



**FAO/GLOBAL ENVIRONMENT
FACILITY**



PROJECT DOCUMENT

PROJECT TITLE: *Developing Organizational Capacity for Ecosystem Stewardship and Livelihoods in Caribbean Small-Scale Fisheries (StewardFish) project*

PROJECT SYMBOL: GCP/SLC/211/GFF

COUNTRY: Antigua and Barbuda, Barbados, Belize, Guyana, Jamaica, St. Lucia and St. Vincent and the Grenadines

FINANCING PARTNER: Global Environment Facility (GEF)

FAO Project ID: 642843

GEF/LDCF/SCCF Project ID:

EXECUTING PARTNERS:

- Fisheries Division of the Ministry of Agriculture, Lands, Fisheries and Barbuda Affairs, **Antigua and Barbuda**
- Fisheries Division of the Ministry of Agriculture, Food, Fisheries, Water Resource Management, **Barbados**
- Fisheries Department of the Ministry of Agriculture and Fisheries, **Belize**
- Fisheries Department of the Ministry of Agriculture, **Guyana**
- Fisheries Division of the Ministry of Industry, Commerce, Agriculture and Fisheries, **Jamaica**
- Department of Fisheries of the Ministry of Agriculture, Food Production, Fisheries, Co-operatives and Rural Development, **St. Lucia**
- Fisheries Division of the Ministry of Agriculture, Forestry, Fisheries and Rural Transformation, **St. Vincent and the Grenadines**

Other executing partners:

- Caribbean Regional Fisheries Mechanism (CRFM)
- Caribbean Network of Fisherfolk Organisations (CNFO)
- Caribbean Natural Resources Institute (CANARI)
- University of the West Indies Centre for Resource Management and Environmental Studies (UWI-CERMES)
- Western Central Atlantic Fishery Commission (WECAFC)

Expected EOD (Starting Date): 01 January 2017

Expected NTE (End Date): 31 December 2019

**CONTRIBUTION TO
FAO's STRATEGIC
FRAMEWORK:**

a. Strategic Objective/Organizational Result:

Strategic Objective 2: Increase and improve provision of goods and services from agriculture, forestry and fisheries in a sustainable manner

Organizational Outcome 201: Producers and natural resource managers adopt practices that increase and improve agricultural sector production in a sustainable manner

Organizational Output 20101 - Innovative practices for sustainable agricultural production (including traditional practices that improve sustainability, such as those listed as Globally Important Agricultural Heritage Systems) are identified, assessed and disseminated and their adoption by stakeholders is facilitated.

Strategic Objective 3: Reduce rural poverty

Organizational Outcome 301: The rural poor have enhanced and equitable access to productive resources, services, organizations and markets, and can manage their resources more sustainably.

Organizational Output: 30101 - Support to strengthen rural organizations and institutions and facilitate empowerment of rural poor.

Organizational Output: 30103 - Support to improve access of poor rural producers and households to appropriate technologies and knowledge, inputs and markets

Strategic Objective 5: Increase the resilience of livelihoods from disasters

Organizational Outcome 503: Countries reduce risks and vulnerability at household and community level.

Organizational Output 50302 - Improving access of most vulnerable groups to services which reduce the impact of disasters and crisis.

Description

b. Regional Result/Priority Areas:

The 34th Session of the Regional Conference for Latin America and the Caribbean in March 2016 highlighted:

- Food and nutrition security
- Transformation of the rural sector
- Social and economic inclusion and innovation
- Sustainable use of natural resources

The project will also contribute to the following FAO Regional Initiatives:

R2: Family Farming, Food Systems and Sustainable Rural Development

R3: Sustainable use of natural resources, adaptation to climate change and disasters risk management

GEF/LDCF/SCCF Focal Area: International Waters

International Waters Focal Area of GEF-6 Strategy

Goal: to promote collective management for transboundary water systems and foster policy, legal, and institutional reforms and investments towards sustainable use and maintenance of ecosystem services

Objective IW 3: Enhance multi-state cooperation and catalyze investments to foster sustainable fisheries, restore and protect coastal habitats, and reduce pollution of coasts and Large Marine Ecosystems.

Program 7: Foster Sustainable Fisheries

Strategic Action Programme for the Sustainable Management of the shared Living Marine Resources of the Caribbean Large Marine Ecosystem and Adjacent Regions (CLME+ SAP) of April 2013

GEF/LDCF/SCCF strategic objectives: Programme 7-Foster sustainable fisheries

Environmental and social risk classification (insert v): v Low risk Moderate risk High risk

Financing Plan: GEF allocation (USD):	1,776,484
<u>Co-financing:</u>	
Antigua and Barbuda	500,000
Barbados	500,000
Belize	1,800,000
Guyana	870,000
Jamaica	200,000
Saint Lucia	443,000
St. Vincent and the Grenadines	500,000
CRFM Secretariat	150,000
CANARI	300,000
UWI-CERMES	350,000
CNFO	1,000,000
FAO-WECAFC	<u>500,000</u>
Total co-financing (USD):	7,113,000
Total Project Budget (USD):	8,889,484

Executive Summary

The seven countries participating in the *Developing Organizational Capacity for Ecosystem Stewardship and Livelihoods in Caribbean Small-Scale Fisheries (StewardFish) project* – Antigua and Barbuda, Barbados, Belize, Guyana, Jamaica, Saint Lucia, St. Vincent and the Grenadines have a high dependence on fisheries resources, whether for income generation, nutrition and food security. Fisheries degradation and over-exploitation are causes of major concern within the region. Due to the high dependence in the Caribbean on marine resources, the high vulnerability of fisherfolk, the concentration of fisheries infrastructure in the coastal zone, plus increasing intensity of extreme-weather events, effective adaptation measures for the fisheries sector are critical for sustainable livelihoods, improved food security and conservation of marine resources.

There are a number of challenges that hinder sustainable management of fisheries in the region. Some barriers include:

- Limited capacity of regional, national and local fisherfolk organizations to participate effectively in fisheries governance,

- Fisherfolk have insufficient capacity and knowledge of ecosystem stewardship practices for fisheries sustainability,
- Inadequate public awareness of ecosystem approaches to support best practices and ensure compliance,
- Poor documentation of successful experiences and practices for sustainable fisheries livelihood strategies,
- Inadequate management and collaboration mechanisms to support fisherfolk leaders in monitoring and evaluating projects.

In an effort to address these issues, the StewardFish project will aim to implement the Caribbean and North Brazil Shelf Large Marine Ecosystems (CLME+) Strategic Action Plan (SAP) within Caribbean Regional Fisheries Mechanism (CRFM) Member States by empowering fisherfolk throughout fisheries value chains to engage in resource management, decision-making processes and sustainable livelihoods with strengthened institutional support at all levels.

The project will be implemented through the following four components:

- **Component 1:** Developing organizational capacity for fisheries governance
- **Component 2:** Enhancing ecosystem stewardship for fisheries sustainability
- **Component 3:** Securing sustainable livelihoods for food and nutrition security
- **Component 4:** Project management, monitoring and evaluation, and communication

Expected outcomes include the following:

- Fisherfolk have improved their organizational capacity to meet objectives that enhance well-being (Baseline: 3 National Fisherfolk Organizations (NFO), Target: 7 NFOs)
- Fisheries-related state agencies have the capacity to support fishing industry stewardship (Baseline: 3 Agencies, Target: 7 Agencies)
- Healthier habitats and reduced pollution achieved through a participatory ecosystem approach to fisheries (Baseline: 5 Fisherfolk Organization (FFO) leaders, Target: 40 FFO leaders)
- Livelihoods throughout fisheries value chains balance development and conservation for food and nutrition security (Baseline: 5 FFO leaders, Target: 40 FFO leaders)
- Good governance and learning for adaptation institutionalized among fisherfolk organizations (Baseline: 0 NFOs, Target: 7 NFOs)

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Acronyms

AWP/B	Annual Work Plan and Budget
BH	Budget Holder
CANARI	Caribbean Natural Resources Institute
CBD	Convention on Biological Diversity
CCI	Caribbean Challenge Initiative
CCCFP	Caribbean Community Common Fisheries Policy
CCRF	Code of Conduct for Responsible Fisheries
CERMES	Centre for Resource Management and Environmental Studies
CFI	GEF Coastal Fisheries Initiative
CLME	Caribbean Large Marine Ecosystem
CNFO-CU	Caribbean Network of Fisherfolk Organisations – Coordinating Unit
COP	Conference of Parties
COTED	Council for Trade and Economic Development
CRFM	Caribbean Regional Fisheries Mechanism
EAF	Ecosystem Approach to Fisheries
FAC	Fisheries Advisory Committee
FAO	Food and Agriculture Organization of the United Nations
FFALG	Fisherfolk Action Learning Group
FFO	Fisherfolk Organisation
FPMIS	Field Program Management Information System (FAO)
GIFT	Gender In Fisheries Team
HQ	FAO Headquarters in Rome
ICT	Information Communication Technologies
IPOA-IUU	International Plan of Action – Illegal, Unregulated, Unreported
LTO	Lead Technical Officer
M&E	Monitoring and Evaluation
MTR	Mid-Term Review
NFA	National Fisheries Authorities
NFO	National Fisherfolk Organisation
NGO	Non-Governmental Organization
OSPESCA	Central American Fisheries and Aquaculture Organisation
PCU	Project Coordination Unit
PIR	Project Implementation Review
PM&E	Participatory Monitoring and Evaluation
PPR	Project Progress Report
RPSC	Regional Project Steering Committee
RFB	Regional Fishery Body
RPC	Regional Project Coordinator
SAP	Strategic Action Plan

SPAW	Specially Protected Areas and Wildlife
SSF	Small-scale Fisheries
TDA	Transboundary Diagnostic Analysis
UNFCCC	United Nations Framework Convention on Climate Change
UNFSA	United Nations Fish Stocks Agreement
UWI	The University of the West Indies
WECAFC	Western Central Atlantic Fishery Commission

SECTION 1 – PROJECT RATIONALE

1.1 PROJECT CONTEXT

The Caribbean Large and North Brazil Shelf Marine Ecosystems (CLME) Transboundary Diagnostic Analysis (TDA) found the following major global environmental threats affecting the Wider Caribbean Region: 1) habitat degradation and ecosystem community modification, 2) unsustainable fisheries practices and 3) pollution. On this basis the CLME+ Strategic Action Programme (SAP) was finalized in 2013 to address these threats in the CLME and North Brazil Shelf LME that includes 26 independent States and more than 10 dependent territories. The CLME+ SAP is a 10-year programme consisting of 77 priority actions structured under 6 Strategies and 4 Sub-strategies. The SAP describes a long-term vision on the relationship between human society and the marine environment in the CLME. It provides a “comprehensive roadmap towards sustainable living marine resources management through strengthened and consolidated regional cooperation”. Transboundary marine governance is its focus. All three of the above environmental threats negatively impact the small-scale fisheries of members of the Caribbean Regional Fisheries Mechanism (CFRM), one of the key regional fishery bodies. The CLME+ SAP regional and sub-regional attention to transboundary institutional arrangements is necessary, but not sufficient, to address these threats at all levels of governance. The dense mosaic of marine jurisdictions, and mobility of fisheries resources and people, also demand the engagement of national and local level, state and non-state, actors to address these threats, and to build resilience in these fisheries socio-ecological systems.

SAP strategies 1-3 are cross-cutting whereas strategies 4-6 tackle the three main marine ecosystems. Cross-cutting strategies and actions in the CLME+ SAP that urgently require additional national and local level interventions to support SAP implementation include, as priority (*italicised*), those shown in Table 1.

Table 1: Relevant CLME+ SAP strategies requiring urgent action

Strategy	Actions
1. Enhance the regional governance arrangements for the protection of the marine environment	1.4: <i>Enhance the capacity of the regional, sub-regional and national governance arrangements for the involvement of civil society in the implementation of the Ecosystem-based Management/Ecosystem Approach to Fisheries EBM/EAF approach (IGOs, NGOs, CBOs, private sector...)</i>
	1.5: <i>Enhance the capacity within and among arrangements to undertake and mainstream lessons learned and findings from monitoring, science and research in regional, sub-regional and national decision-making policy development</i>
2. Enhance the regional governance arrangements for sustainable fisheries with special attention to marine livelihoods	2.7: <i>Coordinate the development and implementation of regional, sub-regional and national initiatives for sustainable small scale fisheries (including capacity building and pilot initiatives)</i>
	2.8: <i>Coordinate the development and implementation of regional, sub-regional and national initiatives to improve job opportunities,</i>

Strategy	Actions
	<i>welfare and livelihoods (including alternative livelihoods, capacity building and pilot initiatives)</i>
3. Establish and operationalize a regional policy coordination mechanism for ocean governance, with initial focus on shared living marine resources	3.7 Facilitate the <i>preparation of data and information products and the uptake of monitoring and research outputs by (sub)regional and national science-policy interfaces for informing decision makers on measures to be adopted for better management.</i>

The StewardFish project will address the SAP strategies 1-3 as prioritized above in order to ensure better engagement of state and non-state actors in the fisheries sector in the implementation of the CLME+ SAP. StewardFish will be supported by GEF project financing of USD 1,776,484. The proposed StewardFish project is complementary with other on-going GEF projects and non-GEF initiatives in the same region that are relevant to the CLME+ SAP (see Section 3.1 for more details).

1.1. The regional context

The seven countries participating in the *Developing Organizational Capacity for Ecosystem Stewardship and Livelihoods in Caribbean Small-Scale Fisheries (StewardFish) project* – Antigua and Barbuda, Barbados, Belize, Guyana, Jamaica, Saint Lucia, St. Vincent and the Grenadines (Figure 1) – are small island developing states (SIDS) in the Caribbean. These members of the Caribbean Community (CARICOM), CRFM and WECAFC are diverse but share many similar socio-economic characteristics and challenges of sustainable development: relatively small but growing populations, limited natural resource endowments that are fragile, vulnerability to natural disasters, and high dependence on international trade and external support for sustainable fisheries development and management. They also face difficult problems associated with the sustainable management of fisheries, including insufficient financial resources and human capacity in state institutions; and lack of organizational, human, financial and technical capacity among non-state actors such as fisherfolk (harvest, postharvest and supporting sub-sectors) along the value chain to engage meaningfully in management.

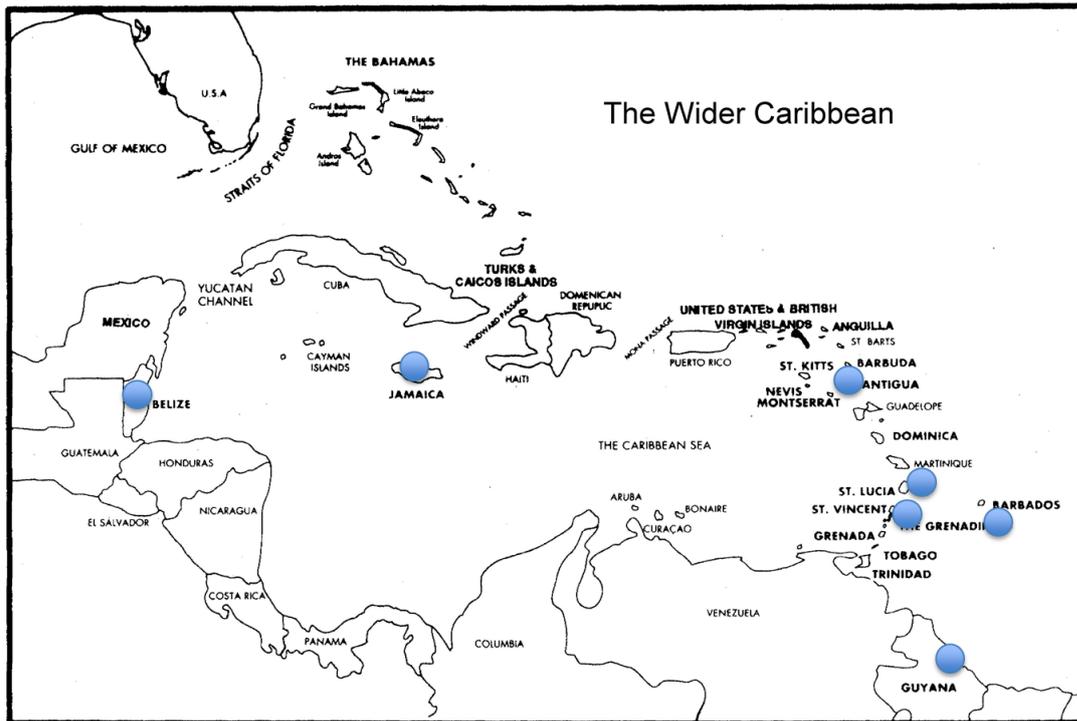


Figure 1: Location of the seven project countries

The fisheries sector is an important driver of economies in the region, and healthy fish stocks are vitally important for the sustainability of coastal communities and rural livelihoods. All the countries exploit fisheries resources in their waters, and some beyond. The fishing fleets and fishing gears used in marine capture fisheries are predominantly small scale. However, fishers operate from landing sites that range from undeveloped beaches, where vessels can be hauled or shallow areas where boats can be safely tied or moored, to multi-million dollar fishing facilities with processing areas and cold storage.

Valuable species with international demand such as lobster, conch, shrimp and tunas are exported, in some countries through fishing cooperatives. These species also support seafood consumption in Caribbean hotels and restaurants through increasingly sophisticated supply chains. Other species, associated with coral reefs and mangroves, have high non-consumptive value in marine viewing and diving tours. Inter-sectoral linkages are complex, with habitat degradation and pollution being the other main marine issues identified by the CLME Transboundary Diagnostic Analysis. Added to these, the negative impacts of climate change and variability are beginning to be experienced by the fishing industry ashore and at sea, prompting the urgent need for more comprehensive and ecosystem-based management.

According to FAO estimates, fisheries production in the Wider Caribbean Region has declined by 40 percent over the last two decades¹. Fifty-five percent of commercially harvested fishery

¹ FAO. 2014. Sustainable Intensification of Caribbean Fisheries and Aquaculture. <http://www.fao.org/3/a-i3932e.pdf>

stocks are overexploited or depleted and 40 percent of stocks are currently fully exploited. Given the state of the resources, opportunities for fisheries development require restoring depleted stocks and using remaining stocks more responsibly. Key in such development is building resilience in fisheries socio-ecological systems through multi-level cooperation among stakeholders and building adaptive capacity within the fishing industry.

The decline in fish production plus population growth and tourism demand has resulted in an increase in fish importation by Caribbean states. FAO (2014) states that over 250 000 tonnes of fish at a cost of USD 100 million are imported by the Caribbean states annually, the large importers being Jamaica and Barbados. Fish and fishery products are very important for nutrition and food security within the Caribbean region. Fish is a vital source of animal protein and minerals in the diet of Caribbean people, particularly for rural and coastal communities. The region has high per capita fish consumption, with many countries exceeding twice the global average. The total value of fish and fisheries product exports from the Caribbean nations added up to USD 2.2 billion annually in recent years (excluding exports by the United States of America and Brazil).

Fisheries contribute significantly to ecosystem-based livelihoods and poverty alleviation. In the CARICOM/CRFM region alone they provide at least 117 000 people with direct employment in small-scale fisheries and aquaculture, and indirect employment for an estimated 400 000 (particularly women) who are involved in fish processing, marketing, boat construction, net repairs, and other support services (Figure 2) along with several other stakeholders (Figure 3). Given the informality of fisheries livelihoods these estimates and their contribution to societies and economies are higher when seasonal and part-time work is included. Unless fisherfolk organisations are strengthened to better serve existing members, and also attract additional members and resources, opportunities to collaboratively and sustainably develop fisheries, especially through engaging in stewardship via policy cycles in fisheries governance (Figure 4) will be lost.

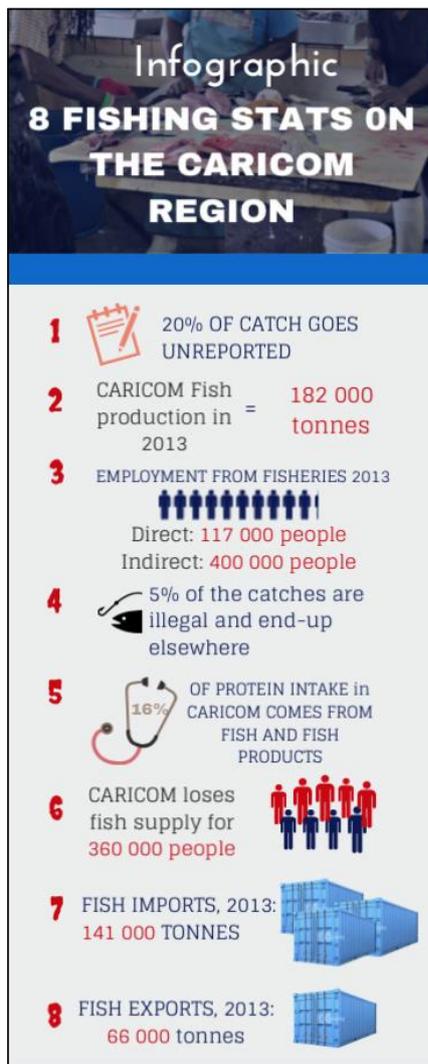


Figure 2: CARICOM statistics

(Source: FAO. 2015. IUU Issue Brief #15)

Key stakeholders- Barbados:

- Fisheries Division
- Consumers
- Boat owners
- Fisherfolk
- Vendors
- Processors
- Gas/ service stations
- Barbados National Union of Fisherfolk Organisations (BARNUFO)
- PFOs
- Fisheries Advisory Committee (FAC)
- Markets Division, Ministry of Agriculture
- Tackle shops
- CERMES
- Ministry of Health
- CRFM

Figure 3: Stakeholders in the Barbados flyingfish fishery

(Source: CRFM. 2012. Poverty diagnostic analysis)

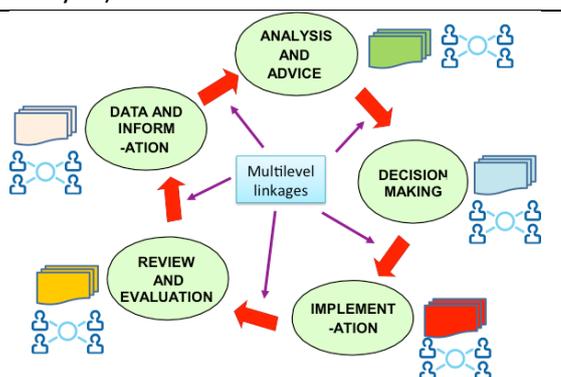


Figure 4: Stakeholders participate in stewardship via policy cycles

(Source: CERMES and CRFM. 2013. Governance assessment)

Institutional framework

Several regional fishery bodies, NGOs and other stakeholder groups are currently participating in the implementation of a variety of fisheries initiatives in the project region, and are particularly important to the StewardFish project (Figure 5).

