



# PROJECT IDENTIFICATION FORM (PIF)

PROJECT TYPE: Full-sized Project

TYPE OF TRUST FUND: GEF Trust Fund

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## PART I: PROJECT INFORMATION

Project Title:	<b>CLME<sup>+</sup>: Catalysing 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<sup>1</sup></b>		
Country(ies):	<i>GEF-eligible countries:</i> Antigua and Barbuda, Barbados, Belize, Brazil, Colombia, Costa Rica, Dominica, Dominican Republic, Guatemala, Grenada, Guyana, Haiti, Honduras, Jamaica, Mexico, Panama, St. Kitts and Nevis, Saint Lucia, St. Vincent and the Grenadines, Suriname and Trinidad and Tobago <sup>2</sup> <i>Non-GEF-eligible country:</i> United States of America <sup>3</sup>	GEF Project ID: <sup>4</sup>	5542
GEF Agency(ies):	UNDP	GEF Agency Project ID:	5247
Other Executing Partner(s):	UNOPS	Submission Date:	12 August 2013
		Resubmission Date:	30 August 2013
GEF Focal Area (s):	International Waters	Project Duration(Months)	60
Name of parent program (if applicable):		Project Agency Fee (\$):	1,125,000 <sup>6</sup>
	<ul style="list-style-type: none"> <li>• For SFM/REDD+ <input type="checkbox"/></li> <li>• For SGP <input type="checkbox"/></li> <li>• For PPP <input type="checkbox"/></li> </ul>		

### A. INDICATIVE FOCAL AREA STRATEGY FRAMEWORK<sup>5</sup>:

Focal Area Objectives	Trust Fund	Indicative Grant Amount (\$)	Indicative Co-financing (\$)
IW-2	GEFTF	12,500,000 <sup>6</sup>	110,854,059
(select)(select)	(select)		
(select)(select)	(select)		
Total Project Cost		12,500,000	110,854,059

<sup>1</sup>Please note the double meaning of the “+” sign added in superscript to the project acronym: on one hand, it refers to the fact that both the Caribbean Large Marine Ecosystem (CLME) and North Brazil Shelf Large Marine Ecosystem (NBSLME) are covered by the project; on the other hand the “+” also refers to the catalytic effect the new project will have on the regional efforts for sustainable living marine resources management. The new “CLME<sup>+</sup>” SAP implementation project will build on the achievements of the GEF foundational capacity building project, which acronym was “CLME”.

<sup>2</sup>Cuba and Venezuela were “associated” (not “participating”) countries under the “CLME” Project. During the “CLME<sup>+</sup>” SAP implementation project development phase, dialogue on the modalities for participation in/collaboration with project activities will be sought with both Cuba and Venezuela. Nicaragua and Bahamas might be joining during PPG phase.

<sup>3</sup>Additionally, other countries with dependent territories and territories with special status in the CLME<sup>+</sup> will be invited to participate during the Project Preparation Phase. They will not be eligible for financial support from the GEF, but may contribute to the co-financing of the overall SAP implementation efforts.

<sup>4</sup>Project ID number will be assigned by GEFSEC.

<sup>5</sup>Refer to the reference attached on the [Focal Area Results Framework and LDCF/SCCF Framework](#) when completing Table A.

<sup>6</sup>The amount of US\$ 1,125,000 mentioned in this Section (“Part I”) corresponds to the fee on the Project Grant only (i.e. exclusive of the Project Preparation Grant). The amount of US\$ 12,500,000 indicated in Table A of this Section is exclusive of the Project Agency Fee (US\$ 1,125,000), the Project Preparation Grant or PPG (US\$ 300,000) and the Agency Fee on the PPG (US\$ 27,000). The total amount of requested GEF resources, consistent with the details provided in the OFP endorsement letters, is thus: US\$ 13,952,000, of which US\$ 300,000 for Project Preparation, US\$ 12,500,000 for Project Activities, and a total of US\$ 1,152,000 of Agency Fees.

**B. INDICATIVE PROJECT DESCRIPTION SUMMARY**

<b>Project Objective: Facilitating EBM/EAF in the CLME<sup>+</sup> for the sustainable and climate resilient provision of goods and services from shared living marine resources, in line with the endorsed CLME<sup>+</sup> SAP</b>						
<b>Project Component</b>	<b>Grant Type<sup>7</sup></b>	<b>Expected Outcomes</b>	<b>Expected Outputs</b>	<b>Trust Fund</b>	<b>Indicative Grant Amount (\$)</b>	<b>Indicative Cofinancing (\$)</b>
<b>Component 1:</b> Strengthening and consolidating the institutional, policy and legal frameworks for sustainable and climate-resilient shared living marine resources (sLMR) governance in the CLME <sup>+</sup> region	TA	Improved, integrative governance arrangements for sustainable fisheries and for the protection of the marine environment, in-line with the endorsed CLME <sup>+</sup> SAP	<p>1) Agreements on regional/sub-regional coordination and cooperation arrangements and institutional mandates, as set forward under the 6 CLME<sup>+</sup> SAP Strategies and 4 Sub-Strategies, and in-line with the SAP implementation timeline (see SAP Annex II and VII)</p> <p>2) Inter-sectoral/ministerial coordination mechanisms (incl. science-policy interfaces, as feasible) operational in at least 70% of participating countries by end of CLME<sup>+</sup> Project</p> <p>3) Relevant policies/national legislation updated and made compatible/harmonized among 70% of participating countries by end of CLME<sup>+</sup> Project, to enable effective EBM/EAF for the shared living marine resources (sLMR) (with special attention to, e.g.: regional/sub-regional agreements on combating IUU and harmonized MCS regulatory</p>	GEFTF	2,272,320	19,194,880

<sup>7</sup> TA includes capacity building, and research and development.

			<p>frameworks; sustainability; enhanced resilience to climate variability and change)</p> <p>4) Data policy(s) for sLMR governance and management agreed by min 70% of CLME<sup>+</sup> participating countries by end of CLME<sup>+</sup> Project (see also SAP Annex II and VII)</p> <p>5) Medium/long-term sustainable financing mechanism(s)/plan(s) for the governance arrangements for sLMR identified and agreed by the end of the CLME<sup>+</sup> Project</p>			
<p><b>Component 2:</b> Enhancing the capacity of key institutions and stakeholders to effectively implement knowledge-based EBM/EAF for sustainable shared living marine resources (sLMR) use in the CLME<sup>+</sup> (<i>subsidiarity principle applies</i>)</p>	TA	<p>Strengthened institutional and stakeholder capacity (human, technical/scientific, technological and financial capacity and knowledge) for sustainable and climate-resilient sLMR management at regional, sub-regional, national and local levels (<i>with special attention to increased capacity of regional and sub-regional organizations with key roles in SAP implementation</i>)</p>	<p>The distinct elements of the expected enhanced capacity of (sub)regional, national and local-level organisations and stakeholders for protecting the marine environment (reef and associated ecosystems, continental shelf) and for implementing EAF (reef fish, spiny lobster, queen conch, pelagics, shrimp and groundfish) are:</p> <p>1) Regional/sub- regional plans/measures for the management, conservation and sustainable use of key fisheries and habitats developed (see the endorsed SAP implementation timeline - SAP Annex II)</p> <p>2) DSS infrastructure</p>	GEFTF	2,272,727	20,786,107

			<p>developed (in-line with the actions set forward under the endorsed SAP and the SAP implementation timeline; see SAP Annex II and VII) in support of implementation of sLMR management plans and full policy cycles</p> <p>3) CLME<sup>+</sup> SAP actions mainstreamed in compatible, synergetic National Action Plans (NAPs) <i>(in line with SAP recommendations)</i></p> <p>4) CLME<sup>+</sup> SAP goals, objectives and actions mainstreamed in compatible, synergetic Small Grants Programme for CBO action</p> <p>5) Key stakeholders involved in the different components of the policy cycles for sLMR governance in the CLME<sup>+</sup> trained in:</p> <p>a) [Decision-makers]: identification of data/information/knowledge needs, and its use in decision-making (with special attention to the use of data on value of ecosystem goods and services, and on adaptation to climate variability and change); strengthening of negotiation skills</p> <p>b) [Implementation of management measures]: use of</p>			
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			<p>innovative, cost-effective technologies and sustainable solutions (e.g. by giving preference to solutions that while being cost-effective, are also robust and enhance resilience to climate variability and change) ; enhanced involvement of civil society and private sector (with special attention to IUU/compliance and enforcement, awareness building and enhanced/alternative livelihoods)</p> <p>c) [Data &amp; Information Management]: cost-effective monitoring/creation/gathering and management of data (incl. use of innovative technologies and approaches) (with special attention to critically needed datasets, using demand-driven approaches, and with enhanced involvement of civil society and private sector) (with special attention to data on value of ecosystem goods and services)</p> <p>d) [Review and Evaluation], [Analysis and Advice]: data analysis and reporting on the state of fisheries and the marine environment</p> <p>e) Others, as identified</p>			
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			<p>during participative analyses of priority capacity building needs, to be conducted during the project preparation phase</p> <p>6) Targeted research strategies for sustainable fisheries and the protection and sustainable use of the marine environment</p>			
<p><b>Component 3:</b> Piloting the implementation of EBM/EAF including through replication of best practices and the up-scaling of early results, and demonstration of improved/alternative livelihoods</p>	TA	<p>Progressive reduction of environmental stresses, and enhancement of livelihoods demonstrated, across the thematic and geographical scope of the CLME<sup>+</sup> SAP</p>	<p>A set of implementation/up-scaling/replication/demonstration activities, covering as feasible the geographic and thematic range of the CLME<sup>+</sup> SAP and combining government- steered and civil society-based/steered approaches will be developed through a participatory process during the project preparation phase. This set of activities is expected to contribute to the following outputs:</p> <p>1) Coordinated measures against IUU implemented and strengthened in at least 70% of participating countries by end of CLME<sup>+</sup> Project</p> <p>2) Sustainable, enhanced and/or alternative livelihoods (“decent work”) demonstrated in at least 5 pilot sites by end of CLME<sup>+</sup> Project</p> <p>3) Full policy cycle implementation piloted for minimum 3 of the EAF/EBM approaches</p>	GEFTF	5,113,636	30,958,500

			<p>set forward in the CLME+ SAP (incl. up-scaling/replication/expansion of impacts/geographic scope of activities from the “CLME” foundational capacity building project)</p> <p>4) Enhanced protection of reefs and associated habitats in at least 12 countries by end of CLME+ Project, in line with SAP Annex VII</p> <p>5) Habitat restoration piloted in at least 5 countries by end of CLME+ Project</p> <p>6) Climate change adaptation considerations mainstreamed throughout all previous outputs</p> <p>7) Demonstrate and further foster the critical, but frequently undocumented or insufficiently supported, role of women in the fisheries sector and environmental management at the community level</p> <p>8) Lessons learnt/best practices documented</p>			
<p><b>Component 4:</b> (Pre-)feasibility studies to identify major high-priority investment needs and opportunities in the CLME+ region</p>	TA	<p>Financing catalysed for the scaling-up of priority actions for the protection of the marine environment and for ensuring sustainable, climate resilient livelihoods and socio-economic development from sLMR use in the</p>	<p>1) (Pre-)feasibility reports on major investment needs and opportunities (incl. budget estimates, scope of work, private sector involvement, potential benefits and required timescales) prepared by end of year 2 of</p>	GEFTF	568,318	25,699,110

