakeholder interests (livelihoods, the environment, and/or the economy) are reflected in the resulting spatial designs.

33. **Consultations during Project design covered five countries with the private sector, Government officials, academia, fisher organizations, indigenous communities, and civil society groups as well as one-on-one meetings with decision makers, and included their recommendations in the design.** Engaging stakeholders is key for the success²³ and sustainability of the planning process, as they will inform every aspect of CMSP design, development, and future implementation. Therefore, a series of local, national, and regional consultations will continue to be carried out during Project implementation, including with government agencies, civil society groups, local and international NGOs, private sector operators, development partners, youth, and indigenous and/or migratory communities.

D. Role of Partners

34. **Effective partnerships are critical to meeting the Project's development objective.** The Project will actively seek to forge and formalize partnerships to support key Project activities, including data aggregation and analysis needed to support decision-making over ocean governance as well as in support of capacity building and access to ocean education. Likewise, partnerships will be forged via an ocean investors roundtable designed to raise interest in sustainable ocean investment across participating countries.

35. **In addition, the Governments of participating countries, through the OECS Commission will partner with a few select Projects/programs being implemented across the region to promote collaboration, exchange information, and enhance impact.** One such would be with the CLME+ Project²⁴,

²³ Earlier efforts, at a small scale, has improved awareness of stakeholders in Saint Vincent and the Grenadines, Grenada, and Saint Kitts and Nevis about what MSP is and the benefits it can provide to their countries.

²⁴ Collaboration with CLME+ started during preparation stage through CROP's participation in the CLME+ workshop held on November 8, 2016 to discuss the data consolidation exercise to support the Mapping Ocean Wealth platform (Subcomponent 2.1



which is an umbrella for initiatives and actions to help implement the Strategic Action Programme (SAP) for enhanced ocean health in the Caribbean. While the CLME+ Project works across the wider CLME+ region, CROP will provide a significant added value as it will put emphasis on the OECS region and focus on specific niche areas that CLME+ cannot tackle due to its large geographical scope.

36. **The proposed Project also seeks to establish formal partnership with a range of pre-identified strategic partners.** For example, the Caribbean Biodiversity Fund, established to contribute to the long-term sustainability of marine protected areas across the region, will support the eventual implementation of recommendations emerging from CMPs/MSPs (Subcomponent 1.1), and will join efforts to explore avenues to mobilize additional financial resources to further support the blue economy aspirations in the region (Sub-component 2.3). Partnership with Virtual Educa Global Alliance for innovation in education would support the development of the proposed virtual blue economy open learning campus (Sub-component 2.2). Partnership with the Mapping Ocean Wealth initiative would support the development of innovative tools for better decision making (Sub-component 2.1). Finally, there are synergies to be achieved with other donor-funded activities, such as with The Commonwealth Secretariat and the United Kingdom Foreign and Commonwealth Office. The Project will seek further collaboration with bilateral and multilateral agencies to better integrate existing expertise and data to enhance Project outcomes.

V. KEY RISKS

A. Overall Risk Rating and Explanation of Key Risks

37. The overall risk rating for the Project is “Moderate”. The main sources of risk identified are:

- (a) **Institutional capacity for implementation and sustainability.** The Project design uses a single operation to support several sectors in several countries. Institutional capacity remains uneven among the OECS countries, and implementation pace may be varied as a result. The Project addresses this risk by strengthening capacity building of Government officials for delivery of new policies for the blue economy and establishing a support network among the OECS Commission, public agencies and academia that can continue to enhance delivery capacity long after the close of the Project. To support the planning efforts over the long term, the Project has also built in a subcomponent to facilitate the mobilization of additional parallel financing resources for the implementation of the CMSPs by leveraging investment from different sources, including the private sector. In addition, TA will be provided to the OECS Commission through the Caribbean Regional Oceanscape Program NLTA (P153427)²⁵, which was established to strengthen the capacity of Caribbean countries in adopting innovative and collaborative approaches in their transition to a blue economy.
- (b) **Stakeholders.** The benefits of a fully participatory and transparent process are immense but these are at risk if proper stakeholder management systems and support mechanisms are not established. The Project is designed to maximize citizen engagement with the aim of fostering ownership, facilitate eventual implementation, and ensure sustainability. The Project will attempt to launch a ‘stakeholder engagement forum’ potentially as a web-based platform, to

of CROP).

²⁵ And other Bank technical assistance initiatives.



manage stakeholder relations and ensure continuous citizen engagement throughout the Project cycle and beyond. The participatory approach of CROP will ensure that all voices are heard and that measures to protect stakeholders' interests are reflected in the resulting spatial plans.

- (c) **Fiduciary risk.** Although the OECS Commission has experience in World Bank projects of at least similar size, this Project is the first implemented by the OECS Commission subject to the new Procurement Policy and Regulations. The Commission's procurement specialist has been trained in the new regulations; however, the absence of experience in adopting the new regulations warrants close support from the World Bank and tailored training to ensure a smooth implementation of the procurement plan.

VI. APPRAISAL SUMMARY

A. Economic and Financial (if applicable) Analysis

38. **The technical assistance (TA) nature of the Project does not lend itself to conducting a traditional economic and financial analysis.** As an alternative, the analysis shows a review of the costs and benefits related to a healthy ocean which corresponds to the main objective of this Project. By strengthening ocean governance through CMSPs, and providing state-of-the-art analytical tools, as well as educational approaches for better decision making over marine assets, more informed and integrated decisions can be made. In the absence of relevant knowledge and improved data, it becomes extremely difficult for countries and institutions to manage healthy oceans, formulate suitable policies, and take steps to minimize negative impacts. While the demand for improved capacity and filling in knowledge and data gaps is clear, it is the combination of financing and capacity building that makes this Project a cost-effective solution to address this demand.

39. **The ocean and its marine ecosystems play a central role in the livelihoods, food security, and economic development of the OECS.** By building the MSP capacity for an integrated ocean governance framework, the Project, in the long-term, is expected to enhance the health of the country's marine ecosystems and the globally significant biodiversity they support, and the additional services these ecosystems provide, such as seafood, tourism and recreation, coastal protection and carbon sequestration, among others. A healthy ocean drives travel and tourism for the countries. For example, in Grenada, the sector currently directly and indirectly contributes/supports around 24 percent of GDP and 22 percent of total employment, forecast to rise to 28 percent and 27 percent, respectively, by 2025 (World Travel and Tourism Council, 2015).²⁶ These benefits are tied to the health of the marine ecosystems under the OECS countries' jurisdiction and are expected to grow with the implementation of integrated governance frameworks for a blue economy, drawing upon MSP and other Project interventions. In aggregate, the Project would increase coordination among Government agencies for the effective management of the country's marine ecosystems, resulting in global environmental benefits.

²⁶ <https://www.wttc.org/-/media/files/reports/economic%20impact%20research/countries%202015/grenada2015.pdf>



B. Technical

40. **The Project has been informed and designed based on a solid analytical base, backed by targeted background studies²⁷ for the region, and lessons learned from related operations in the Caribbean and other regions.** The Project design draws from these analyses to ensure that interventions are linked to the current challenges and opportunities in the region. Drawing upon the growing body of experience with MSP, the Project will connect the marine geospatial analysis, mapping, improved data, knowledge services and policy to the five Governments and the OECS Commission to build the region's capacity to develop, implement, monitor, and adjust blue economy policies and plans. In particular, findings and recommendations from a recent World Bank in-depth analytic report "Toward a Blue Economy: A Promise for Sustainable Growth in the Caribbean", informs this Project, and translates the conceptual blue economy framework into Project interventions. The World Bank's convening power is a critical asset to the Project as it fosters cooperation across sectors and boundaries and supports participating countries in the implementation of the institutional and capacity building efforts advocated by the Project.

41. **Without this intervention, Governments across the OECS region would be less likely to introduce the safeguards needed to prevent further degradation of its coral reefs and other marine habitats, declining fish stocks and decreasing water quality, or to create the incentives for investment in restoration.** CROP provides the capacity needed by Governments to establish a coordinated and integrated policy framework, that can help guide projected expansion in economic activity across OECS waters. The Project offers a platform for spatial analysis, policy development, training, and monitoring, to help support the regions' blue economy aspirations. The policy frameworks and agency capacity would support the enhancement of water quality, protection of natural habitats, and rebuilding of key fish stocks throughout the countries' waters.

C. Financial Management

42. **The FM of the Project will be undertaken by the OECS Commission, which is currently implementing three World Bank-financed projects.** The World Bank performed an FM assessment of this proposed Project in accordance with OP/BP 10.00 and the Financial Management Practice Manual (issued by the Financial Management Sector Board on March 1, 2010). The OECS Commission is experienced in implementing World Bank-financed projects and has in place an FM system that should be able to provide, with reasonable assurance, accurate and timely information on the status of the funds as required by the World Bank. The overall FM risk rating assigned to this Project is Moderate, given that the PIU is an existing implementing entity and is conversant with the World Bank's policies and guidelines.

D. Procurement

43. **The Project has been identified as an early adopter of the World Bank's new procurement policy.** Procurement for the Project shall be carried out in accordance with the World Bank's Procurement Regulations for IPF Borrowers for Goods, Works, Non-Consulting, and Consulting Services dated July 1, 2016, hereinafter referred to as 'Regulations'. The Project shall be subject to the World Bank's Anticorruption Guidelines, dated October 15, 2006, and revised in January 2011 and as of July 1, 2016. The capacity assessment of the implementing agency to implement procurement for the Project was

²⁷ Feasibility and scoping studies commissioned to support Components 1 and 2 of the Project.



carried out for the OECS Commission. The OECS Commission (through its procurement team) will be responsible for all procurement activities under the Project. They will be directly responsible for the procurement related to all goods, and consulting and non-consulting services. The Project does not envisage the procurement of works.

44. **The Project Procurement Strategy for Development (PPSD) was prepared in collaboration with the client and will inform the Procurement Plan.** Under the new policy, the PPSD is used to analyze and determine the optimum procurement approach to deliver the right procurement result. The PPSD is a methodology to determine the right procurement approach to achieve the Project objectives. It served as a basis for preparing the Procurement Plan and required the strategic assessment of the operating context and the beneficiaries' capabilities, as well as an understanding of the market, the different stakeholders, and the risks affecting the procurement processes. The PPSD assessed the different strategy options to select the preferred procurement strategy. The lessons learned from previously implemented similar projects were also considered in the evaluation of the different strategy options.

E. Social (including Safeguards)

45. **Based on the nature of the Project, it has been determined that World Bank-financed activities will be limited to TA.** Therefore, it will follow the Guidelines on the Application of Safeguard Policies to Technical Assistance in World Bank-financed projects. As such, it was determined that the typology of the TA under the Project corresponds to 'Type 3: Land use planning or natural resources management (NRM)', which refers to Coastal Zone Management. Based on this typology of TA, coastal resources management plans may affect local and indigenous peoples (IP) communities, restrict access to forest and marine resources, may lead to future land acquisition and resettlement for strengthening or establishing new protected areas, and raise concerns on sensitive sites within or in the periphery of the urban area, for example, historical sites and natural habitats. Furthermore, future urban planning may cause induced impacts on use of resources in urban periphery and relocation. As such, two social safeguards policies have been triggered: Indigenous Peoples (OP 4.10) and Involuntary Resettlement (OP/BP 4.12). See Annex 2 for details.

F. Environment (including Safeguards)

46. **This Project has been classified as Category B in accordance with the World Bank policy on Environmental Assessment (OP/BP 4.01).** The application of environmental safeguards policies follows the Guidelines on the Application of Safeguard Policies to Technical Assistance (TA) - Type 3 typology. The coastal policies and reforms supported by the Project are expected to have a positive effect on the five countries' marine environment and subsequently its economy, as they will foster improved environmental governance and marine environmental management. The Project does not include investments that entail civil works or construction; however, the principal economy-wide risk from the Project would arise in the event that the strategic options fail to achieve their objectives thereby creating unexpected indirect adverse impacts through the unintended creation of incentives to unsustainably use the ocean. Three environmental safeguards policies have been triggered: Environmental Assessment (OP/BP 4.01), Natural Habitats (OP/BP 4.04), and Forests (OP/BP 4.36). See Annex 2 for details.