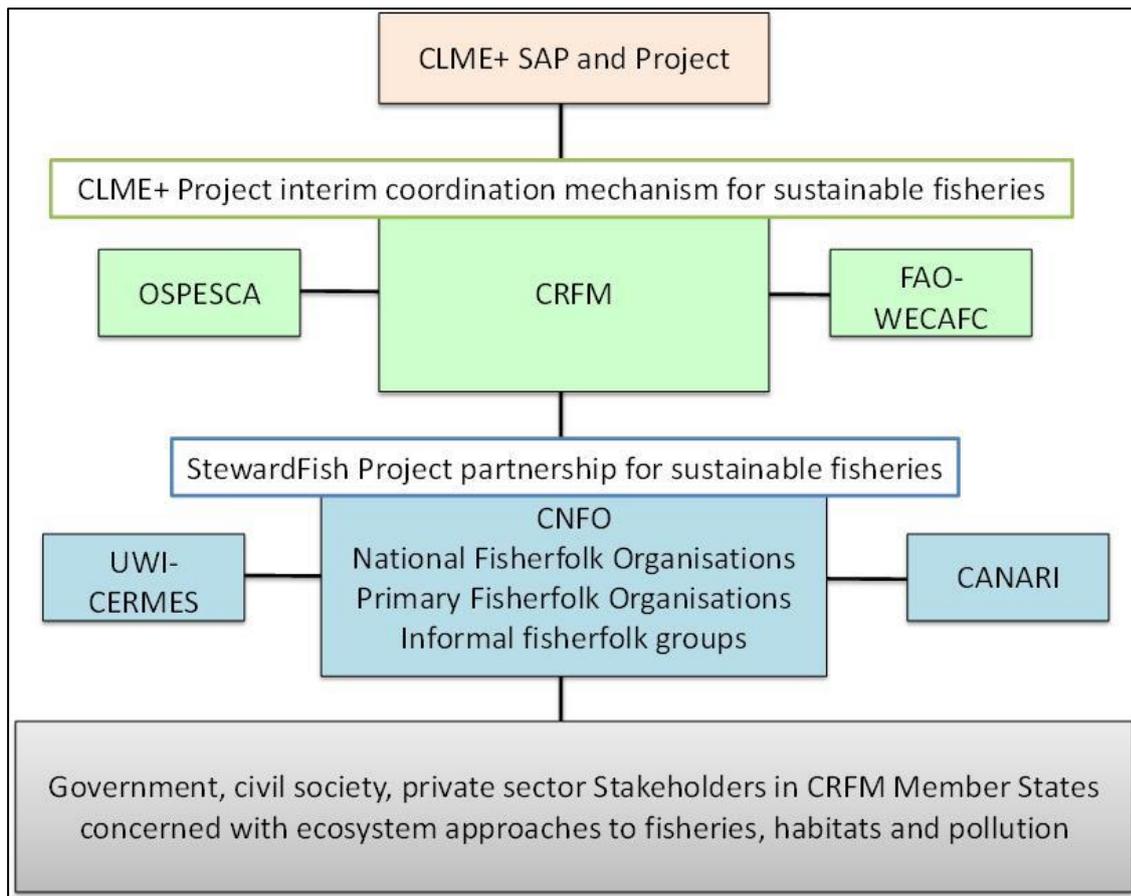


Figure 5: Regional institutions of importance in the StewardFish project

(CLME+= Caribbean Large Marine Ecosystem Project; SAP=Strategic Action Plan; OSPESCA= Central American Fisheries and Aquaculture Organisation; CRFM= Caribbean Regional Fisheries Mechanism; FAO-WECAFC= Food and Agriculture Organization of the United Nations- Western Central Atlantic Fishery Commission; UWI-CERMES= The University of the West Indies- Centre for Resource Management and Environmental Studies; CNFO= Caribbean Network of Fisherfolk Organisations; CANARI= Caribbean Natural Resources Institute)

The major initiative, the CLME+ Project (GEF ID 5542), seeks to improve institutional arrangements for transboundary living marine resource governance primarily through transboundary policy cycles within a multi-level regional governance framework. The CLME+ Project only covers a portion of the CLME+ SAP. A summary overview of the regional institutions that participate in the CLME+ SAP implementation and also in the StewardFish Project is provided below:

Western Central Atlantic Fishery Commission (WECAFC) is a commission, established in 1973 under FAO’s constitution, to promote effective conservation, management and development of living marine resources in the area of competence of the commission and to address common problems faced by member countries. FAO’s WECAFC is the only Regional Fishery Body (RFB) with a true regional coverage and membership of all countries in the wider Caribbean region. It has 34 members (including also the European Union and the USA) and all

seven project countries are members. WECAFC is headquartered in Barbados within the FAO Sub-regional Office for the Caribbean (FAO-SLC).

The **Caribbean Regional Fisheries Mechanism (CRFM)** is an inter-governmental organization with its mission being 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. The CRFM was officially inaugurated under the Caribbean Community CARICOM in 2003. The CRFM has 17 members, including the seven project countries. The CRFM consists of three bodies – the Ministerial Council; the Caribbean Fisheries Forum (supported by the Executive Committee); and the CRFM Secretariat (Technical Unit) which all have distinct responsibilities and mandates.

Caribbean Network of Fisherfolk Organisations (CNFO) is a network of national fisherfolk organizations within CARICOM/CRFM. It was informally launched in 2009 and formally registered in June 2016 as a not-for-profit organisation under the laws of Belize where it maintains an administrative office. The CNFO comprises members from countries that have established a National Fisherfolk Organisation (NFO) and National Steering Committees to form NFOs. NFOs are umbrella organisations for local or community-based Fisherfolk Organisations (FFOs). Available data cannot confirm the cumulative membership of active FFOs or the percentage of fisherfolk in each country that belong to associations and cooperatives. Despite data deficiencies, it is clear that members share the vision of having primary, national and regional fisherfolk organizations with knowledgeable members collaborating to sustain fishing industries that are mainly owned and governed by fisherfolk who enjoy a good quality of life achieved through the ecosystem based management of fisheries resources. CNFO's mission is to improve the quality of life for fisherfolk and develop a sustainable and profitable industry through networking, representation and capacity building. A CNFO Coordinating Unit (CNFO-CU) was established in 2007 to develop and execute a work plan for the formation and legalization of the regional network and its development. In October 2016 the CNFO, as a legal entity, elected its first executive, to be chaired by a female fisherfolk leader for a three-year term. All project countries have fisherfolk organisations that are members of the CNFO.

Legal and political framework

International Agreements

Several international and regional political commitments of relevance to the proposed StewardFish project have been signed or ratified by the seven project countries. The key binding commitments are described below along with some of the voluntary guidelines important to sustainable fisheries in the Caribbean region (summarised in **Error! Reference source not found.**Table 2).

Table 2: Project countries ratification of international multilateral agreements (reflects status as of March 2016)

COUNTRY	Antigua & Barbuda	Barbados	Belize	Guyana	Jamaica	St. Lucia	St. Vincent & the Grenadines
AGREEMENTS							
CBD	X	X	X	X	X	X	X
UNCLOS	X	X	X	X	X	X	X
UNFSA	X	X	X		X	X	X
FAO Compliance Agreement		X	X			X	
IPOA-IUU	X		X				
PSMA		X		X			X

The **1982 United Nations Convention on the Law of the Sea (UNCLOS)**² is a legally binding overarching international agreement that outlines the rights and obligation of states and provides the legal basis upon which signatories should ensure protection and sustainable development of marine and coastal environments and its living resources. While it does not explicitly state the need for an ecosystem approach to fisheries (EAF), it is one of its underlying principles. Current considerations in the Caribbean include maritime boundary delimitation negotiations, extending jurisdiction to the edge of the continental shelf where applicable, and a regime to be negotiated for the areas beyond national jurisdiction. All of these will impact fisheries, but few have the active involvement of fisherfolk organisations.

The **1992 Convention on Biological Diversity (CBD)**³ is a binding agreement that seeks to ensure the conservation of biological diversity, the sustainable use of its components and the fair and equitable sharing of benefits arising out of the utilization of genetic resources. The 1995 Jakarta Mandate further develops the ecosystem approach adopted by the CBD. It encourages the use of integrated management of coastal areas as the most suitable framework for addressing human impacts on marine and coastal biological diversity and for promoting conservation and sustainable use of it. At the 10th meeting of Conference of Parties (COP), Aichi Biodiversity Targets, a strategic plan for biodiversity, was adopted by all countries and stakeholders to save biodiversity and enhance its benefits for people for the period of 2011-2020. It further emphasizes the need for National Biodiversity Strategies and Action plans to implement the CBD at the national level. The CBD-linked Caribbean Challenge Initiative (CCI) to “effectively conserve and manage at least 20 percent of the marine and coastal environment by 2020” has brought fisheries into close contact with biodiversity conservation and coastal management in several places. However, the fishing industry is often

² UNCLOS - http://www.un.org/depts/los/convention_agreements/texts/unclos/unclos_e.pdf

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

not well represented or fully involved in decisions that affect fisheries such as the establishment or expansion of marine protected areas.

The **1993 FAO Agreement to Promote Compliance with International Conservation and Management Measures by Fishing Vessels on the High Seas (1993 FAO Compliance Agreement)**⁴ entered into force in 2003. It seeks to improve the regulation of fishing on the high seas through encouraging countries to take effective action, consistent with international law, and to deter the reflagging of vessels by their nationals as a means of avoiding compliance with conservation and management of rules for fishing activities on the high seas. The Compliance agreement aims also to stop vessels that are flagged by states that are not member of the regional fisheries management organization from fishing in contravention with the conservation measures taken by the RFMO.

The **1995 Conservation and Management of Straddling Fish Stocks and Highly Migratory Fish Stocks (1995 UN Fish Stocks Agreement)**⁵ entered into force in 2001. It is a legally binding agreement that complements the UNCLOS. The UNFSA aims to ensure that measures taken for the conservation and management of those stocks in areas under national jurisdiction and in the adjacent high seas are compatible and coherent and that there are effective mechanisms for compliance and enforcement of those measures on the high seas. The UNFSA recognizes the special requirements of developing States in relation to conservation and management, as well as the development and participation in fisheries of straddling and highly migratory fish stocks.

It sets out principles for the conservation and management of those fish stocks and establishes that such management must be based on the precautionary approach and the most up-to-date, available scientific information.

The **Code of Conduct for Responsible Fisheries (CCRF)**⁶ was adopted by FAO in October 1995, as a voluntary instrument to promote principles and international standards of behaviour for sustainable and responsible fishing and aquaculture on a global scale. Its underpinning philosophy is that the 'right to fish' carries the obligation to do so responsibly. The CCRF provides a reference point for the development of comprehensive and integrated policies for improved fisheries management and security. It calls for the involvement of all stakeholders and emphasizes the need for a participatory approach in the decision-making process and calls for an ecosystem-based approach to fisheries management. The CCRF calls for Regional Fishery Bodies to play a role in collaborating in the implementation of the objectives and principles of the CCRF. National institutions also have a role to play as the CCRF can only be effectively achieved when governments incorporate their principles and goals into their national fishery policies and legislation (FAO 2002). The principles of the CCRF appear within

⁴ Compliance Agreement - <http://www.fao.org/docrep/meeting/003/x3130m/X3130E00.htm>

⁵ UN Fish Stocks Agreement - http://www.un.org/depts/los/convention_agreements/texts/fish_stocks_agreement/CONF164_37.htm

⁶ Code of Conduct for Responsible Fisheries - <http://www.fao.org/3/a-v9878e.pdf>

national policies and plans such as Fisheries Management Plans, to a varying extent, as well as the regionally binding Caribbean Community Common Fisheries Policy (CCCFP).

The **2014 Voluntary Guidelines for Securing Sustainable Small-scale Fisheries in the Context of Food Security and Poverty Eradication**⁷ is complementary to the CCRF. These guidelines were developed in a participatory manner, including representatives from small-scale fishing communities, governments, civil society and regional organizations. It seeks to enhance the contribution of small-scale fisheries to global food security and nutrition and to support the progressive realization of the right to adequate food. The guidelines support responsible fisheries and sustainable social and economic development for the benefit of current and future generations, with an emphasis on small-scale fishers and fish workers and related activities. It also includes vulnerable and marginalized groups, promoting a human rights approach. Caribbean fisherfolk have been engaged in promoting and implementing the SSF Guidelines and have advocated for a protocol to incorporate them in the CCCFP.

The **1979 Convention on the Elimination of All Forms of Discrimination Against Women (CEDAW)** was adopted in 1979 and entered into force in 1981. It is often described as the international bill of rights for women. It defines what constitutes discrimination against women and sets up an agenda for national action to end discrimination. It promotes gender equality with regards to economic and social benefits to name a few. CEDAW is especially reflected in the SSF Guidelines. All seven countries have ratified CEDAW.

The **2001 International Plan of Action to Prevent, Deter and Eliminate Illegal, Unreported and Unregulated Fishing (IPOA-IUU)**⁸ is a voluntary instrument developed within the framework of the CCRF in response to a call from the 23rd Session of the Committee of Fisheries (COFI). It seeks to prevent, deter and eliminate IUU fishing by providing all States with comprehensive, effective and transparent measures by which to act, including appropriate regional fisheries management organisations. Currently only Antigua and Barbuda and Belize of the StewardFish Project countries have a national plan of action on IUU fishing. The CLME+ project supports also the combat against IUU fishing through the organization with FAO of a regional training workshop on IUU in 2017, in which a regional plan of action will be finalized.

The **2009 FAO Agreement on Port State Measures to Prevent, Deter and Eliminate IUU Fishing (PSMA)**⁹, which entered into force on 5 June 2016, also focuses on IUU through implementing robust port state measures. It is expected to provide for a harmonized approach in measures and enhanced regional and international cooperation and block the flow of IUU-caught fish into national and international markets. In 2014 a WECAFC workshop on the Port State Measures Agreement was conducted to focus on the implementation of the Agreement from a legal and policy, institutional and capacity development, and operations point of view.

⁷ SSF Guidelines - <http://www.fao.org/3/a-i4356e.pdf>

⁸ IPOA-IUU - <ftp://ftp.fao.org/docrep/fao/012/y1224e/y1224e00.pdf>

⁹ PSMA - http://www.fao.org/fileadmin/user_upload/legal/docs/2_037t-e.pdf

Many opportunities for regional cooperation to implement port state measures were addressed. FAO/WECAFC continues to support implementation of the PSMA through national level training in each of the countries that acceded to the Agreement. From the StewardFish Project countries, Guyana, Barbados and Saint Vincent and the Grenadines recently signed the PSMA.

Regional Agreements

Regional agreements, especially those being actively implemented by CRFM countries, complement the international agreements, and are important for the StewardFish project countries. Fisheries stakeholders are becoming more aware of the role of regionalisation in addressing global threats and implementing global environmental policy. Some key instruments are set out on Table 3 and described.

Table 3: Project countries ratification of regional Agreements (reflects status as of March 2016)

COUNTRY	Antigua & Barbuda	Barbados	Belize	Guyana	Jamaica	St. Lucia	St. Vincent & the Grenadines
AGREEMENT							
CRFM Agreement	X	X	X	X	X	X	X
CARICOM Fisheries Policy	X	X	X	X	X	X	X
Castries Declaration	X	X	X	X	X	X	X
Cartagena Convention	X	X	X	X	X	X	X
SPAW Protocol		X	X	X		X	X
LBS Protocol	X		X	X		X	

The **1983 Convention for the Protection and Development of the Marine Environment in the Wider Caribbean (Cartagena Convention)**¹⁰ is a legally binding multilateral environmental agreement that requires signatories to develop and implement national strategies for sustainable use and protection of biodiversity. The Convention is supplemented by three protocols: **Specially Protected Areas and Wildlife (SPAW) Protocol**, **Land Based Sources of Pollution (LBS) Protocol** and the **Oil Spills Protocol**.

The **Caribbean Regional Fisheries Mechanism (CRFM) Agreement** is a legally binding agreement established in 2002 and seeks to establish a regional fisheries body to promote cooperation in the sustainable use and management of fisheries in the countries party to the agreement. In 2014 the CRFM Ministerial Council approved **Caribbean Community Common Fisheries Policy (CCCFP)** was endorsed by the Council for Trade and Economic Development

¹⁰ Cartagena Convention - <http://www.cep.unep.org/cartagena-convention>

(COTED) as the definitive fisheries policy for the Caribbean Community. In its preamble the CCCFP makes reference to commitments under UNCLOS, UNFCCC, the CCRF and other international and regional instruments that frame the institutional and policy setting for this project:

- Institutional strengthening, including capacity building of Participating States and legislative modernization;
- Harmonized measures and operating procedures for sustainable fisheries management, and the administration of the fishing industry;
- Effective monitoring, control, and surveillance systems to deter IUU fishing
- Build the institutional capabilities of Participating Parties at multiple levels;
- Integrated ecosystems management;
- Quality assurance and sanitary and phytosanitary systems.

The CRFM Strategic Plan (2013 – 2021)¹¹ is not binding, but it operationalizes the CRFM Agreement and CCCFP through goals and objectives that frame the work plan for the CRFM.

Castries (St. Lucia) Declaration on IUU fishing¹² was approved by the Ministerial Council of CRFM in 2010. It is a voluntary declaration. It demonstrates the region's determination and commitment to protect the economic interests of CARICOM Member States and to prevent, deter and eliminate IUU fishing by enhancing effectiveness of monitoring, control and surveillance at the national and regional level by creating and sustaining the necessary harmonized and contemporary legislative and regulatory regime. It complements the PSMA.

The **CARICOM Liliendaal Declaration on Climate Change and Development**¹³ sets out key climate change related interests and aims of CARICOM member states. Along with the *Comprehensive Disaster Management (CDM) Strategy and Programming Framework 2014-2024* of CDEMA, it has been the platform for the *FAO/CRFM/WECAFC/CDEMA/CCCC Strategy and Action Plan for disaster risk management and climate change adaptation in fisheries and aquaculture in the CARICOM region*. The strategy was endorsed in Kingston, Jamaica in 2012 at a technical level by representatives of climate change, DRM and fisheries agencies of 23 countries and overseas territories in the Caribbean region. The Strategy and Action Plan is being steered by CRFM. Based on the Liliendaal Declaration, the Implementation Plan (IP) for the Regional Framework was developed. It is entitled *Delivering transformational change 2011–21* and incorporates several global and regional instruments concerning climate change and variability. In the IP it is stated that adaptation and capacity-building must be prioritized and a formal and well-financed framework established within and outside the UNFCCC to address the immediate and urgent, as well as long-term, adaptation needs of vulnerable countries, particularly SIDS.

¹¹ CRFM Strategic Plan – www.crfm.net

¹² Castries Declaration- <ftp://ftp.fao.org/FI/DOCUMENT/wecafc/15thsess/ref11e.pdf>

¹³ Liliendaal Declaration - <http://www.caricom.org>

The global and regional policy and institutional arrangements described above provide a framework of cooperation for making the fisheries sector more resilient to climate change in the region. The CRFM and WECAFC have recorded successes in having regional declarations and fishery management recommendations accepted by the countries in the region and can therefore help guide with mainstreaming climate change adaptation policies and measures throughout the Caribbean region. The GEF special climate change fund (SCCF) supported project on Climate Change Adaptation in the Eastern Caribbean Fisheries Sector (CC4FISH) is likely to play an important role also in mainstreaming fisheries and climate change in various of the StewardFish countries.

National level

At the national level, the institutional structures for fisheries management include fisheries and environmental ministerial functions and stakeholder associations. While they may vary from country to country, capacities may not always be adequate for addressing fisherfolk needs, promoting participatory and consultative approaches in the context of enhanced co-management and ecosystem approach to fisheries. Therefore efforts are needed to improve these institutional structures.

In all seven project countries the Fisheries Division (FD) is housed in a Ministry, most often within the agriculture line-ministry under which fisheries and aquaculture are treated as sub-sectors. Fisheries authorities across the seven countries share a similar general organisational structure and network of relationships with fisherfolk organisations and other stakeholders (see Figure 6). The Fisheries Divisions have similar mandates. Each is the national agency responsible for the sustainable development of the fisheries sector. Their responsibilities include:

- Developing and implementing fisheries policies
- Translating and implementing other national policies relating to its mandate
- Translating and implementing international policies relating to its mandate
- The development of a viable fisheries sector that is socially, ecologically and economically sustainable
- Data collection and research that underpins sustainable fisheries management
- Creating and maintaining an environment for enhancing productivity in the fisheries sector
- Facilitating the production of safe seafood and food security
- Education and training- developing and implementing public awareness programmes and training stakeholders
- Collaborating with regional and international agencies including CRFM, FAO, European Union, and GEF

In most of the countries the fisheries legislation provides for a statutory multi-stakeholder body such as a Fisheries Advisory Committee (FAC). The FAC facilitates the stakeholder interaction that favours an Ecosystem Approach to Fisheries and adaptation measures. Where

such statutory bodies do not exist it is common to have *ad hoc* committees established for coordination and collaboration.

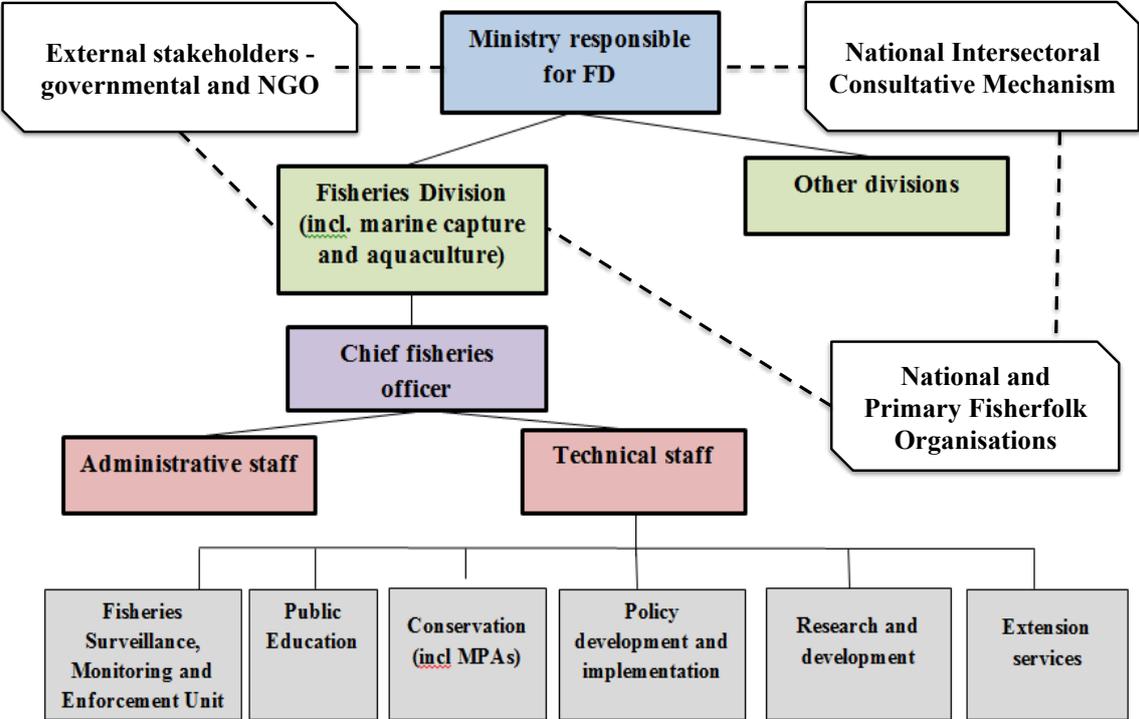


Figure 6: General institutional arrangements of fisheries authorities in the seven project countries (adapted from CC4FISH)

A summary of key relationships in each project country is set out below:

In Antigua and Barbuda, fisheries are managed under the Ministry of Agriculture, Lands, Fisheries and Barbuda Affairs through the Fisheries Division. Whilst the Fisheries Division is the primary management authority, the Barbuda Local Government Act (1976) gives the local council of Barbuda the authority to manage its fisheries. Fisheries is governed by 1983 Fisheries Act (now 2006 Fisheries Act) and new 2012 (1990) Fisheries Regulations. The Act makes provisions for a Fisheries Advisory Committee to advise the Minister on management of Fisheries. There is also a Sustainable Ocean Governance Committee.

In Barbados the Fisheries Division, under Ministry of Agriculture, Food, Fisheries and Water Resource Management, is in charge of implementing and supporting policies. Fisheries Act of 1993, as amended in 2000, is based generally on the Organisation of Eastern Caribbean States (OECS) harmonized fisheries legislation. The Act was amended in 2000 to make provisions for a FAC that functioned until 2014. The public facilities for fish landing and processing operate under the Markets Division of the same ministry. The Coastal Zone Management Unit, which is represented on the FAC, takes active interest in fisheries and their positive and negative interactions with tourism and other coastal uses.