		CLME <sup>+</sup>	<p>the CLME<sup>+</sup> Project</p> <p>2) Investment plans (incl. specifications for private sector and civil society involvement) for habitat protection and restoration; pollution prevention and mitigation; sustainable fisheries and enhanced/ alternative livelihood developed and agreed upon by SAP stakeholders by CLME<sup>+</sup> Project mid-term</p> <p>3) At least US\$ 25 million of financing committed for initiating the implementation of highest-priority aspects of the agreed investment plans during the second half of the CLME<sup>+</sup> Project</p> <p>4) Potential financing sources identified for at least 50% of budgets required under the agreed upon investment plans</p>			
<b>Component 5:</b> Monitoring and assessing progress of and results from the overall implementation of the CLME <sup>+</sup> SAP, and experience sharing with the global LME practitioners community <sup>8</sup>	TA	<p>Regional socio-economic benefits and Global Environmental Benefits from the SAP implementation are maximised through:</p> <p>a) enhanced coordination and collaboration among shared Living Marine Resources (sLMR) projects and initiatives in the region</p>	<p>1) Formal cooperation frameworks/ partnerships among development partners, programmes, projects and initiatives with a stake in the CLME<sup>+</sup> SAP</p> <p>2) Common, or compatible, Regional Governance Framework-based approaches and protocol(s) for the</p>	GEFTF	1,136,636	7,564,218

<sup>8</sup> The Project will be allocating 1% of the GEF grant towards IW:LEARN activities, such as participation in IWCs and other learning exchanges, website development and maintenance, Results Notes, Experience Notes, etc.



		<p>b) optimised, adaptive management of sLMR-related projects and initiatives in the region</p> <p>c) exchange of best/good practices and lessons learnt among the global LME Community of Practice (CoP)</p>	<p>monitoring and assessment of overall SAP implementation</p> <p>3) SAP implementation web portal(s) providing overview of/access to periodically updated indicator sets (<i>process, stress reduction, environmental/ecosystem and socio-economic status indicators</i>) (<i>subsidiarity principle applies</i>) reflecting status and impacts of implementation of the overall CLME+ SAP</p> <p>4) Global dissemination and sharing of experiences with other LMEs (publications, experience notes, participation in GEF IW:LEARN activities, ...)</p>				
Subtotal						<b>11,363,637</b>	<b>104,202,815</b>
Project Management Cost (PMC) <sup>9</sup>				GEFTF		<b>1,136,363<sup>10</sup></b>	<b>6,651,244</b>
Total Project Cost						<b>12,500,000</b>	<b>110,854,059</b>

<sup>9</sup> To be calculated as percent of subtotal.

<sup>10</sup> The proposed Project will be working with more than 20 participating countries and a large number of organizations and stakeholders. It covers a vast area consisting of 2 Large Marine Ecosystems. The full involvement of the multitude of regional and national-level stakeholders, and the aim to establish strong partnerships and synergies with other, related initiatives in the region make this a highly complex project from a managerial perspective. Sound management structures and practices will be critical for the project's overall success and will need to be sustained throughout the project's duration. For this reason, a deviation from the 5% limit is requested as it is considered to be in the best interest of the Project and its stakeholders.

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

Sources of Cofinancing	Name of Cofinancier	Type of Cofinancing	Amount (\$)
GEF Agency	UNDP	Cash	2,000,000
GEF Agency	UNDP	In-kind	1,000,000
Other Multilateral Agency (ies)	UNEP-CAR/RCU	Cash	4,500,000
Other Multilateral Agency (ies)	UNEP-CAR/RCU	In-Kind	500,000
Other Multilateral Agency (ies)	UNESCO-IOC	Cash	2,900,000
Other Multilateral Agency (ies)	UNESCO-IOC	In-Kind	1,900,000
Other Multilateral Agency (ies)	FAO-WECAFC	Cash	3,000,000
Other Multilateral Agency (ies)	FAO-WECAFC	In-Kind	575,000
Other Multilateral Agency (ies)	OSPESCA	Cash	2,180,684
Other Multilateral Agency (ies)	OSPESCA	In-kind	810,675
Other Multilateral Agency (ies)	CRFM	Cash	4,599,605
Other Multilateral Agency (ies)	CRFM	In-kind	1,082,933
Other Multilateral Agency (ies)	CARPHA	In-kind	1,000,000
CSO	CANARI	Cash	1,238,519
National Government	GEF Eligible Governments	Cash	37,097,052
National Government	GEF Eligible Governments	In Kind	14,669,591
National Government	United States of America	Cash	500,000
National Government	United States of America	In-Kind	30,000,000
Private Sector	Various	Cash	300,000 <sup>11</sup>
Private Sector	Various	In-Kind	1,000,000 <sup>12</sup>
<b>Total Cofinancing</b>			<b>110,854,059</b>

**D. INDICATIVE TRUST FUND RESOURCES (\$) REQUESTED BY AGENCY, FOCAL AREA AND COUNTRY<sup>13</sup>**

GEF Agency	Type of Trust Fund	Focal Area	Country Name/Global	Grant Amount (\$)(a)	Agency Fee (\$)(b) <sup>2</sup>	Total (\$) c=a+b
UNDP	GEFTF	International Waters	Regional	12,500,000	1,125,000	13,625,000
<b>Total Grant Resources</b>				<b>12,500,000</b>	<b>1,125,000</b>	<b>13,625,000</b>

<sup>1</sup> 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.

<sup>2</sup> Indicate fees related to this project.

**E. PROJECT PREPARATION GRANT (PPG)<sup>13,14</sup>**

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

	<u>Amount</u> Requested (\$)	<u>Agency Fee</u> for PPG (\$) <sup>15</sup>
• (up to)\$300k for projects above \$10 million	<u>300,000</u>	<u>27,000</u>

<sup>11</sup> Please note these are estimated “first contributions”, as it is precisely the Project Preparation Grant that will allow to enter into more detailed discussions on private sector participation under the SAP (initial talks with e.g. the World Ocean Council were held during the preparation of the PIF)

<sup>12</sup> Idem ditto

<sup>13</sup> See also Footnote 6

<sup>14</sup> On an exceptional basis, PPG amount may differ upon detailed discussion and justification with the GEFSEC.

<sup>15</sup> PPG fee percentage follows the percentage of the GEF Project Grant amount requested.

## **PART II: PROJECT JUSTIFICATION<sup>16</sup>**

### **A. Project Overview**

#### **A.1. Project Description**

##### **1) The Global Environmental Problem, root causes and barriers that need to be addressed**

###### ***The environmental problem and its associated socio-economic impacts:***

Jointly, the *Caribbean and North Brazil Shelf Large Marine Ecosystems* (further referred to in this document as *CLME<sup>+</sup>*) constitute one of the geopolitically most diverse and complex sets of LMEs in the world. Twenty-six independent States and more than fifteen dependent/associated<sup>17</sup> territories border or are located within this marine area covering approximately 4.4 million km<sup>2</sup>. The marine environment of the *CLME<sup>+</sup>* represents a largely shared resource and constitutes a fundamental and integral part of the economic, recreational, cultural and spiritual reality of the region and its peoples. The associated marine ecosystems deliver important goods to human society - including through fisheries and tourism - and provide equally important services including climate services (e.g. through “blue forests”) and coastal defences (e.g. by coral reefs). At the same time, these ecosystems are the support base for the *CLME<sup>+</sup>*’s globally unique marine biodiversity. Tourism and fisheries are both of high social and economic importance in the region, but are heavily dependent on the health of the *CLME<sup>+</sup>*’s marine ecosystems and their associated *shared Living Marine Resources* (sLMR).

Direct and indirect human pressures on the marine environment in the *CLME<sup>+</sup>* have grown exponentially over the past decades. As a consequence, the capacity of the marine ecosystems to provide the goods and services that are so critical to the region’s livelihoods, sustained socio-economic development and well-being has become increasingly impacted by a multitude of human activities, consumption patterns and management decisions, with possible further aggravating effects to be expected from climate change and sea-level rise.

*Transboundary Diagnostic Analyses* (TDAs) conducted under the foundational capacity building “*CLME Project*” (UNDP/GEF, 2009-2013) identified three inter-linked, key environmental problems with severe socio-economic impacts across the *CLME<sup>+</sup>* region and beyond: (i) *unsustainable fisheries* resulting in over-exploited and collapsing fish stocks; (ii) *habitat degradation* and (iii) *pollution*. The impacts of these problems are evidenced by, for example, the reduction of total fishery catch by *CLME* countries within FAO Area 31 (“Western Central Atlantic”) from approximately 1.79 million tonnes in the late 1990s to about 1.25 million tonnes in 2010, and by estimated annual losses in tourism revenue due to coral reef degradation ranging from 100 – 300 million USD between 2000 and 2015. Such impacts have a clear negative effect on overall socio-economic development, food security and public health, and thus on the social and political stability in the region, as well as on overall global biodiversity. Reduced resilience of the socio-ecological system as a consequence of the former can further exacerbate the impacts from climate change, leading to a potentially profound environmental-economic crisis in the *CLME<sup>+</sup>* region by mid-century, if not earlier.

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<sup>17</sup> This includes overseas dependent territories, associated states, departments and islands with a special status

### **Root Causes:**

Causal Chain Analyses conducted under the CLME Project for the key environmental problems described above allowed the identification of the following seven cross-cutting root causes: (i) *weak governance*; (ii) *limited human and financial resources*; (iii) *inadequate (access to) data and information/knowledge*; (iv) *inadequate public awareness and involvement*; (v) *inadequate consideration of the value of ecosystem goods and services*; (vi) *population and cultural pressures*; and (vii) *trade and external dependency*.

Dealing with these root causes to resolve the CLME<sup>+</sup>'s key environmental problems has been a core consideration in the development and region-wide political endorsement in 2013 of a 10-year "*Strategic Action Programme for the Sustainable Management of the shared Living Marine Resources of the Caribbean and North Brazil Shelf LMEs*" (further referred to in short as "*the CLME<sup>+</sup> SAP*")

### **Barriers to be addressed:**

Geopolitical complexity/fragmentation of the CLME<sup>+</sup> region lies at the basis of the highly transboundary nature of not only marine ecosystems and living resources, but also of the identified priority problems. With the people and economies of the CLME<sup>+</sup> being so critically dependent on the goods and services provided by these threatened transboundary ecosystems, dealing successfully with both direct and root causes of these problems will require substantial expansion and enhancement of the gradually emerging, but still insufficient levels of coordination and collaboration among CLME<sup>+</sup> countries and organisations with a stake in the marine environment<sup>18</sup>.