G. Other Safeguard Policies (if applicable)

47. No other safeguard policies are triggered for the Project.



H. World Bank Grievance Redress

48. **Communities and individuals who believe that they are adversely affected by a World Bank Group (WBG) supported Project may submit complaints to existing Project-level grievance redress mechanisms or the WBG's Grievance Redress Service (GRS).** The GRS ensures that complaints received are promptly reviewed in order to address Project-related concerns. Project affected communities and individuals may submit their complaint to the WBG's independent Inspection Panel which determines whether harm occurred, or could occur, as a result of WBG non-compliance with its policies and procedures. Complaints may be submitted at any time after concerns have been brought directly to the World Bank's attention, and Bank Management has been given an opportunity to respond. For information on how to submit complaints to the World Bank's corporate Grievance Redress Service (GRS), please visit <http://www.worldbank.org/en/projects-operations/products-and-services/grievance-redress-service>. For information on how to submit complaints to the World Bank Inspection Panel, please visit www.inspectionpanel.org.



VII. RESULTS FRAMEWORK AND MONITORING

Results Framework

COUNTRY : OECS Countries

Caribbean Regional Oceanscape Project

Project Development Objectives

The Project Development Objective is to strengthen capacity for ocean governance and coastal and marine geospatial planning in the participating countries.

Project Development Objective Indicators

Indicator Name	Core	Unit of Measure	Baseline	End Target	Frequency	Data Source/Methodology	Responsibility for Data Collection
Name: Marine spatial plans (a) developed in a participatory manner, and (b) endorsed by participating member states and the OECS Commission.		Number	0.00	6.00	Annually	Review of proceedings of consultation workshops and review of endorsement letter of the marine spatial plans.	OECS Commission and national governments.

Description: Cumulative targets.

This indicator measures the strengthened capacity in development of specific geospatial plans and ocean governance.



Indicator Name	Core	Unit of Measure	Baseline	End Target	Frequency	Data Source/Methodology	Responsibility for Data Collection
<p>Marine Spatial Plans developed for participating member states of the OECS and for the eastern Caribbean region.</p> <p>The participatory approach of CROP will ensure that all voices are heard, including those of women, and that measures to protect citizen interests are reflected in the resulting spatial designs.</p>							
Name: Coastal master plans (a) developed in a participatory manner, and (b) endorsed by participating member states		Number	1.00	5.00	Annually	Review of proceedings of consultation workshops/and review of endorsement letter of coastal master plans	OCS Commission and National Governments.
<p>Description: Cumulative targets.</p> <p>This indicator measures the strengthened capacity in development of specific geospatial plans and ocean governance.</p> <p>Coastal Plans made for individual member states of the OECS participating in CROP. Grenada has already prepared and endorsed a coastal master plan and it will be enhanced to include environmental considerations. This plan will be used as a model for other countries.</p> <p>The participatory approach of CROP will ensure that all voices are heard, including those of women, and that measures to protect citizen interests are reflected in the resulting spatial designs.</p>							
Name: Improved OECS ocean data coverage and access to ocean education on existing platforms.		Yes/No	N	Y	Annually	Review of social/economic/environmental data included on the Mapping Ocean Wealth (http://oceanwealth.org)	OECS Commission and national governments



Indicator Name	Core	Unit of Measure	Baseline	End Target	Frequency	Data Source/Methodology	Responsibility for Data Collection
<p>Description: Annual targets.</p> <p>This indicator measures capacity for ocean governance of the PDO.</p> <p>Caribbean specific ocean and blue economy (social/economic/environmental) data is consolidated and provided via open access through existing platform - Mapping Ocean Wealth and Virtual Educa.</p> <p>Improved data coverage includes new and existing ocean information and data from across the OECS</p>							

Intermediate Results Indicators

Indicator Name	Core	Unit of Measure	Baseline	End Target	Frequency	Data Source/Methodology	Responsibility for Data Collection
Name: 1.1- Share of stakeholder groups participating in consultations		Percentage	0.00	90.00	Semi-annual	Review of consultation proceedings	OECS Commission and national governments
<p>Description: Cumulative targets.</p> <p>This indicator is linked to PDO#1 and #2.</p> <p>Stakeholder groups participating in the consultations will establish the social context to inform the development of the marine and coastal spatial plans and associated policies.</p>							



Indicator Name	Core	Unit of Measure	Baseline	End Target	Frequency	Data Source/Methodology	Responsibility for Data Collection
<p>Stakeholder groups as defined by feasibility assessment undertaken in preparation of Component 1.</p> <p>Stakeholder groups will include diverse gender and age groups.</p>							
Name: 1.2 - Coordinating bodies formed and actively oversee the development of the national and regional level marine and coastal spatial plans		Number	1.00	6.00	Semi-annual	Letter of formation to OECS Commission; and minutes of meetings.	OECS Commission and national governments.
<p>Description: Cumulative targets.</p> <p>This indicator is linked to PDO#1 and #2.</p> <p>This indicator assesses the formation and active engagement of coordinating bodies at the national level and regional level (currently OECS Ocean Governance Group) regarding the regional and national marine and coastal spatial plans and decision making.</p>							
Name: 1.3 National policies developed in support of ocean governance.		Number	3.00	5.00	Semi-annual	Review of policies developed	OECS Commission and national governments.
<p>Description: Cumulative targets.</p> <p>This indicator is linked to all PDO indicators.</p> <p>Development of national policies in support of ocean governance, and blue economy. The three baseline policies refer to ECROP, and National Ocean Policies for Saint</p>							



Indicator Name	Core	Unit of Measure	Baseline	End Target	Frequency	Data Source/Methodology	Responsibility for Data Collection
Kitts and Nevis and Saint Vincent and the Grenadines (draft).							
Name: 2.1 - Decision makers sensitized on how to transition to the Blue Economy.		Number	0.00	75.00	Semi-annual	Review of training provider reports.	OECS Commission and national governments
<p>Description: Cumulative targets.</p> <p>This indicator is linked to all PDO indicators.</p> <p>Various trainings to increase awareness and sensitize individual (unique) decision makers (those responsible for making decisions over ocean assets) from public, private and civil society on Caribbean ocean sustainability and implementation of blue economy policies.</p> <p>Gender information will be collected and disaggregated.</p>							
Name: 2.2 - Knowledge partnerships formed to develop and/or deliver training and data on the blue economy.		Number	0.00	4.00	Semi-annual	Review of partnership MOU's or equivalent.	OECS Commission and national governments
<p>Description: Cumulative targets.</p> <p>This indicator is linked to all PDO indicators.</p> <p>Collaborative partnerships with knowledge institutions and content providers (e.g. Universities, Foundations) for the development and/or delivery of relevant training and data on the blue economy.</p>							



Indicator Name	Core	Unit of Measure	Baseline	End Target	Frequency	Data Source/Methodology	Responsibility for Data Collection
Name: 2.3 - Learning products developed on the blue economy		Number	0.00	4.00	Semi-annual	Review of learning products prior to delivery	OECS Commission and national governments
<p>Description: Cumulative targets.</p> <p>This indicator is linked to PDO#3 Learning products (including courses, webinars, publication, etc) for Project’s beneficiaries of all interests and levels of technical expertise.</p>							



Target Values

Project Development Objective Indicators

Indicator Name	Baseline	YR1	YR2	YR3	YR4	End Target
Marine spatial plans (a) developed in a participatory manner, and (b) endorsed by participating member states and the OECS Commission.	0.00	0.00	0.00	3.00	6.00	6.00
Coastal master plans (a) developed in a participatory manner, and (b) endorsed by participating member states	1.00	1.00	2.00	3.00	5.00	5.00
Improved OECS ocean data coverage and access to ocean education on existing platforms.	N	N	N	Y	Y	Y

Intermediate Results Indicators

Indicator Name	Baseline	YR1	YR2	YR3	YR4	End Target
1.1- Share of stakeholder groups participating in consultations	0.00	60.00	75.00	80.00	90.00	90.00
1.2 - Coordinating bodies formed and actively oversee the development of the national and regional level marine and coastal spatial plans	1.00	4.00	6.00	6.00	6.00	6.00
1.3 National policies developed in support of	3.00	3.00	3.00	3.00	5.00	5.00



Indicator Name	Baseline	YR1	YR2	YR3	YR4	End Target
ocean governance.						
2.1 - Decision makers sensitized on how to transition to the Blue Economy.	0.00	0.00	25.00	50.00	75.00	75.00
2.2 - Knowledge partnerships formed to develop and/or deliver training and data on the blue economy.	0.00	0.00	1.00	2.00	4.00	4.00
2.3 - Learning products developed on the blue economy	0.00	0.00	1.00	3.00	4.00	4.00



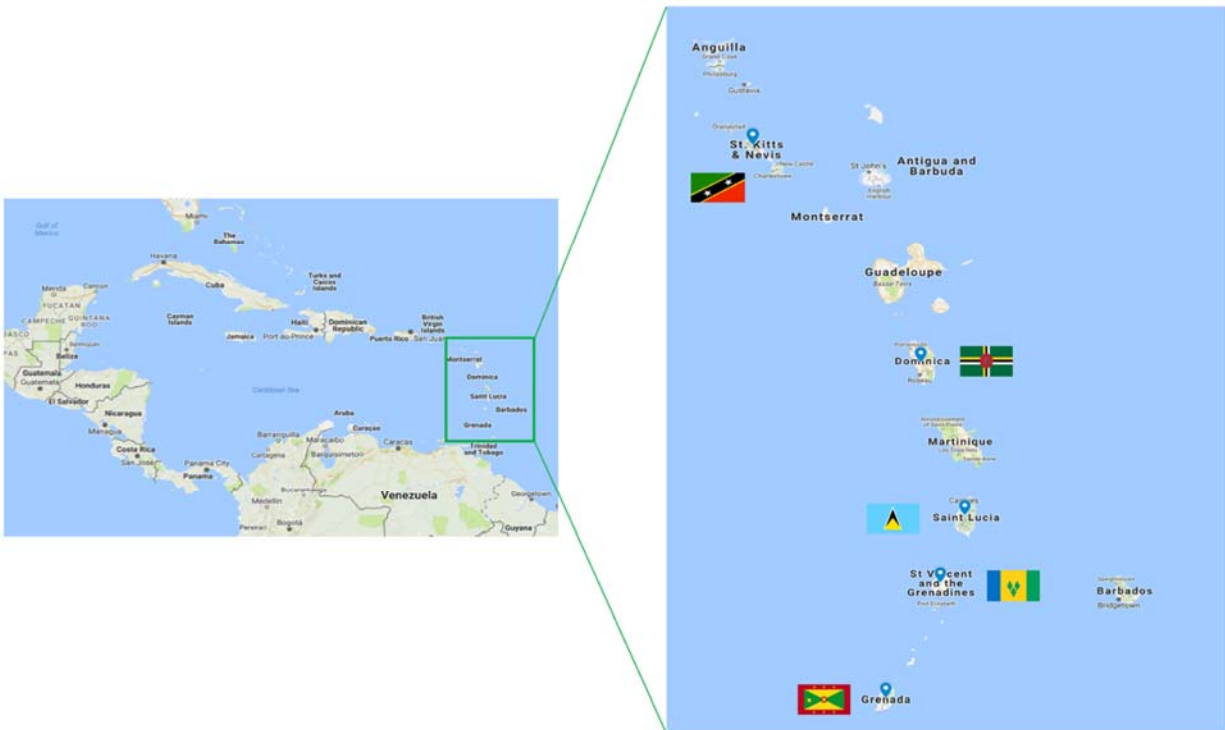
ANNEX 1: DETAILED PROJECT DESCRIPTION

COUNTRY: OECS Countries
Caribbean Regional Oceanscape Project (Regional)

Project Components

1. The proposed regional Project will help support the participating Eastern Caribbean countries to achieve their transition to a blue and, therefore, sustainable ocean economy. This Project seeks program grant funding from the GEF and will target the following GEF eligible countries:²⁸ Grenada, Saint Kitts and Nevis, Saint Lucia, Saint Vincent and the Grenadines, and Dominica (figure 1.1). It is expected that the geographical coverage of the Project will increase in the future, if additional funding is available and provided implementation progress is assessed as satisfactory. Therefore, this Project is envisioned as a program to support countries across the OECS and wider Caribbean transition to a blue economy. The Project Development Objective (PDO) of the proposed Caribbean Regional Oceanscape Project (CROP) is to strengthen capacity for ocean governance and coastal and marine geospatial planning in the participating countries.