In Belize fisheries are managed under the Ministry of Agriculture and Fisheries. The Fisheries Department of Belize is the principal body responsible for regulating the fishing sector. Fisheries are governed by the 2000 Fisheries Act, which seeks to efficiently and sustainably manage the fishing industry of Belize. The country is revising its marine resource legislation to incorporate ecosystem approaches. Belize is known for its income-earning fisheries cooperatives that specialise in lobster and conch, and which were powerful stakeholders on the Fisheries Advisory Board. The Coastal Zone Management Authority and Institute (CZMAI) and Forestry Department are other important actors in relation to marine protected areas.

In Guyana the Fisheries Department under the Ministry of Agriculture is responsible for managing, regulating and promoting sustainable development of the nation's fishery resources for the benefits of the participants in the sector and national economy. The Cooperatives Department has been an important actor in the development of fisherman's cooperative societies in Guyana. There is also an active Environmental Protection Agency and mangrove restoration project. Given the low elevation of the coastal plain, fisheries in Guyana can expect to be impacted by climate and disasters.

In Jamaica, the Fisheries Division of the Ministry of Agriculture and Fisheries administers fisheries legislation. A new Fisheries Bill has been drafted to repeal the Fishing Industry Act (1976) and its regulations, sections of the 1945 Wildlife Protection Act dealing with fish and the Morant and Pedro Cays Act (1907). The country has also drafted a National Fisheries and Aquaculture Policy aimed to ensure sustainable development, management and conservation of fisheries while promoting economic and social development of fishers and fishing communities. Conservation NGOs are playing an increasingly active role in promoting and establishing marine protected areas and sanctuaries that often incorporate community level interaction. There are several fisheries cooperatives under a national body.

In St. Lucia the Fisheries Department, under the Ministry of Agriculture, Food Production, Fisheries, Co-Operatives and Rural Development, is responsible for fisheries management. Fisheries are governed by a Fisheries Act which came into force in 1984 and was revised in 2001. This small country has a well-defined fisheries cooperative structure and national body that is very active. The interaction between fisheries and tourism has been documented in the marine protected areas and community level initiatives to acquire revenue from tourism.

In St. Vincent and the Grenadines the Ministry of Agriculture, Rural Transformation, Forestry, Fisheries and Industry is responsible for the overall management and development of the fisheries sector. The overarching legislation governing the Fisheries Division is the 1986 Fisheries Act that makes provisions for the FAC. In 2014 the country drafted a Fisheries and Aquaculture Policy for St. Vincent and the Grenadines. The archipelagic state is also actively pursuing an ocean governance policy. Despite being small, there are important differences between the mainland (St. Vincent) and the Grenadines islands in which much of the fishing takes place along with interactions with tourism and marine protected areas.

1.1.2 Areas of intervention

The project aims to support the implementation of sub-strategies 1.4, 1.5, 2.7, 2.8 and 3.7 of the CLME+ SAP by empowering fisherfolk. The Project Strategy is to enhance fisheries value chains, support the engagement of fisherfolk in resource management, decision-making processes, and to promote sustainable livelihoods with strengthened institutional support at all levels in the CRFM Member States of Antigua and Barbuda, Barbados, Belize, Guyana, Jamaica, Saint Lucia and St. Vincent and the Grenadines. Below is a summary of country fisheries sectors¹⁴, of which government authorities, NGOs, other civil society actors such as academia and private sector enterprises are key fisheries stakeholders.

Antigua and Barbuda is a twin-island archipelagic state located in the Lesser Antilles with a population is 90 156¹⁵. The country has a total land area of a 443 km² and a coastline of 153 km¹⁶. The exclusive economic zone covers an area of 107, 914 km² and it is estimated that the total shelf area is 3 710 km². This shelf area includes the Antigua and Barbuda shelf (3,400 km), South Bank (40 km²), a section of Anguilla shelf (7 km²), Redonda shelf (98 km²), Havers Shoal (5 km²) and a section of St. Kitts and Nevis shelf (18 km²)¹⁷.

The main fishery categories exploited in Antigua and Barbuda are small coastal and offshore pelagics, large offshore pelagics, shallow shelf and deep reef fish, lobster and conch. The categories of vessels include 1) sloops and dories; small wooden boats up to 5.9 m and 2) launches and pirogues made usually of fibreglass of about 6.72 m. These fisheries are important for food security, livelihood, employment (6,288 in fishing sector) and as a foreign exchange earner. The fishing industry contributed a preliminary percentage of 0.91% to gross domestic product of Antigua and Barbuda in 2012.

Barbados is the most easterly of the Caribbean Islands with a population estimated at 277,821 in 2010. The land area of the country is 430 km² while the coastline is 97 km¹⁸. Barbados has an economic exclusive zone that covers 186,107 km² and its continental shelf is 407 km².

The main fishery categories exploited in Barbados are small coastal and offshore pelagics, large offshore pelagics, shallow shelf and deep slope reef fish. The categories of vessels include 1) moses, 2) day boats/launches, and 3) iceboats and longliners. These fisheries are important for food security, livelihood, employment (6,000 in fishing sector) and as a foreign exchange earner. The fishing industry contributed a preliminary percentage of 0.1% to gross domestic product of Barbados in 2012.

¹⁴ Data for each country's fisheries sector was extracted from Masters, J. 2012. CRFM Statistics and Information Report – 2010. 65pp.

¹⁵ Central Intelligence Agency. 2013. https://www.cia.gov/library/publications/the-world-factbook/geos/print/country/countrypdf_ac.pdf

¹⁶ Horsford, I. 2015

¹⁷ Horsford, I. 2015

¹⁸ Barbados Fisheries Management Plan 2004-2006

Belize is located on the Caribbean coast of northern Central America with a population of 370,300 in 2015. Belize has a land area of 22,966 km² with a continental coastline of 457 km. Belize has an economic exclusive zone and a continental shelf area of 35,995 km² and 9, 431 km² respectively.

The main fishery categories exploited in Belize are lobster, conch, shallow shelf and deep reef fish. The categories of vessels include 1) outboard powered skiffs and canoes, and 2) round bilged sailing boats. These fisheries are important for food security, livelihood, employment (4,697 in fishing sector) and as a foreign exchange earner. The fishing industry contributed a preliminary percentage of 2.1% to gross domestic product of Belize in 2012.

Guyana is continental country in South America with a population of 747,884 in 2012. It has a land area of 216,000 km² and a coastline of 432km. Its exclusive economic zone and continental shelf area are 135,900 km² and a shelf area of 51,978 km² respectively.

The main fishery categories exploited in Guyana are shrimp and groundfish, and small coastal and offshore pelagics. The categories of vessels include 1) shrimp trawlers, 2) finfish trawlers, and 3) artisanal fishing fleet. These fisheries are important for food security, livelihood, employment (20,700 in fishing sector) and as a foreign exchange earner. The fishing industry contributed a percentage of 2.3% to gross domestic product of Guyana in 2012.

Jamaica, located in the Greater Antilles has an estimated population of 2,718,000 (2013). The land area and coastline of Jamaica are 10,831 km² and 1,022 km respectively. The exclusive economic zone is 263,283 km² while the continental shelf area is 13,401 km².

The main fishery categories exploited in Jamaica are conch and lobster, and shallow shelf fish. The categories of vessels include 1) small to large wooden open canoes, 2) fibreglass canoes, 3) fish trading vessels, and 4) steel and aluminium hull vessels. These fisheries are important for food security, livelihood, employment (121,735 in fishing sector) and as a foreign exchange earner. The fishing industry contributed a provisional percentage of 0.3% to gross domestic product of Jamaica in 2012.

Saint Lucia is located within the Lesser Antilles and has a population of 165,595. The island has an area of 616 km² and a coastline of 158 km¹⁹. Its exclusive economic zone covers an area of 15,484 km² while the continental shelf is 811 km².

The main fishery categories exploited in Saint Lucia are small coastal and offshore pelagics, large offshore pelagics, shallow shelf and deep reef fish, lobster and conch. The categories of vessels include 1) small wooden canoes and pirogues, 2) open and decked pirogues, transom and shallop, and 3) longliners. These fisheries are important for food security, livelihood,

¹⁹ Central Intelligence Agency, 2013

employment (10,488 in fishing sector) and as a foreign exchange earner. The fishing industry contributed 0.8% to gross domestic product of St. Lucia in 2012.

St. Vincent and the Grenadines is a small archipelagic state in the Lesser Antilles with a population of 109,400 (2014)²⁰. The islands have a total land area of 389 km² and a total coastline of 84 km. The exclusive economic zone covers an area of 36,314 km² while the continental shelf is 811 km².

The main fishery categories exploited in St. Vincent and the Grenadines are small coastal and offshore pelagics, large offshore pelagics, shallow shelf and deep reef fish, lobster and conch. The categories of vessels include 1) flat transoms, 2) fibreglass pirogues, 3) double-ender or two bows, and 4) longline type multipurpose boats. These fisheries are important for food security, livelihood, employment (3,000 in fishing sector) and as a foreign exchange earner. The fishing industry contributed 0.37% to gross domestic product of St. Vincent and the Grenadines in 2012.

1.2 THE CURRENT SITUATION

1.2.1 Threats to Global Environmental Benefits

The CLME TDA identified the three major threats to Wider Caribbean Region (WCR) environmental benefits as (i) unsustainable exploitation of fisheries resources, (ii) habitat degradation and community modification and (iii) pollution. Climate change is added as a cross-cutting threat. The CLME+ Project is supporting the governance feature of the first phase of SAP implementation. Moreover, the FAO-SCCF “Climate Change Adaptation in the Eastern Caribbean Fisheries Sector” (CC4FISH) project (GEF ID 5667) is complementing these efforts by addressing vulnerabilities to climate change in fisheries and aquaculture in the Eastern Caribbean. Last, the FAO-GEF “Sustainable management of bycatch in Latin America and Caribbean trawl fisheries” (REBYC LAC II) project (GEF ID 5034) is addressing trawl fisheries in two CRFM member states. In addition to the aforementioned GEF/SCCF-funded projects, other related national, sub-regional and regional initiatives address coastal biodiversity conservation and marine spatial planning; improving food security through organizing fisherfolk; linking local production to local consumption; integrating marine governance across economic private and public sectors; and improving fisheries policy and institutional frameworks (see description under Section 1.2.2). State and non-state agencies collaborate in several projects and programmes that address the regional threats. In order to design this StewardFish project, it is first important to appreciate the threats, especially from a national and local level stakeholder perspective. Second, it is also useful to examine the CLME+ SAP to determine the critical gaps that need to be addressed at those levels. These matters, briefly introduced in section 1.1 are re-visited below at the geographic scope of the CLME+ and mainly of CRFM, given the distorting effect of the larger countries in the region.

²⁰ The World Bank (<http://data.worldbank.org/country/st-vincent-and-the-grenadines>)

Unsustainable exploitation of fisheries resources

Marine fisheries are an important source of food, employment and income for people of the Caribbean. The majority of fishery resources are coastal and intensively exploited by large numbers of small-scale fishers using a variety of fishing gears and landing their catch at numerous sites scattered around the islands. Assessments have revealed high levels of exploitation that have resulted in declining fisheries catches, particular in inshore areas throughout the sub-region, as well as of a number of threatened species²¹. Due to diversity of fisheries, conservation and management measures, quality of fisheries statistics and other factors, Wider Caribbean (Figure 7) and CRFM country (Figure 8) trends may appear different, but both are worrisome due to the details hidden within as noted concerning threatened species, removal of high value species and losses to income due to IUU fishing.

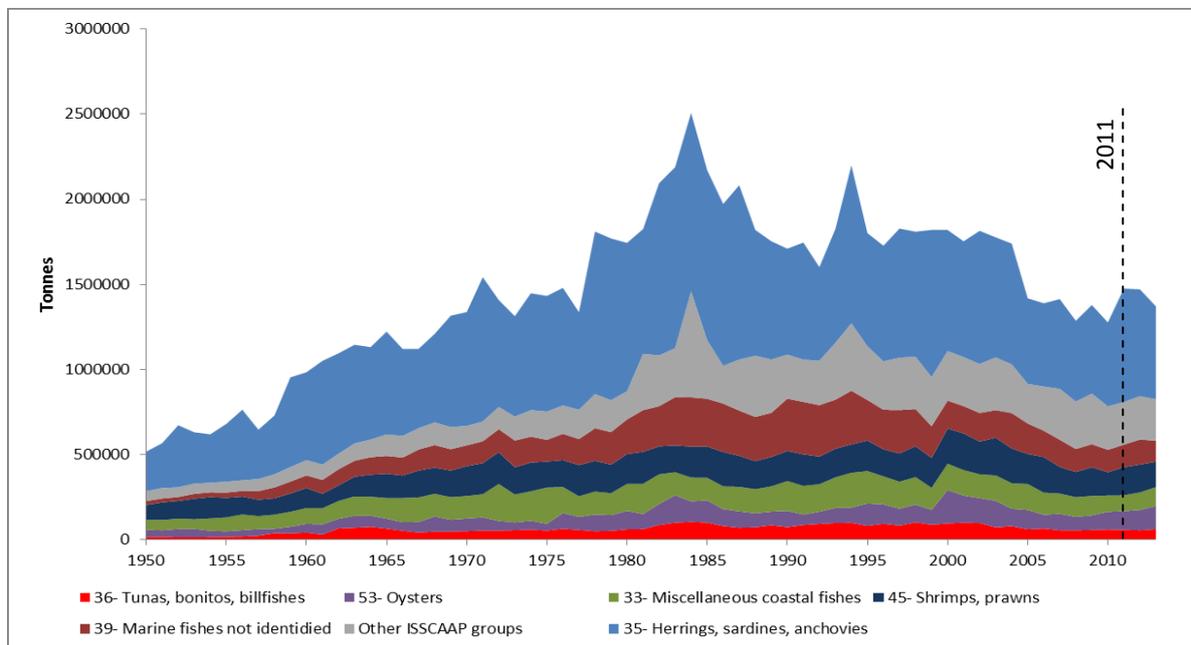


Figure 7: Annual nominal catches (thousand tons) by species groups in the Western Central Atlantic (Area 31)

(Source: WECAFC. 2015. Review of the State of Fisheries in the WECAFC region)

²¹ Heileman, S. 2007. Thematic Report for the Insular Caribbean Sub-region- A discussion paper for the CLME Synthesis Workshop. 53pages

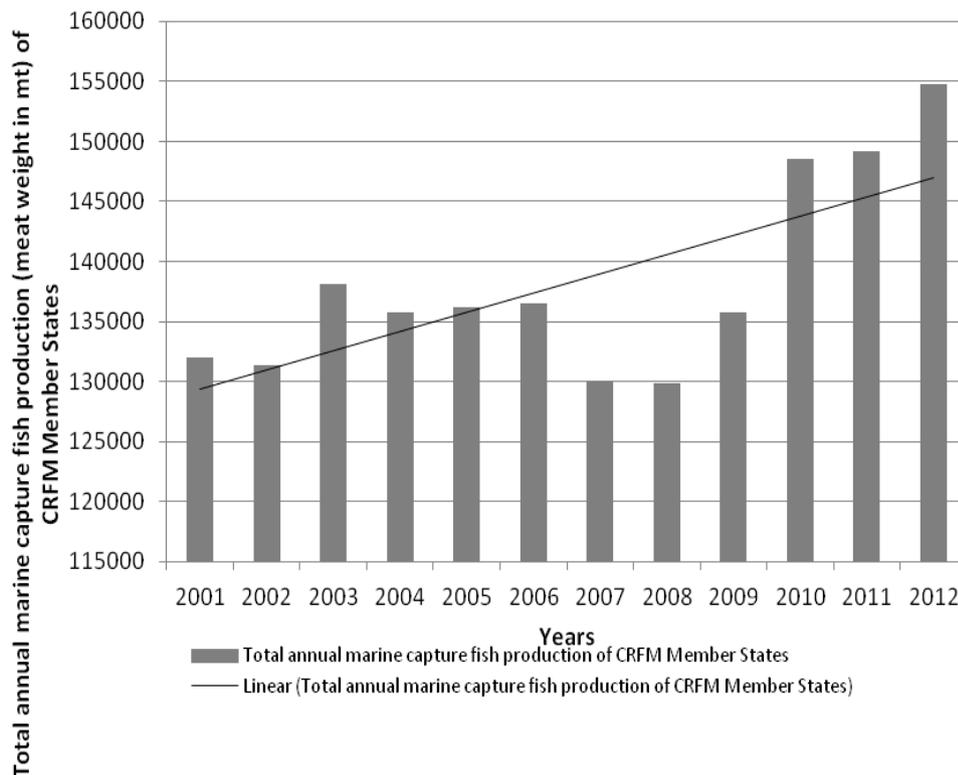


Figure 8: Annual total capture fish production (meat weight in mt) of CRFM States for period 2001 – 2012

(Source: Masters, J. 2014. CRFM Statistics and Information Report - 2012. 70pp.)

The problem of the unsustainability of fisheries and fishery practices in the region originates from a multitude of direct causes including the over-harvesting of target stocks and the impacts of fishery activities on fish species, size groups and/or life stages not directly targeted by the fishery itself (e.g. “bycatch”; the use of destructive or “harmful” practices or gear that leads to habitat degradation/ destruction, etc.). This is evidenced by 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. It should however be noted that under-reporting of fish catches in the region is common. In Jamaica for example, reported values indicate that approximately 400 tonnes of lobster are produced in the country annually, whilst conservative figures suggest that twice this amount is fished illegally. In this particular case alone, the resulting estimated loss in annual revenue for the country already amounts to USD 26 million annually (CRFM, 2013).

The unsustainable exploitation of living marine resources is of major transboundary significance, due to the shared/migratory nature of most resources. It is from this that the CLME project evolved to address transboundary issues by enhancing management of shared living marine resources through an ecosystem-based management approach. Unsustainable exploitation of fisheries resources have both environmental (reduced abundance of fish stocks and reduce ecosystem resilience) and socio-economic impacts (i.e. reduced food security, user conflicts and erosion of sustainable livelihoods).

Habitat degradation and ecosystem community modification

Physical destruction and removal, sedimentation, over-extraction of living resources, biological and introduction of exotic species and disease arising from a range of anthropogenic activities and natural phenomena contribute to degradation and loss of key coastal habitats in the Caribbean region. 75% of the region's coral reef is at risk from overfishing and pollution²². A quarter of mangrove forests in CLME area have been lost between 1980 and 2005²³. The declining coral cover in the Caribbean (Figure 9) has recently resulted in calls for more stringent conservation measures that impact fisheries livelihoods²⁴.

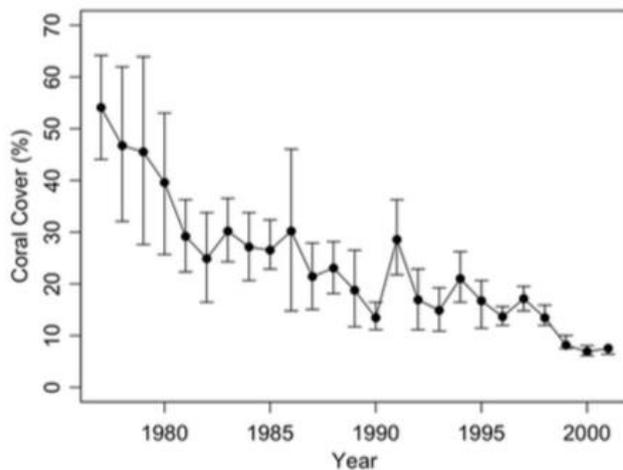


Figure 9: Declining coral cover in the Caribbean

(Source: Jackson et al. 2014. *Status and trends of Caribbean coral reefs: 1970-2012*)

In terms of the region-wide economic impacts of habitat degradation in the CLME+ area, estimates are currently available for the coral reef ecosystem, for which the annual loss in net revenues from tourism alone for the period between 2000 and 2015, due to the ongoing degradation of the region's reefs, has been estimated to range between USD \$100 - \$300 million/yr (WRI, 2011). The lionfish is another threat to the region's USD 2.1 billion dive tourism industry through their negative impact on fish biodiversity (and thus recreational attractiveness) and on coral reefs.

The major environmental impacts include loss of ecosystem structure and functions, reduction/loss of biodiversity and reduction in fisheries productivity. For the Caribbean there are associated socio-economic consequences as many States depend on the services provided by coastal and marine resources.

²² Burke, L., Reyta, K., Spalding, M., & Perry, A. 2011. Reefs at risk revisited.

²³ Waite, R., Burke, L., Gray, E., van Beukering, P., Brander, L., Mackenzie, E., Pendleton, L., Schuhmann, P. and Tompkins, E.L., 2014. Coastal capital: ecosystem valuation for decision making in the Caribbean. World Resources Institute.

²⁴ Jackson, J., Donovan, M., Cramer, K. and Lam, V., 2014. *Status and trends of Caribbean coral reefs: 1970-2012*. Global Coral Reef Monitoring Network.

Pollution from marine and land-based sources

Coastal and marine habitats have been threatened by land-based sources (e.g. domestic/commercial wastewater and agro-chemical run-off). As a consequence this has affected water quality, the abundance and quality of fishery products, and the overall health of marine habitats. This has a negative effect on multiple sectors, principally tourism and fisheries. Climate change further exacerbates the problem, through changes in runoff patterns and decreased ecosystem health, which consequently reduce ecosystem resilience to contaminants.

Around the mid-1990s sanitation in the region had improved. However many countries still have limited access to basic sanitation, with better access mainly in the city areas. The lack of sewerage infrastructure, ineffective and inefficient wastewater treatment practices are major contributors to marine pollution, increasing risks to public health either from direct contact with the polluted water and the consumption of seafood with different degrees of contamination²⁵ (UNEP-URC/CEP 2010). Increased nutrient discharge from wastewater into the marine environment can lead to eutrophication, which results in the overgrowth of turf algae on coral species and reduction in diversity of corals reef systems.

These threats are a result of poor governance, inadequate knowledge and low public awareness, high dependence on fish for income and export earning, trade and external dependency, population and cultural pressures, ineffective legal and institutional framework and inadequate data and information. Within recent times, there have been initiatives that sought to address these issues at the regional level after the development of the SAP in 2013.

Some critical gaps exist that are not yet adequately addressed by other GEF-funded and non-GEF projects at the local level. The gaps include the scarcity of initiatives that focus on human and organizational capacity in core areas of interest to resource users. Second, while there are several conservation initiatives, few address civil society and stakeholder engagement in ecosystem stewardship aimed at directly strengthening resource user responsibility. Finally, while there are several intervention projects, critical reviews of livelihoods initiatives are lacking at the individual, enterprise and household levels throughout fisheries value chains and networks. Addressing these areas will be key for the successful implementation of SAP strategies introduced in Table 1. The three cross-cutting strategies are examined next, noting that the CLME+ Project focuses on the first five years (short term) of SAP implementation and on priority transboundary aspects.

Initiatives tend to assume that capacity to participate in governance already exists among stakeholders, due to self-interest if nothing else. However, this assumption is often false. Presenting stakeholders with opportunities to be involved is not enough. Strategy 1, Action 1.4 (Figure 10) acknowledges that the regional governance arrangements require civil society to be involved in EBM/EAF and that capacity enhancement is essential for this to occur. This is a critical gap for this StewardFish project to address.

²⁵ UNEP-URC/CEP. 2010. Situational analysis. A Regional Sector Overview of Wastewater Management in the Wider Caribbean Region. 181pp.