With the limitations of human and financial resources in the region being recognized as an important root cause, the absence of transitory incremental funding and coordination support to kick-start SAP implementation would constitute a substantial barrier to catalyzing change in the region, and thus to achieving the CLME<sup>+</sup> SAP's expected objectives, outcomes and outputs (including a progressive reduction, over the medium and long-term, of the levels of donor dependency for sLMR governance).

Climate change may offset the potential positive results of actions dealing with the priority issues described above. Absence of the mainstreaming of climate change adaptation in sLMR governance decisions and management actions would therefore constitute an important potential barrier to achieving sustainable outcomes from SAP implementation.

## **2) Baseline Scenario ("*Business as Usual*") and associated baseline projects**

In many parts of the CLME<sup>+</sup> region, considerable efforts are already being made to deal with the priority environmental problems described under Section 1. (Sub-)Regional Fisheries Bodies have been created over the past decades, including the *Organisation of the Fisheries and Aquaculture Sector of the Central American Isthmus* (SICA-OSPESCA; 1995), the *Caribbean Regional*

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<sup>18</sup> Technical studies on sLMR governance conducted under the CLME Project have shown that management of marine ecosystems and their associated resources in the CLME<sup>+</sup> has traditionally been conducted in a highly fragmented manner, with individual habitats or fish stocks assessed and managed separately, and with little consideration to preserving the overall ecosystem health

*Fisheries Mechanism* (CARICOM-CRFM; 2002) and the *Western Central Atlantic Fisheries Commission* of FAO (FAO-WECAFC; 1973). The *Convention for the Protection and Development of the Marine Environment in the wider Caribbean Region* (“Cartagena Convention”) entered into force in 1983, and constitutes a comprehensive agreement that provides a legal framework for cooperative regional and national actions, supported by three Protocols. A few more recent examples of other, sub-regional cooperative efforts include: the *Campeche Declaration of 2008 on the Mesoamerican Strategy for Environmental Sustainability*, the signing of the *2012 Memorandum of Understanding between the CRFM and OSPESCA*, and the development and adoption by the Organisation of Eastern Caribbean States (OECS) of the *OECS’s Oceans Governance Policy* (which is mutually supportive and complementary with the CLME<sup>+</sup> SAP, and which, when adopted, will be the first transboundary ocean policy agreement in the region). These and other existing and newly emerging governance arrangements in the CLME<sup>+</sup> region are complemented by a myriad of programmes, projects and initiatives dealing with sLMR, both at the local, national and sub-regional levels. Key baseline projects and initiatives for the proposed CLME<sup>+</sup> project are summarised at the end of this section; additional relevant activities and initiatives involving the main project partners and other donors are included in Annex 1. Results from a more comprehensive analysis will be delivered during the project preparation (PPG) phase. A comprehensive analysis of global and (sub) regional organisations involved in sLMR governance in the CLME<sup>+</sup> was prepared by the *Centre for Resource Management and Environmental Studies* (CERMES/UWI) under the CLME Project and is available from [www.clmeproject.org](http://www.clmeproject.org).

Notwithstanding the progress and successes referred to above, the cost-effectiveness and efficiency of actions, the potential for further up-scaling, and the overall impacts and sustainability of these outcomes (in terms of the expected environmental and social benefits) are at risk. For these benefits to be fully realised, the need at the overarching LME-level for a functional governance framework - providing coordination and harmonization of efforts across the wider CLME<sup>+</sup> region, building human capacity, improving knowledge and information levels and promoting sustainable financing mechanisms - must be urgently addressed.

Many activities currently being undertaken in the CLME<sup>+</sup> region are aligned in their objectives with, and are essential for the achievement of the overall objectives of the CLME<sup>+</sup> SAP. However, many of these initiatives have been, or are being developed and implemented in an “ad hoc” manner, increasing the risk of gaps or overlaps in coverage of key issues, isolation/non-replication of efforts, and of competition amongst organizations and countries/stakeholders for limited donor funds. This is a consequence of the fact that adequate overarching governance arrangements and strategic frameworks for coordinated action had not been established. In light of this and despite the many efforts over the past decades, many of the region’s marine resources continue to be threatened and/or in decline. The rising threats posed by climate variability and change further make the systematic mainstreaming of climate change adaptation considerations increasingly urgent.

The broad political endorsement in 2013 of the 10-year *CLME<sup>+</sup> SAP* now provides the region with an important reference framework for coordinated action. A critical barrier to achieving the (global and regional) environmental and associated sustainable development benefits of this SAP are the costs and interim coordination mechanisms required to kick-start its implementation in the region. In case the alternative scenario (i.e. catalyzing implementation of the CLME<sup>+</sup> SAP through the GEF-funded co-financing of associated incremental costs) cannot be implemented, the baseline scenario will be maintained, and the region will fail to address -in a comprehensive and integrated way- the key root causes described under Section 1.

Under such a scenario, it is expected that overall environmental degradation will continue; critical fish stocks -economically and socially very important to the region- will not become sufficiently restored, and sustainable stock management at Maximum Sustainable Yield (MSY) across relevant geographic ranges will not be achieved; the areas/extension of key habitats and ecosystems that become protected and/or restored, or the amount of meaningful linkages between such systems, will be insufficient to optimize the delivery of goods and services from sLMR in a sustainable and climate-resilient way. Under this scenario delivery of such goods and services will become further impaired: offsetting increased contaminant loads from a growing population will not be sufficient, as investments in prevention, mitigation and remediation would be inadequate or too limited. Increased unemployment and poverty, and impacts on human health and well-being, forced migration, and a rise in illegal activities are only some of the associated socio-economic impacts that can be foreseen.

A number of critical interventions supportive of/compatible with the overall SAP objectives are currently being implemented or are being planned for implementation within the CLME<sup>+</sup> region. These include (but are not limited to): i) GEF IW projects within the region and globally that will interact with the CLME<sup>+</sup> project (e.g.: Gulf of Mexico LME, CReW, IWeco, TWAP and IW:LEARN; Amazon, Sixaola and Artibonito river basins; etc.); ii) GEF BD efforts geared towards the strengthening, expansion and/or sustainable financing of Marine and Coastal Protected Areas and for developing and/or updating NBSAPs; iii) GEF Small Grants Programmes; iv) GEF projects assisting fisheries (e.g. Sustainable Management of Bycatch in Latin America and Caribbean Trawl Fisheries, Climate Change Adaptation in the Eastern Caribbean Fisheries Sector and Introduction of Billfish Management in the Western Central Atlantic Region); and iv) projects and initiatives involving other partners including: TNC (The Caribbean Challenge Initiative), GIZ (Improving the Management of Coastal Resources and the Conservation of the Marine Biodiversity in the Caribbean Region), IDB Multilateral Investment Fund for adaptation of Caribbean coastal communities, CANARI/EuropeAid (Strengthening Caribbean Fisherfolk to Participate in Governance), DFID/CCCC (Caribbean Regional Resilience Development Implementation Plan, IODE (ODINCARSA, SPINCAM, CMA), and possibly the WB GPO, etc.

### **3) The proposed alternative scenario**

The need to implement an ecosystem approach (EBM/EAF), the critical importance of addressing root causes and the increasingly recognized need to mainstream climate change considerations across all actions have been noted as essential for ensuring the sustainable provision of goods and services from shared living marine resources in the CLME<sup>+</sup>. Increasing awareness indeed exists within the region that steps must be taken towards the implementation of an integrative and well-coordinated, ecosystem-based governance model for the adaptive management of marine resources across the CLME<sup>+</sup> region. Ultimately, such an integrated regional governance framework should involve all sectors with a stake in the marine environment (e.g. fisheries, tourism, shipping, oil and gas, etc.). However, the complexity of the region and the existing constraints in terms of financial, technical, human and organisational capacity make it necessary that a progressive, step-wise approach is pursued.

Following the adoption by CLME Project countries of EBM/EAF as guiding principles for enhancing the management of sLMR, the present GEF proposal puts a strong focus on integrating the approaches for the management of fisheries with those for the protection of the marine environment. This focus on integration, and having the Caribbean and North Brazil Shelf LMEs as the overarching geographic scope for the SAP, will ensure that the GEF-cofunded SAP

implementation project (the “CLME<sup>+</sup> Project”) will be uniquely positioned among all projects and initiatives in the region to initiate and catalyze this process in a structured, integrated way. The political endorsement by the CLME<sup>+</sup> countries in 2013 of this SAP further provides the region with a formal, broad integrative framework for action under which coordination, cooperation and information exchange among the many sLMR-related projects and initiatives that take place in the region can be achieved.

The strategies and timeline of the CLME<sup>+</sup> SAP provide a roadmap that will help the countries of the region in their efforts to gradually expand capacities and knowledge, and strengthen the frameworks and arrangements for region-wide cooperation, coordination and decision-making. Efforts under the new GEF-cofunded CLME<sup>+</sup> SAP implementation project will primarily contribute to creating the enabling conditions for improved and sustainable sLMR governance and management in the CLME<sup>+</sup> region during the next five years. At the same time, gradual expansion of both the scale of the actions and of the scope of the framework (e.g. by more fully integrating other productive sectors such as shipping and oil/gas) can then be planned, as additional awareness is being built and stakeholders – including the private sector and international or regional development banks - become increasingly involved.

In the CLME<sup>+</sup> region, considerable resources have already been invested in a myriad of regional and sub-regional organisations. For this reason, under the proposed alternative scenario organisations that already successfully exercise leadership will be further strengthened, largely within their existing geographical or thematic areas of responsibility. These organisations will have key responsibilities over the execution (and/or coordination) of key actions under the different SAP Strategies. Enhanced coordination and collaboration among organizations, arrangements, programmes, projects and initiatives is critically needed, and constituted an important cross-cutting criterion used throughout the development of the CLME<sup>+</sup> SAP.

The proposed new GEF project is consistent with and supportive of the six approved strategies of the CLME<sup>+</sup> SAP. At the overarching, LME level, the 3 main strategies are: (S1) *Enhance the regional governance arrangements for the protection of the marine environment*; (S2) *Enhance the regional governance arrangements for sustainable fisheries*; and (S3) *Establish and operationalise a regional policy coordination mechanism for ocean governance with an initial focus on shared living marine resources*.

Building further upon the existing baseline activities, the SAP will implement 3 additional strategies to facilitate EBM/EAF in the CLME<sup>+</sup>'s three marine ecosystem types that support the region's most important fisheries and biodiversity: (S4) *Enhance the governance arrangements for ecosystem-based management of reefs and associated ecosystems (e.g. seagrass beds, mangroves, reef slopes and coastal lagoons)*; (S5) *Enhance the governance arrangements for implementing an ecosystem approach for pelagic fisheries*; and, (S6) *Implementing EBM/EAF of the Guianas-Brazil continental shelf with special reference to the shrimp and groundfish fisheries*.