Figure 1.1. OECS Member States Participants of CROP



²⁸ All of the founding and full members of the OECS are participating countries in the Project with the exception of Antigua and Barbuda, who may opt in at a later phase, and the Overseas Territories—Anguilla, British Virgin Islands, Martinique, and Montserrat—who are not eligible to receive GEF financing. The World Bank is exploring alternative ways of integrating the Overseas Territories into the Project.



Component 1. Strengthening Ocean Governance (GEF US\$4 million)

2. **The objective of this component is to strengthen ocean governance through (a) development of coastal and marine spatial plans (CMSP) and associated training, and (b) development of national ocean strategies/policies for participating countries and enhanced alignment of ECROP with the 2030 Development Agenda and recent MEAs²⁹.** The development of CMSPs and new ocean strategies and/or policies would support more informed decision making over sustainable management of ocean spaces at both national and regional levels. CMSPs are particularly important to guiding decision-making over ocean spaces and reducing conflicts over multiple uses such as marine tourism, recreation, conservation of biodiversity, fisheries, gas/oil, mining, transport, etc. CMSPs bring a spatial dimension to the regulation of marine activities by helping to establish more effective geographical patterns of sea uses within a given area. The process of developing CMSPs and associated strategies and/or policies is designed to decrease user conflict, improve planning and regulatory efficiencies, and preserve ecologically and economically valuable ecosystem functions and services. Citizen engagement and participation in the process of developing CMSPs and ocean strategies/policies is key to achieving more equitable distribution of benefits to all groups.

3. This component will support the development of (a) six marine spatial plans (MSPs)³⁰, including a regional MSP which is in alignment with national MSPs, and four new coastal master plans (CMPs)³¹ – together CMSPs, and associated training; and (b) at least two national strategies and/or ocean policies for participating countries absent of a current strategy/policy. Stakeholder participation will inform every aspect of plans' design, development, and future implementation. In gathering social data, vulnerable and underrepresented groups (including women, youth, the elderly, indigenous and/or migratory communities – essentially more broad citizen engagement), will also be targeted. This component will finance the provision of goods, consulting and non-consulting services, training and operating costs.

Subcomponent 1.1. Develop Coastal and Marine Spatial Plans and Training (GEF US\$3.47 million)

4. This subcomponent will support improved decision making over the use of participating countries' coastal zones and Exclusive Economic Zones (EEZs), legally demarcated as up to 200 nautical miles from the coastal zone. The subcomponent would finance (a) the development of four **Coastal Master Plan** (CMPs), and (b) six **Marine Spatial Plans** (MSPs) including a regional MSP which is in alignment with National MSPs– together CMSPs, and (c) associated **training**³².

Activity (a): Coastal Master Plans (CMPs) (GEF US\$0.73 million)

²⁹ Approval of ECROP in 2013 preceded the emergence of the 2030 Sustainable Development Goals (SDGs) and recent Multilateral Environment Agreements (MEAs), such as the SAMOA Pathway and Paris Climate Accord, to which the OECS member states subscribed.

³⁰ One MSP for each participating country, and one regional MSP.

³¹ The Coastal Master Plan already developed by Grenada will be further enhanced by incorporating cutting-edge marine and coastal data, including biodiversity considerations and by fostering restoration and where needed, protection of coastal and marine systems and their watersheds as assessed by Grenada's Blue Innovation Institute and associated stakeholder consultation. Grenada's CMP prototype will be replicated in the other four CROP participating countries.

³² Training in MSP and Coastal planning is embedded in each of the corresponding activities.



5. *Coastal Master Plans* to support blue growth in each participating country are modeled after Grenada's Blue Growth Coastal Master Plan (prepared with support from Kingdom of the Netherlands and World Bank in 2016). The Project will explicitly support Saint Kitts and Nevis, Saint Lucia, Saint Vincent and the Grenadines, and Dominica to develop similar plans for their countries. This will be conducted through three stages:

-Stage 1: Data Gathering and Multi-stakeholder consultations to develop a national vision for coastal development and blue growth. The aim of this activity is two-fold: a) Data collection focusing on identification of all human coastal uses, ecologically important areas, preexisting and future infrastructure (including blue/green infrastructure), management policies, topography, demographics, areas of conflict and compatibilities, among others; and b) Data validation through national multi-stakeholder consultations with key stakeholders, including focused discussions on the planning process and sustainability aspects of the masterplan.

-Stage 2: Identify Blue Growth Focus Areas and Planning Options. The CMPs in first instance will be informed by preexisting master plans and coastal development plans and further refined, making use of the coastal assessment and stakeholder data gathered in the first stage of coastal planning. Blue growth focus areas will be identified on the basis of their mixed use: sectoral influence (fisheries, shipping, tourism, and so on), customary local use (artisanal fisheries and so on), and ecological sensitivity. Grenada, for example, identified nine blue growth focus areas including ocean research zones, coastal residential zones, shipping industry zones, etc. Likewise, the four new coastal plans for the remaining CROP countries will analyze the infrastructural needs for blue growth ensuring full stakeholder participation and validation at various levels. The mapping techniques utilized in the MSP will be employed in the coastal planning.

-Stage 3: Preparation of the final blue growth master plan. The aim of this stage is to a) refine planning concepts for high priority projects; b) develop market sector investment prospectus; and c) Present the CMP to Government and Key Stakeholders. In the final stage of coastal planning, the full conceptualization of high priority projects and/or zones will be presented along with the associated regulatory policies, incentives, and institutional arrangements for managing the coastal space. Regulatory measures and their associated incentives will be sector-specific taking into additional consideration the potential close linkages with marine and/or inland policies.

Activity (b): Marine Spatial Plans (GEF US\$2.74 million)

6. This activity will finance (i) Collection of temporal and dynamic data and undertaking of a gap analysis (including fixed natural marine assets, wind and current data, migratory species, among others); (ii) Development of inventory of current and future/planned economic use patterns of ocean areas; (iii) Geospatial analysis; (iv) National/regional consultations of marine spatial plans; and (v) Creation of spatial data infrastructure at OECS Commission accessible to participating countries³³. This subcomponent will finance goods, consulting and non-consulting services.

Collection of temporal and dynamic data and undertaking of a gap analysis

³³ Marine and coastal spatial data.



7. The central task of the MSP (as well as of the CMP) is to identify the mosaic of human uses and ecological functions that exist in the marine space of the participating countries. The data collection will occur in parallel with stakeholder engagement activities and in collaboration with different technical partners. The aim of this exercise will be to collect the **environmental and social data** (for example, important ecological areas and human activities of relevance) necessary to formulate the CMSPs. Additionally, under this activity, a gap analysis of the availability and accessibility of the data needed for the creation of the CMSP will be conducted.

8. **Environmental data.** Ecological/oceanographic data, for example, would be compiled from the archives of national universities and other relevant knowledge generating institutions of each member state. Data from the scientific literature, expert scientific opinion or advice, government sources, and local knowledge (for example, fishing communities) will be equally important in these efforts. Data compiled in this manner will be validated through acceptable methodologies.

9. **Social data.** Stakeholder participation will facilitate the production of data about and with communities. For example, if technically and logistically feasible, participatory geographic information system (GIS) and mapping exercises (community mapping) with key stakeholders could be employed to gather additional data and draft preliminary maps. In gathering social data, the vulnerable and underrepresented groups including women, youth, the elderly, indigenous and migratory communities etc. will be given due consideration. Data provided by vulnerable groups, will facilitate the modeling and mapping of migration and/or resource use trends to be addressed by the CMSPs.

10. A gap analysis will be conducted with regards to the availability and quality of data. This analysis will also include discussions on the associated procurement needs and mechanisms to close the gap – e.g.: sourcing the data and estimations of the resources needed to acquire and managing it.

Inventory Current and Future/Planned Economic Use Patterns of Ocean Areas

11. The social and environmental data collected will inform both current patterns of resource use as well as potential future needs associated to growing demands for resources and space. The data will, in first instance, be used to describe current uses of the marine and coastal space and to identify, assess, and validate potential conflicts and compatibilities between environmental and social aspects. This information can be used to visualize the spatial needs to accommodate business as usual over the long-run. Likewise, historical trends of growth in for example specific industries (e.g.: fisheries, shipping etc.) or in coastal development can be used to Project future alternate scenarios with varying degree of competition for resources and space. In addition to already existing demands on the marine space and expected trends of growth, the projections exercise will also attempt to identify evolving new demands and/or use patterns to be taking into consideration. Such demands may include space for wind energy, new extractive pressures (e.g.: sea bed mining), altered trends of human migration due to climate change-related issues, among others. All alternate scenarios and projections of planned economic use will be validated through stakeholder consultations.

Geospatial Analysis

12. Once the initial inventory of relevant ecological and oceanographic data and use scenarios has reached representative proportions (that is, data for all countries and most ecological attributes and



expected uses), further analysis will take place. This will include a) **Mapping conflicts and/or compatibilities** among resources users (social aspects) and among resource use and important ecological functions/natural processes (e.g.: removal of corals for developing new shipping ports etc.)³⁴; and b) **Zoning** of the marine space, a common approach used to formulate MSPs. Zones, depicted within maps and/or nautical charts, will help visualize appropriate resource use boundaries with their associated ecological overlap both in support of the overall vision for the – mutually agreed – ideal future economic use of the marine space. Zones (informed by the conflict/compatibility maps above) will incorporate layers of visualization depicting ecologically fragile areas such as for example areas currently affected by climate change (bleached or damaged coral) as well as areas identified as useful for future economic activity to name a few. Zones will also inform the coastal planning and additional policy formulation for both marine and coastal spaces; this, in alignment with the integrated approach to resource management also known as ecosystem based approach.

13. The zoning visualizations will be validated with stakeholders to further address compatibilities and/or conflict as well as to ensure that the proposed zones guide the path toward the optimal vision for the marine space. The resulting plan will be analyzed against the SESA, IPPF, Process Framework, and Involuntary Resettlement Policy Framework—all performed for safeguards compliance—to ensure that all anticipated impacts are addressed and that no new cumulative risks have developed. The constant involvement of stakeholder will also facilitate the periodic review and update of the overall planning goals and supporting tools (e.g.: zoning maps) to maintain their relevance and deliver benefits over the long-term.

National/Regional Consultations of Marine Spatial Plans.

14. Engaging stakeholders is an indispensable necessity of the MSP process. Stakeholder participation will inform every aspect of MSP design, development, and future implementation. Furthermore, and perhaps more importantly, a fully participatory approach will foster ownership to facilitate management and minimize conflict. A series of national and/or regional consultations will be carried out at different stages of CROP in direct support of the above. The consultation process will be planned based on the evolving objectives and those to be engaged. Depending on when in the Project cycle the engagement takes place, who is being engaged, and what information is being sought, different ‘types’ of stakeholder engagement will be employed. Early in the MSP design and planning phase, engagements with key stakeholders such as Government agencies, CSOs, and partners will be significant enough to reach a key decision or consensus on an issue; to achieve this goal, a ‘negotiation’ type of engagement will be undertaken.