STRATEGY 1 Enhance the regional governance arrangements for the protection of the marine environment		Time Frame		
		Short-Term (0-5 yrs)	Medium-Term (6-10 yrs)	
A C T I O N S	1.1(A)	Establish and operationalise a formal agreement for coordinated action with Brazil		
	1.2(A)	Establish and strengthen regional institutional coordination and cooperation arrangements		
	1.3(A)	Evaluate expansion and strengthening of the mandate of organizations to effectively address issues relating to habitat degradation and pollution in the marine environment	strengthen & evaluate*	expand*
	1.4(B)	Enhance the compliance and enforcement capacity of the regional, sub-regional and national governance arrangements		
	1.5(B)	Establish and/or enhance the capacity of the regional, sub-regional and national governance arrangements for the involvement of civil society in the implementation of the EBM/EAF approach (IGOs, NGOs, CBOs, private sector...)		
	1.6(B)	Enhance the capacity within and among arrangements to undertake and mainstream lessons learned and findings from monitoring, science and research in regional, sub-regional and national decision-making	enhance capacity effectively mainstream	enhance capacity effectively mainstream
	1.7(B)	Establish and/or enhance the capacity within and among arrangements to undertake and mainstream valuation of ecosystem goods and services in regional, sub-regional and national decision-making and policy development	enhance capacity effectively mainstream	enhance capacity effectively mainstream
	1.8(B)	Establish and/or increase the capacity of (sub-)regional organizations and countries for integrating the management of terrestrial drainage basins with the management of the marine recipient basins and coastal development (CLME and NBSLME)		
	1.9(B)	Strengthen the capacity of the regional and sub-regional arrangements to support countries in becoming parties to relevant international and regional agreements and complying with their global and regional commitments towards the conservation of the marine environment (including the support to update and harmonize national legislation and regulations)		
	1.10(B)	Establish and/or enhance the data and information quality and collection and management capacity of the regional, sub-regional and national governance arrangements for the protection of the marine environment, including through the establishment of public-private partnerships		
	1.11(B)	Establish and/or enhance the capacity of the regional, sub-regional and national governance arrangements for the monitoring, assessment and reporting on the state of the marine environment.		

*as applicable

TYPOLOGY OF THE ACTIONS:	(A) = GOVERNANCE/INSTITUTIONAL FRAMEWORKS	(B) = CAPACITY BUILDING	(C) = IMPLEMENTATION IN THE FIELD/INVESTMENTS
INTENSITY OF THE ACTIONS:	MAJOR INTENSITY	MINOR INTENSITY	WITHOUT FORESEEN ACTIVITIES

Figure 10: CLME+ SAP Strategy 1 actions for regional governance arrangements

Associated with this capacity development is the need for stakeholders to learn and adapt by mainstreaming the lessons into improvements. This is addressed in Action 1.5. An example of an approach to structured learning is the CANARI fisherfolk action learning group that can be replicated and expanded to new areas such as considering the performance of the several livelihood initiatives.

In Strategy 2 (Figure 11) there are gaps in making collaborative management and EAF a reality for the national and local stakeholders. Practical experience and learning by doing is required to fill this gap. Action 2.7 addresses this and is a priority for the StewardFish project. Fisherfolk in particular have clearly communicated their preference for learning by doing compared to additional studies.

STRATEGY 2 Enhance the regional governance arrangements for sustainable fisheries		Time Frame		
		Short-Term (0-5 yrs)	Medium-Term (6-10 yrs)	
A C T I O N S	2.1 (A)	Establish an interim arrangement for sustainable fisheries coordinated by FAO-WECAFC and including CRFM; OSPESCA; and OECS		
	2.2 (A)	Review, and reform WECAFC as needed to clarify and strengthen its mandate and relationships with Regional Fisheries Bodies such as CRFM, OSPESCA and ICCAT		
	2.3 (A)	Evaluate the needs and the options, agree on the mandate & operationalise a Regional Fisheries Management Organisation (RFMO) or alternative arrangement for the management of shared living marine resources (as applicable*)	evaluate & agree*	operationalise*
	2.4 (B)	Establish and/or enhance the capacity of the regional, sub-regional and national governance arrangements for the broader involvement of society in the implementation of the EBM/EAF approach (IGOs, NGOs, CBOs, private sector...)		
	2.5 (B)	Establish and/or enhance the capacity of the regional, sub-regional and national fisheries institutions to develop and implement harmonized management and conservation measures, with special focus on Illegal, Unreported and Unregulated Fishing (IUU) and Monitoring, Control & Surveillance (MCS)		
	2.6 (C)	Coordinate the development and implementation of fisheries-specific initiatives for IUU and MCS		
	2.7 (C)	Coordinate the development and implementation of regional, sub-regional and national initiatives for sustainable small scale fisheries (including capacity building and pilot initiatives)		
	2.8 (C)	Coordinate the development and implementation of regional, sub-regional and national initiatives to improve welfare and livelihoods through the provision of Decent Work (including through the development of alternative livelihoods, capacity building and pilot initiatives)		
	2.9 (C)	Coordinate the development and implementation of regional, sub-regional and national initiatives to enhance safety and reduce risk factors (including at sea) for fishers, with particular focus on risk management		
	2.10 (B)	Establish and/or enhance the capacity to manage knowledge and to mainstream findings from monitoring, science and research in regional, sub-regional and national decision-making and policy development for sustainable fisheries	enhance capacity effectively mainstream	enhance capacity effectively mainstream
	2.11 (B)	Establish and/or enhance the capacity to undertake and mainstream valuation of ecosystem goods and services in regional, sub-regional and national decision-making and policy development for sustainable fisheries	enhance capacity effectively mainstream	enhance capacity effectively mainstream
	2.12 (B)	Strengthen the capacity of the regional and sub-regional arrangements to support countries in becoming parties to relevant international and regional agreements and complying with their global and regional commitments towards the sustainable use and conservation of the marine environment and associated living resources (including the support to update and harmonize national legislation and regulations)		
	2.13 (B)	Establish and/or enhance the data and information quality and collection and management capacity of the regional, sub-regional and national fisheries governance arrangements, including through the establishment of public-private partnerships		
	2.14 (B)	Establish and/or enhance the capacity of the regional, sub-regional and national fisheries governance arrangements for the monitoring, assessment & reporting on the state of fisheries		

*as applicable

Figure 11: CLME+ SAP Strategy 2 actions for sustainable fisheries

Action 2.8 in this strategy focuses on livelihoods. Regardless of their support for resource conservation and management, improving fisheries livelihoods is typically the main objective of fisherfolk organisations at all levels. The emphasis is primarily to learn from the several previous and ongoing livelihood initiatives as previously described. Improved livelihoods can be the result of creating innovative marketing and value-added opportunities rather than increasing production. Due to climate change, greater resource variability must also be taken into account.

In Strategy 3 (Figure 12) it is Action 3.7 that has a high priority at national and regional levels. Data and information are generated at these levels and used in governance where subsidiarity applies. Participatory monitoring and evaluation (PM&E) involving the stakeholders at the science-policy interface is urgently needed contrary to the customary practice of a purely technical undertaking.

		STRATEGY 3 Establish and operationalise a regional policy coordination mechanism for ocean governance, with initial focus on shared Living Marine Resources	Time Frame	
			Short-Term (0-5 yrs)	Medium-Term (6-10 yrs)
A C T I O N S	3.1 (A)	Decide upon and establish an interim coordination mechanism amongst the regional sub-arrangements for sustainable fisheries and for the protection of the marine environment		
	3.2 (A)	Evaluate all options and propose a permanent policy coordination mechanism with a clear mandate which is financially sustainable, geographically inclusive and politically acceptable and which takes into account the principle of subsidiarity (this may include the identification of appropriate reforms)		
	3.3 (A)	Adopt and operationalise the permanent regional policy coordination mechanism for shared Living Marine Resources (sLMR) governance	adopt	operationalize
	3.4 (A)	Develop and adopt a regional policy for data and information harmonization and sharing	develop adopt	adopt
	3.5 (C)	Develop and coordinate integrated and sectoral research strategies in support of the implementation of broader ocean governance in the region, with a short and medium term focus on sLMR management		
	3.6 (C)	Develop and coordinate integrated and sectoral sustainable financing strategies for the cost-effective implementation of broader ocean governance in the region, with a short and medium term focus on sLMR governance		
	3.7 (B)	Facilitate the preparation of data and information products and the uptake of monitoring and research outputs by (sub)regional and national science-policy interfaces		

*with full application of subsidiarity principle, in line with/as required by the other strategies

Figure 12: CLME+ SAP Strategy 3 actions for policy coordination

In summary, the selected five actions from the three strategies are most critical to provide the national and local foundations for current and planned initiatives within the context of the SAP and for those initiatives that are not yet explicitly connected to the SAP. Baseline initiatives in both categories are examined next.

1.2.2 Baseline initiatives

The Caribbean Community Common Fisheries Policy and the CRFM Strategic Plan (2013-2021) provide the frameworks through which initiatives address the identified threats. The strong partnerships among key actors (e.g. CANARI, CNFO, CRFM, UWI) provide reliable arrangements for the implementation or support of initiatives in progress and planned.

As described above the fisheries sector in the Caribbean countries is an important segment of national and local economies. However national fisheries authorities cannot achieve sustainable fisheries management alone. They require participation from fisherfolk, whether in co-management arrangements or other forms of collaboration. Effective management has encouraged initiatives to address deficiencies within the project countries that seek to empower fisherfolk throughout the fisheries value chain, by improving the capacities of fisheries authorities and both national and regional fisherfolk organisations. Participation and inclusiveness are core aspects of EAF and stewardship within good fisheries governance.

Regional projects

Within the region there are a number of projects, which are not GEF funded, that provide a baseline for further intervention (**Error! Reference source not found.**):

Table 4: Baseline initiatives implemented from regional to national level (providing co-financing for the StewardFish project)

Baseline initiatives	Donor	Description of activities	Participating countries	Related to StewardFish component
Strengthening Caribbean Fisherfolk to Participate in Governance (2013-2016)	European Union (EU)Europe Aid Program	To improve the contribution of the small scale fisheries sector to food security in the Caribbean through building the capacity of regional and national fisherfolk organisation networks to participate in governance	Anguilla, Antigua and Barbuda, Bahamas, Barbados, Belize, Dominica, Grenada, Guyana, Haiti, Jamaica, Montserrat, Saint Lucia, St. Kitts and Nevis, St. Vincent and the Grenadines, Suriname, Trinidad and Tobago, Turks and Caicos Islands	1,3,4
Eastern Caribbean Marine Managed Areas Network (ECMMAN) project (2014-2018)	The German Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety (BMUB)	To establish Eastern Caribbean Marine Management Areas (MMA) to improving coastal ecosystem health and livelihood opportunities (2013-2017)	Antigua and Barbuda, Dominica, Grenada, St. Kitts and Nevis, Saint Lucia and St. Vincent and the Grenadines	1, 2,3
Caribbean Marine Biodiversity Program (CMBP) (2014-2019)	United States Agency for International Development (USAID)	To reduce threats to marine-coastal biodiversity in priority areas in the Caribbean in order to achieve sustained biodiversity conservation, maintain critical ecosystem services, and realize tangible improvements in human wellbeing for communities adjacent	Dominican Republic, Grenada, St. Vincent and the Grenadines, Haiti, Jamaica	2

Baseline initiatives	Donor	Description of activities	Participating countries	Related to StewardFish component
		to marine protected areas		
Caribbean Aqua-Terrestrial Solutions (CATS) (2013-2017)	The German Government's Agency for International Cooperation (GIZ)	Management of coastal resources and conservation of marine biodiversity, and adaptation of rural economies and natural resources to climate change	Belize, Dominica, Grenada, Guyana, Jamaica, St. Kitts & Nevis, Saint Lucia, St. Vincent & the Grenadines	2
Pilot Program for Climate Resilience (PPCR) Caribbean Regional Strategic Program for Climate Resilience (SPCR) (2012 -)	World Bank	Improved regional process of data acquisition, storage and analysis to enable effective response to climate change; Scaled up innovative climate resilience initiative; Replication of PPCR initiatives in none PPCR-pilot countries	Dominica Grenada, Haiti, Jamaica, St. Lucia, St. Vincent and the Grenadines	2
Strengthening of School Feeding Programmes in Latin America and the Caribbean (2009-2016)	FAO and Government of Brazil	School feeding programs strengthened from the contribution of Brazilian experience, especially in national capacity for developing educational activities and institutional purchases from small-scale producers while respecting local conditions	CRFM countries: St. Lucia, St. Vincent & the Grenadines, Grenada, Jamaica, Guyana and Belize	3

National to local projects and programmes

In addition to the preceding baseline of regional initiatives carried out in some or all of the seven StewardFish project countries, the baseline initiatives that have been implemented at national and local level are shown in Table 5 below.

Table 5: National to local governmental and fisherfolk organization initiatives in the seven participating countries (baseline and potential co-financing for the StewardFish project)

Country	Main organization	Baseline and potential co-financing initiatives	Description of main activities	StewardFish component contribution	Baseline (B) or co-financing (C)
Antigua and Barbuda	Fisheries Division/FAO	Fisheries Component -Zero Hunger Challenge (2013-2015)	Fish processing, fish fry, fishing vessel repairs	3	B
	FAO/Fisheries Division	Development of a tilapia hatchery and aquaponics training/demonstration centre (2013-2014)	Small-scale aquaculture demonstration training	3	B
	WECAFC/FAO/ Fisheries Division	Technical assistance for Shark NPOA for Antigua and Barbuda (2015)	NPOA- Sharks drafted, approved, implemented	1.2	B
	Fisheries and related state authorities	Regular work programme	Fisheries conservation and management, training/extension service, study of fishery livelihoods in tourism, Sustainable Ocean Governance committee	1,2,3,4	C
	CNFO member NFO and PFOs	Hub of CNFO northern cluster	Coordinates fisherfolk engagement, promotes SSF Guidelines, project management, policy cycle and influence, form new associations	1,2,3,4	C
Barbados	WECAFC/FAO/ Fisheries Division	CITES-FAO collaboration on immediate actions in support of the implementation of CITES listings of sharks and manta rays (2015-2016)	Assessment and NPOA Sharks	1.2	B
	FAO Technical Cooperation Programme/Fisheries Division	Towards a Caribbean Blue revolution	Small-scale aquaculture and aquaponics capacity building and value chain development	3	C
	Fisheries and related state authorities	Regular work programme	Fisheries policy and plan, training facilities, Fisheries Advisory Committee	1,2,3,4	C
	CNFO member NFO and PFOs	BARNUFO action plan	Gender advocacy, social protection for workers, SSF Guidelines, disaster risk management, fish quality, FAC member, fisherfolk training camp	1,2,3,4	C

Country	Main organization	Baseline and potential co-financing initiatives	Description of main activities	StewardFish component contribution	Baseline (B) or co-financing (C)
Belize	Fisheries Division/FAO	Review and validation of draft Fisheries Regulations for Belize (2013-2014)	Fisheries legislation	1,2,4	B
	World Bank	Belize Marine Conservation and Climate Adaptation Project (2015-2020)	To implement priority ecosystem based marine conservation and climate change adaptation measures to strengthen the climate resilience of the Belize Barrier Reef System	1,2,3,4	C
	Fisheries Division/EDF	Managed Access (2011-2016)	Assessment of Managed Access implementation at pilot sites. Use those recommendations on propose expansion	2,3	B
	South Water Caye Marine Reserve	Infrastructural upgrade at the South Water Caye Marine Reserve, Belize (2016-2019)	Investment in physical infrastructure; develop productive community and associations	3	C
	Fisheries Division	Hol Chan Marine Reserve Zone Expansion Project (2016-2018)	Extend management in the recent annexed areas.	2,3	C
	MarFund	A Practical Approach to Long Term Lionfish Control, Developing Belize's National Exploitation Strategy (2015-2016)	Determine the national status of the Lionfish, develop and implement exploitation strategy.	2,3	B
	undecided	Building Resilience within the Fisheries Sector to Adapt to Climate Change and Natural Disasters (in pipeline for 2017)	To assess the climate change vulnerability of fishers within the 13 coastal communities, establish a plan for the fishing industry and improve the economic capacity of fishers.	1,2,3	C
	World Bank	Promoting Sustainable Natural Resource-based Livelihoods in Belize (2012-2017)	To promote sustainable natural resource-based livelihoods for poor communities, reduce pressures on the key natural resources	2,3	C

Country	Main organization	Baseline and potential co-financing initiatives	Description of main activities	StewardFish component contribution	Baseline (B) or co-financing (C)
	Fisheries and related state authorities	Regular work programme	Integrated management of fisheries and MPAs, support for fisheries cooperatives, Fisheries Advisory Board	1,2,3,4	C
	CNFO member NFO and PFOs	BFCA and BFF programmes for fisherfolk members	Hub for western region; administrative support for other NFOs, PFOs; coordination of ICT and virtual conferencing	1,2,3,4	C
Guyana	FAO	Promotion of Small Scale Aquaculture in Guyana for Food Security and Rural Development (2014-2016)	To build capacity among households in simple production technology, improve management, increase capacity to guide aquaculture	1,3	B
	Fisheries and related state authorities	Regular work programme	Promote cooperatives, reduce IUU fishing, use of shrimp trawl bycatch, training and extension, national Fisheries Advisory Committee	1,2,3,4	C
	FAO/Fisheries Department	Reduction of IUU fishing	Training for implementation of the Port State Measures Agreement	3,4	B
	CNFO member NFO and PFOs	Developmental program for fisherfolk members	Policy influence; fishery certification; training in administration; ICT for increasing productivity	1,2,3,4	C
Jamaica	Fisheries Division	Capacity building in resources assessment and management of the Jamaican Sea cucumber fishery and potential for aquaculture development (2015-2016)	Sea cucumber stock assessment	2,3	B
	Fisheries and related state authorities	Regular work programme	Promote cooperatives, reduce IUU fishing, MPA and fish sanctuary use, training and extension	1,2,3,4	C
	CNFO member NFO and PFOs	Developmental program for cooperative members	Policy influence, climate adaptation, training, business development	1,2,3,4	C

Country	Main organization	Baseline and potential co-financing initiatives	Description of main activities	StewardFish component contribution	Baseline (B) or co-financing (C)
St. Lucia	Taiwan Technical Cooperation	Aquaculture Project (St. Lucia) (2011-2016)	Establish aquaculture centre, introduce good stock, extension to assist aquaculture	1,3	B
	Fisheries and related state authorities	Regular work programme	Promote cooperatives, reduce IUU fishing, MPA and fish sanctuary use, training and extension	1,2,3,4	C
	CNFO member NFO and PFOs	Developmental program for cooperative members	Business development, use of communication, improved fish marketing	1,2,3,4	C
St. Vincent and the Grenadines	JICA/Fisheries Division	Caribbean Fisheries Co-management (CARIFICO) project national component	Designing, deploying and managing Fish Aggregating Devices (FADS) to improve food security and livelihoods	1,2,3	B
	Fisheries and related state authorities	Regular work programme	Sustainable ocean governance policy, training and extension, marine protected areas	1,2,3	C
	CNFO member NFO and PFOs	Developmental program for fisherfolk members	Business development, improved fish marketing	1,2,3,4	C

1.2.3 Remaining barriers

Although the aforementioned initiatives are addressing threats, and engaging management authorities and other stakeholders in the process, critical gaps require urgent attention:

Barrier 1: Limited capacity of regional and national fisherfolk organizations to achieve objectives aligned with fisheries policies and plans - Sustainable fisheries management requires the participation of all stakeholders; of which fisherfolk are key. However fisherfolk lack technical, organizational and management capacities required to fully engage and partner with government in the management of fisheries. Capacities should be addressed in terms of leadership, organizational culture and policy influence. Furthermore while many local FFOs appear on paper, some are neither active nor have participated in implementing policies via concepts such as EAF. To date there are no initiatives that adequately address human and organizational capacity of FFOs to become stewards. Fisherfolk are unlikely to succeed in stewardship without the support and collaboration from fisheries-related agencies. CNFO has had limited success in empowering fisherfolk to participate in policy. At the (sub-)regional level CRFM and WECAFC often aim to increase participation of fisherfolk in planning and decision making processes, but the current limited capacity of most fisherfolk causes that their inputs to these processes are inadequate. These issues are of great concern to SAP strategic action 1.4.

Barrier 2: Fisheries-related state agencies at national and local level lack the appropriate capacity to support fishing industry institutions and stewardship - Likewise fisheries-related state agencies (national fisheries authorities, Cooperative Departments, public fish market management, Coast Guard, coastal management or environmental authorities, health inspectorate) are not developing sufficient appropriate capacities to engage in initiatives. The state agencies are constrained by deficiencies that most projects do not address since the agencies are either accepted as capable partners, or are expected to build capacity through formal workshops rather than through learning via participation.

Similarly no initiatives adequately address human and organizational capacity in the core areas of structural and functional design since the focus is on specific skills training and institutional arrangements. In addition fisheries-related state agencies do not have the capacities to adequately support FFOs. In some countries the primary means for fisherfolk engagement is through the Fisheries Advisory Committee (FAC). However the number of countries with active FACs is small. Furthermore while fisheries-related state agencies have accepted the EAF approach, many of them have not adopted it in their legislations or administrative procedures. These issues are of concern to SAP strategic actions 1.5, 2.7 and 3.7.

Barrier 3: Fisherfolk do not or cannot lead ecosystem stewardship practices for fisheries sustainability

Ecosystem stewardship is: “a strategy to respond to and shape social–ecological systems under conditions of uncertainty and change to sustain the supply and opportunities for use of ecosystem services to support human well-being”²⁶. Ecosystem stewardship fosters self-organisation and adaptive capacity through empowerment, learning and responsible management to achieve equity and transparency in governance²⁷. It has many implications for small-scale fisheries e.g. creating opportunities for collaboration among managers and resources users. Despite this there has been too little attention to collaboratively engaging fisherfolk and other marine resource use stakeholders in an ecosystem approach for stewardship for fisheries compared to the focus on stewardship for marine protected areas. The focus to date has been too narrow spatially and institutionally. Habitat degradation and pollution need to be addressed through greater awareness and emphasis on EAF consistent with attention to integrated coastal management and marine spatial planning. Building upon existing initiatives and opening them to new opportunities through EAF will enhance institutional arrangements for local level civil society engagement. These especially concern SAP strategic actions 1.4 and 3.7. No initiatives adequately engage civil society and resource

²⁶ Chapin et al. 2009. Ecosystem stewardship: sustainability strategies for a rapidly changing planet. *Trends in Ecology and Evolution*. 25(4):241-249

²⁷ Mahon et al. 2008. Governing fisheries as complex adaptive systems. *Marine Policy*. 32: 104-112.

users in ecosystem stewardship that focuses primarily on an inter-sectoral ecosystem approach to fisheries at national and local levels. In practical terms, co-management or EAF based management of resources exists currently on paper, and there is widespread willingness to implement it. However, the limited access of fishers to information constrains the fisherfolk in taking a leadership role in ecosystem stewardship.

Barrier 4: Sustainable fisheries livelihood strategies do not benefit from systematic learning from experience and compilation of best practices for use in interventions - Livelihoods throughout fisheries value chains will remain under threat unless more creative and highly innovative approaches to their sustainability and the well-being of fisheries households, not just enterprises, are employed. Continued marginalization of small-scale fisheries with inadequate social protection is likely to lead to increased rural poverty and gender inequality. A more people-centred rather than business-focused approach to combined livelihood and resource sustainability is needed. This should make better use of existing capabilities at multiple levels including through fisherfolk organizations, improved technology, blue economy opportunities, micro-credit facilities, better working conditions and ICT for more collaborative development. These especially concern SAP strategic actions 2.7 and 2.8. Currently there are no initiatives that adequately address people-centred sustainable livelihoods at the household level throughout fisheries value chains and networks as most of the initiatives are focused on fisheries enterprises and income-generation rather than a broad scope of well-being and sustainable rural development.

Barrier 5: Fisherfolk are removed from project monitoring and evaluation (M&E) as a technical rather than a participatory undertaking, and this constrains their learning for adaptation - Fisherfolk have been the beneficiaries of many initiatives but have little to no involvement in the monitoring and evaluation phase. Furthermore the M&E tools and techniques used usually do not provide fisherfolk the opportunity to assess the project outcomes or even to learn and adapt the methodology so it is more fisherfolk user-friendly. The lack of their involvement in the M&E phase prohibits a sense of ownership and impacts negatively upon project sustainability. SAP action 3.7 is particularly relevant here.

1.3 THE GEF ALTERNATIVE

1.3.1 Project strategy

The project aims to implement the CLME+ SAP within CRFM Member States by empowering fisherfolk throughout fisheries value chains to engage in resource management, decision-making processes and sustainable livelihoods with strengthened institutional support at all levels. The implementation of project activities will be guided by the principles of EAF and seek to promote women's empowerment through leadership and promote the importance of social protection for sustainable livelihoods.