Although many of the CLME<sup>+</sup> SAP's actions will focus on tackling the root causes of transboundary problems listed under Section 1, the SAP does recognize that bringing about structural change -while essential for achieving large scale impacts - may only result in effective, region-wide improvement of environmental and socio-economic conditions in the CLME<sup>+</sup> in the medium- and long term. Therefore, the CLME Project's actions for structural changes in institutional, policy and legal frameworks (*Component 1* of the proposed GEF intervention), and for increased human and institutional capacity and technical/scientific knowledge (*Component 2* of the

proposal) will be combined with progressive implementation of “stress reduction” measures<sup>19</sup>, innovative demonstrations<sup>20</sup>, and initiatives geared towards the up-scaling of early results (*Component 3*). In addition to this, high-priority investment needs will be analyzed. Associated investment opportunities and options will be identified and agreed upon (*Component 4*), this as to catalyze full-scale implementation of the CLME SAP (resulting in a major up-scaling, towards the second half of SAP implementation, of the associated outcomes). Synergies among projects and initiatives in the CLME<sup>+</sup> region will be fostered through the monitoring and assessment frameworks and the knowledge management and exchange mechanisms developed and implemented under Component 5. This component will further provide means to track progress towards both specific and overall objectives of the CLME<sup>+</sup> SAP, and offer meaningful guidance for project managers and practitioners, regional governments and stakeholders, and donors alike, as it will facilitate adaptive management and the identification of opportunities for synergies and collaboration.

This project thus consists of five complementary and inter-linked components as described above. These components are designed to collectively deliver the project’s objective: *Facilitating EBM/EAF in the CLME<sup>+</sup> for the sustainable and climate resilient provision of goods and services from shared living marine resources.*

***Component 1: Strengthening the institutional, policy and legal frameworks for sustainable and climate-resilient shared living marine resources governance (sLMR) in the CLME<sup>+</sup> region***

As articulated under the six Strategies and four Sub-Strategies of the CLME<sup>+</sup> SAP, mechanisms and actions to strengthen and complement the existing institutional frameworks and arrangements, and to clarify and/or expand institutional mandates, allowing comprehensive, coordinated and integrative sLMR governance and management (combining and harmonizing actions for sustainable fisheries with the protection of the marine environment, and vice versa), will be developed and implemented consistent with EBM/EAF. This component will build upon the progress achieved in the region and under the CLME Project, which for example saw OSPESCA and CRFM develop a joint action plan for, amongst other things, the governance of spiny lobster, queen conch and large pelagic fisheries, coordinated action against IUU and control of the invasive lionfish. Component 1 will further facilitate the harmonisation and/or updating of sLMR-related policies and legislation in the region, to enable effective implementation of EBM/EAF throughout the CLME<sup>+</sup>. This component will also address the issue of the sustainability of the enhanced institutional and legal frameworks by developing appropriate and sustainable financing mechanisms. Consolidation of inter-sectoral coordination mechanisms (e.g. National Inter-ministerial/sectoral Committees or NICs) is an important expected output under this component.

In contributing to the expected outcome (*Improved, integrative governance arrangements for sustainable fisheries and for the protection of the marine environment, in-line with the endorsed CLME<sup>+</sup> SAP*), the activities will help addressing the root causes of weak governance and limited human/financial resources, identified in the TDAs.

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<sup>19</sup> full EAF/EBM policy cycle runs throughout the project implementation period, following an adaptive management approach

<sup>20</sup> with special attention for enhanced/alternative livelihoods



## **Component 2: Enhancing the capacity of key institutions and stakeholders to effectively implement knowledge-based EBM/EAF for shared living marine resources (sLMR) management in the CLME<sup>+</sup>**

Component 2 directly complements Component 1, as it will strengthen the capacity of institutions and stakeholders, by supporting the delivery of EBM/EAF-based (updated) management framework/plans (incl. details on specific management measures), by introducing new techniques and technologies, by fostering the creation of adequate information and knowledge generation/management and decision-support infrastructure and capacity, and by providing stakeholder training on key issues relevant to the CLME<sup>+</sup> SAP.

Stakeholder capacity development and training will be tailored to the particular needs of specific stakeholders and stakeholder organisations with key roles in the different components of the policy cycles under the major EBM/EAF CLME<sup>+</sup> SAP Strategies. With regard to the effective establishment and implementation of science-policy interfaces and interfaces with private sector and civil society, this means that, e.g., for the decision-making component of the policy cycles, the capacity of decision-makers to identify and effectively communicate data/information/knowledge needs, and to effectively use results from monitoring and research and from public consultation in the decision-making process, will receive particular attention. Special attention will also be given to the enhanced use of cost-benefit (*e.g. Business as Usual vs EBM/EAF*) and cost-efficiency analyses for decision-making; on the use of results from ecosystem valuation studies (ecosystem goods & services) in the context of such cost-benefit analyses; and on the integration of climate change adaptation considerations in decision-making.

Three key actions under Component 2 will further consist of the mainstreaming of relevant actions from the SAP in national public and private sector action plans and in an equivalent “Small Grants Programme” CLME<sup>+</sup> SAP, and in the development and adoption of targeted research strategies (linked to knowledge requirements under the SAP strategies for the protection of the marine environment and for sustainable fisheries). Regional capacity to increasingly involve civil society and private sector in sLMR management will be enhanced.

Component 2 will thus prepare CLME<sup>+</sup> countries, institutions and stakeholders (incl. private sector and grassroots organisations) to take full advantage of the enabling conditions created through the updated institutional and legal frameworks developed under Component 1.

The expected outcome (*Strengthened institutional and stakeholder capacity (human, technical/scientific, technological and financial capacity and knowledge) for sustainable shared living marine resource management at regional, sub-regional, national and local levels*) will address several of the root causes identified under the TDA. These include: weak governance; limited human/financial resources; inadequate (access to) data and information; inadequate public awareness and participation; and inadequate information on and consideration of the value of ecosystem goods and services.

## **Component 3: Piloting the implementation of EBM/EAF including through replication of best practices/up-scaling of early results; and demonstration of improved/alternative livelihoods**

Component 3 will be piloting full implementation of enhanced EBM/EAF in the field throughout the projects’ duration, in order to foster progressive reduction of anthropogenic stresses and improvement of livelihoods, and improved gender equality, through a representative series of activities that will spread across the thematic and geographic range of the CLME<sup>+</sup> SAP (from local

to national, to sub-regional and regional levels).

It will do so by building upon the ongoing developments under Component 1 (consolidating the institutional, policy and legal frameworks) and Component 2 (enhancing the capacity of institutions and stakeholders), in order to achieve full EBM/EAF policy cycle implementation -using an adaptive management approach- under at least 3 of the CLME<sup>+</sup> SAP strategies or sub-strategies.

Where improved policy cycle implementation was already initiated at the pilot scale under the CLME foundational capacity building project (e.g. spiny lobster and flyingfish fisheries), or where early results from SAP implementation are already obtained, further up-scaling of these efforts (including the expansion of impacts and/or geographic scope of these activities) and/or replication of good/best practices (as applicable) will be considered, in line with the projected actions under SAP Strategies 4-5-6 and the associated fishery-specific sub-strategies of the CLME<sup>+</sup> SAP.

Special attention will also be given under this component to the inclusion (development and implementation) of innovative demonstration actions leading to enhanced/alternative livelihoods, and gender equality, while simultaneously leading to a reduction of critical stress levels affecting particularly important CLME<sup>+</sup> ecosystems or habitats.

The full set of EBM/EAF piloting, replication/up-scaling and demonstration actions under Component 3 will cover, as feasible, the broader geographic and thematic range of the CLME<sup>+</sup> SAP, and will combine government-steered approaches to sLMR management with civil society-based or civil-society steered actions. This “actions package” will be developed through a participatory process during the project preparation phase, in which a broader range of stakeholders (incl. regional, sub-regional and national-level institutions and organisations, civil society – including communities and fisher folk- and private sector partners) will be involved. It is projected that a substantial partnership initiative will be established in this context with the GEF Small Grants Programme, based on a “SGP-grassroots”-equivalent version of the SAP to be developed under Component 2.

Actions and activities under Component 3 are expected to deliver the following outputs:

- Coordinated measures against IUU implemented and strengthened in at least 70% of participating countries by the end of the CLME<sup>+</sup> Project
- Sustainable, enhanced and/or alternative livelihoods (“decent work”) demonstrated in at least 5 pilot sites by the end of the CLME<sup>+</sup> Project
- Demonstrate and further foster the critical, but usually undocumented or insufficiently supported, role of women in the fisheries sector and environmental management at the community level
- Full policy cycle implementation<sup>21</sup> piloted for minimum 3 of the EAF/EBM approaches set forward in the CLME<sup>+</sup> SAP<sup>22, 23</sup> (incl. up-scaling/expansion of impacts/geographic scope of activities from the “CLME” foundational capacity building project)

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<sup>21</sup> A policy cycle consists of the following elements: (i) *Data and Information* → (ii) *Analysis and Advice* → (iii) *Decision-Making* → (iv) *Implementation* → (v) *Review and Evaluation* → back to (i); full policy cycle implementation means that “full policy cycle” runs will be conducted over the project implementation period, following an adaptive management approach (“*learning/improving by doing*”)

<sup>22</sup> The following CLME<sup>+</sup> SAP Strategies and Sub-strategies make direct reference to the implementation of EBM/EAF: Strategy 4: EBM for reefs and associated ecosystems; Sub-strategy 4A: EAF for spiny lobster fisheries; Sub-strategy 4B: EAF for queen conch fisheries; Strategy 5: EAF for pelagic fisheries; Sub-strategy

- Enhanced protection of reefs and associated habitats in at least 12 countries by end of CLME<sup>+</sup> Project, in line with SAP Annex VII
- Habitat restoration piloted in at least 5 countries by end of CLME<sup>+</sup> Project
- Climate change adaptation considerations mainstreamed throughout all previous outputs
- Lessons learnt/best practices documented and (see also Component 5) shared

It is expected that outputs from this component will also be used to guide the pre-feasibility studies for key investments that will assist with further implementation of the SAP (Component 4).