15. The Project will also aim to give special consideration to women groups, the elderly, youth, the disabled, indigenous communities, and seasonal users of the resource and ensure that their opinions and feedback inform the design of the CMSPs. Each interaction with stakeholders will also provide the opportunity to undertake a qualitative assessment of citizen engagement. Specific separate quality assessment engagements can also be planned for these purposes. The feedback will be incorporated into the Project activities to continuously improve the citizen engagement function of the Project. In order to

³⁴ Maps of resource use and important natural processes will be overlaid and analyzed for their compatibility and/or conflict.



close the feedback loop, these assessments will be shared with users, communities and vulnerable groups through websites and workshops on a regular basis.

16. Positive impacts on local communities and individual resource users are expected with the development of Coastal and Marine Spatial Plans. The consultative principle for the formation of these Plans will ensure that local priorities are reflected in the finalized Plans. Likewise, the spatial analyses of conflicts and compatibilities, validated by the local stakeholders themselves, will serve to minimize issues amongst resource users and economic/livelihood activities vital for many. The evident positive outcomes of the ongoing consultative process (e.g.: minimizing conflict) will empower communities and individual resources users at the local level to participate openly both in the CROP and in related future projects. The CROP's consultative process welcomes individual members of communities representing their own interest and that of their families as well as organized coalitions such as NGOs and CSOs representing larger groups and diverse interests. The geospatial planning process will therefore cultivate a culture of inclusion and understanding through open dialogue.

17. Furthermore, to truly support ocean governance, a collaborative process is needed. As ocean governance is a complex process, and requires a high degree of coordination amongst inter-connected sectors to work together, the OECS Ocean Governance Team (OGT) will need to engage multiple decision makers and stakeholders for collective action on a daily basis. They have the responsibility to lead this collaborative process with influence built on trust and demonstrated competency, as the formal authority of decision making will often lay elsewhere. The Project envisions to further harness the capacity of the Ocean Governance Team and their colleagues at the national level, through a collaborative leadership approach which would include capacity building on stakeholder engagement and strategic communication, coalition building and results orientation management to facilitate Project's implementation.

18. The prevalent focus on stakeholder engagement serves the important purpose of sensitizing stakeholders at all levels of government for securing prompt endorsement of the resulting geospatial plans. Throughout the Project cycle, key members of Cabinet in each of the countries will be continuously consulted not only to ensure that government priorities are reflected in the Plans but also to foster support for the resulting products. The long-term commitment to stakeholder engagement throughout Project implementation will generate a solid base of constituent support in members of Cabinet. Through this mechanism, at the time of endorsing the Coastal and Marine Spatial Plans, all relevant players at ministerial level will have intimate knowledge of the content of the Plans and are therefore envisioned to express their endorsement for the products.

Subcomponent 1.2. Develop National and Regional Strategies/Policies (GEF US\$0.53 million)

19. The objective of this Subcomponent is to develop national ocean strategies/policies for participating countries and align ECROP with the 2030 Development Agenda³⁵. More specifically, this will include: (i) a baseline assessment of national policies and policy delivery capacity for national priorities, consistent with the regional policy framework; (ii) development of national policy vision, goals and objectives through engagement of stakeholders in each participating country; (iii) development of at least two national strategies and/or ocean policies for participating countries absent of a current

³⁵ Approval of ECROP preceded the emergence of the 2030 Development Agenda to which the OECS member states subscribed.



strategy/policy in consultation with National Ocean Governance Committee and further stakeholder consultation; (iv) alignment of ECROP with the 2030 Development Agenda and updated multilateral environment agreements (MEAs) relevant to developing countries, in particular Small Island Developing States (SIDS); (v) targeted training and sensitization of decision makers in the OECS Region for the development and implementation of CMSPs, including south-south exchanges to address integrated ocean governance. This subcomponent will finance consulting and non-consulting services, training and operating costs.

20. Overall, Component 1 will finance consultancy and non-consultancy services, goods, training, and operating costs in support of the development of coastal and marine spatial plans. Stakeholder meetings would be financed to support the development of the plans and training activities to build the capacity of regional and national government agencies for the successful implementation of the plans.

21. Component 1 is expected to provide climate change co-benefits by strengthening the knowledge base and the analytical capacity needed to design coastal and marine spatial plans and establish ocean governance mechanisms that will facilitate the integration of climate adaptation and mitigation measures in the ocean economic sectors such as in fisheries, aquaculture, and tourism. The spatial products and interactive data will incorporate layers of visualization depicting the current effects of climate change (for example, large areas of bleached or damaged coral), and climate scenario analysis to analyze future implications for the marine environment. Therefore, through the development of regional and national plans, the Project will inform policies that will further contribute to climate change mitigation and mainstreaming of climate adaptation in the ocean space.

Component 2. Strengthening Knowledge and Capacity (GEF US\$1.99 million)

22. **The objective of this component is to strengthen knowledge and capacity of citizens and institutions for ocean governance through partnerships.** Recognition of the importance of oceans and the need to sustainably manage this frontier economic development space has increased significantly since the United Nations Conference on Sustainable Development (Rio+20) and for the Caribbean region in particular as evidenced by the G20 Development Working Group meeting on the Blue Economy with Caribbean finance ministers and central bank governors in 2015.³⁶ Ocean governance is considered the conduct of the policy, actions and affairs regarding ocean areas – essentially, the influence and actions by multiple stakeholders - public, private, and civil society (including with broad-based support by citizens) - to ensure appropriate stewardship over marine resources, both living and non-living. Assessments have suggested that there are at least three gaps that if addressed would enhance ocean stewardship, including policy/strategy formulation for ocean governance. The three gaps include, a lack of reliable and accessible data and analytics to support decision-making over ocean assets, a lack of broad-based awareness of the importance of ocean spaces and access to cost-effective ocean education for SIDS, and

³⁶ CROP is established to support coastal and small island nations on how to fully realize the economic potential of their marine jurisdiction under the UNCLOS within the Caribbean Sea while simultaneously supporting the Sustainable Development Goal (14) for ocean conservation and use, and relevant oceans mandates under the SAMOA Pathway for SIDS. One of the targets set within this SDG goal (14) is to increase the economic benefits to Small Island Developing States (SIDS) from the sustainable use of marine resources (both living and non-living). The intention of this component is to support SIDS across the Caribbean toward these targets and to identify and unlock the economic potential and contribution of their oceans resources and coastal and marine ecosystems through the promotion and stimulation of sustainable blue growth, poverty reduction and shared prosperity.



a lack of sustainable investment to support countries' aspirations to transition to a blue economy. This component will address these gaps.

23. Successful implementation of this component will enhance ocean awareness and support socialization of SDG14 and the processes underlying the preparation of CMPs and MSPs. Activities supported by this component will also help to further demystify what the blue economy is and why it matters – all with the intention to support effective decision-making over ocean assets and ocean governance. Access to knowledge services on a range of topics concerning how best to balance the economic benefit derived from ocean spaces (ocean wealth) with the health of ocean assets (ocean health) will enable policy-makers, citizens and responsible institutions to better articulate the underlying multi-sectoral benefits of the Caribbean Sea. In addition to increasing capacity, the 'how to' of collaborative decision making and 'how to' of coalition building toward better ocean governance will be promoted and shared. As a result, it will build confidence in the rationale of countries' aspirations to move toward a blue economy, also ensuring complementarities between national and regional priorities.

24. This component will strengthen knowledge and capacity of public, private, and civil society sectors by expanding access to ocean data and ocean education with innovative tools and approaches through partnerships. The Project will specifically support (a) expanding the development and use of innovative tools that aggregate and analyze marine data for improved decision-making over ocean assets; (b) enhancing aggregation of, and access to educational content concerning the oceans, primarily via virtual approaches; (c) supporting an investor roundtable to forge new partnerships and raise interest in investing in countries' transition to a blue economy; and (d) strengthening collaborate with UN to help support more effective GEF-supported CLME+ SAP implementation across OECS and the Caribbean region and support for IW-Learn. This component will finance the provision of goods, consulting and non-consulting services, training, workshops, and operating costs.

Subcomponent 2.1. Expand Marine Data Aggregation and Analytic Tools (US\$0.63 million)

25. The objective of this subcomponent is to expand the development and use of innovative tools that aggregate and analyze marine data for improved decision-making over ocean assets. Specifically, this subcomponent will support (a) expanding and enhancing the award-winning Mapping Ocean Wealth platform (www.oceanwealth.org) to improve OECS data coverage and (b) developing mobile applications³⁷ of multilayered GIS and environmental economic data and thereby improve data access to decision-makers.

26. Mapping Ocean Wealth (MOW) aggregates existing science and uses tools and maps to make ocean science more accessible to audiences at the local, national, and even international levels to better understand the true value of ocean environments (for example, cost of degradation, value of healthy coasts/marine areas, scenario visualization, etc). It builds on existing and new research and knowledge to demonstrate the ecological, social, and economic impacts of ocean productivity. To facilitate transfer of new knowledge that supports investment in the blue economy, the Project will expand this platform by developing innovative mapping techniques that describe social and economic benefits of marine habitats

³⁷ The World Bank-created Spatial Agent App is a powerful tool that visualizes spatial and temporal development-related data on mobile platforms. CROP will help populate the OECS marine and coastal data from a range of public-domain spatial datasets and if needed, purchase data too. CROP will enable this seamless flow of data aggregation and dissemination through a series of marine spatial agent Apps and provide them to Caribbean clients, thereby democratizing key marine data for better decision-making.



in spatial terms. This new kind of ocean knowledge is key to making informed decisions about ocean uses and economic development in support of the blue economy in the region. The Project will support open, public-domain access to spatial data for the benefit of all Caribbean countries.

27. Working closely with the World Bank since its very conceptualization and inception, the many partners of the Mapping Ocean Wealth initiative³⁸ (www.oceanwealth.org), now led by The Nature Conservancy, has generated the most comprehensive series of datasets, models and maps describing the many values of coastal and ocean ecosystems to society. This work has covered multiple ecosystems (including coral reefs, mangrove forests, seagrasses) and multiple benefits (including fisheries enhancement, coastal protection, carbon and marine tourism benefits). International recognition for this work includes The World Travel and Tourism Council's 2017 *Tourism for Tomorrow Innovation Award*. Most of the methods and data have been published in peer reviewed journals and vetted through international science and policy meetings, while the online mapping interface has also been recognized as international best practice by ESRI³⁹ and the UN Office for Disaster Risk Reduction.

28. The countries of the OECS, as well as neighboring states and territories represent some of the most ocean-dependent economies on earth, relying heavily on coastal ecosystems for income, employment, health and well-being. Coastal ecosystems are the basis for much of the region's critical fishing and tourism sectors, while in some places they also play a critical role in defending populations from the tropical storms which can ravage the region. Even so, the direct connections between these ecosystems and the personal direct benefits they generate across these societies can be difficult to quantify. Without such information, there is a constant, ongoing risk that ecosystems will be mismanaged, and opportunities to enrich society through restoration or enhancement of ecosystem functions may be lost. As OECS countries move towards more holistic marine spatial planning, spatially-explicit data on ecosystem services becomes essential. Unfortunately, the small size of these nations means that they are often poorly reported in global studies, while the costs of generating similar data at local scales can be prohibitive. Moreover, important data remains elusive to decision-makers. These are some of the things this Project subcomponent will begin to change.