The EAF strives to balance diverse societal objectives by taking into account knowledge and uncertainties regarding biotic, abiotic and human components of ecosystems and their interactions, and by applying an integrated approach to fisheries within ecologically

meaningful boundaries. It is a strengthened approach to fisheries management incorporating ecological, human well-being and governance (Figure 13 and Box). The purpose of EAF is to plan, develop and manage fisheries in a manner that addresses the multiple needs and desires of societies, without jeopardizing the options for future generations to benefit from the full range of goods and services provided by marine ecosystems.

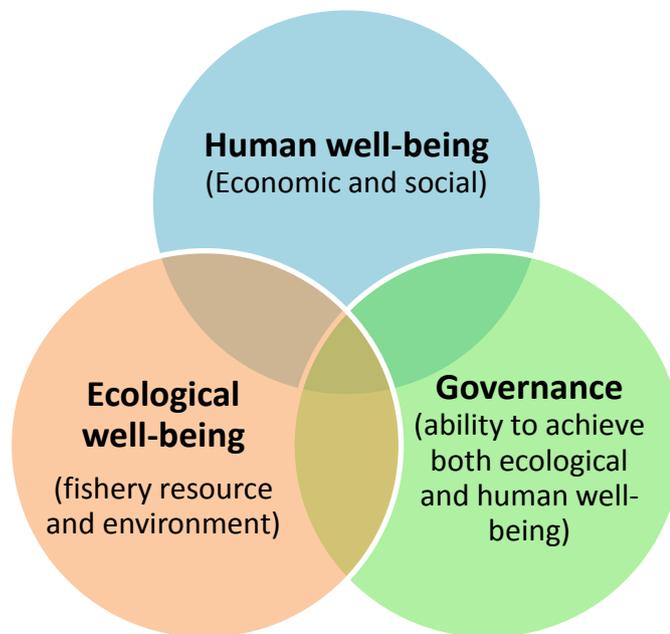


Figure 13: Ecosystem Approach to Fisheries (EAF) framework²⁸

Box: Critical Elements of EAF

Implementing EAF essentially involves asking four questions about how a fishery is contributing to sustainable development:

1. What impacts are the fishing activities having on target and associated species plus the broader ecosystem?
2. What impacts are these fishing activities having on the resources or human activities managed by other sectors?
3. What are the economic/social benefits and costs of fishing and related activities to the sector and society as a whole?
4. What other activities and drivers beyond the control of fishery management are affecting the fishery's capacity to reach its management objectives?

(Source: <http://www.fao.org/fishery/eaf-net/about/critical-elements/en>)

²⁸ FAO. 2003. Fisheries management. 2. The ecosystem approach to fisheries. 2.2. The human dimensions of the ecosystem approach to fisheries. FAO Technical Guidelines for Responsible Fisheries. No. 4, Suppl. 2, Add. 2. Rome, FAO. 88 pp.

Women and Leadership

The project will examine the responsibilities of women and men, with a focus on women and leadership. It is estimated that women account for at least 15 percent of all people directly involved in the fisheries primary sector and 90 percent in the secondary sector such as processing. Despite this contribution, however, women's participation as members and leaders in fisherfolk organizations is weak, which may be due to many factors, e.g. structural barriers, unequal power relations, individual constraints. The twin objectives of ecosystem well-being and human well-being cannot be achieved if women do not have equal rights and access to productive resources, policy dialogues, advisory and financial services and organizational and leadership opportunities. Site specific gender analysis and targeting will be conducted in Project Year (PY) 1 in each country to provide more detailed information and indicators on the organizational membership and leadership characteristics of women and young people, including how these may be addressed.

Social protection

Under FAO's new strategic framework, social protection is one of three pillars for reducing rural poverty. The other two pillars are: decent rural employment and access to resources, services and institutions. Social protection encompasses initiatives that provide cash or in-kind transfers to the poor, protect the vulnerable against risks and enhance the social status and rights of the marginalized – all with the overall goal of reducing poverty and economic and social vulnerability²⁹. The CRFM (2012) diagnostic assessments of poverty indicated that Belize (25.6 percent) and Guyana (24 percent) have high poverty incidence among fisherfolk households. In addition to this, however, there is a high level of vulnerability among fishing households in Guyana (25.5 percent), Jamaica (27.4 percent), and Belize (19.7 percent). The project will work towards reducing the vulnerability of fishing households in the participating countries by increasing knowledge and skills on sustainable livelihoods options and promoting local fish in healthy diets.

1.3.2 Project objectives, outcomes and outputs

To achieve this goal, the project is structured into four components described below. The first component and foundation of the project is capacity development to strengthen the collaboration among fisherfolk organizations, fisheries authorities and other state agencies for sustainable fisheries. This strengthening is used in the second and third components as the platform for improving ecosystem stewardship and fisheries livelihoods through learning-by-doing. The fourth component features participatory monitoring and evaluation to enhance

²⁹ FAO. 2015. The State of Food and Agriculture. Social protection and agriculture: breaking the cycle of rural poverty. FAO, Rome.

learning and adaptation in the interventions (See also Results Matrix in Appendix 1 and Figure 14):

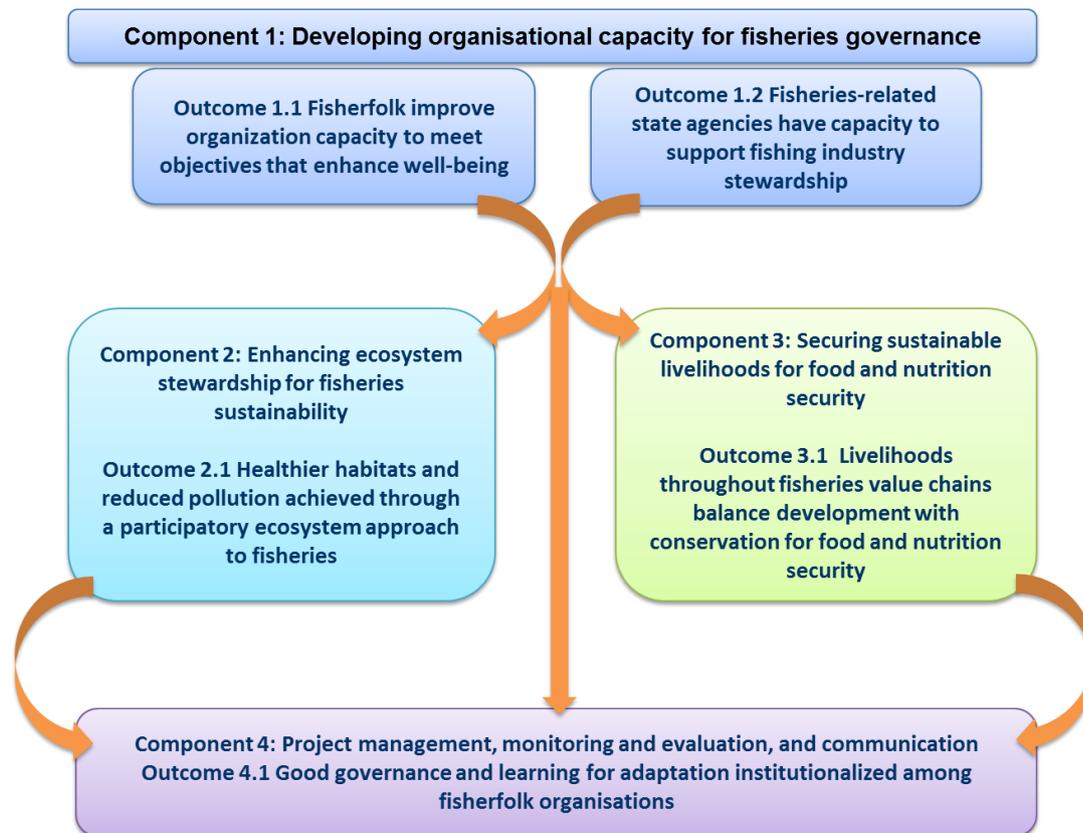


Figure 14: StewardFish Project Framework

Component 1: Developing organizational capacity for fisheries governance

The GEF will support the improvement of fisherfolk organizations’ capacity to meet objectives that enhance the well-being of individuals to address barrier #1. The project will provide guidance in prioritising fisherfolk needs in order to offer opportunities to improve core leadership competencies. A platform for effective leadership will be created and replicable leadership capacity will be institutionalized. This encompasses not only the formal leaders or top posts in organizations, but also all persons who spearhead activities and demonstrate leadership potential for succession planning. There will be improvements to the use of information and communication technologies to support the operations of fisherfolk organizations. Through regional partners the GEF funding will allow for the identification of gaps in leadership to ensure effective participation of women and youth in the industry.

The GEF financing will make it possible to engage management authorities and resource users in the process of identifying critical gaps requiring urgent attention. Particular attention will be given to strengthening national fisheries authorities to better support fisherfolk organizations. Due to existing capacity deficiencies, institutional analysis and organizational assessment will be key for stakeholder participation.

Outcome 1.1 Fisherfolk have improved their organizational capacity to meet objectives that enhance well-being

Indicator: Number of fisherfolk organizations that participate in leadership capacity development, Number of participating NFOs that report positive change due to training (Baseline: 3 NFOs. Target: 7 NFOs)

Output 1.1.1: Leaders with strengthened capacity in management, administration, planning sustainable finance, leadership and other operational skills.

Target: 40 Fisherfolk Organizations (FFO) leaders (25 men, 15 women)

The project will assist fisherfolk organizations in determining the priority needs and delivery mechanism for leadership training, which will also facilitate gender mainstreaming. In conjunction with CERMES and regional fishery bodies, training packages will be developed to support the training programme. During the latter phase of the project a virtual regional 'leadership institute' led by the CNFO as a knowledge-sharing platform will be developed to document and share lessons learned and best practices for fisherfolk organizations. This output will also support succession planning within fisherfolk organizations. Currently many fisherfolk organizations collapse after the departure/retirement of one or two inspirational leaders. Capacity development of a greater group of fisherfolk and especially in leadership skills will reduce the number of failing fisherfolk organizations and increase organizational sustainability.

Output 1.1.2: Information and communication technologies (ICT) used for good governance

Target: 20 FFOs

The project will conduct a gap analysis of the NFOs in ICT and its use in governance, and recommend practical action to improve usage. Training in ICTs will build on any existing national ICT initiatives, integrating training in the use of social media platforms and other e-communication tools. Fisherfolk will be introduced to additional benefits of cellular technology, similar to mFisheries³⁰ with technology supporting operational activities such as navigation and also governance for advocacy purposes. Research from mFisheries in Trinidad has shown it to be a possible method to influence decision-making through collective action. Furthermore based on recommendations, the NFOs that are technologically constrained will receive minimum requirements of ICT hardware and software. ICT training will be provided for Board Members and other key personnel of the NFOs.

Output 1.1.3: Capacity for policy engagement, and of women as leaders, is strengthened

Target: 40 FFOs leaders (25 men, 15 women)

³⁰ mFisheries website: <http://www.cirp.org.tt/mfisheries>

National workshops will be conducted to improve NFO engagement in local and regional fisheries policy such as Small-scale Fisheries Guidelines and the CARICOM Common Fisheries Policy. The project will facilitate gender mainstreaming and support for young people. A gender analysis will be conducted within the fishing industry of each country to identify the capacity gaps of women in relation to fisherfolk leadership. Based on the results of the analysis leadership training will be adapted especially for women and youth of both sexes.

Outcome 1.2 Fisheries-related state agencies have capacity to support fishing industry stewardship

Indicator: Number of fisheries-related state agencies (Baseline: 3 fisheries related state agencies (NFA/Cooperative Department); Target: 7 agencies in each participating country have the capacity to support stewardship)

Indicator: Number of participating fisheries-related state agencies that report positive change due to FFO support capacity development activities

Baseline: 0 fisheries related state agencies (NFA/Cooperative Department)

Target: 7 agencies in each participating country have the capacity to support stewardship

Output 1.2.1: State agency implementation gaps assessed regarding support for fisherfolk organizations and their role in stewardship

Target: 7 state agencies

Fisheries authorities vary widely in their support of FFO for different reasons, some within their control and others beyond. Situation-specific analysis is required to develop country fixes that examine resource allocation to FFO supporting functions. The project will conduct an institutional analysis and also an organizational assessment in key fisheries-related state agencies in the country and recommend priorities for improvement so that authorities and FFO can become more efficiently and effectively engaged in collaborative activities.

Output 1.2.2: State agencies prioritization capacity developed to support fisherfolk organizations and roles in stewardship

Target: 7 state agencies

Pilot initiatives and training (e.g. co-management, EAF, and principles of good stewardship) will be undertaken as practical means to carry forward the recommendations generated by the institutional analyses and organizational assessments. The aim will be to test proposed interventions or adapt current practices in order to address the priority gaps. It is crucial to take action within the StewardFish initiative rather than await future funding.

Component 2: Enhancing ecosystem stewardship for fisheries sustainability

This component will seek to collaboratively engage fisherfolk in ecosystem approach to fisheries. Through greater awareness and emphasis on EAF consistent with attention to

integrated coastal management and marine spatial planning, the project will address habitat degradation and pollution. This complements the CLME+ and CC4FISH projects.

Outcome 2.1: Increased participatory Ecosystem Approach to Fisheries (EAF) application with focus on healthier habitats and pollution reduction

Indicator: Number of FFO leaders formally engaged in biodiversity conservation (e.g. MPAs) and coastal management (e.g. pollution reduction) activities

Baseline: 5 FFO leaders (4 men, 1 woman)

Target: 40 FFO leaders (25 men, 15 women) for participation and change

Indicator: Number of FFO leaders who report improved habitat health and pollution reduction due to their engagement in ecosystem-based management

Baseline: 0 FFO leaders

Target: 40 FFO leaders (25 men, 15 women) for participation and change

Output 2.1.1: Fisherfolk engaged in the management of marine protected areas or other coastal uses

Target: at least 40 FFOs leaders (25 men, 15 women)

Building upon a successful mentorship initiative, which sought to build capacity of regional and national fisherfolk organisations to participate in fisheries governance, the project will recruit and train mentors for FFOs. Further guidance will be provided to fisherfolk leaders to engage in non-fishery coastal management processes. Pilot projects will be conducted to support fisherfolk becoming engaged in matters such as coastal zone management and marine area management. PM&E mechanisms will assess the outcomes of their interventions.

Output 2.1.2: Fisherfolks successfully applying the ecosystem approach to fisheries (EAF) - supported by greater general public awareness of EAF

Target: at least 20 FFO leaders (15 men, 5 women)

Fisherfolk will be sensitized and trained in compliance with specific provisions in the EAF-based plans developed under CC4FISH and other initiatives, including providing gear, technology and skills to change their practices. International fisheries guidelines and initiatives in other countries will be adapted to produce codes of conduct and ethics based on EAF for local and national FFOs, and integrated into their training. Various communication strategies will be employed including social media platforms and other low-cost public communications, to increase public awareness of EAF practices.

Component 3: Securing sustainable livelihoods for food and nutrition security

This component will seek to inform initiatives that facilitate people-centred sustainable livelihoods at the household level throughout fisheries value chains and networks to address barrier #3. Fisheries value chains are the full range of activities in commercial capture fisheries. They start from harvesting fish, through adding value by processing and marketing, to delivering seafood to consumers. Value chain analysis can guide both environmental management and fishery development (CRFM 2014)³¹.

The project will identify sustainable fisheries livelihoods through an analysis of livelihood projects in the Caribbean, noting key best practices for fisherfolk pursuing complimentary or alternative livelihoods. The project will use a value chain approach to mapping opportunities for seafood distribution, and to reviewing policies and practices that address these issues. GEF financing will facilitate innovative strategies for improving livelihoods, food security and nutrition along fisheries value chains.

Outcome 3.1: Livelihoods throughout fisheries value chains balanced development with conservation for food and nutrition security

Indicator: Number of FFO leaders who engage in livelihood enhancement activities

Baseline: 5 FFO leaders (4 men, 1 woman)

Target: 40 FFO leaders (25 men, 15 women)

Indicator: Number of FFO leaders who report positive change due to engagement

Baseline: 0 FFO leaders

Target: 40 FFO leaders (25 men, 15 women)

Output 3.1.1: Schemes for sustainable fisheries livelihoods reviewed in order to learn from them and adapt future activities

The project will conduct research on livelihood projects in order to learn about achievements and issues from fisherfolk perspectives. Using the SSF Guidelines and CCCFP as context, it will seek to prepare and communicate best practices based on the results of the livelihoods projects analyses. Profiles for sustainable fisheries livelihoods (inclusive of alternative livelihoods, complementary or supplementary livelihoods) using the best practices will be created and the training associated with leadership and fisherfolk implementation of EAF will be integrated.

Output 3.1.2: Use of local fish in healthy diets promoted through public policies and private enterprises

³¹ CRFM. 2014. Value Chain Approaches in Fisheries Planning. Policy Brief No. 4- September 2014.

http://www.cftdi.edu.tt/pdf/Value_chain_approaches_in_fisheries_planning_CRFM_2014.pdf

The project will analyse fisheries value chains and map opportunities for additional marketing and distribution of current and new seafood products, especially consistent with childhood nutrition. It will examine public policy and private sector purchasing practices for local and regional seafood, with public discussion on improving consumption and intra-regional trade. It will also review regional and national initiatives, including the on-going School Feeding Initiative³² operated by FAO. The School Feeding Programme has served as one of the most successful policies in terms of its ability to address various challenges in the region. The programme has the ability to ensure a sustainable market for locally produced fresh foods and to improve health by promoting healthy eating habits among children.

Component 4: Project management, monitoring and evaluation, and communication

Stewardship and the EAF demand an adaptive approach to fisheries in which stakeholders are fully informed and able to self-organise in order to deal with uncertainties from social and ecological sources. PM&E coupled with communication offer opportunities for fisherfolk who participate in StewardFish to own the assessment of project progress, outputs and outcomes, and to actively share their learning with others through the national intersectoral consultative mechanisms that feature in the CLME+ Project as institutional arrangements. The financing will facilitate these interactions and information exchange within and beyond the project, thus contributing to LME learning.

Outcome 4.1 Good governance and learning for adaptation institutionalized among fisherfolk organizations

Indicator: Number of NFO participating in PM&E arrangements, Number of NFO leaders who report learning due to engagement

Baseline: 0 NFOs

Target: 7 NFOs

Output 4.1.1: Improved results and learning through fisherfolk participatory monitoring and evaluation

The CLME+ has identified National Inter-sectoral Committees (NICs), such as FAC, or the NFO and fisheries authority that they will collaborate with in the implementation of the SAP. StewardFish will integrate such national inter-sectoral consultative mechanisms through facilitating their participation in quarterly meetings on which StewardFish review is on the agenda in each country. It will also provide an opportunity to share participatory monitoring and evaluation findings at a regional level. At least 20 meetings will take place.

³² <http://www.fao.org/in-action/program-brazil-fao/projects/school-feeding/en>

Output 4.1.2: Annual project participant conferences, website outputs and best practice guidelines for fisherfolk-centred participatory monitoring and evaluation (PM&E) based on learning-by-doing

The project will facilitate opportunities for knowledge management as it will seek to integrate lessons learned into best practice guidelines, along with the products of CMLE+, IW: LEARN and LME:LEARN.

Output 4.1.3: Project mid-term review and Final Evaluation

A mid-term review of the project will be conducted after 18 months of implementation. An independent Final Evaluation is recommended will be launched within six months prior to the actual completion date (NTE date) of the project. FAO Office of Evaluation, OED, in consultation with the TCI GEF Unit and the Regional Project Steering Committee (RPSC), will be responsible for organizing and backstopping the Final Evaluation, including: finalizing the ToR, selecting and backstopping the team and Quality Assurance of the final report.

1.3.3 Project Stakeholders

The project brings together a diverse group of stakeholders who play an important role in fisheries in the Caribbean at the national, regional and international level and who can build on their existing collaboration.

Primary stakeholders: Fisherfolk organizations of seven CRFM Member States: Antigua and Barbuda, Barbados, Belize, Guyana, Jamaica, Saint Lucia, St Vincent and the Grenadines and fisheries-related state agencies in the project countries (mainly fisheries authorities and Cooperative Departments).

- **Fisheries-related state agencies:** These are mainly national fisheries authorities but may extend to Cooperatives Departments in some countries. The countries have the responsibility to ensure the conservation and management of fisheries resources in their jurisdictions. They may provide for project policy and legal support and research, advisory and other logistical services. Some countries may experience constraints in relation to infrastructure and capacity.
- **National and primary fisherfolk organizations - civil society organizations (CSOs) and/or producer organisations:** In these countries fisherfolk have formed primary and national fisherfolk organizations. NFOs are umbrella bodies representing the primary fisherfolk organizations in the country. The organizations range from informal associations governed by a simple constitution to cooperatives governed by legislation. Either may perform the functions of CSOs or producer organizations. These are the key stakeholders and beneficiaries directly concerned with the project. There is a general need to strengthen these organizations and build their capacity to become effective partners in governance.

Secondary stakeholders: Regional and international partner organizations (CRFM, CANARI, CNFO, UWI and WECAFC). These organizations have worked collaboratively for years and as a result of their knowledge and expertise their project roles will overlap.

- The **Caribbean Regional Fisheries Mechanism (CRFM)**: This regional fishery body will act as the regional partner, providing advisory and technical support on the Steering Committee.
- **Caribbean Network of Fisherfolk Organisation (CNFO)**: This regional body will engage NFOs, guide project development and implementation on behalf of fisherfolk, particularly in relation to leadership training. Even though it is a project partner, CNFO will also be a beneficiary, as the project will build on its coordination and capacity to strengthen fisherfolk organizations.
- **Caribbean Natural Resources Institute (CANARI)** facilitates engagement with civil society, using participatory approaches. It has engaged with fisherfolk through the Fisherfolk Action Learning Group and can provide valuable lessons and key issues experienced by fisherfolk under its EU-funded Strengthening Caribbean Fisherfolk to Participate in Fisheries Governance project. CANARI will also be responsible for coaching past or new mentors who will be providing support to fisherfolk.
- **University of the West Indies**: The project intends to collaborate with Centre of Resource Management and Environmental Studies (CERMES) of the University of the West Indies (UWI) in Barbados, which provided input into project design and development and has been facilitating fisheries research for years. The department will provide research and technical support.
- **FAO/WECAFC**: This will be the GEF agency supervising and technically backstopping the project. FAO and its WECAFC Secretariat in Barbados will provide technical assistance to ensure that the project activities benefit from experiences elsewhere and meet current best practices. Moreover, findings, lessons learned and recommendations from the project can be brought to the attention and be presented for endorsement (as necessary) at WECAFC's sessions and working groups. The project should also benefit FAO in terms of institutionalizing direct and deeper engagement with resource users.

1.3.4 Expected global environmental and adaptation benefits

The project is aligned with GEF International Waters (IW), *Programme 7: Foster sustainable fisheries* with emphasis on indicator 7.1.3: 20 communities of fishers have adopted an ecosystem approach to fisheries management³³. Fisheries-related state agencies, fisherfolk organizations and other key stakeholders will participate in the project to address the barriers described above and help deliver to the following global environmental benefits that will be more accurately quantified in PY1 during initial delivery given the low accuracy of available regional and national statistics on these small-scale fisheries:

- Reduction in use and impacts of irresponsible and unsustainable fishing practices as well as IUU fishing in the project intervention areas as a result of increased capacity

³³ GEF 6 Programming Directions

for stewardship. To be determined in PY1 on a country-specific basis by reports of events, infractions and prosecutions monitored by CRFM and WECAFC working groups.

- Reduced fisheries-generated habitat degradation and pollution due to improved stewardship. To be determined in PY1 on a country-specific basis by reports on ecosystem health as planned under the CLME+ Project.
- Increased collaboration in fisheries and ecosystem management between countries in the CLME+ area, particularly for transboundary and highly migratory fisheries target stocks. Introduction of best practices and harmonization of successful management approaches, actively involving fisherfolk organizations, is expected.
- Improvement in the provision of ecosystem goods and services will increase fisheries productivity and/or value to sustain the livelihoods of fisherfolk. To be determined in PY1 on a country-specific basis by metrics devised for ecosystem stress by CLME+ Project.