The projected outcome of Component 3 (*Progressive reduction of environmental stresses, and enhancement of livelihoods demonstrated, across the thematic and geographical scope of the CLME<sup>+</sup> SAP*) will require that the key root causes identified under the TDAs are adequately/progressively addressed through the actions and activities under Component 1 and 2. Component 3 is further expected to help contributing to the mitigation of the following root causes: inadequate public awareness and involvement; population and cultural pressures; and trade and external dependency

#### **Component 4: (Pre-)feasibility studies to identify major high-priority investment needs and opportunities in the CLME<sup>+</sup> region**

Recognizing that full achievement of the long-term objectives and overarching goal of the CLME<sup>+</sup> SAP will require significant financial investments –with substantial involvement of private sector and civil society- in the region, Component 4 will assist in the preparation of investments plans and in the leveraging of funds to implement these plans, by identifying priority needs and opportunities, including through the identification of “best practices” and “lessons learnt” from global experiences, from previous work conducted under the “CLME” Project, and from early results obtained from this new project (called “CLME<sup>+</sup>”) under Component 3.

Pre-feasibility studies will be conducted under this component and lead to the development of medium- and long-term (10-20 years) investment plans, which will include budgets, scope of works, timescale and stakeholders, and which are to be delivered by the mid-term of the CLME<sup>+</sup> Project. These investment plans, together with the progress obtained by the mid-term implementation of the CLME<sup>+</sup> Project under Components 1, 2, 3 and 5, will involve all relevant sectors of society and allow the region to start mobilizing additional funds for a more full-scale implementation of the CLME<sup>+</sup> SAP.

The expected outcome (*Financing catalysed for the scaling-up of priority actions for the protection of the marine environment and for ensuring sustainable livelihoods and socio-economic development from sLMR use in the CLME<sup>+</sup>*) will contribute to addressing, amongst others, the following root causes: limited financial resources, inadequate public and private involvement, and inadequate information and knowledge.

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5A: EAF for flyingfish fisheries; Sub-strategy 5B: EAF for large pelagic fisheries; Strategy 6: EBM/EAF of the Guianas-Brazil continental shelf and associated shrimp/groundfish fisheries

<sup>23</sup> Overall SAP implementation will address all mentioned EBM/EAF policy cycles; GEF resources under the CLME<sup>+</sup> Project will be used to pilot full implementation of at least 3 of these EBM/EAF policy cycles, as well as to foster/catalyze implementation of policy cycles under the other Strategies in coordination with other SAP-associated projects and initiatives.

## **Component 5: Monitoring and assessing the overall implementation of the CLME<sup>+</sup> SAP, and experience sharing with the global LME practitioners community**

As discussed in section A1.1, insufficient communication, co-ordination and information exchange among the myriad of sLMR-related projects, activities and initiatives that are underway or planned within the CLME<sup>+</sup> region constitutes an important barrier to achieving the societal and environmental benefits expected from such substantial investments. With the endorsement of the CLME<sup>+</sup> SAP, the region has now adopted a broad and comprehensive framework for coordinated action towards achieving such major benefits, directly linked to the Global Environmental Benefits (GEBs) expected under the GEF's IW and BD FAs. Component 5 is designed to provide clarity, to all stakeholders, on the overall achievements of CLME<sup>+</sup> SAP implementation, and to enable adaptive management/SAP implementation recommendations to respond to evolving priorities and needs.

This component of the CLME<sup>+</sup> Project is key to the successful overall implementation of the SAP: sound monitoring/assessment and communication/dissemination mechanisms and tools will be developed and implemented, including a comprehensive indicator framework based on GEF and TWAP recommendations and best practice (process, stress reduction, environmental/ecosystem and socio-economic status indicators; governance architecture and performance indicators). This will provide CLME<sup>+</sup> stakeholders, countries and regional organizations, as well as project coordinators and managers and the broader donor community, with a reference framework for the planning, coordination and collaboration on actions that will lead to the full-scale implementation of the CLME<sup>+</sup> SAP. It will allow for more effective and cost-efficient progress towards the SAP objectives (ecosystems protected and/or restored) and overarching goal (optimized, sustainable provision of goods and services by a healthy marine environment).

Furthermore, this component will assist with the overall long-term SAP implementation by developing tools to evaluate the contributions from the many projects that are being implemented in support of the SAP's goals. This will enable clear information on SAP implementation progress to be disseminated to a wide range of stakeholders at local/national/regional and international levels, further contributing to the delivery of Global Environmental Benefits.

The new UNDP/GEF "CLME<sup>+</sup>" project, which will play a key role in catalysing the overall implementation of the CLME<sup>+</sup> SAP, will provide a means to track progress and assess the impacts of the many projects and initiatives that will contribute to the full-scale implementation of the CLME<sup>+</sup> SAP. The exchange of experiences, best practices and lessons learnt will be fostered, and will expand beyond the region by networking with the global LME practitioners community (e.g. through IW:LEARN) (opportunities for exchanges of experiences with LME projects also foreseen to enter the SAP implementation phase, such as e.g. GoMLME and ASCLME, will be specifically analyzed during the PPG phase).

Actions under Component 5 will further build upon the lessons learnt from the preliminary "IMS/REMP" work conducted under the CLME Project. Overall, component 5 will optimize the coordination of activities projected under Section A4 of this PIF.

The Project will be allocating 1% of the GEF grant towards IW: LEARN activities, such as participation in IWCs and other learning exchanges, website development and maintenance, Results Notes, Experience Notes, etc.

The expected outcome (*Regional socio-economic benefits and Global Environmental Benefits from*

*the SAP implementation maximised through: a) enhanced coordination and collaboration among regional sLMR projects and initiatives; b) optimised, adaptive management of sLMR-related projects and initiatives in the region; and, b) exchange of best/good practices and lessons learnt among the global LME CoP*) will contribute to addressing, amongst others the following root causes: weak governance; inadequate access to data and information; and inadequate public awareness and participation.

### **Institutional Arrangements**

UNDP, as the GEF Agency, will have overall supervision responsibility as the **Implementing Agency** for the project and ensure consistency with GEF and UNDP policies and procedures. The project will be **executed** through UNOPS. UNOPS will work with UN partner bodies (e.g. FAO-WECAFC, UNEP CEP, IOC of UNESCO) to prepare Inter-Agency Agreements during the PPG stage. UNEP CEP and FAO-WECAFC are expected to provide leadership in the execution of Actions under especially (but not exclusively) SAP Strategies 1 and 2, respectively, together with regional bodies pertaining to SICA and CARICOM (e.g. OSPESCA, CCAD, CRFM,..) and others. IOC UNESCO is expected to be a key partner in the execution of science and information-related actions such as those contained under Strategy 3.

A range of regional supervisory, co-ordination and advisory bodies will further be elaborated or identified during the PPG stage through close discussions with key national governments, partners and other stakeholders.

### **4) Incremental Cost Reasoning and expected contributions from the baseline, the GEFTF and co-financing**

During the first half of 2013, the 10-year CLME<sup>+</sup> SAP -developed under the GEF-cofunded *CLME Project*- was politically endorsed by the countries of the region and now constitutes a fundamental part of the baseline situation. However, as recognised in the SAP, the multitude of actions needed to fully address the transboundary problems require further catalytic and transitory coordination support so that overall, well-coordinated implementation of the broader CLME<sup>+</sup> SAP can be initiated through the proposed new GEF intervention.

Whereas many actions implemented and/or planned by other initiatives and donors will focus on dealing with the direct causes of environmental degradation in the CLME region, the GEF co-funded SAP implementation project will put particular focus on addressing the root causes and barriers, in order to enable and facilitate EBM/EAF in the CLME<sup>+</sup> region. Of overarching importance in this context is the need to implement effective, nested regional and sub-regional approaches to sLMR governance.

Many of the baseline activities reflect an *ad hoc* approach to management and governance of the region's sLMR. This has been compounded by a lack of cross-regional and cross-sectoral integration, resulting in inefficient use of the limited resources (human and financial). At this stage the LME-based GEF intervention is the only initiative in the region with a sufficiently broad geographic and thematic scope that can promote integration of all the different initiatives in the region. By promoting the CLME<sup>+</sup> SAP as an overarching reference framework and by catalyzing its implementation, the GEF project – through the co-financing of the associated incremental costs - will provide interim coordination and integration support for and amongst agencies, sectors and initiatives at the regional/sub-regional and national levels, while more permanent coordination mechanisms are being established and/or consolidated. As such, the GEF incremental cost co-

financing will result in a much higher return on the investments conducted under the different sLMR-related activities in the region, in terms of the delivery of substantial impacts and more sustainable results. It needs to be pointed out that it is exactly the existence of an extensive baseline that will make it possible that in such a complex region substantial results can be catalyzed through a proportionally relatively limited financial contribution from the GEF. The co-financing from such baseline activities will thus be instrumental to achieving the GEBs expected from the SAP.

The “*CLME Initiative*” consisting of the foundational capacity building CLME project, and the SAP-implementing CLME<sup>+</sup> project, proposed through this PIF, is uniquely positioned to lead this effort as it embraces the Large Marine Ecosystem (LME) concept and has delivered an overarching, LME-based Strategic Action Programme. Incremental cost funding required from the GEF to kick-start major coordination efforts while at the same time consolidating the governance framework are detailed in Part I and will assist the region in making the transition towards more sustainable arrangements that will allow to gradually reduce dependency on donor support.

This project will result in improved EBM/EAF by agreeing and implementing appropriate institutional, governance and management arrangements that will enhance the protection of biodiversity, enable the recovery of sustainable fisheries and strengthen the livelihoods of the population dependent on the CLME<sup>+</sup> resources. Overall, the GEF increment will kick-start SAP implementation including the up-scaling of key developments initiated under the “CLME” Project.

## **5) Global Environmental Benefits**

The overarching vision behind the CLME<sup>+</sup> SAP is to achieve, within a time frame of approximately 20 years, a healthy marine environment in the CLME<sup>+</sup> region which maximizes -in a sustainable way- the benefits for livelihoods and human well-being obtained from marine ecosystem goods and services. Within that broader time frame, the 10-year SAP focuses on better governance and management of shared living marine resources by fostering progressive application of the EBM and EAF approaches and enhanced compliance with rules and regulations within the CLME<sup>+</sup>. Such strategic actions will reduce ecosystem stresses resulting in improved ecosystem status. These environmental benefits will lead to improved food production, economic development and regional stability, as critical fish stocks (incl. spiny lobster, queen conch, reef fish etc.) will be sustainably managed, marine and coastal ecosystems (such as the CLME’s reefs and the NBSLME’s mangroves) will be better valued and protected. It is expected that protection of such natural coastal structures will strengthen the regions’ ability to resist impacts from storms and sea level rise, which would otherwise result in increasing damage to coastal infrastructure as a consequence of climate variability and change. The region’s globally important biodiversity will be better preserved, thereby allowing for the protection of critical assets (natural and man-made) necessary for the economically important tourism sector. Improved or alternative means of incomes and decent work will be created and promoted.

The proposed CLME<sup>+</sup> project and overarching SAP fully support MDG Goals on sustainable development, WSSD targets on biodiversity, poverty, fish stocks and governance, and contribute to the Aichi Strategic Goals (A-E) from the CBD COP 11.