29. The MOW ecosystem service models are unique in many respects. Each of the models of ecosystem service has been built up and tested by leading experts and institutions, ensuring that they contain the very best recent science. The same models have been used to generate high-resolution maps, many of which are now available for use in local scale applications. MOW and its consortium of scientists-partners and citizen-partners (i.e. Trip Advisor) are well placed to apply global science and crowd sourced pictorial data to better evaluate ecosystem service in the OECS and to generate the information that can ensure wise planning to maintain or even enhance these ocean assets. Finally, this platform will also support OECS countries in ongoing and future marine spatial planning through the direct provision of spatially explicit information on ecosystem service values, particularly relating to fisheries, nature-based tourism and coastal protection. This will include existing information, new information generated locally, and the provision of both tools and training to enable practical use and application of ecosystem services

³⁸ This work and the benefits of using spatial data on ecosystem services in marine spatial planning in the report, *Toward a Blue Economy: A Promise of Sustainable Growth in the Caribbean*.

³⁹ <http://www.esri.com/about-esri>



values into planning. All data collected and analyzed with requisite training on manipulation of the database(s) will be made available to OECS-member states via OECS Commission by the end of the Project.

Subcomponent 2.2. Institutional Strengthening and Knowledge Services (US\$0.80 million)

30. This objective of this subcomponent is to enhance aggregation of, and access to educational content concerning the oceans, primarily via virtual approaches. Specifically, the Project would support citizens and institutions of OECS' member-states' access to existing and new ocean education content via Think Blue U, a virtual blue economy open learning campus in partnership with Virtual Educa and a consortium of partners.

31. The Caribbean Sea's ocean economy cuts across many sectors: fisheries, energy, tourism, mining, and transport. To fully achieve a sustainable ocean economy - a blue economy, policy makers, managers, practitioners, private sector operators, and NGOs will need improved capacity to engage across those multiple sectors. This not only requires a basic awareness of ocean issues more broadly, but also the science and economics of the interrelationships of the ocean economy. It also requires institutions and citizens to be multi-skilled to be able to understand, course-correct, and manage cross-sector impacts (both positive and negative) resulting from uses of ocean spaces. While subcomponent 2.1 will better document the range of ocean assets across the OECS, this sub-component supports the dissemination of new and existing educational content that enables policy makers, for example to make effective decisions over the use of ocean areas as their nation's transition toward a blue economy.

32. A gap analysis suggested two major constraints to achieving the necessary ocean awareness for countries to effectively transition to a blue economy: a lack of broad-based awareness of the importance of ocean spaces and a lack of access to cost-effective ocean education for both citizens and institutions mandated to address ocean sectors. This has, in part, led to constrained capacity with respect to ocean governance. An assessment prepared in support of Project design suggests that by providing targeted ocean educational content to Heads of State and Policy Makers; Middle Level Government Managers across SIDS and Ocean-Facing Countries; Youth and Citizens at Large, including NGOs; and Primary School Children, an important (formal and informal) educational change process can be initiated to support the achievement of Project outcomes. Essentially, capacity building at key institutional levels and awareness raising and basic ocean education for citizens (starting at a young age) will ultimately enable policies and strategies to be better understood and eventually delivered in support of a blue economy.

33. A virtual blue economy open learning campus for the OECS is therefore envisaged to increase ocean awareness among primary school children, youth, NGOs and other key stakeholders. Likewise, the blue economy campus is envisaged to increase capacity for those middle level managers in public, private and civil society organizations who by necessity would benefit from targeted ocean education related to improving their skills base. Key decision-makers at the OECS are also expected to benefit from the virtual blue economy campus as this sub-component will support the creation of new content and deployment of high-quality existing ocean education content to address key gaps in their own understanding related to the blue economy, on a demand-driven basis. The associated deliverables of the proposed virtual blue economy open learning campus (for example, online courses, knowledge products, and so on) would be promoted and communicated to a wider audience and would establish links with schools and NGOs within the region. The survey and consultation process undertaken as part of this Project's preparation phase



indicated that the use of Internet-based learning is the most favored in terms of being able to reach large audiences with positive cost benefits.

34. Think Blue U (TBU) is a *virtual blue economy open learning campus on oceans, the blue economy and aquatic resources* to support access to quality content. It is a partnership-based platform that seeks to accelerate access to ocean education through edu-tech enabled innovation and high-quality demand-driven content. TBU's vision is a world of informed ocean citizens – people who truly “think blue”; its mission is to accelerate access to ocean education, and in doing so shifts mind-sets and improves capacity toward the *sustainable* development of our oceans. TBU's partnership-based platform aggregates educational content on oceans and associated ecosystems and makes it accessible, primarily but not exclusively virtually. While prototyped, endorsed and launched to support OECS countries' blue economy aspirations, TBU's content is mostly open source.

35. Think Blue U was conceptualized by a network of ocean thought leaders and key institutions. It's aggregated educational content is hosted by Virtual Educa and is made available via multiple channels. Original content (awareness raising and capacity building webinars, MOOCs, etc.) supported by the Project would be made available across existing and new learning hubs carrying the Think Blue U brand as a symbol of excellence in ocean learning. It is envisaged to be launched for the OECS as an innovative initiative in its earliest incubation phase via CROP, founded by OECS Commission, the Blue Innovation Institute of Grenada, among others.

36. All ocean educational content supporting OECS will be initially steered by a nine-member advisory board under the auspices of OECS Commission and *Virtual Educa Global Alliance* (VEGA). The Project would support the OECS, through the OGT and NOGC, to ensure that content of the knowledge products and courses are closely aligned with the needs of the countries and the relevant sectors. Virtual Educa Global Alliance drives innovation in Education to promote social transformation through sustainable development and inclusion, by bringing together the government, corporate, academic and NGO sectors. Its autonomous statute endows Virtual Educa Foundation with operational and financial autonomy, thus facilitating Project management, educational content delivery, teacher training and development and the organization of its symposiums and forums through Latin America and the Caribbean (LAC) and beyond. VEGA would aggregate content and ensure the global best practice in educational innovation is brought to the Project.

37. In addition to aggregated ocean educational content, innovative knowledge ideas would be supported to promote a 'development marketplace' and may include competitions such as hackathons, appathons, design visualizations, webinars, massive online open courses, and so on. Such innovative educational approaches can be developed through partnerships.

Subcomponent 2.3. Forging Investment and Knowledge Partnerships (US\$0.56 million)

38. The objective of this subcomponent is two-fold: (i) to support an investor roundtable to raise interest in investing in OECS countries' transition to a blue economy; and (ii) strengthen collaboration with UN agencies to help support more effective GEF-supported CLME+ SAP implementation across OECS and the Caribbean region and support for IW-Learn.

-Investment Roundtable



39. To support OECS countries' planning efforts over the long term, the first activity of this subcomponent will facilitate conversations via an investment roundtable that could eventually mobilize additional parallel finance and other resources in support of the Project. Additional funding sources will be identified (private sector, government funding, bilateral/multilateral funding) to support the implementation of the CMSPs. Any additional funding streams that becomes available to support CROP objectives across the OECS region, will be closely coordinated by the OECS Commission and its work program, to ensure its complementarities. The subcomponent would support: (a) preparation of materials and convening of potential investors around blue economy opportunities in the region; and (b) TA and facilitation with investors. This activity in essence de-risks the ocean economy sectors and increases investors' confidence to further drive sustainable development across the waters of the OECS. Several partners, including the GEF and the World Bank via their own ongoing TA to the region could help support the ocean investment roundtable efforts being undertaken across OECS and link it to IW investment roundtable convened by the GEF.

-CLME+ Partnership and IW-Learn

40. The objective of this activity is to strengthen collaboration with the UN to assist towards more effective GEF-supported CLME+ SAP implementation across the OECS and the Caribbean region as well as provide support for IW-Learn. The activity would support the following: (a) the OECS Commission's participation in CLME+ implementation and other regional initiatives; (b) support the OECS Commission and OECS countries in forging new partnerships for ECROP implementation; (c) OECS Commission and stakeholders active participation in IW:Learn activities⁴⁰, including IW conferences during Project implementation utilizing one percent of GEF IW allocation. More specifically, the Project's proposed interventions are helping implement niche areas of the CLME+ and its SAP, and in turn will draw upon CLME+ efforts throughout the Caribbean to support national intersectoral coordination mechanisms, as part of the MSP process.

41. Partnership with the regional Caribbean Biodiversity Fund (CBF) will allow for further sustainability of protected area networks, through the adoption of the spatial plans to guide investments in critical biodiversity habitats throughout the region. Finally, through the World Bank's Caribbean Regional Oceanscape Program-NLTA, the World Bank will use its convening power to support the OECS Commission to create partnerships with data holders (such as the European Space Agency, Google Oceans, and so on) and key academic institutions dealing with marine and coastal management aspects, as well as major international organizations such as the FAO to support ECROP implementation and CLME+ efforts.

Component 3. Project Management, Monitoring and Assessment (GEF US\$0.31 million)

42. The objective of this component is to ensure effective Project implementation, monitoring of activities and final Project evaluation. The component will finance goods, consulting and non-consulting services, training and operating costs to the PIU for expenditures related to Project activities, including (a) Project coordination and management, including technical, administrative and fiduciary support, and

⁴⁰ Such activities include producing a web page following IW:Learn guidelines, production of two experience notes and one results note, and participation in all IWCs during the Project implementation with a Project manager (or equivalent, as well as country representatives.)



compliance with environmental and social safeguards; (b) monitoring and evaluation (M&E), data collection, and stakeholder involvement and coordination; (c) Project audits.



ANNEX 2: IMPLEMENTATION ARRANGEMENTS

COUNTRY: OECS Countries Caribbean Regional Oceanscape Project (Regional)

Project Institutional and Implementation Arrangements

- 1. The OECS is the recipient of the Project, and the OECS Commission is the implementing entity.** This implementation arrangement is proposed to ensure clear leadership of Project components and to facilitate strengthened regional and inter-ministerial coordination among the OECS countries. As such, the OECS Commission would be the principle institution responsible for Project execution. Each participating country (GEF Operational Focal Point) has provided an endorsement letter⁴¹ to the World Bank/GEF authorizing this implementation arrangement.
- 2. The OECS Commission will be responsible for all Project aspects including procurement and FM, as well as technical coordination and M&E.** The Commission houses key units under the Social and Sustainable Development Division (SSDD) that will contribute to the implementation of the Project. In particular, the Ocean Governance and Fisheries Programme (OGF) within the Environmental Sustainability Cluster (ECS) of SSDD, is responsible for the implementation of OECS' ECROP, and assumes a central role in the implementation of the Project. The OGF will be supported by ECS and the Commission's thematic specialists (procurement, financial management, M&E, Environment and Social, communication), as well as the OECS Ocean Governance Team which includes representatives from OECS Member States including those participating in the Project.
- 3. The Project Implementing Unit (PIU) function will be discharged by the existing OGF which will be responsible for the day-to-day administration of the Project.** The PIU functions include coordination, technical support, procurement, FM, and reporting in accordance with the Grant Agreement and the Project Operational Manual (POM). The PIU is in place with existing OECS staff and consists of the following roles: general Project supervision by the OGF coordinator, in close collaboration with the OGT and National Ocean Governance Committees (NOGC) in participating countries, and the Commission's thematic specialists, as needed. During implementation, an additional staff will be hired to enhance capacity for Project implementation.

The OECS Commission - General Structure, Roles, and Responsibilities

- 4. The OECS Commission forms part of a group of regional management organs that collectively report to the 'OECS Authority' - Heads of Government of the Member States⁴² (**

⁴¹ Letters were submitted by: Mr. Lloyd Pascal, dated April 5, 2016 (Dominica GEF Operational Focal Point, Ministry of Health and Environment); Mr. Fitzroy James, dated May 5, 2016 (Grenada GEF Operational Focal Point, Ministry of Economic Development, Planning, Trade and International Business); Mrs. Janeel Miller-Findlay, dated June 2, 2016 (Saint Vincent and the Grenadines GEF Operational Focal Point, Ministry of Economic Planning, Sustainable Development, Industry, Information and Labour); Mr. Lavern Queeley, dated May 3, 2016 (Saint Christopher and Nevis GEF Operational Focal Point, Ministry of Sustainable Development); and Ms. Caroline Eugene, dated May 3, 2016 (Saint Lucia GEF Operational Focal Point, Ministry of Sustainable Development, Energy, Science and Technology).