1.3.5 Socio-economic and adaptation benefits

Project stakeholders will benefit from socio-economic and adaptation co-benefits that include:

- Review of schemes for sustainable fisheries livelihoods to learn from them and adaptation for future activities
- Good governance and learning for adaptation institutionalized among fisherfolk organizations
- Improved results and learning through fisherfolk participatory monitoring and evaluation
- Increased income from value chain collaboration, which was not possible without project interventions.
- Longer-term sustainability in income from fisheries, due to increased buy-in to jointly developed and agreed fisheries management measures and stewardship over the resources.
- Gender mainstreaming in sustainable fisheries livelihoods and along the fisheries value chain for enhanced gender relations and women's status in fisheries

1.4 LESSONS LEARNED

Lessons have been learned from previous regional projects with similar methodologies and strategic affinity to the StewardFish project. These projects included:

- i) ACP Fish II, funded by 9th European Development Fund
- ii) Marine Resource Governance in the Eastern Caribbean (MarGov Project), funded by IDRC Rural Poverty and Environment Program and implemented by the Centre for Resource Management and Environmental Studies at The University of the West Indies
- iii) Strengthening Caribbean Fisherfolk to Participate in Governance project, funded by the European Union EuropeAid, with CANARI as the lead implementing agency
- iv) Eastern Caribbean Marine Managed Areas Network (ECMMAN) project, funded by the German Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety and is coordinated by The Nature Conservancy.

The **ACP Fish II project (2009-2013)**³⁴ sought to strengthen fisheries management in ACP countries. Its overall objectives was to contribute to the sustainable and equitable management of fisheries, thus leading to poverty alleviation and improving food security in ACP states. The Caribbean Programme targeted fisheries stakeholders throughout the Caribbean. It was designed as a demand-driven programme with a participatory approach. Fisheries policies were to benefit from greater visibility and better understanding of the potential social, economic and environmental benefits that could improve fisheries governance. ACP Fish II supported strengthening the voice of fisherfolk and offered training in the Ecosystem Approach to Fisheries, climate change adaptation and business management skills for fisherfolk. It also targeted national fisheries authorities and national fisheries management and development instruments in light of the advancement of the CARICOM Common Fisheries Policy. The project design was a demand-led approach with all projects originating from the beneficiaries' defined needs, the commitment of national focal points and the involvement of over 3000 stakeholders throughout the process. Some challenges included the lack of grants to encourage the involvement of stakeholders with deeper ownership of the programme; targets were established but there were few support mechanisms for achieving outputs; budget constraints and too many simultaneous activities in the tendering process. The many positive aspects of ACP Fish II will be emulated, and the issues of ownership and overload will be addressed by integrating activities into the matters that already occupy the primary stakeholders and align targets with the CRFM Strategic Plan.

The **Marine Resource Governance in the Eastern Caribbean (MarGov Project)** [2007-2012] is an applied research project that focuses on understanding governance related to small-scale fisheries and coastal management in the eastern Caribbean. Outcomes sought through the project were: Stronger communication between fisherfolk organizations and fisheries management; Enhanced ability for fisherfolk organizations to influence policy through the development of communication strategies; The promotion of changes in attitude and behaviour toward marine governance; Improved awareness of the need for sustainable fisheries resource management; Stronger collaboration between fishers and fisheries authorities in solving problems and tackling issues; Higher levels of transparency within fisherfolk organizations through improved communication; Enhanced understanding of the benefits of membership in fisherfolk organizations; and Increased contact between regional fisherfolk to exchange experiences and best practices among fishers in different countries. An unexpected result was the engagement of communications officers in ministries of agriculture in four countries as resource persons to assist both the fisheries management authorities and fishers in the dissemination of information on future events or issues. It was noted that organizers of the workshops should use incentives to ensure the participation of targeted fishers; they should recognise that the agency that can best mobilise fishers may not in each case be the fisheries management authority due to the enforcement roles that they undertake day-to-day; they should recognise that in some cases organizational structure of fisheries

³⁴ Grant, S. 2014. ACP Fish II Programme-Implementation 2009-2013. Caribbean RFU: Belize.

divisions created barriers to effective communication that impact on trust between levels within fisheries divisions; and the need for time for participants to better understand and uptake tools introduced.

The **Strengthening Caribbean Fisherfolk to Participate in Governance project (2013-2016)**, is being implemented by CANARI, in collaboration with CERMES, Panos Caribbean, CNFO and CRFM. Nearing conclusion now, it is seeking to improve the contribution of the small-scale fisheries sector to food security in the Caribbean through building capacity of regional and national fisherfolk organization networks to participate in governance. Under the project a needs assessment was conducted to identify the gaps in FFOs in the region to participate in governance of the fisheries sector at the national and regional level. A Caribbean Fisherfolk Action Learning Groups (FFALG)³⁵ was established to support fisherfolk participation. The project gave fisherfolk leaders the opportunity to review on-going regional projects, the status of fisheries policies and access to information. There was some attention to leadership development that is key to succession planning and organizational development. A group of Caribbean mentors were trained to provide technical support to FFO leaders, including the preparation of proposals to leverage funds under the project's small grants facility (called the Fisherfolk Strengthening Fund). This Fisherfolk Strengthening Fund was developed to support FFOs in developing capacity building interventions based on their specific needs and/or to implement concrete actions on the ground for organizational strengthening and/or communication to influence decision-making. Some lessons learned included the need for training in leadership to improve succession planning and organizational development; focus on managing fisheries, fisherfolk will need to acquire ICT and have the knowledge to use them to access current information on fisheries and to better network with other NFOs; and the low capacity of FFOs to develop proposals. Using mentors is another positive lesson along with institutionalising participatory monitoring and evaluation.

The **Eastern Caribbean Marine Managed Areas Network (ECMMAN) Project (2013 – 2016)** aims to establish an Eastern Caribbean marine management areas (MMAs) network in the region and provides for improved livelihood opportunities. The project actions were expected to result in better conservation and management of the marine and coastal resources of the six target countries, which will ultimately help improve livelihood opportunities for fishers and other marine resource users, support sustainable tourism, and help set the enabling conditions to increase the overall resilience of the marine and coastal ecosystems and therefore reduce the vulnerability of coastal communities to threats such as climate change and natural disasters. As part of the project, training workshops and campaigns were designed to inspire partnership, empower and educate local communities about marine area management by promoting sustainable use of resources, improving opportunities for fishers, supporting sustainable tourism, and reducing vulnerability to the impacts of climate change

³⁵ CANARI (2015). Report of the Third Regional Workshop for the Fisherfolk Leaders Action Learning Group. Held as part of the Strengthening Caribbean Fisherfolk to Participate in Governance project. October 5 - 8, 2015. Antigua and Barbuda, Saint John's: Trade Winds Hotel

and natural disasters. Contributing factor to this project success was (a) the inclusion of the regional CNFO as a project partner and special advisor to ensure fishing communities have a formal voice and fisheries interest were well represented (b) income diversification opportunity available to selected fisherfolk participating in the project through the provision of grants (c) the use of popular communication to extend and ensure better and active participation of fishing communities. Establishing from the onset an environment of mutual respect between the implementing agency and partners, especially with regards to fisherfolk opinions is viewed as very beneficial for achieving both the project and the fisherfolk goals.

1.5 STRATEGIC ALIGNMENT

1.5.1 Consistency with national development goals and policies

As the seven participating countries are all members of CRFM, their national priorities are reflected in CRFM's Strategic Plan 2013-2021. The project is aligned with CRFM Strategic Plan (2013 – 2021) to establish appropriate measures for the conservation, management, sustainable utilisation and development of fisheries resources and related ecosystems; the building of capacity among fishers and the optimisation of the social and economic returns from their fisheries and the promotion of competitive trade and stable market conditions. It specifically addresses goals 1 and 2 as follows:

- Goal (1) Sustainable management and utilization of fisheries and aquaculture resources in the Caribbean region for the benefit of future generations.
- Goal (2) Improve the welfare and sustainable livelihoods of fishing and aquaculture communities in the Caribbean region, by providing income and employment opportunities in fisheries and aquaculture sectors.

It is also aligned to Strategic Objective D: Sustainable use of fisheries resources as the project ensures the collaboration of all stakeholders, strengthening fisherfolk organisations, special attention to women and also the application of Ecosystem Approach to Fisheries (EAF). The project is aligned to organisational results:

- D1: Small-scale fisherfolk organisations in CRFM countries play an active role in planning, managing and monitoring fisheries (StewardFish Component 1, 2)
- D4: The role of women in all levels of fish value chain has been strengthened (StewardFish Component 1).

1.5.2 Consistency with national communications and reports to the United Nations Convention to Combat Desertification, Convention on Biological Diversity, Stockholm Convention on POPs, United Nations Framework Convention on Climate Change (as applicable).

The project is consistent with the national priorities outlined in the National Biodiversity Strategy and Action Plan (NBSAPs) for the Convention on Biological Diversity and the National Communications for climate change (NCs) for United Nations Framework Convention on Climate Change (UNFCCC). The alignment varies by country and is further discussed below:

Antigua & Barbuda: In accordance with the International Plan of Action – Illegal Unreported, Unregulated fishing (IPOA-IUU), Antigua and Barbuda develop a National Plan of Action to Prevent, Deter and Eliminate Illegal, Unreported and Unregulated Fishing (NPOA-IUU)

focusing on the priority areas of IUU fishing in the country. The fisheries division is the entity to coordinate the efforts to ensure compliance of measures outlined in this plan as well as those assumed under regional agreements such as the Castries Declaration. This project is in conformity with the priorities identified in the country's NPOA-IUU as well as those within the Castries Declaration and the Caribbean Community Common Fisheries Policy.

Antigua and Barbuda's Second National Communications on Climate Change (2009) lists the fisheries sector among its priority areas. The project is in line with the priority of enhancing the Fisheries Division to enhance resilience of the fisheries sector to climate change through support the capacity of FFOs and the capability of FD to support FFOs.

Barbados: Barbados acceded the United Nations Fish Stock Agreement (UNFSA) on 22 September 2000 and later that year on 26 October submitted a letter of acceptance on FAO Compliance Agreement. Barbados ratified the CBD on 10 December 1993. The project is consistent with the objectives contained in the Environmental and Natural Resources Management Plan (EMNRMP) and the Coastal Zone Management Plan (CZMP). These plans make provisions for the sustainable management of the majority of the human activities that impact on the conservation of biodiversity in both the marine and terrestrial environment. In accordance with the Convention on Biological Diversity (CBD), the National Biodiversity Strategic and Action Plan (NBSAP) integrate biodiversity management and conservation into the above sectoral plans.

Barbados Second National Communications to UNFCCC is still in progress. However fisheries and coral reef ecosystems are recognised as significantly important in the First National Communications on Climate Change (2001). The project is aligned with management options such as improved coastal resource management planning, enhancement of resilience of natural systems

Belize: Belize ratified the CBD on 30 December 1993, the UNFSA on 14 July 2005 and submitted a letter of acceptance on FAO Compliance Agreement on 19 July 2005. Belize's NBSAP highlighted the need for a comprehensive and integrated approach to the management of protected areas and the management and conservation of national biodiversity. The government of Belize has included community participation as important condition for the implementation and success of the National Biodiversity Strategy and Action Plan (NBSAP). Belize has also developed an NPOA to address the issue of IUU fishing in order to ensure conservation and maximum utilization of marine resources. The objectives of the project are in compliance with the ones of the above national instruments.

According to the country's Third National Communications on Climate Change, the impact of climate change on the fisheries sector is considered to be indirect. However there are many plans for adaptive responses. The project is aligned with the implementation of management approaches and policies that further strengthen the livelihood asset base and improve understanding of existing response mechanism to climate variability to assist in planning adaption, consolidate and strengthen marine protected areas systems and explore the

development of alternative livelihoods plans for fisheries affected by restricted fishing measures

Guyana: The Government of Guyana became signatory to UNCLOS on November 16, 1993 and to the Port State Measures Agreement (PSMA) on 3 March 2016. This StewardFish project is consistent with Guyana's national and regional priorities and plans contain within the country's Fisheries Act (2002) and its National Fisheries Management and Development Plan (NFMDP). Both are aimed toward the enforcement of management measures develop by the country as well as implementing both UNCLOS and the PSMA management measures assumed under regional organizations such as those under The Castries Declaration and the Caribbean Community Common Fisheries Policy.

The country's Second National Communications (SNC) on Climate Change (2012) recognises the fisheries sector as of high-economic importance. The project is aligned to the SNC which highlights the need to adopt an ecosystem approach that ensures inter-sectoral co-ordination and cooperation for effective climate change responses and the collaboration between sector agencies to protect marine and fisheries ecosystems.

Jamaica: The Government of Jamaica ratified UNCLOS on 21 March 1983. The StewardFish project objective is consistent with the new Fisheries Bill drafted and its regulations, sections of the 1945 Wildlife Protection Act dealing with fish and the Morant and Pedro Cays Act (1907) and the country National Fisheries and Aquaculture Policy (NFAP) which is aimed to ensure sustainable development, management and conservation of fisheries while promoting economic and social development of fishers and fishing communities.

Jamaica's Second National Communications on Climate Change (2011) recognises the impact of climate change on coral reefs and wetlands and along coastal zones. The areas are key fisheries habitats and also landing sites for fisherfolk. The project is aligned to the SNC as it would support the expansion of the proposed co-operative programme for fisherfolk.

St. Lucia: St. Lucia is party to the CBD by accession since 1993, ratified UNCLOS on 27 March 1985 and UNFSA, 9 August 1996. The government submitted letter of Acceptance for FAO Compliance Agreement on 23 October 2002. Fisheries are governed by a Fisheries Act, which came into force in 1984 and was revised in 2001. The country NBSAP covered issues of primary importance for the country, which integrates public education and awareness. They are well-defined fisheries cooperative structure and national body that are very active and willing to fully collaborate with the project.

The Second National Communication on Climate Change (2011) recognises the vulnerability of coral reefs, seagrass beds and nearshore fisheries. It also recognises the significant damage to fish landing sites, fish markets, fishermen's lockers and onshore facilities. The project is aligned to the SNC as the actions proposed in these documents are all geared to expand the resilience of the marine ecosystems and facilitate capacity building of civil society and education of target audiences such as fishermen.

St. Vincent & the Grenadines: St. Vincent and the Grenadines is party to the CBD by accession since 1996, it ratified UNCLOS on 01 October 1993 and accede UNFSA on 29 October 2010. In St. Vincent and the Grenadines the overarching legislation governing the Fisheries Division is the 1986 Fisheries Act that makes provisions for the FAC. In 2014 the country drafted a Fisheries and Aquaculture Policy for St. Vincent and the Grenadines. The archipelagic state is also actively pursuing an ocean governance policy. There is also political commitment to tackle IUU fishing in the Caribbean through the Castries Declaration and the Caribbean Community Common Fisheries Policy (2014). St. Vincent Fisheries Committee and Fisheries Department are totally committed to project objectives.

The Second National Communications on Climate Change (2016) recognises that climate change will have a significant impact on coral reefs which are important habitats of the fishing industry. However fishermen are as a secondary vulnerable group to climate change. The project still remains aligned with the SNC as it will engage civil society – fisherfolk who are non-state actors in biodiversity conservation and food security issues.

1.5.3 Consistency with GEF focal area

The project is consistent with GEF-6: IW Focal Area (Goal: *to promote collective management for transboundary water systems and foster policy, legal, and institutional reforms and investments towards sustainable use and maintenance of ecosystem services*). It is specifically aligned with Objective IW 3: *Enhance multi-state cooperation and catalyze investments to foster sustainable fisheries, restore and protect coastal habitats, and reduce pollution of coasts and Large Marine Ecosystems*, in particular *Program 7: Foster Sustainable Fisheries*, GEF IW Outcome 7.1 Introduction of sustainable fishing practices; indicator 7.1.3- Number of targeted communities of fishers that have adopted an ecosystem approach for fisheries management. This is clear, as the project will make use of ecosystem approaches in strengthening fisheries related state agencies and fisherfolk organizations. The project also provides for pilot projects to promote the EAF, encourages long-term investments in sustainability, and it will augment sustainable fishing practices due to the importance of livelihoods.

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

1.5.4 Consistency with FAO's Strategic Framework and Objectives

The project contributes to the achievement of the following strategic objectives and respective organizational outcomes of the FAO Strategic Framework (2010-2019)³⁶:

Strategic Objective 2: Increase and improve provision of goods and services from agriculture, forestry and fisheries in a sustainable manner

Organizational Outcome 201: Producers and natural resource managers adopt practices that increase and improve agricultural sector production in a sustainable manner

Organizational Output 20101 - Innovative practices for sustainable agricultural production (including traditional practices that improve sustainability, such as those listed as Globally Important Agricultural Heritage Systems) are identified, assessed and disseminated and their adoption by stakeholders is facilitated.

Strategic Objective 3: Reduce rural poverty

Organizational Outcome 301: The rural poor have enhanced and equitable access to productive resources, services, organizations and markets, and can manage their resources more sustainably.

Organizational Output: 30101 - Support to strengthen rural organizations and institutions and facilitate empowerment of rural poor.

Organizational Output: 30103 - Support to improve access of poor rural producers and households to appropriate technologies and knowledge, inputs and markets

Strategic Objective 5: Increase the resilience of livelihoods from disasters

Organizational Outcome 503: Countries reduce risks and vulnerability at household and community level.

Organizational Output 50302 - Improving access of most vulnerable groups to services which reduce the impact of disasters and crisis.

The 34th session of the Regional Conference for Latin America and the Caribbean which was held in Mexico City from 29 February to 3 March 2016 has also been flagged as important policy issues for the region several areas addressed by StewardFish including:

- food and nutrition security
- transformation of the rural sector
- social and economic inclusion and innovation
- sustainable use of natural resources

The project will also contribute to the following FAO Regional Initiatives:

R2: Family Farming, Food Systems and Sustainable Rural Development

R3: Sustainable use of natural resources, adaptation to climate change and disasters risk management

³⁶ FAO. 2013. Review of Strategic Framework at the thirty-eighth session. Rome 15-22 June 2013

1.5.5 Consistency with Interregional and Global initiatives

This proposal will contribute to the implementation of the FAO's Interregional Initiative on Small Island Development States (SIDS) as well as to the Global Action Programme on Food Security and Nutrition in SIDS. In the Small Island Developing States Accelerated Modalities of Action — or S.A.M.O.A. Pathway — countries recognize the need to support and invest in SIDS so they too can achieve sustainable development. Particularly relevant to this project is paragraph 63 of the S.A.M.O.A Pathway which states its commitment to working together to support the efforts of SIDS to: increase rural income and jobs, with a focus on the empowerment of smallholders and small-scale food producers, especially women; enhance the resilience of agriculture and fisheries to the adverse impacts of climate change, ocean acidification and natural disasters; and maintain natural ecological processes that support sustainable food production systems through international technical cooperation. StewardFish is consistent with SIDS initiatives as detailed below.

UN Member States have called for "improved and additional measures to more effectively address the unique and particular vulnerabilities and development needs" of SIDS at recent high level fora such as the Third International Conference on SIDS (Sep 2014), the FAO Conference High Level Event on FAO and SIDS (June 2015), the Milan Inter-Ministerial Meeting on SIDS at the margins of the Expo (Oct 2015), and importantly at COP21 of the UNFCCC.

At the 2014 SIDS Conference, Heads of State and high-level representatives reaffirmed commitment to the sustainable development of SIDS. They agreed that this can be achieved only with a broad alliance of people, governments, civil society, academia and the private sector all working together to achieve the future we want for present and future generations.

In the August 2013 interregional meeting in Bridgetown to prepare for the SIDS Conference, FAO was invited to facilitate a meeting to develop an action programme on food and nutrition security in SIDS. As part of this process, FAO convened regional consultations for the SIDS of the Atlantic and Indian Ocean, Mediterranean and south China sea (AIMS) during the 29th session of the FAO Regional Conference for Africa on 4 – 8 April 2016 in Abidjan, Côte d'Ivoire; for Caribbean SIDS in the margins of the 34th session of the FAO Regional Conference for Latin America and the Caribbean in Mexico City, Mexico from 29 February to 3 March, 2016, and the Asia and Pacific SIDS, during the 33rd FAO Regional Conference for Asia and the Pacific, Putrajaya, Malaysia, 9 March 2016.

The Global Action Programme on Food Security and Nutrition in SIDS responds to the call of the global community to provide a framework for implementation of strategic and accelerated action at all levels. It is intended as a concrete, tangible contribution to the 2030 Agenda for Sustainable Development and is fully aligned with its implementation. It is explicitly linked to other international efforts including the Sendai Framework.

SECTION 2 – FEASIBILITY

2.1 ENVIRONMENTAL IMPACT EVALUATION

Following the FAO Environmental and Social Management Guidelines (ESMG) the proposed project is low risk in the FAO environmental and social impact categorization and mitigation system. Given that its main intention is to address capacity development, ecosystem stewardship and livelihoods the project will not produce any negative environmental or social impacts and therefore there is no need for an Environmental and Social Impact Assessment or Analysis.

2.2 RISK MANAGEMENT

2.2.1 Risks and mitigation measures

Risks were identified and analyzed and mitigation measures have been incorporated into its design (see the Risk Matrix in Appendix 4). The appendix also contains the Project Environmental and Social (E&S) Screening Checklist and the Risk Classification Certification Form.

The Regional Project Steering Committee (RPSC) under the supervision and assistance of FAO will be responsible for the management of such risks as well as the effective implementation of mitigation measures. The established Participatory Monitoring and Evaluation (PM&E) System will serve to monitor performance indicators and outputs, project risks and mitigation measures. The RPSC will also be responsible for monitoring the effectiveness of mitigation measures and adjusting mitigation strategies as needed, and to identify and manage any new risks that were not identified during the project's preparation, in collaboration with project partners.

The semi-annual Project Progress Reports (PPR) (see subsection 3.5.3) are the main instruments for monitoring and risk management. PPRs include a section covering the systematic monitoring of risks and mitigation actions that were identified in previous PPRs. PPRs also include a section to identify new risks or risks that have yet to be addressed, their classification and mitigation actions, as well as those responsible for the monitoring of such risks and their estimated deadlines. FAO will monitor the project's risk management closely and will follow up as needed, lending support for the adjustment and implementation of mitigation strategies. Reports on the monitoring of risks and their classification will also be part of the Annual Project Implementation Review (PIR) prepared by FAO and submitted to the GEF secretariat.

2.2.2 Analysis of fiduciary risks and mitigation measures (only for OPIM projects)

Given the nature of the project this will not be necessary.

SECTION 3 – IMPLEMENTATION AND MANAGEMENT ARRANGEMENTS

3.1 INSTITUTIONAL ARRANGEMENTS

In addition to FAO as a GEF agency, the main institutions involved in the project are the Caribbean Regional Fisheries Mechanism (CRFM), Caribbean Natural Resource Institute (CANARI), Caribbean Network of Fisherfolk Organisations (CNFO), University of the West Indies (UWI) through the Centre for Resource Management and Environmental Studies (CERMES) and the secretariat of the Western Central Atlantic Fishery Commission (WECAFC).

The national co-executing partners are the national fisheries authorities, which will work in close collaboration with the national fisherfolk organisations, as well as with other fisheries-related stakeholders, through the same national inter-sectoral consultation mechanisms as engaged under the CLME+ Project.

The project will be implemented by FAO, which will be responsible for ensuring the overall coordination of the project’s implementation, as well as coordination and collaboration with partner institutions, national fisheries authorities, fisherfolk organizations and other entities participating in the project.