## **6) Innovativeness, sustainability and potential for scaling-up**

**Innovativeness:** The Project “CLME<sup>+</sup>” (*Phase 2, SAP implementation*) builds upon the innovative approach initiated under the “CLME” Project (*Phase 1, SAP development*), as it will continue to apply the *ecosystem approach to fisheries* (initially developed under the TDAs and further adopted

during the development of the SAP through the formulation of SAP Strategies 4-6). The preparation of the SAP also led to the development of innovative concepts and approaches to depict the interactions between the three interlinked priority problems affecting the three interlinked fisheries ecosystem types; these were instrumental to the structured development of SAP Strategies and associated actions. This conceptual approach will thus be further utilised during the SAP implementation phase.

The CLME<sup>+</sup> Project will continue to advocate EBM/EAF for regional and sub-regional management of sLMR. The focus of the SAP implementation is on key root causes identified by the causal chain analysis under the TDAs, with a specific emphasis on the consolidation of a regional framework for sLMR governance. This regional framework is based on multi-level, nested and integrative resources governance arrangements that build largely on existing institutions, and constitutes another innovative element of the CLME<sup>+</sup> SAP. Lessons learnt from its practical implementation will be of great relevance to the global LME community.

Component 5 (Monitoring and assessing the overall implementation of the CLME<sup>+</sup> SAP) also constitutes an important innovative element in GEF IW/LME SAP implementation project design: it allocates resources to cover the incremental costs of catalyzing enhanced coordination and synergies among the myriad of regional and local projects and initiatives that fit under the wider umbrella of the CLME<sup>+</sup> SAP. While the CLME<sup>+</sup> project will catalyze SAP implementation by executing key priority actions under the different SAP Strategies, important collaborative efforts with other projects and initiatives will need to be further established. This requires a sound coordination, monitoring and assessment mechanism which can provide important insights to both project managers, regional and national-level stakeholders, and the donor community.

Demonstrations on improved/alternative livelihoods as innovative stress reductions will also bring innovative action directly to the field.

**Sustainability:** The sustainable provision of goods and services from sLMRs is the overarching objective of the CLME<sup>+</sup> SAP. Sustainability of both the overarching as well as the more specific outputs and outcomes expected from SAP implementation were central in the SAP formulation process. Special reference can be made in this context to the strong focus of the CLME<sup>+</sup> Project on the strengthening of the capacity of key regional stakeholders, the development of a strategy for sustainable financing of the institutional frameworks (applying the *subsidiarity* principle), and the overall strive for enhanced cooperation among initiatives and actors in the region. Key in this context is the fact that the project is fully supportive of further enhancing regional and national-level ownership, by enhancing the capacity of organisations which are broadly supported by the CLME<sup>+</sup> countries, such as OSPESCA, CCAD and CRFM. Achieving sustainability of project outcomes will further also be strived for by giving full consideration to the need to mainstream *climate change adaptation* (robustness of solutions, and *resilience* of outcomes) in the development and execution of specific activities and initiatives under the SAP.

**Potential for scaling up:** It is broadly recognized that a major up-scaling of EBM/EAF efforts in the region will be essential to achieving the overall longer-term objectives of the SAP. The proposed 5-year *CLME<sup>+</sup> Project* specifically aims at catalyzing the implementation of this broader 10-year SAP, under which substantial up-scaling of actions is expected to take place - especially in the medium-term. With limited resources being available from the GEF under the International Waters Focal Area, through its complementary and inter-linked components the Project has been designed to create the enabling conditions required for such up-scaling, by strengthening the institutional and legal frameworks (Component 1), the human and institutional capacity

(Component 2), and the coordination and collaboration among stakeholders, GEF focal areas and donors (Component 5). Directly under the implementation of CLME<sup>+</sup> Project activities itself (first 5 years of SAP implementation), moderate up-scaling of early results is expected to already occur in the short term, through demonstration and replication actions under Component 3 (e.g. results from the CLME Project such as those from the spiny lobster pilot project will be up-scaled through the implementation of the OSPESCA-CRFM Joint Action Plan). Lessons learnt under this component, together with the results from the feasibility studies to be conducted under Component 4, will create additional awareness and attract major investments, and as such provide the basis for a substantial expansion of the actions needed to achieve the SAP objectives (10 years) and overarching long-term goal (20 years). In the long-term, up-scaling will also include the gradual expansion of the scope of CLME<sup>+</sup> actions from their initial focus on shared living marine resources management to fully integrated ocean governance. Component 5 will also promote the coordination with other initiatives (incl. GEF Projects under the Biodiversity Focal Area), the exchange of best practices from the CLME with other LMEs, further contributing to the up-scaling of associated Global Environmental Benefits (GEBs). The five inter-linked and complementary CLME<sup>+</sup> Project components are thus specifically designed to facilitate replication/scaling-up of actions and outcomes.

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

The baseline activities (and in particular the previous UNDP/GEF CLME Project) have assessed the roles of (and engaged) a wide number of stakeholder groups through the development of the TDA and SAP, and the execution of a series of case study and pilot projects. The following stakeholder groupings will have key roles in the preparation of the proposed CLME<sup>+</sup> Project:

- **National Governments** of the CLME<sup>+</sup> region
- **Regional and sub-regional Fisheries and Environmental Bodies** (CRFM, OSPECA, OECS, CCAD, CEHI, CCCCC, etc.);
- **Regional / international organisations** (UNEP-CEP, FAO-WECAFC, UNESCO-IOC/IODE);
- **Private sector** (tourism, fishing associations, shipping, WOC, etc.);
- **Academia and Research** (e.g. NOAA, CERMES/UWI, WRI);
- **Civil Society Organisations** (TNC, CANARI, CNFO - Caribbean Network of Fisherfolk Organisation)

A more comprehensive overview of institutions and organisations that will participate in SAP project development and implementation will be created during the initial steps of the PPG phase (during this phase arrangements to formalize their participation in SAP implementation will also be further discussed).

**A.3 Risks:**

<b>Risk</b>	<b>Rating</b>	<b>Mitigation Strategy</b>
Operating the governance framework for sLMR is financially not sustainable in the long-term	M	SAP actions gradually reduce donor dependency of governance arrangements. Application of subsidiarity principle and enhanced region-wide capacity and cooperation enhance efficiency in use of available financial resources. Financial considerations are included in decisions regarding the strengthening/expansion of the governance arrangements.



Failure to agree on a common approach to regional EBM/EAF governance	L	The development and region-wide political endorsement of the SAP has demonstrated countries' willingness to cooperate and activities under Components 1, 2 and 3 in particular will further support this cooperation
Fragmentation of efforts and lack of coordination among projects and initiatives resulting in low return on investment and failure to achieve GEB	M	CLME <sup>+</sup> SAP as regionally endorsed guidance/reference framework for coordinated action. Incorporation of Component 5 in the SAP implementation project design (mapping of initiatives, tracking of progress, establishment of partnerships). Leading role in execution of SAP Strategies for (sub)regional organisations with formal mandate. Use of results from comprehensive technical study on institutional mandates/policy cycle gaps conducted during foundational capacity building phase (CLME)
Environmental and Societal Change (incl. climate change, political change)	M- H	Mainstreaming of adaptation/mitigation criteria in the design and implementation of CLME <sup>+</sup> SAP activities: (i) evaluation of the robustness of proposed solutions in the context of climatic and political uncertainty; (ii) contribution of the proposed solutions/actions to enhancing the resilience of the socio-ecological system. Strong involvement of and ownership by (sub-)regional bodies will reduce susceptibility of project outcomes to political change.
Lack of parallel commitment on the part of Governments and potential donors to ensure financial sustainability beyond the life of the Project	L-M	Strong coordination with and involvement of governments and other donors in the implementation of the CLME <sup>+</sup> SAP will be promoted through Component 5. Analyses of financial needs will be conducted during SAP implementation.
Limited public interest in change and awareness in ecosystem approaches	L-M	Through both Components 2 and 3 the project will engage with the wider stakeholders to increase awareness and emphasise local benefits of ecosystem management approaches
Limited scientific data and information and ability of national fisheries authorities to share data	L-M	Strong attention under SAP Strategies to enhanced data & information management, and coordinated research, incl. through development of regional-level data policy and coordinated research strategies
Significant difference in participating countries' size, geographic configuration, development and economic level limit achievement of project outcomes	L-M	The project has an emphasis on horizontal cooperation with sub-regional bodies, and on networking among bodies and organizations at the national and regional levels in order to set the bases for region-wide ecosystem management approaches. In the regional and international context, the strengthening of the sub-regional bodies will empower their individual member states. This will help to balance relative strengths and priorities, and actually provides an incentive for all countries to support the project outcomes. Additionally, the project will encourage South-South cooperation by generating opportunities for countries with greater capacity and experience in management of specific fisheries, to share their expertise with others.

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

Supported by the incremental cost funding allocated to Component 5, and using the SAP as a regionally endorsed, comprehensive reference framework, the CLME<sup>+</sup> project partners will strive

to maximize the complementarity of their activities under the different SAP Strategies with those undertaken or planned by the myriad of other, relevant sLMR-related projects and initiatives in the CLME<sup>+</sup> region, and vice versa. During CLME<sup>+</sup> implementation, coordination will be sought with projects (co-)funded through GEF4, 5 and 6 under the different focal areas, and other (multi-lateral, bi-lateral, private sector and CBOs) donors and development partners (e.g.: USAID, EuropeAID, AusAID, DFID, GIZ, TNC, World Bank and Regional Development Banks), across the thematic (IW, BD, LD, CCA) and geographic ranges (global, regional/sub-regional, national and local) relevant to the CLME<sup>+</sup> SAP.

As indicated under the Baseline Projects, there is a significant amount of relevant (parallel) projects and initiatives that are important to the successful completion of the CLME<sup>+</sup> project.

During the PPG phase, in-depth consultations will be undertaken to identify and expand the CLME<sup>+</sup> partnerships, and to establish practical modalities for collaboration. As such, duplication of efforts in the context of SAP implementation will be avoided and synergies will be maximized, so that optimal return on investments of donor funds (e.g. in terms of societal and environmental benefits) can be obtained.

## **B. DESCRIPTION OF THE CONSISTENCY OF THE PROJECT WITH:**

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

The CLME<sup>+</sup> SAP was developed, negotiated and regionally endorsed under the Foundational Capacity Building Project “CLME” (GEF4, 2009-2013). The SAP is based on the results of a series of Transboundary Diagnostic Analyses (TDAs), case studies and pilots, and was developed following a highly participative approach in which a wide array of key regional organisations and national partners played a fundamental role. As a consequence, the currently proposed SAP implementation project is fully consistent and aligned with sLMR-related national, sub-regional and regional plans, reports, assessments and agreements. These plans, assessments and agreements include: the Cartagena Convention (1983) and its three associated Protocols (1986, 2000, 2010) and biannual work plans; the 2008 Campeche Declaration on the Mesoamerican Strategy for Environmental Sustainability; the 2012 OSPESCA-CRFM Memorandum of Understanding (MoU) and Joint Action Plan; the OSPESCA-CCAD MoU; the CARICOM Implementation Plan for the Regional Framework for Achieving Development Resilient to Climate Change; the draft OECS Eastern Caribbean Regional Ocean Policy; the St Lucia Declaration on IUU; the draft NOAA Caribbean Strategy, the national-level NBSAPs, etc.