⁴² The OECS Authority and its functions were set out in the Treaty establishing the OECS, which was signed on June 18, 1981 in



5. Figure 2.1). Such bodies are:

- (a) The OECS Council of Ministers
- (b) The OECS Assembly
- (c) The OECS Commission
- (d) The OECS Economic Affairs Council

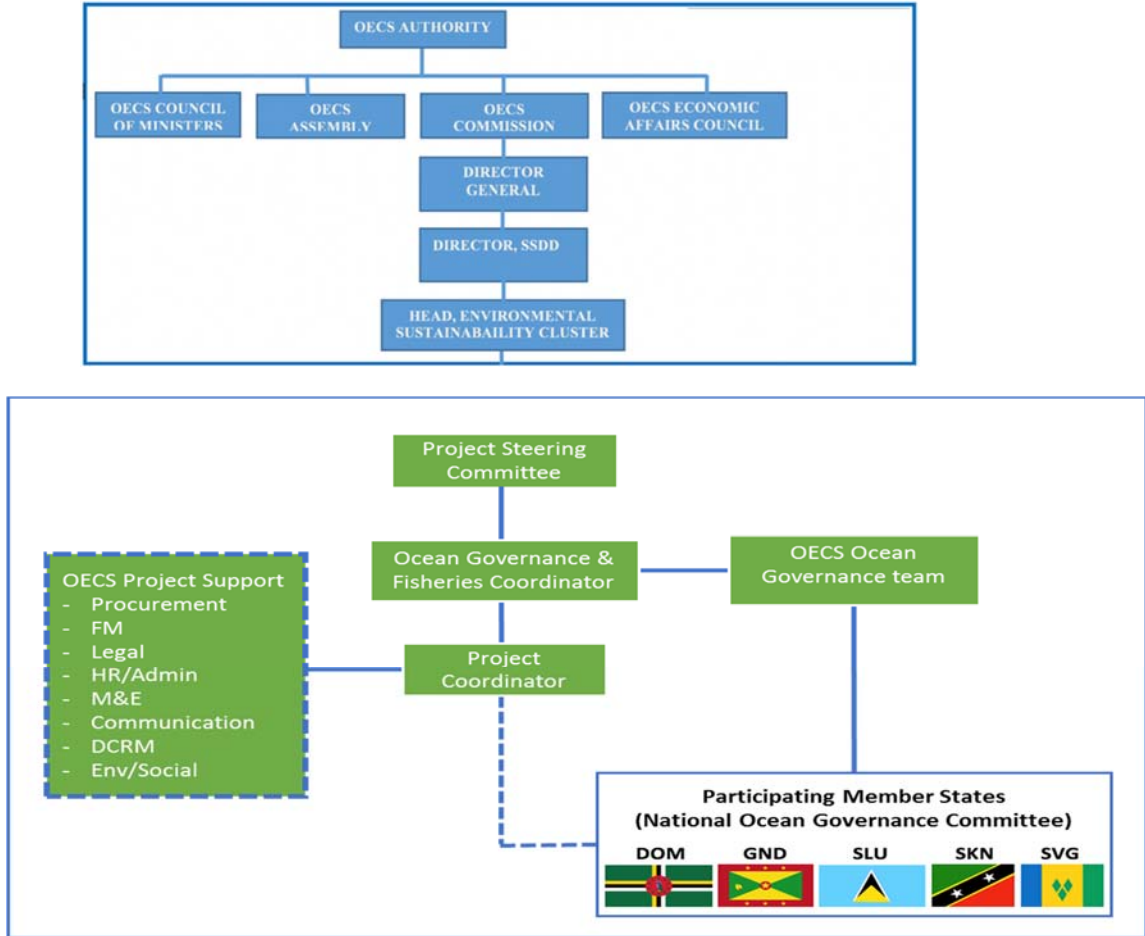
6. The OECS Commission is the administrative body of the organization and it is piloted by the Director-General (DG) who reports directly to the OECS Authority. Commissioners of ambassadorial rank appointed by each member state (10 in total) also accompany the DG as the leading officials of the Commission. The Commissioners will represent the OECS Commission to his/her respective member states while the DG is responsible for the day-to-day administration of the organization and will convene and preside at meetings of the OECS Commission.

7. To ensure integration of the Project into the regional policymaking framework of the OECS, information on the major milestones on the Project, as well as on significant policy decisions requiring the agreement of the Heads of State will be transmitted to the OECS Authority.

Basseterre. In carrying out its mission, the OECS works along with a number of subregional and regional agencies and institutions. These include the Eastern Caribbean Central Bank, the Caribbean Community Secretariat, and the Caribbean Development Bank.



Figure 2.1. Overall OECS Structure and Chain of Reporting for CROP



Note: DOM = Dominica; GND = Grenada; SLU = Saint Lucia; SKN = Saint Kitts and Nevis; SVG = Saint Vincent and the Grenadines.

8. The functions of the OECS Commission include the provision of ‘secretariat’ services to the organs of the organization, such as coordinating meetings and acting on decisions, recommendations, or directives approved at such meetings. The OECS Commission will make recommendations to the OECS Authority and the Council of Ministers regarding the formation of acts and regulations of the organization. The Commission also undertakes other work and studies, and performs other services relating to the functions of the organization as required under the *Revised Treaty of Basseterre Establishing the Organization of Eastern Caribbean States Economic Union* or by the OECS Authority or by any of its organ.

9. The Commission is itself comprised of four divisions that oversee the strategic direction of the organization, as well as the work of a number of specialized institutions, work units, or projects located in six countries—Dominica, Saint Lucia, Belgium, Switzerland, Canada, and the United States of America. The four divisions of the OECS Commission are:

- Division of the Office of the Director General



- Social and Sustainable Development Division - SSDD
- Economic Affairs and Regional Integration Division
- Legal and Governance Division

10. The SSDD is of particular relevance for the CROP because it is under this division that the Project activities will be managed. More specifically, the Project will be the responsibility of the Environmental Sustainability Cluster under the SSDD. This cluster manages work across a series of thematic areas of engagement: (a) Climate Change and Disaster Risk Management; (b) Biodiversity and Ecosystem Management; (c) Ocean Governance and Fisheries; (d) Sustainable Energy; and (e) Land and Water Resources Management.

11. Some of the other SSDD clusters, namely the Education/Social and Monitoring and Evaluation Clusters also play a key role in informing CROP's implementation. Acknowledging the multidimensional nature of CROP's activities, it will be common practice to engage the different sector specialists throughout the Project cycle to ensure successful implementation.

Project Implementing Unit-PIU

12. The PIU is responsible for all aspects of the day-to-day management of the Project, including planning, budgeting, technical coordination, implementation supervision, M&E, and ensuring compliance with World Bank safeguards. The PIU is also responsible for the procurement and FM of CROP, as well as for Project monitoring and reporting responsibilities to the World Bank. Implementation of CROP is carried out under the oversight and guidance of the PSC.

13. The PIU is in place as it will operate with existing OECS staff. During implementation, an additional staff (Project coordinator) will be hired to enhance capacity for Project implementation. Both coordinators work in tandem to manage the operation across the region in close collaboration with the OGT, the NOGC, and the support of thematic specialists as needed. The PIU is outlined in

14. Figure 2.1.

Project Steering Committee-PSC

15. A regional PSC will be formed to provide oversight and technical guidance to the Project. It will be made up of various representatives and experts from across the OECS Commission, and OECS member states, who will be appointed for the entire duration of the Project. This committee will be chaired by the Head of the Environmental Sustainability Cluster.

- From the OECS Commission
 - Head, Environmental Sustainability Cluster, as Chairperson
 - Coordinator, Ocean Governance and Fisheries Programme, as Deputy Chairperson
 - Project Coordinator, as Secretary
 - Head, Programme Management Unit (PMU) /M&E, or representative
 - Financial comptroller or representative
 - Head, Development Cooperation and Resource Mobilization Unit (DCRM) or representative



- From participating member states
 - A national focal point for ocean governance on a six-month rotational basis

16. The PSC, will rely specifically on the Project Coordinator through the direction of the OGF with the support from the OECS OGT and the NOGC to deliver the regional and national level implementation. The PSC acting through the Chairperson may invite officials and experts to attend meetings and provide assistance and advice where necessary.

OECS' Ocean Governance Team - OGT

17. Reporting directly to the coordinator of the Ocean Governance and Fisheries Programme, the OECS' OGT will be directly engaged with representatives from the participating member states for national implementation matters. The background and composition of the team is as described in the following paragraphs.

18. The OGT is established pursuant to the mandate by the OECS Authority at its 54th meeting in November 2012 to support the development and implementation of the OECS ECROP which was approved by the authority at its 56th Meeting in June 2013. ECROP gives the mandate of OECS Commission to develop marine spatial plans for the region and support member states in creating national marine spatial plans for better decision making. A Memorandum of Understanding (MOU) between OECS and Duke University lays the foundation for capacity building of OECS Commission and its country focal points in the preparation and use of marine spatial plans.

19. The OGT is comprised of

- The person leading ocean governance activities at the commission (Coordinator, Ocean Governance and Fisheries Programme);
- A representative of the OECS Commission's Legal Unit; and
- The national focal points for ocean governance activities identified by the OECS member states.

National Ocean Governance Committee -NOGC

20. The NOGC means a committee or other group which is formally established or which convenes to provide advice to each member state on the implementation of its policy and broader aspects of ocean governance and to coordinate policy relating to the management of the maritime space under the jurisdiction of the member state. The member representative of the OGT is in charge of establishing the NOGC in their respective country.

21. The responsibilities of the committee include aspects related to maritime boundary delimitation; management and sustainable use of fisheries and other living marine resources; exploration and exploitation of non-living marine resources including hydrocarbons; protection of the marine environment; marine scientific research; customs, immigration, and maritime enforcement; and maritime administration including shipping. The committee will carry out its responsibilities in consultation with the relevant implementing line ministries, agencies, and departments as well as nongovernmental entities



whose functions concern the health and wealth of the ocean. The Chairperson of the committee will be appointed by the Prime Minister in consultation with the minister responsible for ocean affairs.

22. The NOGC should comprise representatives from Government agencies, the private sector, local NGOs, and key marine user groups. More specifically, it will comprise of the head or a senior representative drawn from the following, who have core responsibilities for ocean affairs:

- (a) The ministry/department/agency responsible for ocean affairs;
- (b) The ministry/department/agency responsible for maritime administration;
- (c) The Ministry of Foreign Affairs;
- (d) Office of the Attorney General;
- (e) Department/division responsible for fisheries development and management;
- (f) Department of Environment;
- (g) Coast Guard/Marine Police;
- (h) Member State Port Authority
- (i) Department of Customs and Excise; and,
- (j) Member State Immigration.

23. The Committee may include other agencies drawn from the following:

- (a) The agency responsible for National Disaster Management;
- (b) The agency responsible for physical planning;
- (c) The Ministry of Finance;
- (d) The ministry/department/agency responsible for energy;
- (e) The lead agency for establishing/implementing marine protected areas/national parks;
- (f) The agency responsible for national underwater heritage;
- (g) Public Health Department;
- (h) The department/agency responsible for waste management;
- (i) The ministry/department/agency responsible for tourism;
- (j) An educational institute with expertise in ocean affairs;
- (k) An NGO which is involved in ocean related work; and
- (l) A community-based organization which is involved in ocean-related work.