The national co-executing partners will report to FAO on progress related to the StewardFish project co-financing. FAO and the co-executing partners will collaborate with the implementing agencies of other programs and projects in order to identify opportunities and mechanisms to facilitate synergies with other relevant GEF projects, as well as projects supported by other donors. This collaboration will include: (i) informal communications between GEF agencies and other partners in implementing programs and projects; and (ii) exchange of information and outreach materials between projects.

While the fisheries authorities are the national co-executing partners of the project, the ministries of environment are the GEF Operational Focal Points and responsible for the coordination of all GEF activities in their respective countries. Coordination and collaboration between the fisheries authorities and the GEF Focal Points will be ensured through the project implementation arrangements for existing GEF-funded projects in the countries.

The project will develop mechanisms for collaboration with the following initiatives:

Table 6: Regional initiatives implemented in the CRFM countries (not considered as co-financing for the StewardFish project)

Baseline initiative	Donor	Description of activities	Participating countries	Related to StewardFish component
Catalysing Implementation of the Strategic Action Programme for the Sustainable Management of shared Living Marine	GEF	Aims at supporting the implementation of this 10-year CLME+ SAP through facilitating ecosystem-based management/ecosystem	Antigua and Barbuda, Barbados, Belize, Brazil, Colombia, Costa	1,2,3,4

Resources in the Caribbean and North Brazil Shelf Large Marine Ecosystems (CLME+) (2015-2019)		approach to fisheries within the CLME region.	Rica, Dominica, Dominican Republic, Grenada, Guatemala, Guyana, Haiti, Honduras, Jamaica, Mexico, Panama, St. Kitts and Nevis, Saint Lucia, St. Vincent and the Grenadines, Suriname, Trinidad and Tobago	
Climate Change Adaptation in the Eastern Caribbean Fisheries Sector (CC4FISH) project in the Eastern Caribbean (2016-2020)	SCCF	To increase resilience and reduce vulnerability to climate change impacts in the eastern Caribbean fisheries sector, through introduction of adaptation measures in fisheries management and capacity building of fisherfolk and aquaculturists	Antigua and Barbuda, Dominica, Grenada, St. Kitts and Nevis, Saint Lucia, St. Vincent and the Grenadines, Trinidad and Tobago	1,2
Caribbean Billfish (2015-2018)	GEF/World Bank	To develop business plans for one or more long-term pilot projects aimed at sustainable management and conservation of billfish within the Western Central Atlantic Ocean. It seeks to contribute to regional capacity building, information sharing systems and management and conservation planning for billfish	All WECAFC member countries	1,2,3
Sustainable management of bycatch in Latin America and Caribbean trawl fisheries (REBYC-II LAC) (2015-2020)	GEF	To reduce the negative ecosystem impact and achieve more sustainable shrimp/bottom trawl fisheries in the Latin American and Caribbean (LAC) region through	Brazil, Colombia, Costa Rica, Mexico, Suriname, Trinidad & Tobago	2,3

		implementation of an ecosystem approach to fisheries (EAF), including bycatch and habitat impact management.	(Note that although no StewardFish countries directly benefit, Guyana is a strong indirect beneficiary)	
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3.2 IMPLEMENTATION ARRANGEMENTS

FAO will be the GEF agency responsible for supervision and provision of technical guidance during project implementation. As requested by the seven participating countries during project preparation, FAO will also be responsible for the financial execution and operation of the project. The project’s main technical and coordination partners will be UWI, CRFM, CANARI, CNFO, and national co-executing partners, in close collaboration with WECAFC and other project partners including private sector fisheries associations and resource users. A Regional Project Steering Committee (RPSC) will be set up to supervise and support the coordination of project implementation. In addition, fisherfolk organization–fisheries authority working groups in each country will supervise and coordinate the implementation of national project activities with the head of the fisheries authority as the National Project Director (NPD). The institutional set up for project implementation is illustrated in Figure 15, and a detailed description of roles and responsibilities follows below.

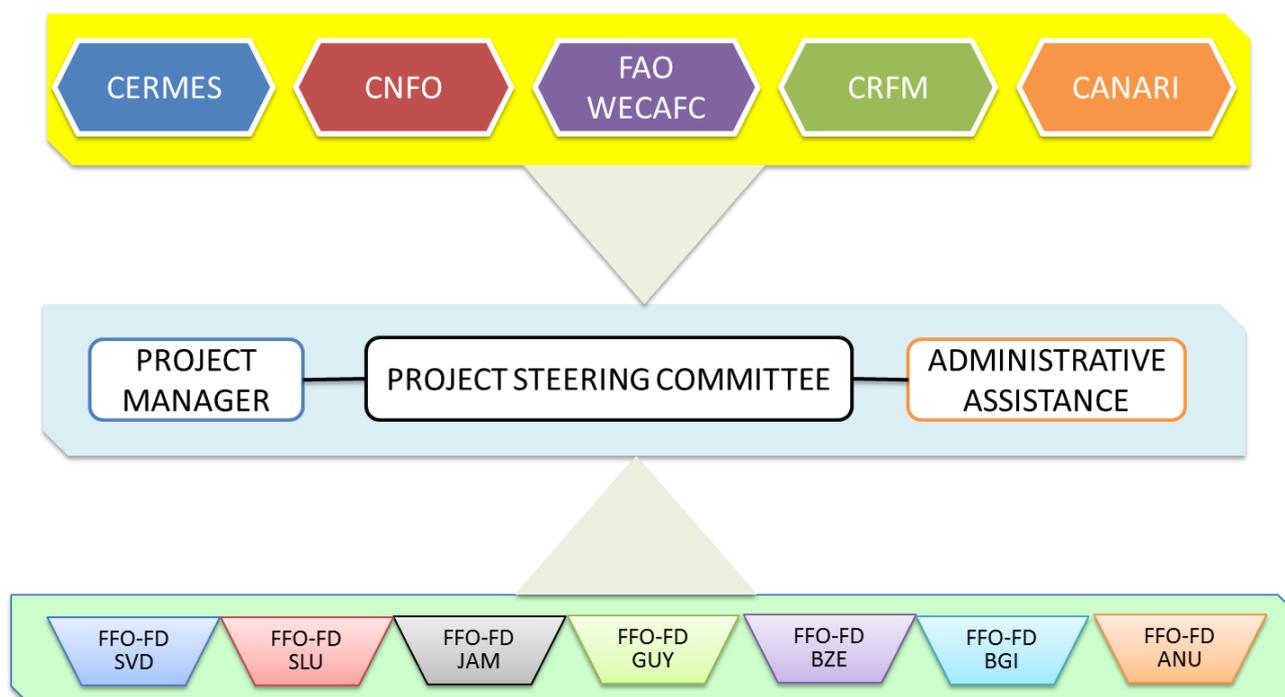


Figure 15: Project Implementation Structure highlighting fisherfolk organization–fisheries division (FFO-FD) collaboration in national activities with the regional implementing partners

3.2.2 FAO’s roles and responsibilities

FAO's role in the project governance structure

As financial and operational executing agency, FAO will provide procurement services and financial management services for GEF resources. As the GEF Agency, FAO will supervise and provide technical guidance for the overall implementation of the project in collaboration with the RPSC that will comprise CERMES, CNFO, CANARI and CRFM. As the GEF agency for the project, FAO will:

- Administer funds from GEF in accordance with the rules and procedures of FAO, and the agreement between FAO and the GEF Trustee;
- Oversee project implementation in accordance with the project document, work plans, budgets, agreements with co-financiers and the rules and procedures of FAO;
- Provide technical guidance to ensure that appropriate technical quality is applied to all activities concerned;
- Conduct at least one supervision mission per year; and
- Report to the GEF Secretariat and Evaluation Office, through the annual Project Implementation Review, on project progress and provide financial reports to the GEF Trustee.

At the request of the seven Governments, FAO will also be executing agency of GEF resources, including financial management, procurement of goods and contracting of services, according to FAO rules and procedures. FAO will provide with semi-annual reports to the RPSC, including a financial statement of project expenditures.

In accordance with the present Project Document and the Annual Work Plan and Budget(s) (AWP/B) that will be yearly reviewed and approved by the RPSC, FAO will prepare budget revisions to maintain the budget updated in the financial management system of FAO and will provide this information to the RPSC to facilitate the planning and implementation of project activities. In collaboration with the Project Coordination Unit (PCU) which includes a regional project coordinator (RPC), Lead technical Officer (LTO), various part-time consultants and an administrative assistant, FAO will support the planning, contracting and procurement processes. FAO will process due payments for delivery of goods, services and products upon request of the PCU and based on the AWP/B and general Procurement Plans that will be annually approved by the RPSC.

FAO's roles in internal organization

The roles and responsibilities of FAO staff are regulated by the *FAO Guide to the Project Cycle, Quality for Results, 2015*, Annex 4: Roles and Responsibilities of the Project Task Force Members, and its updates.

The FAO Subregional Coordinator for the Caribbean, or whoever he/she delegates, will be the **Budget Holder** (BH) and will be responsible for the management of GEF resources. As a first step in the implementation of the project, the BH of the FAO Subregional Office for the Caribbean (FAO-SLC) will establish an interdisciplinary Project Task Force (PTF) within FAO, to guide the implementation of the project.

The PTF is a management and consultative body that integrate the necessary technical qualifications from the FAO relevant units to support the project. The PTM is composed of a BH, a Lead Technical Officer (LTO)/the FAO WECAFC Secretary, the Funding Liaison Officer (FLO) and one or more technical officers based in FAO Headquarters (HQ Technical Officer) and in the Latin American and Caribbean region.

In consultation with the LTO, the FAO-SLC BH will be responsible for timely operational, administrative and financial management of the GEF project resources, including in particular: (1) the acquisition of goods and contracting of services for the activities of the project, according to FAO's rules and procedures, in accordance with the approved AWP/B; (2) process the payments corresponding to delivery of goods, services and technical products in consultation with the RPSC; (3) provide six-monthly financial reports including a statement of project expenditures to the RPSC; and (4) at least once a year, or more frequently if required, prepare budget revisions for submission to the FAO-GEF Coordination Unit through the Field Programme Management Information System (FPMIS) of FAO.

The FAO-SLC BH, in accordance with the PTF, will give its non-objection to the AWP/Bs submitted by the PCU as well as the Project Progress Reports (PPRs). PPRs may be commented by the PTF and should be approved by the LTO before being uploaded by the FLO to FAO FPMIS.

The **Lead Technical Officer (LTO)** for the project will be the Fisheries and Aquaculture Officer in the FAO Subregional Office for the Caribbean (FAO-SLC)/WECAFC Secretary. The role of the LTO is central to FAO's comparative advantage for projects. The LTO will oversee and carry out technical backstopping to the project implementation. The LTO will support the BH in the implementation and monitoring of the AWP/Bs, including work plan and budget revisions. The LTO is responsible and accountable for providing or obtaining technical clearance of technical inputs and services procured by the Organization.

In addition, the LTO will provide technical backstopping to the PTF to ensure the delivery of quality technical outputs. The LTO will coordinate the provision of appropriate technical support from the PTF to respond to requests from the RPSC. The LTO will be responsible for:

- Review and give no-objection to TORs for consultancies and contracts to be performed under the project, and to CVs and technical proposals short-listed by the PCU for key project positions, goods, minor works, and services to be financed by GEF resources;
- Supported by the FAO-SLC BH, review and clear final technical products delivered by consultants and contract holders financed by GEF resources before the final payment can be processed;
- Assist with review and provision of technical comments to draft technical products/reports during project execution;
- Review and approve project progress reports submitted by the Regional Project Coordinator (RPC), in cooperation with the BH;
- Support the FAO-SLC BH in examining, reviewing and giving no-objection to AWP/B submitted by the RPC, for their approval by the Project Steering Committee;

- Ensure the technical quality of the six-monthly PPRs. The PPRs will be prepared by the RPC, with inputs from the PCU. The BH will submit the PPR to the FAO/GEF Coordination Unit for comments, and the LTO for technical clearance. The PPRs will be submitted to the RPSC for approval twice a year. The FLO will upload the approved PPR to FPMIS.
- Supervise the preparation and ensure the technical quality of the annual PIR. The PIR will be drafted by the RPC, with inputs from the PCU. The PIR will be submitted to the BH and the FAO-GEF Coordination Unit for approval and finalization. The FAO/GEF Coordination Unit will submit the PIRs to the GEF Secretariat and the GEF Evaluation Office, as part of the Annual Monitoring Review report of the FAO-GEF portfolio. The LTO must ensure that the RPC and the PCU have provided information on the co-financing provided during the year for inclusion in the PIR;
- Conduct annual (or as needed) supervision missions;
- Review the TORs for the mid-term review, participate in the mid-term workshop with all key project stakeholders, development of an eventual agreed adjustment plan in project execution approach, and supervise its implementation; and
- Provide feedback to the TORs for the final evaluation and further background material for the conduct of that evaluation, including evidence on results achieved; participate in the mission including the final workshop with all key project stakeholders, development and follow-up to recommendations on how to insure sustainability of project outputs and results after the end of the project.

The **HQ Technical Officer** is a member of the PTF, as a mandatory requirement of the FAO Guide to the Project Cycle. The HQ Technical Officer has most relevant technical expertise - within FAO technical departments - related to the thematic of the project. The HQ Technical Officer will provide effective functional advice to the LTO to ensure adherence to FAO corporate technical standards during project implementation, in particular:

- Supports the LTO in monitoring and reporting on implementation of environmental and social commitment plans for moderate projects. In this project, the HQ officer will support the LTO in monitoring and reporting the identified risks and mitigation measures in close coordination with the project partners.
- Provides technical backstopping for the project work plan.
- Clears technical reports, contributes to and oversees the quality of Project Progress Report(s) (PPRs – see Section 3.5).
- May be requested to support the LTO and PTF for implementation and monitoring.

The FAO-GEF Coordination Unit will act as **Funding Liaison Officer (FLO)**. The FAO/GEF Coordination Unit will review the PPRs and financial reports, and will review and approve budget revisions based on the approved Project Budget and AWP/Bs. This FAO/GEF Coordination Unit will review and provide a rating in the annual PIR(s) and will undertake supervision missions as necessary. The PIRs will be included in the FAO GEF Annual Monitoring

Review submitted to GEF by the FAO GEF Coordination Unit. The FAO GEF Coordination Unit may also participate in the mid-term review and final evaluation, and in the development of corrective actions in the project implementation strategy if needed to mitigate eventual risks affecting the timely and effective implementation of the project. The FAO GEF Coordination Unit will in collaboration with the FAO Finance Division request transfer of project funds from the GEF Trustee based on six-monthly projections of funds needed.

The FAO Finance Division will provide annual Financial Reports to the GEF Trustee and, in collaboration with the FAO-GEF Coordination Unit, request project funds on a six-monthly basis to the GEF Trustee.

3.2.3 Decision-making mechanisms of the project

The Regional Project Steering Committee (RPSC): brings together FAO officers responsible for implementing StewardFish project, officers of the project partnership (UWI-CERMES, CANARI, CRFM and CNFO), national fisheries authorities and national fisherfolk organizations (Figure 15).

The RPSC main functions are: i) monitor and support the Regional Project Coordinator for the successful implementation of the project's four components; ii) coordinate and manage, through institutional means, the contribution in kind and/or in cash agreed by each participating institution of the project, as well as other funding sources in keeping with project objectives; iii) review and agree on the project's strategy and methodology as submitted by the project manager, as well as changes and modifications as a result of its application in the field; iv) convene and organize meetings with the various participants in the project.

RPSC Responsibilities: To endorse work plans, annual budgets, and progress reports made by the FAO with the assistance of the project partnership and manager.

3.3 PLANNING AND FINANCIAL MANAGEMENT

The total cost of the project will be USD 8,889,484, of which USD 1,776,484 will be financed with a grant from the GEF and USD 7,113,000 will be co-financed by the beneficiary countries – Antigua and Barbuda, Barbados, Belize, Jamaica, Guyana, Saint Lucia, St. Vincent and the Grenadines, and implementing partners FAO, UWI-CERMES, CANARI, CRFM Secretariat and CNFO.

3.3.1 Financial plan (by components, outcome and co-financiers)

Table 7 presents the cost per component, outputs and source of funding and Table 8 shows the sources and types of confirmed co-financing. FAO, as a GEF agency, will be responsible only for the execution of GEF resources and FAO co-financing. Co-financing is detailed in Table 8.

Table 7: Financial plan (by components, outcome and co-financier)



Table 8: Confirmed sources of co-financing

Sources of co-financing	Co-financier	Type of co-financing	Amount of co-financing (\$)
Governmental	Antigua and Barbuda	In kind	500,000
Governmental	Barbados	In kind	425,000
Governmental	Barbados	Cash	75,000
Governmental	Belize	In kind	1,800,000
Governmental	Guyana	In kind	870,000
Governmental	Jamaica	In kind	200,000
Governmental	Saint Lucia	In kind	322,400
Governmental	Saint Lucia	Cash	120,600
Governmental	St. Vincent and the Grenadines	In kind	500,000
Inter-governmental	CRFM Secretariat	In kind	150,000
Non-governmental	CANARI	In kind	300,000
Non-governmental	CNFO	In kind	1,000,000
Non-governmental	UWI-CERMES	In kind	350,000
Inter-governmental	FAO-WECAFC	In kind	300,000
Inter-governmental	FAO-WECAFC	Cash	200,000
Total Co-financing			7,113,000

3.3.2 GEF Contribution

GEF contributions will be distributed in the four components, focusing on: i) hiring full time and part-time consultants (including also the RPC) that will form part of the StewardFish PCU; ii) transfers of resources that will be made to the national co-executing partners in each country (Letter of Agreement with FAO) so they can ensure support for national implementation; iii) training and, in particular, the activities aimed at resource users and; iv) activities related to project monitoring and evaluation.

3.3.3 Government Contribution

See details in the Financial Plan (Table 7). Co-financing to technical components (in Table 8) is through in-kind contributions stemming primarily from the regular work programme of the national fisheries authorities in the seven countries. This includes critical support in providing suitable meeting and training venues; continuing technical assistance to fisherfolk organizations; use of the skills and experience of fisheries officers in delivering the practical small pilot projects; supporting the operations and other participants of national inter-sectoral committees used for participatory monitoring and evaluation. In the StewardFish project, the

cooperatives divisions, community development divisions, gender units, poverty units and training divisions of government will also play important roles ranging from participation in delivery to advice based on prior experience.

3.3.4 FAO Contribution

FAO will provide in-kind contributions and technical assistance and advice to complement the four components. FAO contributions will also include office space and related services for project staff (a capacity development consultant and fisheries technical expert) for the three-year duration of the project.

3.3.5 Inputs from other co-financiers

The Caribbean agencies that comprise the project partnership and will render technical advice will also contribute co-finance. Their in-kind contributions to complement the GEF contribution are set out in Table 8 and are made in the context of their normal programmes of work and mandates. Although all will participate in all components there will be lead agencies for various elements of the results framework. The main areas of focus are described below.

CRFM Secretariat: As the inter-governmental partner, the CRFM Secretariat will contribute to activities that facilitate fisheries-related state agency support to fishing industry stewardship (Outcome 1.2) and will provide technical guidance and capacity building under Component 2 to demonstrate comprehensive fisheries management plans and inter-sectoral coordination using EAF, which is a central theme in the CCCFP that they promote.

CANARI: As the main NGO in the partnership, CANARI will contribute to much of Component 3 given its experience with livelihood initiatives, as well as the mentorship aspects of Component 2 (Outcome 2.1) since it also currently included mentorship in its fisherfolk projects. CANARI will add invaluable skills and experience to the design and delivery of capacity development and civil society engagement as it is doing in the CLME+ Project.

UWI-CERMES: As the applied academic partner with a strong inter-disciplinary capacity for science and outreach, UWI-CERMES will contribute to the science-based aspects of all activities, the capacity development design and delivery, and the participatory monitoring and evaluation. Its Gender in Fisheries Team will include StewardFish gender mainstreaming.

CNFO: As the partner and beneficiary with intimate connection to the fisherfolk, the CNFO will contribute resources to mobilising appropriate participants for all activities. Their input into the design and delivery of modes of capacity development will be invaluable, especially in Component 1. Component 4 cannot succeed without their contribution. The high opportunity cost of CNFO results from members re-allocating time from short-term income earning in the fishing industry to the long-term benefits of stewardship via StewardFish.

WECAFC: With its secretariat and part of its technical capacity based at the FAO Subregional Office for the Caribbean in Barbados, the WECAFC will contribute knowledge and information from the wider region, facilitate participation of project stakeholders in regional technical working groups and decision making processes of relevance to the stakeholders, and offer an

opportunity to bring the outcomes and recommendations to the regional level for wider uptake and implementation.

3.3.6 Financial management and reporting on GEF resources

Financial management and reporting in relation to the GEF resources will be carried out in accordance with FAO's rules and procedures, and in accordance with the agreement between FAO and the GEF Trustee. On the basis of the activities foreseen in the budget and the project, FAO will undertake all operations for disbursements, procurement and contracting for the total amount of GEF resources.

Financial records. FAO shall maintain a separate account in United States dollars for the Project's GEF resources showing all income and expenditures. Expenditures incurred in a currency other than United States dollars shall be converted into United States dollars at the United Nations operational rate of exchange on the date of the transaction. FAO shall administer the Project in accordance with its regulations, rules and directives.

Financial reports. The BH shall prepare six-monthly project expenditure accounts and final accounts for the project, showing amount budgeted for the year, amount expended since the beginning of the year, and separately, the un-liquidated obligations as follows:

1. Details of project expenditures on outcome-by-outcome basis, reported in line with Project Budget (Appendix 3 of this Project document), as at 30 June and 31 December each year.
2. Final accounts on completion of the Project on a component-by-component and outcome-by-outcome basis, reported in line with the Project Budget (Appendix 3 of this Project Document).
3. A final statement of account in line with FAO Oracle Project budget codes, reflecting actual final expenditures under the Project, when all obligations have been liquidated.

Financial statements: Within 30 working days of the end of each semester, the FAO-SLC BH shall submit six-monthly statements of expenditure of GEF resources, to present to the Regional Project Steering Committee. The purpose of the financial statement is to list the expenditures incurred on the project on a six monthly basis compared to the budget, so as to monitor project progress and to reconcile outstanding advances during the six-month period. The financial statement shall contain information that will serve as the basis for a periodic revision of the budget.

The BH will submit the above financial reports for review and monitoring by the LTO and the FAO GEF Coordination Unit. Financial reports for submission to the donor (GEF) will be prepared in accordance with the provisions in the GEF Financial Procedures Agreement and submitted by the FAO Finance Division.

Responsibility for cost overruns: The BH shall utilize the GEF project funds in strict compliance with the Project Budget (Appendix 3) and the approved AWP/Bs. The BH can make variations provided that the total allocated for each budgeted project component is not exceeded and

the reallocation of funds does not impact the achievement of any project outcome as per the project Results Framework (Appendix 1). At least once a year, the BH will submit a budget revision for approval of the LTO and the FAO/GEF Coordination Unit through FPMIS. Cost overruns shall be the sole responsibility of the BH.

Audit

The Project shall be subject to the internal and external auditing procedures provided for in FAO financial regulations, rules and directives and in keeping with the Financial Procedures Agreement between the GEF Trustee and FAO.

The audit regime at FAO consists of an external audit provided by the Auditor-General (or persons exercising an equivalent function) of a member nation appointed by the Governing Bodies of the Organization and reporting directly to them, and an internal audit function headed by the FAO Inspector-General who reports directly to the Director-General. This function operates as an integral part of the Organization under policies established by senior management, and furthermore has a reporting line to the governing bodies. Both functions are required under the Basic Texts of FAO which establish a framework for the terms of reference of each. Internal audits of accounts, records, bank reconciliation and asset verification take place at FAO field and liaison offices on a cyclical basis.

3.4 PROCUREMENT

FAO will procure the equipment and services foreseen in the budget (Appendix 3) and the AWP/Bs.