Reference is further made to UN Resolution A/C.2/67/L.41 “Towards the sustainable development of the Caribbean Sea for present and future generations” (“Caribbean Sea Initiative”), promoted through the Association of Caribbean States (ACS), which recognizes that the Caribbean Sea is an area of unique biodiversity and a highly fragile ecosystem that requires relevant regional and international development partners to work together to develop and implement regional initiatives to promote the sustainable conservation and management of coastal and marine resources. Underpinned by this Resolution, a regionally-endorsed call is being made through the CLME<sup>+</sup> SAP for international and region-wide support for the implementation of this SAP.

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

Even though the CLME<sup>+</sup> Project will be directly receiving funds from the GEF under the International Waters Focal Area only, the project's conceptual design is well in line with the GEF's rationale for promoting synergies: through the implementation of CLME<sup>+</sup>, multiple global environmental benefits will be secured across the IW and BD Focal Areas through the planned catalytic investments in the implementation of the CLME<sup>+</sup> SAP. The CLME<sup>+</sup> project is consistent with the GEF5 International Waters Strategy, Goals and priorities, and will contribute, through synergetic actions with other projects, to the GEF Strategy of the Biodiversity Focal Area. The proposed actions will support the following FA objectives: IW-2, IW-3, BD-1, BD-2 and BD-3.

**International Waters Strategy:** The project is designed to catalyze full-scale implementation of the endorsed CLME<sup>+</sup> SAP and will primarily address the Strategic Objective IW-2: *Catalyze multi-state cooperation to rebuild marine fisheries and reduce pollution of coasts and Large Marine Ecosystems while considering climatic variability and change.* In addition, it will contribute to Objective IW3: *Support foundational capacity building, portfolio learning and targeted research needs for joint ecosystem-based management of transboundary water systems.* In addressing these Strategic Objectives the project is expected to realise Outcome 2.1 (*Implementation of agreed SAPs incorporates ecosystem-based approaches to management of LMEs,....*), Outcome 2.2 (*Institutions for joint ecosystem based and adaptive management for LMEs,....*), Outcome 2.3 (*Innovative solutions implemented for reduced pollution rebuilding or protecting fish stocks....*). (Outcome 2.4 has been addressed during the development of the CLME<sup>+</sup> SAP). Under IW3, Outcome 3.1 (*Political commitment, shared vision, institutional capacity for joint ecosystem based management....*), Outcome 3.2 (*On-the-ground modest action implemented in water quality,...fisheries and coastal habitats....*) and Outcome 3.3 (*IW portfolio capacity and performance enhanced...*) will be realised.

Through synergies with other initiatives in the region, the project will contribute to strengthen substantially the regional contributions to the following objectives of the "Biodiversity" Focal Area of the GEF: BD-1, BD-2, and BD-3.

**Biodiversity Strategy:** The project will contribute to the maintenance and/or restoration of the capacity of the pelagic, continental shelf, reefs and associated ecosystems to provide goods and services in support of sustainable human development and wellbeing, including through the conservation and sustainable use of biodiversity. More specifically, the project will contribute to Strategic Objective BD-1: *Improve Sustainability of Protected Area Systems*; and Strategic Objective BD-2: *Mainstream Biodiversity Conservation and Sustainable use into Production Landscapes, Seascapes and Sectors.* The project will contribute to Outcome 1.1 (*Improved management effectiveness of existing and new protected areas*), Outcome 2.1 (*Increase in sustainably managed landscapes and seascapes that integrate biodiversity conservation*), Outcome 2.2 (*Measures to conserve and sustainably use biodiversity incorporated in policy and regulatory frameworks*) and Outcome 2.3 (*Improved management frameworks to prevent, control and manage invasive alien species*). The project is further expected to enhance the impacts and sustainability of the outcomes of related national-level projects and activities contributing to Strategic Directive BD-5, including the achievement of Outcome 5.1 (*Development and sectoral planning frameworks at country level integrate measurable biodiversity conservation and sustainable use targets*), by facilitating the integration of a regional and cross-sectoral, LME/marine ecosystem-based perspective in the development and/or updating of NBSAPs.

In working towards these GEF Strategic Objectives and Outcomes the project will advance regional ecosystem based management consistent with regional and global conventions and agreements, as applicable (e.g. the Cartagena Convention and its protocols, WSSD, Aichi targets of the CBD, etc.).

### **B.3 The GEF Agency's comparative advantage for implementing this project:**

UNDP's comparative advantages include its extensive network of decentralised offices and human expertise, and its experience in promoting improved water and ocean governance and biodiversity conservation and sustainable use.

UNDP's Strategic Plan, approved by the UNDP Executive Board, includes "Managing Energy and the Environment for Sustainable Development" (Goal 4). UNDP has taken internal steps to operationalize the mainstreaming of elements of the Strategic Plan at a subsidiary level through its Water Governance Strategy endorsed by the UNDP Management Group in 2007. The Strategy includes as one of its priorities: "Regional and Global Cooperation", with as associated outcome and principal output, respectively: "*enhanced cooperation, peace, security and socio-economic development through adaptive governance of shared water and marine resources*" and "*assist countries to develop and implement cooperation on transboundary waters through multi-country agreements on priority concerns, governance reforms, investments, legal frameworks, institutions and strategic action programmes*".

In managing its LME and transboundary fisheries programs, UNDP's Ocean Governance Programme ([www.undp.org/water/ocean-coastal-governance.shtml](http://www.undp.org/water/ocean-coastal-governance.shtml)) draws on a wide range of staff expertise in marine ecosystems, fisheries, and marine/coastal resources management at HQ, in its Regional Centers, and through its network of Country Offices.

Senior advisors at HQ and in regional centers all have relevant expertise (fisheries economics, marine biology, environmental management/policy, marine resource economics, etc.). UNDP's cumulative LME portfolio, working in 11 different LMEs in all 5 UNDP regions covering over 100 countries, represents US\$ 528 million in total financing from GEF, UNDP, governments, donor partners, and others. This represents the largest investment of any kind in advancing the sustainable, integrated, ecosystem-based management of LMEs, from which over 85% of the world's fisheries are harvested, which contribute US\$ 12.6 trillion/year in goods and services to the global economy, and which provide livelihoods for nearly half a billion people, many in the world's poorest countries.

Underscoring this approach is UNDP's poverty reduction mandate and commitment to preserving and enhancing food security and livelihoods of the nearly one billion people who depend on healthy, functioning marine ecosystems like the Caribbean and North Brazil Shelf LMEs.

In terms of implementing GEF IW and coastal and marine BD projects, UNDP has consistently delivered results through a broad range of both transboundary and national-level enabling and support actions leading to and including: the high-level adoption of 17 SAPs (8 of which are currently being implemented), the strengthening and/or establishment of 20 multi-country marine/coastal, river and lake basin management agencies or commissions, the delivery and updating of National Biodiversity Strategies and Action Plans (NBSAPS), and the expansion and enhanced management of networks of Coastal and Marine Protected Areas (MPAs). Globally, UNDP is the also the Implementing Agency for the GEF's Small Grants Programme.

Specifically in the context of the CLME<sup>+</sup> region, UNDP was the Implementing Agency of the GEF4 foundational capacity building project “CLME” (under which the CLME<sup>+</sup> SAP was developed and endorsed), and of a series of projects on coastal and marine biodiversity (incl. MPAs) under both GEF4 and 5. UNDP is also the co-Implementing Agency (with UNEP) of IW-Eco.

In the CLME<sup>+</sup> Region, UNDP has well-established alliances with key regional and national-level partners. SAP implementation will be directly supported by experienced UNDP Regional Technical Advisors based in the region and by UNDP Principal Technical Advisors with responsibility for global UNDP IW and BD portfolio oversight. Further support and coordination with relevant national-level GEF interventions will be secured through the UNDP Country Offices and the Country Coordinators of the Small Grants Programme.

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

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


<b>NAME</b>	<b>POSITION</b>	<b>MINISTRY</b>	<b>DATE (MM/dd/yyyy)</b>
Diann Black-Layne	Ambassador (GEF Operational Focal Point <b>Antigua and Barbuda</b> )	Ministry of Agriculture, Lands, Housing and the Environment- <b>Antigua</b>	12 July, 2013
Henna J. Uiterloo	Permanent Secretary for Environment (GEF Operational Focal Point <b>Suriname</b> )	Ministry Labour, Technological Development & Environment - <b>Suriname</b>	29 July, 2013
Yasa Belmar	Environmental Resource Analyst (GEF Operational Focal Point <b>St. Vincent and the Grenadines</b> )	Ministry of Health, Wellness and the Environment - <b>St. Vincent and the Grenadines</b>	29 July, 2013
Caroline Eugene	Sustainable Development and Environment Officer III (GEF Operational Focal Point <b>Saint Lucia</b> )	Ministry of Sustainable Development, Energy, Science & Technology – <b>Saint Lucia</b>	30 July, 2013
Indarjit Ramdass	Executive Director (GEF Operational Focal Point <b>Guyana</b> )	Environment Protection Agency - <b>Guyana</b>	30 July, 2013

Lavern Queeley	GEF Operational Focal Point <b>St. Kitts &amp; Nevis</b>	Ministry of Sustainable Development - <b>St. Kitts &amp; Nevis</b>	31 July, 2013
Patricia Abreu Fernandez	Vice Minister for International Cooperation (GEF Operational Focal Point <b>Dominican Republic</b> )	Ministry of Environment and Natural Resources- <b>Dominican Republic</b>	31 July, 2013
Timothy N.J. Antoine	Permanent Secretary - <b>Grenada</b>	Ministry of Economic Development, Planning, Trade and Cooperatives - <b>Grenada</b>	31 July, 2013
Leonie Barnaby	Senior Director (GEF Operational Focal Point <b>Jamaica</b> )	Ministry of Water, Land, Environment and Climate Change - <b>Jamaica</b>	2 August, 2013
Javier Camargo	Acting Chief, Office of International Affairs (GEF Operational Focal Point <b>Colombia</b> )	Ministry of Environment and Sustainable Development - <b>Colombia</b>	5 August, 2013
Joth Singh	Managing Director/CEO (GEF Operational Focal Point <b>Trinidad and Tobago</b> )	Environmental Management Authority – <b>Trinidad and Tobago</b>	6 August, 2013
Irina Pineda	Director of External Cooperation and Resource Mobilization Unit (GEF Operational Focal Point <b>Honduras</b> )	Secretariat of Natural Resources and Environment - <b>Honduras</b>	6 August, 2013
Lloyd Pascal	Director, Environmental Coordination Unit (GEF Operational Focal Point <b>Dominica</b> )	Ministry of Environment, Natural Resources, Physical Planning and	7 August, 2013