Project Coordination and Project Support

24. The Project coordinator will be a suitable qualified person whose services will be procured from Project funds to undertake day-to-day management of the Project. The coordinator will respond to the needs of both the NOGC and the overall OECS structure to ensure the smooth implementation of the day-to-day activities. The Project coordinator will be responsible for the development and implementation of the Project work plan and budget as well as for managing the Project resources and support staff. The coordinator will handle all policies and activities in accordance to the POM and the evolving priorities of the Project implementation bodies outlined above.

25. The coordinator will be responsible for seeking and coordinating support from various technical and logistical areas from across the OECS and implementing partners, including, but not limited to, FM, human resources, M&E, communications, and so on. The services of additional staff (such as procurement, M&E, FM and so on) may be procured or supported from Project funds, if necessary.



Financial Management

26. An assessment of the capacity of the implementing agency (OECS Commission) to implement FM actions for the Project was carried out for CROP in February 2017.
27. **Staffing.** The OECS Commission's accounts department is comprised of 13 team members, which includes at least 5 certified accountants. An accountant and assistant accountant from the department will be assigned to the Project, where their responsibility will be shared based on functions. The World Bank's FM team will continue to provide ongoing support on the World Bank's policies and guidelines during implementation.
28. **Budgeting.** A budget for the entire implementation period will be prepared at the beginning of the Project by the OECS commission, in collaboration with the World Bank's task team. The Project annual work plan will be derived from this master budget, which will be incorporated in the OECS Commission's annual budget. The commission's budget is reviewed and approved by the Budget Committee, the Commissioner(s) and the Heads of Government (Authority). The annual budget will be revisited quarterly and revised where necessary, so as to depict implementation progress.
29. **Accounting.** The accounting of the Project will be done using the current accounting procedures and processes, as for all other World Bank-financed projects implemented by the commission. The accounting records for the Project will be maintained in the accounting system Sage v50, and later, v100, as the commission is in the process of upgrading the accounting system. Currently, the chart of accounts in Sage v50 is set up such that a separate company is created for each Project, and the chart of accounts is capable of capturing transactions by Project, Project components, subcomponent, categories, and activities. The same will be done in v100; however, rather than having a separate company set up for each Project, one company will be set up to capture all accounts within the commission. The current accounting and finance procedure manual is very comprehensive, and the processes and procedures once applied consistently are adequate to ensure that financial information is accurate and that funds are only utilized for Project purposes.
30. **Reporting.** Annual audited financial statements and unaudited financial reports will be required during Project implementation. The OECS Commission will be required to prepare unaudited interim financial reports (IFRs), covering each semester of the commission's financial year, that is, July–December and January–June of each year. The IFRs should be submitted within 45 days after each semester. Annual external audits are also required, with each audit covering one fiscal year (ending June 30). A consolidated audit report of all World Bank-financed projects, implemented by the OECS Commission, will be due to the World Bank no later than six months after the end of each audit period. The external audit will be conducted by an audit firm deemed acceptable by the World Bank, in accordance with an audit TOR also cleared by World Bank.

Disbursements

31. **Funds flow.** The Project funds will be maintained in a World Bank-pooled U.S. dollar Designated Account (DA) and a segregated Eastern Caribbean dollar operating account, which will both be maintained at the First National Bank of Saint Lucia. The U.S. dollar bank account will be used to receive funds from the World Bank as well as make U.S. dollar payments throughout implementation. Funds will be transferred from the U.S. dollar Designated Account to the local currency (Eastern Caribbean dollar) bank



account to facilitate local currency payments. Both bank accounts should only be used to facilitate payments for eligible activities that relate to the Project.

32. **Disbursement arrangements.** Disbursements will be report-based. Initially, an advance equivalent to nine months' forecast will be provided to the DA, and subsequently, IFRs for each semester will be the basis of documentation of the expenditures. Subsequent IFRs will also provide a forecast for the following nine months, for which the basis of the amount of funds to be disbursed will be determined. Further details regarding disbursements are provided in the Disbursement Letter.

33. For the timely implementation of the Project, Retroactive Financing will be allowed for payments made prior to the date of the grant agreement but after July 1, 2017, up to an aggregate amount of US\$ 60,000. As such, before Project effectiveness, the World Bank will retroactively finance the capacity enhancements for the PIU, and initiate activities associated with the component of the Project.

Procurement

34. The Project has been identified as an early adopter of the new procurement policy and regulations, which applies to all projects with Concept Note dated on or after July 1, 2016. Procurement for the Project shall be carried out in accordance with the World Bank's Procurement Regulations for IPF Borrowers for Goods, Works, Non-Consulting and Consulting Services dated July 1, 2016, hereinafter referred to as 'Regulations. The Project shall be subject to the World Bank's Anticorruption Guidelines, dated October 15, 2006, and revised in January 2011 and as of July 1, 2016. The capacity assessment of the implementing agency to implement procurement for the Project was carried out for the PIU. The PPSD was prepared in collaboration with the client and informed the Procurement Plan. The final version of the PPSD was agreed with the Bank prior to Negotiations. Under the new policy, the PPSD is used to analyze and determine the optimum procurement approach to deliver the right procurement result.

35. The PPSD is a methodology that is used to determine the optimum procurement approach to deliver the right procurement result. The PPSD asks the client to consider, among other things, the market situation, the operational context, previous experience, and the risks present. Then from this, the right procurement approach is determined that will yield the right type of response from the market. By designing the right procurement approach, there is far more likelihood of the right bidders participating, better bids being received, and overall increased chance of achieving value for money. Therefore, determining the right procurement approach, informed by appropriate analysis is a critical activity that subsequently impacts every following step of the procurement process and onward into Project implementation. The PPSD is a document that the client/borrower prepares as part of the Project preparation process for projects financed through IPF and must be completed, reviewed, and agreed with the World Bank before the completion of loan negotiations. The agreed outputs from the PPSD are summarized by the World Bank and included in the World Bank's Project Appraisal Document. Before loan negotiations, a Procurement Plan is prepared which is informed by the PPSD, the Procurement Plan is subject to the World Bank's no objection.

36. The PPSD analyzes the possible strategies for the procurement to be undertaken, including (but not limited) to the possibility and viability of the use of selection arrangements as community-driven development, commercial practices for the procurement activities under the subprojects, and contractual arrangements as Framework Agreements for the procurement of works, goods, and consulting and non-



consulting services under the Project. The findings are reflected on the PPSD and will consequently inform the Procurement Plan.

37. The final version of the PPSD that incorporates the comments and suggestions of the Bank, was finalized and agreed with the Bank prior to Loan negotiations.

38. As per PPSD conclusions, it's envisaged that the Project will finance mainly consulting services, one goods contract for GIS hardware and software and to a much less extend the procurement of low value goods, being the main procurement activities identified as below:

1. Consulting Services

- a) Develop Marine Spatial Plans and Coastal blue growth Master Plans – envisaged under Open market approach;
- b) Develop National and Regional Strategies/Policies;
- c) Expand Marine Data Aggregation and Analytic Tools;
- d) Institutional Strengthening and Knowledge Services;
- e) Several Individual Consultancies for positions related to Project Management, and Monitoring and Assessment

2. Goods

- a) Procurement of GIS Software

39. It is envisaged that due to the limit capacity in the country, and the estimated value of the activities, the market approach for the above mentioned consulting services and goods contract will be Open and International Market approach based on the applicable thresholds for the country. The procurement of the small value goods (off the shelf items) will be through the comparison of quotations (RFQ).

40. The Project does not envisage the procurement of works.

Proposed Procurement Arrangements

41. The OECS Commission (through its procurement team) will be responsible for the all procurement activities under the Project. They will be directly responsible for the procurement related to all goods, and consulting and non-consulting services.

Procurement Plan

42. The OECS Commission developed a Procurement Plan for Project implementation which provides the basis for the procurement methods (subject to the applicable thresholds included in the POM) which was based on the conclusions of the PPSD and will be available (as required for all projects subject to the Regulations) in Systematic Tracking of Exchanges in Procurement prior to negotiations. The Procurement Plan was agreed with the bank prior to negotiations. The Procurement Plan will be updated in agreement with the Project team annually or sooner, as required, to reflect the actual Project implementation needs.



43. It is envisaged that the Project will finance mainly consulting services and one goods contract for the supply of GIS hardware and software, whose details were developed by the client with inputs from the different technical stakeholders.

Procurement Capacity Assessment

44. An assessment of the capacity of the implementing agency (OECS Commission) to implement procurement actions for the Project was carried out for CROP in December 2016.

45. The OECS Commission is currently moving toward a centralized procurement function. The main functions of the centralized office are to work in collaboration with the key partners to successfully undertake the procurement of the OECS organization-wide, ensuring adherence to all applicable procedures and internal processes. This will entail a more integrated approach compared to the current decentralized model.

46. Procurement is coordinated by a procurement officer (Head of Procurement Unit - HPU) who develops and manages all aspects of procurement within the OECS and is responsible for establishing the organizations' approach to procedures, policies, standards, and monitoring for procurement activities. The HPU responsibilities include managing and leading the procurement staff, providing technical guidance, training, coaching, and mentoring. A key aspect of the procurement function is the provision of oversight/compliance checks and reviews of procurement documentation, which will be undertaken by the procurement officer.

47. The HPU has 14 years' experience of implementing World Bank-financed projects. She gained significant experience within the Project Coordination Unit in Saint Lucia through on-the-job training in implementation of World Bank projects and through attending several regional trainings on World Bank procurement policies, including the workshop concerning the New Procurement Regulations for IPF Borrowers, held in Grenada in October 2016.

48. The staffing needs of the Central Procurement Office will be based on the number of ongoing projects and future projects being considered.

49. The key issues/risks concerning procurement for implementation of the Project have been identified during the assessment, as follows:

- (a) Although the OECS Commission has experience in World Bank projects and the procurement of consulting services under the World Bank Group consulting guidelines, the individual contracts were smaller in value and complexity as the ones envisaged to be procured under this Project. Therefore, closed support from the World Bank and tailored training need to be in place to ensure smooth implementation of the Procurement Plan.
- (b) The OECS Commission has experience in the implementation of World Bank-funded projects (as detailed above) and the Procurement Officer has been trained in the new procurement regulations for IPF borrowers. However, the absence of experience in the Regulations would warrant initial support from the World Bank which is expected to be reduced with time as the procurement staff becomes more familiar with the practical implications of the



Regulations. Accordingly, additional training may be requested of the World Bank to the OECS Commission as deemed necessary.

- (c) Due to the need to have a dedicated Procurement Officer to this Project, the OECS Commission will identify a Procurement Officer within their existing structure for this function. The World Bank will review the proposed Procurement Officer in order to assess if it's adequate to the function as per applicable Regulations. The oversight of the procurement will be undertaken by the HPU, who also has the procurement function of other projects currently implemented by the OECS Commission. This may lead to capacity restraints and needs to be monitored closely.
- (d) Because of the nature of the procurement involved, strong collaboration and input from the technical team need to be in place, specifically in the preparation of the technical aspects of the Procurement Documents. This close support needs to be ensured, in order to avoid delays on the Project implementation and successful procurement outcomes.
- (e) The above will be monitored during implementation supervisions and additional measures will be discussed and implemented if deemed necessary.

50. **The overall procurement risk rating is Substantial, based on the assessment of the OECS Commission's capacity, the complexity of the Project and this being the first Project to be implemented by the implementing agency subject to the Regulations.** The procurement accredited staff assigned to this Project, will monitor the procurement risk during implementation and will support, train, and guide the client's procurement team assigned to the Project.

Environmental and Social (including safeguards)

51. **This Project has been classified as Category B in accordance with World Bank policy on Environmental Assessment (OP/BP 4.01).** Based on the principles of the TA Guidelines which state that the nature of potential environmental and social implications will only come into focus as the Project itself is carried out, the analysis of environmental and social impacts in the form of a SESA, an IPPF, a Process Framework, and an Involuntary Resettlement Policy Framework, will be considered outputs of the Project, rather than a prerequisite. The preparation of both Environmental and Social Safeguards Instruments will be included in the TOR of the firms conducting the plans for each country and as such will be an output under their respective contracts during implementation. The draft SESA TOR was formalized during preparation to be undertaken during implementation.