		Fisheries - <b>Dominica</b>	
Abraham Herrera	Director (GEF Operational Focal Point <b>Panama</b> )	National Environment Authority - <b>Panama</b>	7 August, 2013
Jean Francois Thomas	Minister (GEF Operational Focal Point <b>Haiti</b> )	Ministry of Environment - <b>Haiti</b>	8 August, 2013
Rubén Muñoz	Director of International Cooperation (GEF Operation Focal Point <b>Costa Rica</b> )	Ministry of Environment and Energy – <b>Costa Rica</b>	9 August, 2013
Rickardo Ward	Project Manager (GEF Operational Focal Point <b>Barbados</b> ) (for Permanent Secretary)	Ministry of Environment and Drainage - <b>Barbados</b>	9 August, 2013
Marcia Roxana Sobenes Garcia	Minister (GEF Operational Focal Point <b>Guatemala</b> )	Ministry of Environment and Natural Resources - <b>Guatemala</b>	19 August, 2013
Rodrigo Martins Vieira	General Coordinator for External Financing (GEF Operational Focal Point <b>Brazil</b> )	Ministry of Planning, Legislation and Management. Secretariat of International Affairs	28 August, 2013
Margarita Pérez Villaseñor	General Director (GEF Operational Focal Point <b>Mexico</b> )	Secretariat of Treasury and Public Credit	29 August, 2013
Martin Alegria	Chief Environmental Officer (GEF Operational Focal Point <b>Belize</b> )	Department of the Environment	29 August, 2013

## B. GEF AGENCY(IES) CERTIFICATION

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

<b>Agency Coordinator, Agency name</b>	<b>Signature</b>	<b>DATE</b> <i>(MM/dd/yyyy)</i>	<b>Project Contact Person</b>	<b>Telephone</b>	<b>Email Address</b>
Adriana Dinu, UNDP/GEF Officer-in-Charge and Deputy Executive Coordinator		08/30/2013	Jose Vicente Troya, Regional Technical Advisor, Waters, Ecosystems & Biodiversity	+ 507 302 4636	jose.troya @undp.org



## ANNEX I to the CLME<sup>+</sup> PIF: Baseline Projects

The proposed GEF Project builds on an extensive range of baseline projects and initiatives that are being undertaken by international, regional and national organisations and institutions. The potential of these activities to contribute to achieving the overall long-term vision of the CLME<sup>+</sup> SAP is substantial. However, the (i) insufficient levels of coordination and collaboration among many of these initiatives, the (ii) limited exchange of (or awareness about) data and information among complementary or potentially synergetic initiatives, and the (iii) lack of an overarching monitoring and assessment framework, result in both gaps and overlaps and duplication of efforts (including the potential development of conflicting policies in the case of sectoral policy development). The multiplicity of insufficiently coordinated efforts and initiatives further also places demands on the limited resources (financial and human) available within the region, making the baseline scenario very donor-dependent, cost inefficient and not sustainable in the longer term.

Despite the current lack of sound, overall regional co-ordination of ecosystem and fisheries management, this multiplicity of on-going activities constitutes an important basis for full-scale implementation of the CLME<sup>+</sup> SAP. Capitalising on these activities and by facilitating improved institutional and governance frameworks, efforts under the baseline projects will be enhanced, and the return on the investments can be substantially increased.

The **UNDP/GEF “CLME”** Project is the key baseline project that undertook the TDAs and developed the SAP (endorsed by the Countries in 2013). CLME also initiated pilot initiatives that are expected to be up-scaled through the SAP implementation, and saw important regional governance agreements on fisheries (development of a Joint Action Plan) between OSPESCA and CRFM becoming established – which will be supported through the SAP.

The **UNEP/GEF “TWAP”** Project is developing innovative approaches to evaluate and strengthen ocean governance arrangements, which have already proven useful in the context of the development of the CLME<sup>+</sup> SAP. It is expected that TWAP activities will continue to be highly relevant in the context of the implementation of governance-related Strategies and Actions under the CLME<sup>+</sup> SAP.

The **IDB/UNEP/GEF “CReW”** is currently implementing innovative financing mechanisms to assist with the construction of urban wastewater treatment works that will further reduce pollution pressures in the CLME<sup>+</sup> region.

The **UNEP/UNDP/GEF “IWCAM”** Project has resulted in the successful implementation of many activities piloting the “ridge to reef approach” and supported Caribbean islands’ progress towards ratification of the Cartagena Convention Protocol on Land-based Sources of pollution (LBS).

The **UNEP/GEF “Amazon”** Project is in the process of developing a TDA and a SAP. While the TDA is expected to provide additional information on pollution inputs from the river to the North Brazil Shelf LME (NBSLME), collaboration with the CLME<sup>+</sup> Project will also facilitate inclusion in the Amazon SAP of specific IWRM/RMB-actions that will have a positive impact on the marine environment of the CLME<sup>+</sup>.

Similar linkages will be aimed for with the **UNDP/GEF “Artibonito”** and **IDB/GEF “Sixaloo”** River Basin Projects.

In addition the following international and regional organisations are implementing projects supporting the baseline:

- **UNDP** is implementing a considerable number of GEF-funded MPA projects within the CLME<sup>+</sup> region, including in Colombia, Costa Rica, Grenada, Guatemala, St. Kitts, Suriname and Venezuela. The experiences and lessons from these activities will assist with the overall SAP implementation and provide a 'local' pool of knowledge for sharing within the CLME<sup>+</sup> region; at the same time the CLME<sup>+</sup> project will enable these projects to adopt a more regional, ecosystem-based approach during the development of these strengthened networks of MPAs.
- **UNESCO- IOC/IODE** is engaged in a range of activities in the Region on (capacity building for) data and information management relevant to the CLME<sup>+</sup> SAP, e.g. through ongoing efforts on the development of the Caribbean Marine Atlas (CMA), through ODINCARSA and through the SPINCAM Project (indicators on Coastal Zone Management).
- **UNEP CAR-RCU** provides the secretariat of the Cartagena Convention. UNEP has also been involved in the implementation of a number of projects such as IWCAM for Caribbean SIDS; Reducing Pesticides Runoff to the Caribbean Sea; providing support to a number of countries, (e.g. Belize, Jamaica) in developing NPAs.
- **FAO** has completed an independent review of CRFM and assisted with the development of a new strategic plan for the period 2013 -2021. This strategic plan will both contribute to the implementation of specific CLME<sup>+</sup> SAP actions, and in-turn be supported through the overall implementation of the SAP. In addition FAO is in the process of developing three GEF projects that will complement the actions for SAP implementation of the CLME<sup>+</sup> Project: i) Climate Change Adaptation in the Eastern Caribbean Fisheries Sector; ii) Introduction of billfish management and conservation in the Western Central Atlantic Region; and, iii) Sustainable management of bycatch in Latin America and the Caribbean trawl fisheries.
- **WECAFC** (Western Central Atlantic Fishery Commission) has been active since 1973 as a Regional Fishery Body of the FAO with a commission representing 32 member states. The routine work of WECAFC will contribute to the SAP and the commission's activities will also be further strengthened through implementation of the SAP.
- **OSPESCA** (Organisation of the Fisheries and Aquaculture Sector of the Central-American Isthmus) is a Regional Fisheries Body that encourages the development and the coordinated management of the regional activities of fisheries and aquaculture, necessary to strengthen the Central American integration process. OSPESCA is also collaborating with FAO on the proposed GEF project on billfish management and conservation and is planning to implement a regional management plan for the Caribbean spiny lobster fisheries with an annual budget of 300,000US\$ from the countries of the Central American Integration System SICA and other donors. These activities will further strengthen the fishery management capacity of OSPESCA and its member states and will generate practical experiences on EAF that will further benefit the planned CLME<sup>+</sup> project.
- **CRFM** (Caribbean Regional Fisheries Mechanism) is a permanent inter-governmental organization with a membership of 17 CARICOM nations. Its mission being to “to promote and facilitate the responsible utilization of the region's fisheries and other aquatic resources for the economic and social benefits of the current and future population of the region”, CRFM has undertaken a range of projects that provide an important baseline for the proposed CLME<sup>+</sup> project, including: i) Capacity building projects (stock assessment training, leadership training, project cycle management, etc. at the national and regional levels); ii) Poverty assessment in fishing communities (Government of Spain); iii) Development of a Masterplan focused on disseminating best practices in fisheries management and data statistics (Government of Japan); iv) CRFM/CTA funded project on building fisherfolk capacity to influence policy.

- **TNC** (The Nature Conservancy) launched the 'Caribbean Challenge Initiative (CCI) in 2008 as the first key conservation initiative embraced by ten governments from the CLME<sup>+</sup> region with a 42 M US\$ contribution from the Caribbean Biodiversity Fund (supported by KfW, GEF and TNC) to assist countries conserve at least 20% of their nearshore marine environments in MPAs by 2020 and creating National Conservation Trust Funds, that are further endowed through sustainable financing mechanisms (e.g. tourism fees) to fund park management.
- **GIZ/CARICOM:** Land and Coastal Resources Management Programme Interventions in the CARICOM Region are being funded by the German Ministry of Economic Development and Cooperation (BMZ). Component 1 of the project, which is expected to be implemented from 2013 – 2017, seeks to improve the management of coastal resources and the conservation of the marine biodiversity of the Caribbean island states. Eight CARICOM countries will be participating in the implementation of this project.
- **CCCCC:** The Caribbean Community Climate Change Centre is a CARICOM organisation which was established in 2005. The Centre serves as the key node for information on climate change issues and on the region's response to managing and adapting to climate change in the Caribbean. The CCCCC is undertaking a number of projects and activities that are aligned to the actions outlined in the CLME SAP through support from donors such as DFID; AUSAID and the EU.
- **CERMES, UWI:** the University of the West Indies is the regional tertiary institution for CARICOM countries. It has MoUs with CRFM and with the CCCCC for which CERMES is the focal point. CERMES conducts research and outreach on marine EBM and governance throughout the CARICOM region and beyond. Projects and activities range from local to global and from natural science to political science. Current activities include the Future of Reefs in a Changing Environment Project, capacity building relevant to coastal and marine issues and governance assessments in International Waters systems as part of the GEF Transboundary Waters Assessment Programme (TWAP).

The *baseline projects and scenario analysis* indicates that significant investments and support programmes have been made and continue to take place in the Region. However, failure to catalyze implementation of the overarching CLME<sup>+</sup> SAP will result in a continuation of a fragmented, non-integrative and much less cost-effective/efficient approach to sLMR governance and management in the CLME<sup>+</sup> ("BaU").