52. **Environmental Assessment (OP/BP 4.01).** This policy is applicable even in the absence of civil works or construction in Project preparation and implementation, as consideration of safeguard aspects must still be carried out to ensure the application of best environmental and social practice. Since the Project intends to support spatial planning and facilitate investments in a specific geographical area, it would be prudent to conduct a regional Strategic Environmental and Social Assessment (SESA) of the Project area. The SESA will provide an overarching, high-level visionary decision-making tool that will inform the Project leadership of all the environmental and social opportunities and constraints at the regional level. While the SESA will be undertaken during implementation, the draft terms of reference (TOR) was formalized during preparation.



53. **Natural Habitats (OP/BP 4.04).** Through Component 1, the Project will finance MSPs and will work on strategic documents only to promote economic activity in both existing protected areas like coral reefs along the Caribbean coast as well as unprotected areas of varying significance. To ensure that the preparation of such plans consider the identification of potential risks and impacts on marine natural habitats, which are highly likely to be present in the Project's area of intervention, OP 4.04 applies. If the Project's strategic options are successful, the impacts on critical coral reef habitats and biodiversity are expected to be positive. During the implementation of the project and part of the SESA process, consultations will be carried out with key stakeholders to identify potential issues of concern associated with natural habitats and their constituent ecological function, flora and fauna species, and genetic resources pool.

54. **Forests (OP/BP 4.36).** The financing of CMSPs will include areas along the coast that will inevitably contain mangrove forests that are located along estuarine systems as well as coves along the coasts of all the islands. Given the fact that the creation of these plans will involve the management of mangrove forests, OP/BP 4.36 is triggered. The impact on the mangrove ecosystem will be positive and the implementation of the CMSPs will enhance the future sustainable management of these systems in light of any future developments that may be foreseen or recommended with regard to this Project or as a result of the SESA process.

55. **Indigenous Peoples (OP/BP 4.10).** The Indigenous Peoples Policy is triggered given that the Project will be implemented in the Kalinago Territories in the Commonwealth of Dominica (home to the Kalinago Indigenous Peoples). Consultations will be held with the Ministry of Kalinago Affairs, Members of the Kalinago Council, including the Kalinago Chief, and members of the Kalinago community to ensure community support. An Indigenous People's Planning Framework and associated Social Assessment (prepared under the SESA) will be carried out as an output of the Project, rather than a pre-requisite, based on the procedures provided in the Guidelines on the Application of Safeguard Policies to Technical Assistance (TA) Activities in Bank-Financed Projects.

56. **Involuntary Resettlement (OP/BP 4.12).** The Involuntary Resettlement Policy is triggered given that the studies being produced under the Project will very likely recommend the establishment of protected areas (both coastal and marine) which, if implemented, could result in the involuntary restriction of access to the protected areas. A Process Framework will be prepared as an output of the Project.

57. The studies could also recommend construction of infrastructure projects in the form of roads, airports, development incentive zones (construction of marinas, ports, tourism infrastructure, research facilities, commercial areas, and housing communities, among others). These civil works, if implemented, could likely involve the acquisition of land and produce potential adverse social impacts. An Involuntary Resettlement Policy Framework will be prepared as an output of the Project.

Monitoring and Evaluation

58. **The OECS Commission will be responsible for the overall M&E of the proposed Project in collaboration with the national governments.** The Project's M&E system will generate timely relevant information and analytical evidence required for assessing and managing the Project's implementation performance and ensuring progress toward meeting the PDO. The PIU, within the OECS Commission, will



oversee establishment of the M&E system to track technical, financial, social, and environmental progress and results of the Project. This M&E system will monitor the Project's performance in relation to the baseline situation by tracking inputs and outputs and continuously quantifying progress toward the PDO and intermediate results indicators included in the RF (section VII)⁴³. The PIU will be responsible for carrying out a Mid-Term Review (MTR) and Final Evaluation.

59. The Project's M&E reports will include the following:

- **Quarterly progress reports.** These reports will monitor and consolidate progress on key activities and outputs, and will be produced on a quarterly basis. These progress reports will provide useful inputs to support the six-monthly implementation support reviews to be carried out by the World Bank.
- **Yearly progress reports.** These reports will track and consolidate progress on key activities, outputs, and outcomes, and will be produced annually to key stakeholder participants.
- **MTR.** By the end of year 2, a comprehensive MTR of the Project will be undertaken by the World Bank. The MTR will focus on assessing Project progress toward the impact and outcome targets and corresponding indicators (with special attention on assessing the key indicators outlined in the RF).
- **Final evaluation.** Six months before Project completion, an independent evaluation will be conducted with special focus on identifying key operational lessons that can be used for designing future projects.

Role of Partners (if applicable)

60. **The Project preparation team has engaged in stakeholder consultations and dialogue to communicate the Project objectives and its approach, so as to ensure all stakeholders could provide inputs that can lead to improved Project design and implementation performance.** Consultations covered five countries with the private sector, Government officials, academia, fisher organizations, indigenous communities, and civil society groups as well as one-on-one meetings with relevant persons in each of the five countries. Meetings were also conducted with the Commission's Ocean Governance focal points from the five countries, and with relevant staff in regional organizations such as Caribbean Regional Fisheries Mechanism (CRFM), CLME+ Project, Caribbean Network of Fisherfolk Organizations (CNFO), CBF, Sustainable Grenadines Inc., Caribbean Natural Resources Institute (CANARI), Waitt Institute, the University of the West Indies-Centre for Resource Management and Environmental Studies (UWI-CERMES), and The Nature Conservancy (TNC). These consultations were guided by questionnaires and surveys to help focus the discussions.

61. **Such consultations will continue during Project implementation and will aim at maintaining the dialogue/level of participation and information sharing about Project intervention.** Engaging stakeholders is key for the success of the MSP process, as they will inform every aspect of MSP design, development, and future implementation. Earlier efforts, at a small scale, have enabled heightened sensitization of stakeholders in Saint Vincent and the Grenadines, Grenada, and Saint Kitts and Nevis

⁴³ Monitoring in line with the WBG's Gender Strategy and GEF 6 Gender Strategy.



about what MSP is and the benefits it can provide to their countries. This has and will continue to allow the stakeholders to be better positioned to engage in and support MSP during Project implementation. Therefore, a series of national, local, and regional consultations will continue to be carried out at different stages of CROP including multisectoral governmental agencies, civil society groups, local and international NGOs, private sector operators, development partners, youth, and indigenous communities.

62. The Governments of the participating countries and the OECS Commission will coordinate the Project's activities with a number of other projects and programs in the region, to enhance impact and promote collaboration and exchange of information. For example, specific collaboration is established with the CLME+ Project, which is an umbrella for initiatives and actions to help implement the Strategic Action Programme (SAP) for enhanced ocean health in the Caribbean. While the CLME+ Project works across the wider CLME+ region, CROP will provide a significant added value as it will put emphasis on the OECS region and focus on specific niche areas that CLME+ cannot tackle due to its large geographical scope. Collaboration with CLME+ started during preparation stage through CROP's participation in the CLME+ workshop held on November 8, 2016 to discuss the data consolidation exercise to support the Mapping Ocean Wealth platform (Subcomponent 2.1 of CROP). Another example of collaboration is with the regional CBF which was established to contribute to the long-term sustainability of protected area networks in the region. The National Protected Area Trust Funds, created to receive funds from the CBF, will benefit from the identification of critical marine ecosystems through the MSPs to further guide the financing of sustainable management activities and ocean economies in those areas. Finally, collaboration was also established with the Virtual Educa Foundation to support the development and deployment of the virtual blue economy open learning campus, and with TNC to support the development of innovative tools for better decision making. The Project will seek further collaboration with bilateral and multilateral agencies to better integrate existing expertise and data into the MSP process.

63. There are synergies to be achieved with other donor activities. Several other ongoing initiatives are being implemented in the region by donors such as the Commonwealth Secretariat and the U.K. Foreign and Commonwealth Office. The OECS Commission convened meetings of the OGT (November 28, 2016 and February 13-17, 2017) to sensitize stakeholders and partners about CROP. The meeting in February 2017 focused on strengthening ocean governance mechanisms to optimize stakeholder engagements to regional and national levels and identified areas for collaboration among existing programs and projects. The World Bank and the Commonwealth Secretariat participated in both meetings and representatives of the UK Government also participated in the meeting in February. On February 22, 2017, the World Bank, OECS Commission and the Commonwealth Secretariat jointly convened a meeting of potential technical and international development partners from the U.K. and EU to discuss synergies between the various projects and to further discuss areas where projects can mutually reinforce each other to deliver significant benefits to the region in the long run. Partners recognized that to achieve the internationally agreed targets of the SDG 14, a regional-level cooperation on the blue economy is critical and called for more formalized coordination of those interested in blue economy development work in the Eastern Caribbean. A communiqué was prepared as a result of this meeting, which creates a pathway for collaboration in promoting an integrated approach to ocean management in the Eastern Caribbean.



ANNEX 3: IMPLEMENTATION SUPPORT PLAN

COUNTRY: OECS Countries Caribbean Regional Oceanscape Project (Regional)

Strategy and Approach for Implementation Support

1. The Implementation Support Plan articulates the World Bank's approach to help clients achieve the expected Project results based on the Project's nature and risk profile. Its purpose is to put more attention on the inputs and actions required to facilitate better risk management, better results, and increased institutional development while ensuring compliance with the Grant Agreement to meet the World Bank's fiduciary obligations. The Implementation Support Plan puts particular emphasis on (a) monitoring and evaluating results on the ground, (b) facilitating the timely implementation of the risk management measures, and (c) providing the necessary technical advice to the implementing agencies to build capacity.

Implementation Support Plan and Resource Requirements

2. **Technical support.** The World Bank team has provided technical expertise during Project preparation and will continue to provide extensive technical support to the OECS Commission and the five participating countries to effectively monitor and implement the Project activities according to the Project Implementation Plan for the Project activities. Training and TA activities will also be provided through workshops to meet demand for oceanscape/blue economy solutions and interventions during Project implementation by the World Bank. Missions will focus on verifying compliance with the policies and procedures spelled out in the POM, identifying bottlenecks that may be impeding implementation progress, and offering recommendations designed to overcome those bottlenecks.

3. **Fiduciary aspects.** World Bank fiduciary specialists will continue to provide procurement support to the PIU. The World Bank procurement specialist and World Bank FM specialist assigned to the Project will join regular implementation support missions and will be available to meet with counterparts in the PIU to provide hands-on support to avoid initial delays in submitting withdrawal applications, performing FM activities, processing procurement requests, and so on.

4. **Environmental and social safeguards.** The World Bank Group's environmental and social development experts will participate in the supervision of Project implementation. They will provide guidance to the Project implementing agency on how to best address relevant issues that arise during Project implementation in line with the World Bank safeguard policies. They will also help ensure that the planned community and stakeholders' consultations are undertaken during the Project implementation stage.



Implementation Support Plan

Time	Focus	Skills Needed	Resource Estimate	Partner Role
First 12 months	1. Procurement training 2. FM and disbursement 3. Safeguards training	1. Procurement 2. Disbursement 3. Safeguards on environment and social	2 implementation support missions	
12–48 months	1. Project implementation and supervision 2. FM, procurement, and safeguards 3. M&E	1. Technical 2. Safeguards 3. FM 4. Procurement	2 implementation support missions	
Other				

Skill Mix Required

Skills Needed	Number of Staff Weeks per Year	Number of Trips per Year
TTL	10	2 (HQ based)
Procurement	2	2
Disbursement	2	1
Safeguards on environment and social	2	1-2
Technical (education, Bank knowledge platform)	4	2
FM	2	1