Careful procurement planning is necessary for securing goods, services and works in a timely manner, on a “Best Value for Money” basis, and in accordance with the Rules and Regulations of FAO. It requires analysis of needs and constraints, including forecast of the reasonable timeframe required to execute the procurement process. Procurement and delivery of inputs in technical cooperation projects follow FAO’s rules and regulations for the procurement of supplies, equipment and services (i.e. Manual Sections 502 and 507). Manual Section 502: “Procurement of Goods, Works and Services” establishes the principles and procedures that apply to procurement of all goods, works and services on behalf of the Organization, in all offices and in all locations, with the exception of the procurement actions described in Appendix A – Procurement Not Governed by Manual Section 502. Manual Section 507 establishes the principles and rules that govern the use of Letters of Agreement (LoA) by FAO for the timely acquisition of services from eligible entities in a transparent and impartial manner, taking into consideration economy and efficiency to achieve an optimum combination of expected whole life costs and benefits (“Best Value for Money”).

The FAO-SLC BH will prepare an annual general procurement plan for major items which will be the basis of requests for procurement actions during implementation. The plan will include a description of the goods, works, or services to be procured, estimated budget and source of funding, schedule of procurement activities and proposed method of procurement. In

situations where exact information is not yet available, the procurement plan should at least contain reasonable projections that will be corrected as information becomes available.

Before commencing procurement, the RPC will update the project's Procurement Plan for approval by the Regional Project Steering Committee. This plan will be reviewed during the inception workshop and will be approved by the FAO Representative in Barbados. The RPC will update the Plan every six months, or as appropriate, and submit the plan via the LTO to the FAO-SLC BH for approval.

3.5 MONITORING AND REPORTING

The monitoring and evaluation of progress in achieving the results and objectives of the project will be based on targets and indicators in the Project Results Framework (Appendix 1 and descriptions in sub-section 1.3.2). Project monitoring and the evaluation activities are estimated at USD\$81,535 (see Table 9). Monitoring and evaluation activities will follow FAO and GEF policies and guidelines for monitoring and evaluation. The monitoring and evaluation system will also facilitate learning and replication of the project's results and lessons in relation to the integrated management of natural resources.

3.5.1 Oversight and monitoring responsibilities

The monitoring and evaluation roles and responsibilities specifically described in the Monitoring and Evaluation table (see Table 9 below) will be undertaken through: (i) day-to-day monitoring and project progress supervision missions (PCU); (ii) technical monitoring of indicators (PCU as in section 3.2.2); (iii) mid-term review and final evaluation (independent consultants and FAO Evaluation Office); and (v) monitoring and supervision missions (FAO).

At the beginning of the implementation of the GEF project, the PCU will establish a system to monitor the project's progress. Participatory mechanisms and methodologies to support the monitoring and evaluation of performance indicators and outputs will be developed. During the project inception workshop (see section 3.5.3 below), the tasks of monitoring and evaluation will include: (i) presentation and explanation (if needed) of the project's Results Framework with all project stakeholders; (ii) review of monitoring and evaluation indicators and their baselines; (iii) preparation of draft clauses that will be required for inclusion in consultant contracts, to ensure compliance with the monitoring and evaluation reporting functions (if applicable); and (iv) clarification of the division of monitoring and evaluation tasks among the different stakeholders in the project. The M&E Expert (see TORs in Appendix 6) will prepare a draft monitoring and evaluation matrix that will be discussed and agreed upon by all stakeholders during the inception workshop. The **M&E matrix** will be a management tool for the RPC, and the RSPC to: i) six-monthly monitor the achievement of output indicators; ii) annually monitor the achievement of outcome indicators; iii) clearly define responsibilities and verification means; iv) select a method to process the indicators and data.

The M&E Plan will be prepared by the M&E Expert in the three first months of the PY1 and validated with the RPSC. The M&E Plan will be based on the M&E Table 9 and the M&E Matrix and will include: i) the updated results framework, with clear indicators per year; ii) updated

baseline, if needed, and selected tools for data collection (including sample definition); iii) narrative of the monitoring strategy, including roles and responsibilities for data collection and processing, reporting flows, monitoring matrix, and brief analysis of who, when and how will each indicator be measured. Responsibility of project activities may or may not coincide with data collection responsibility; iv) updated implementation arrangements, if needed; v) inclusion of the tracking tool indicators, data collection and monitoring strategy to be included in the mid-term review and final evaluation; vi) calendar of evaluation workshops, including self-evaluation techniques.

The day-to-day monitoring of the project's implementation will be the responsibility of the RPC and will be driven by the preparation and implementation of an AWP/B followed up through six-monthly PPRs. The preparation of the AWP/B and six-monthly PPRs will represent the product of a unified planning process between main project stakeholders. As tools for results-based-management (RBM), the AWP/B will identify the actions proposed for the coming project year and provide the necessary details on output and outcome targets to be achieved, and the PPRs will report on the monitoring of the implementation of actions and the achievement of output and outcome targets. Specific inputs to the AWP/B and the PPRs will be prepared based on participatory planning and progress review with all stakeholders and coordinated and facilitated through project planning and progress review workshops. These contributions will be consolidated by the RPC in the draft AWP/B and the PPRs.

An annual project progress review and planning meeting should be held with the participation of the project partners to finalize the AWP/B and the PPRs. Once finalized, the AWP/B and the PPRs will be submitted to the FAO LTO for technical clearance, and to the Regional Project Steering Committee for revision and approval. The AWP/B will be developed in a manner consistent with the Project Results Framework to ensure adequate fulfilment and monitoring of project outputs and outcomes.

Following the approval of the Project, the PY1 AWP/B will be adjusted (either reduced or expanded in time) to synchronize it with the annual reporting calendar. In subsequent years, the AWP/Bs will follow an annual preparation and reporting cycle as specified in section 3.5.3 below.

3.5.2 Indicators and sources of information

In order to monitor the outputs and outcomes of the project, including contributions to global environmental benefits, a set of indicators is set out in the Project Results Framework (Appendix 1). Given the low accuracy of currently available statistics on small-scale fisheries these indicators will be validated and refined during PY1 activities. The Project Results Framework indicators and means of verification will be applied to monitor both project performance and impact. Following FAO monitoring procedures and progress reporting formats, data collected will be sufficiently detailed that can track specific outputs and outcomes, and flag project risks early on. Output target indicators will be monitored on a six-monthly basis, and outcome target indicators will be monitored on an annual basis, if possible, or as part of the mid-term and final evaluations.

Project output and outcome indicators have been designed to empower fisherfolk throughout fisheries value chains to engage in resource management, decision-making processes and sustainable livelihoods with strengthened institutional support at all levels.

Indicators of capacity building processes will address:

Outcome 1.1 Fisherfolk have improved their organizational capacity to meet objectives that enhance well-being

Number of NFOs that participate in leadership capacity development
Number of participating NFO that report positive change due to training

Outcome 1.2 Fisheries-related state agencies have capacity to support fishing industry stewardship

Number of fisheries-related state agencies that participate in FFO support capacity development activities

Number of participating fisheries-related state agencies that report positive change due to FFO support capacity development activities

Outcome 2.1 Increased participatory Ecosystem Approach to Fisheries (EAF) application with focus on healthier habitats and pollution reduction

Number of FFO leaders who engage in stewardship activities

Number of FFO leaders who report positive change due to engagement

Outcome 3.1 Livelihoods throughout fisheries value chains balance development with conservation for food and nutrition security

Number of FFO leaders who engage in livelihood enhancement activities

Number of FFO leaders who report positive change due to engagement

Outcome 4.1 Good governance and learning for adaptation institutionalized among fisherfolk organisations

Number of NFO participating in PM&E arrangements

Number of NFO leaders who report learning due to engagement

The main sources of information to support the M&E plan include: i) participatory project monitoring systems; ii) participatory workshops to review progress with stakeholders and beneficiaries; iii) in-situ monitoring of the implementation of project activities; iv) progress reports prepared by the RPC with input from the CRFM, UWI, CANARI, CNFO, FAO project specialists and other stakeholders; v) consultancy reports; vi) training reports; vii) mid-term review and final evaluation; viii) financial reports and budget reviews; ix) PIRs prepared by the FAO LTO with the support of the FAO-SLC BH; and x) FAO-supervised mission reports.

3.5.3 Reporting schedule

Specific reports that will be prepared under the monitoring and evaluation program are: (i) Project inception report; (ii) Annual Work Plan and Budget (AWP/B); (iii) Project Progress Reports (PPRs); (iv) Annual Project Implementation Review (PIR); (v) Technical reports; (vi) Co-financing reports; and (vii) Terminal Report. In addition, the GEF³⁷ tracking tool for land degradation will be completed and will be used to compare progress with the baseline established during the preparation of the project.

Project Inception Report. After FAO internal approval of the project an inception workshop will be held. Immediately after the workshop, the RPC will prepare a project inception report in consultation with the FAO-SLC BH and other project partners. The report will include a narrative on the institutional roles and responsibilities and coordinating action of project partners, progress to date on project establishment and start-up activities and an update of any changed external conditions that may affect project implementation. It will also include a detailed first year AWP/B and the M&E Matrix (see above). The draft inception report will be circulated to FAO and the RPSC for review and comments before its finalization, no later than three months after project start-up. The report will be cleared by the FAO BH, LTO and the FAO/GEF Coordination Unit. The BH will upload it in FPMIS.

Annual Work Plan and Budget(s) (AWP/Bs). The RPC will present a draft AWP/B to the RPSC no later than 10 December of each year. The AWP/B should include detailed activities to be implemented by project outcomes and outputs and divided into monthly timeframes and targets and milestone dates for output and outcome indicators to be achieved during the year. A detailed project budget for the activities to be implemented during the year should also be included together with all monitoring and supervision activities required during the year. The FAO-SLC BH will circulate the draft AWP/B to the FAO Project Task Force and will consolidate and submit FAO comments. The AWP/B will be reviewed by the RPSC and the PCU will incorporate any comments. The final AWP/B will be sent to the RPSC for approval and to FAO for final no-objection. The BH will upload the AWP/Bs in FPMIS.

Project Progress Reports (PPR). The PPRs are used to identify constraints, problems or bottlenecks that impede timely implementation and take appropriate remedial action. PPRs will be prepared based on the systematic monitoring of output and outcome indicators identified in the Project Results Framework (Appendix 1), AWP/B and M&E Plan. Each semester the National Project Coordinator (RPC) will prepare a draft PPR, and will collect and consolidate any comments from the FAO PTF. The RPC will submit the final PPRs to the FAO Representative in Barbados every six months, prior to 10 June (covering the period between January and June) and before 10 December (covering the period between July and December). The July-December report should be accompanied by the updated AWP/B for the following Project Year (PY) for review and no-objection by the FAO PTF. The Budget Holder has the responsibility to coordinate the preparation and finalization of the PPR, in consultation with

³⁷ GEF LD Tracking Tool.

the PMU, LTO and the FLO. After LTO, BH and FLO clearance, the FLO will ensure that project progress reports are uploaded in FPMIS in a timely manner.

Annual Project Implementation Review (PIR). The RPC, under the supervision of the LTO and BH and in coordination with the national project partners, will prepare a draft annual PIR report³⁸ covering the period July (the previous year) through June (current year) no later than July 1st every year. The LTO will finalize the PIR and will submit it to the FAO-GEF Coordination Unit for review by July 10th. The FAO-GEF Coordination Unit, the LTO, and the BH will discuss the PIR and the ratings³⁹. The LTO is responsible for conducting the final review and providing the technical clearance to the PIR(s). The LTO will submit the final version of the PIR to the FAO-GEF Coordination Unit for final approval. The FAO-GEF Coordination Unit will then submit the PIR(s) to the GEF Secretariat and the GEF Independent Evaluation Office as part of the Annual Monitoring Review of the FAO-GEF portfolio. The PIR will be uploaded to FPMIS by the FAO-GEF Coordination Unit.

Technical reports. The technical reports will be prepared as part of the project outputs and will document and disseminate lessons learned. Drafts of all technical reports must be submitted by the Project Coordinator to the RPSC and FAO-SLC BH, which in turn will be shared with the LTO for review and approval and to the FAO-GEF Coordination Unit for information and comments before finalization and publication. Copies of the technical reports will be distributed to the RPSC and other project stakeholders, as appropriate. These reports will be uploaded in FAO FPMIS by the BH.

Co-financing reports. The RPC will be responsible for collecting the required information and reporting on in-kind and cash co-financing provided by all the project cofinanciers and eventual other new partners not foreseen in the Project Document. Every year, the RPC will submit the report to the FAO-SLC BH before July 10th covering the period July (the previous year) through June (current year). This information will be used in the PIRs.

Final Report. Within two months prior to the project's completion date, the Project Coordinator will submit to the RPSC and FAO-SLC BH a draft final report. The main purpose of the final report is to give guidance to authorities (ministerial or senior government level) on the policy decisions required for the follow-up of the Project, and to provide the donor with information on how the funds were utilized. Therefore, the terminal report is a concise account of the main **products, results, conclusions and recommendations** of the Project, without unnecessary background, narrative or technical details. The target readership consists of persons who are not necessarily technical specialists but who need to understand the policy implications of technical findings and needs for ensuring sustainability of project results. Work is assessed, lessons learned are summarized, and recommendations are expressed in terms of their application to the CRFM and WECAFC member countries in the context of the Strategic Action Plan (SAP) at national and local levels. This report will specifically include the findings of the final evaluation as described in section 3.6 below. A project evaluation meeting will be

³⁸ Prior to the preparation of the PIR report, the FAO-GEF Coordination Unit will provide the updated format as every year some new requirements may come from the GEF.

³⁹ The RPC, the BH, the LTO and the FAO/GEF Coordination Unit should assign ratings to the PIR every year. The ratings can or cannot coincide among the project managers.

held to discuss the draft final report with the RPSC before completion by the RPC and approval by the BH, LTO, and FAO-GEF Coordination Unit.

3.5.4 Monitoring and Evaluation summary

Table 9 summarizes the main monitoring and evaluation reports, parties responsible for their publication and time frames.

Table 9: Summary of main monitoring and evaluation activities

M&E Activity	Responsible parties	Time frame/	Budget
		Periodicity	
Inception workshop (Online meeting)	RPC; FAO SLC (with support from the LTO, and FAO-GEF Coordination Unit)	Within two months of project start up	-
Project Inception report	RPC, M&E Expert and FAO SLC with clearance by the LTO, BH and FAO-GEF Coordination Unit	Immediately after the workshop	-
Field-based impact monitoring	RPC; project partnership, national and local fisheries-related organizations	Continuous	USD 8,000 (4.23% of the RPC's time, technical workshops to identify indicators, monitoring and evaluation workshops)
Supervision visits and rating of progress in PPRs and PIRs	RPC; FAO (FAO-SLC, LTO). FAO-GEF Coordination Unit may participate in the visits if needed.	Annual, or as needed	FAO visits will be borne by GEF agency fees
			Regional Project Coordination visits shall be borne by the project's travel budget
Project Progress Reports (PPRs)	RPC, with stakeholder contributions and other participating institutions	Six-monthly	USD 3,100 (1.64% of the RPC's time)

Project Implementation Review (PIR)	Drafted by the RPC, with the supervision of the LTO and BH. Approved and submitted to GEF by the FAO-GEF Coordination Unit	Annual	FAO staff time financed through GEF agency fees.
			RPSC time covered by the project budget.
Co-financing reports	RPC with input from other co-financiers	Annual	USD 3885 (2.06% of the Coordinator's time)
Technical reports	RPC, FAO (LTO, FAO SLC)	As needed	
Mid-term review	FAO SLC, External consultant, in consultation with the project team, including the FAO-GEF Coordination Unit and others	Midway through the project implementation period	USD 25,000 by an external consultancy
Final evaluation	External consultant, FAO Independent Evaluation Office in consultation with the project team, including the FAO-GEF Coordination Unit and others	At the end of the project	USD 80,000 by an external consultancy. GEF agency fees will finance FAO staff time and travel costs.

Terminal Report	RPC; FAO (FAO SLC, LTO, FAO-GEF Coordination Unit, TCS Reporting Unit)	Two months prior to the end of the project.	USD 6,550
Total budget			USD 126,535

3.6 EVALUATION PROVISIONS

At the end of the first 18 months of the project, the BH will arrange a **Mid-Term Review (MTR)** in consultation with the RPSC, the PCU, the LTO and the FAO-GEF Coordination Unit. The MTR will be conducted to review progress and effectiveness of implementation in terms of achieving project objective, outcomes and outputs. The MTR will allow mid-course corrective actions, if needed. The MTR will provide a systematic analysis of the information provided under the M&E Plan (see above) with emphasis on the progress in the achievement of expected outcome and output targets against budget expenditures. The MTR will refer to the Project Budget (see Appendix 3) and the approved AWP/Bs for PY1 and PY2. The MTR will contribute to highlight replicable good practices and main problems faced during project implementation and will suggest mitigation actions to be discussed by the RPSC, the LTO and FAO-GEF Coordination Unit.

An independent Final Evaluation (FE) will be carried out three months prior to the terminal report meeting. The FE will aim to identify the project impacts, sustainability of project outcomes and the degree of achievement of long-term results. The FE will also have the purpose of indicating future actions needed to expand on the existing Project in subsequent phases, mainstream and up-scale its products and practices, and disseminate information to management authorities and institutions with responsibilities in food security, conservation and sustainable use of natural resources, small-scale farmer agricultural production and ecosystem conservation to assure continuity of the processes initiated by the Project. Both the MTR and FE will pay special attention to outcome indicators and will be aligned with the GEF Tracking tool (IW focal area). FAO Office of Evaluation, OED is responsible for carrying out the Project Final Evaluation.

3.7 COMMUNICATION AND VISIBILITY

The high visibility of the project will require the implementation of mechanisms to ensure that the project message is effectively communicated.

Activities to develop organizational capacity for fisheries governance as highlighted in Component 1, will have high visibility at the local, national and regional levels among fishing industry organizations and fisheries-related state agencies that will be involved in the project during the planning, implementation, and monitoring phases. The formal communication networks and social media of CERMES, CRFM and CNFO will be used. Assessments of state

agency implementation gaps and needs and capacity development activities will help to give visibility to the project, and workshops and training materials will be used to transmit knowledge and awareness to project beneficiaries regarding the policy-linked key message for this component: “The development of human and organizational capacity of fisheries-related state agencies at all levels to support fishing industry institutional strengthening and stewardship”. Collaborative activities will be communicated via local news and social media. The gender focus will help improve communication within the project as the Caribbean project partnership has already established a Gender in Fisheries Team (GIFT) that has an international communication mechanism. National Project Committee meetings will support the training and awareness of the participants, and will disseminate information regarding project activities especially within national inter-sectoral consultative mechanisms. Training materials and other information will support the communication of key messages in this component of the project, including among others, environmental governance, development of organizational culture, sustainable financing and women’s empowerment.

In Component 2 the Project will promote the ecosystem approach to fisheries (EAF) towards the enhancement of healthy habitats and reduced pollution in a participatory way. Visibility will be high as fisherfolk will be engaged in activities related to coastal and marine management at local level marine protected areas and at multiple levels for fisheries management planning. In eastern Caribbean countries this will be highly integrated with CC4FISH and for all other countries with CLME+ Project activities. The CRFM Caribbean Fisheries Forum and Ministerial Council meetings provide critical channels that allow the outputs from this component to reach wider policy adviser and policy maker audiences. Public awareness and education via existing social media, such as the Facebook pages of fisherfolk organisations, will be used to change knowledge, attitudes and practice on EAF, SSF guidelines and other matters

Component 3 seeks to promote sustainable livelihoods through responsible tools, techniques and practices that balance development with conservation for food and nutrition security. High visibility will be produced through the interactions with stakeholders in the fisheries value chain as well as the financial service schemes, food service procurement processes. Given the increasing attention to livelihoods by other initiatives in the region the sharing of outputs is expected to reach a wide range of international, regional and national NGOs and CSOs. Web site downloads, email blasts, topic-relevant listservs, social media and other push mechanisms are effective for reaching these audiences.

Component 4 will support communication through the design and implementation of participatory monitoring and evaluation that incorporates a learning network of and for fisherfolk organisations. This component seeks to contribute to organizational cultures of good governance. Through monitoring and evaluation visibility will be high. Here again the role of the national inter-sectoral consultative mechanisms, CRFM Caribbean Fisheries Forum and Ministerial Council meetings with which these processes will be integrated will be critical for information sharing both nationally and regionally. The existing communication networks and social media of CERMES, CRFM and CNFO will also be used.

SECTION 4 – SUSTAINABILITY OF RESULTS

The project has been designed to overcome the barriers identified and to develop adequate capacity for the implementation of collaborative ecosystem stewardship and hence sustainable fisheries resources and livelihoods characterized by learning and adaptation among fisherfolk organizations and fisheries authorities. It is expected that by PY 3 of the project, institutions, organizations and stakeholders will be able to give continuity to the activities undertaken by the project. Features that facilitate sustainability in social, environmental, economic, and capacity-building dimensions are described below.

4.1 SOCIAL SUSTAINABILITY

Social sustainability of project outputs and outcomes will be achieved through integrated collaborative, participatory approaches that take into account the dynamics of social-ecological systems. Interventions utilise learning-by-doing methodologies that have been proven in previous and ongoing projects involving the project partners. The implementation of the project will include defining factors that ensure social sustainability:

- **Self-organization in institutional arrangements** is critically important for resilience in social-ecological systems such as SSF and to underpin capacity development (see 4.4) for sustainability. The project utilizes, adapts or strengthens (as appropriate) existing institutional arrangements that the fisheries stakeholders have been instrumental in developing. This approach facilitates self-organization and the reduction of external inputs to sustain the arrangements after the project finishes. Examples include forming a leadership institute, using national inter-sectoral consultative mechanisms such as the Fisheries Advisory Committee (FAC) for participatory monitoring and evaluation, building upon existing co-management arrangements, etc.
- **Gender equality and gender mainstreaming** are prominent features in all of the project components, with specific encouragement and facilitation of women to participate in all of the activities. For example:
 - Leadership institute (increase of women trained, on boards of directors, hold key posts)
 - Policy influence (increase of women leaders engaged in advocacy, followed by media)
 - Stewardship (increase of women leading responsible fishery action mainly post-harvest)
 - Technology (increase in women participating in information and communication technology (ICT) use tests and ICT standard setting)
 - Livelihoods (diversification of livelihoods that women report as preferable in fisheries)
 - Food security and nutrition (increase in recognition of women’s roles along value chain)

Women are expected to constitute at least 30% of the overall project engagement, with higher percentages up to 90% for post-harvest activities. However, in some cases it is men who are at a disadvantage and require assistance (e.g. basic formal education for unemployed young men). The project will not only focus upon empowering women. In this respect it is intended to articulate with the CC4FISH, CLME+ and other

projects that provide foundations for EAF in comprehensive fisheries management plans.

- **Food security and nutrition** is addressed throughout the project in terms of the self-organization mentioned earlier and the capacity development outlined later, but it is tackled directly in Component 3 regarding the enhancement of fisheries value chains. This incorporates getting better quality seafood to a wider cross-section of the population and those most dependent on good nutrition such as school children.
- **Ownership by fisherfolk organizations, fisheries authorities and other stakeholders** of the overall processes and outcomes of the project is addressed throughout similar to self-organization. In this case, however, more emphasis is placed upon improved formalisation such as through creation of an enabling policy environment, support for fisherfolk organizations, and utilization of EAF in approved fisheries management plans. The use of participatory approaches in these processes inspires ownership.

4.2 ENVIRONMENTAL SUSTAINABILITY

This project will enhance processes for sustainable fisheries conservation and development through management based on EAF. Consistent with the CLME+ SAP and Project this takes into account habitat degradation and pollution. The FAO Small-Scale Fisheries (SSF) Guidelines and Code of Conduct for Responsible Fisheries (CCRF) provide guiding principles for the project design and implementation with ecosystem stewardship at its core. Component 2 pays special attention to this with practical activities aimed at responsible fisheries. The project is compliant with FAO Environmental and Social Standards (ESS) low risks given its overall focus on ecosystem stewardship.

4.3 FINANCIAL AND ECONOMIC SUSTAINABILITY

The financial and economic sustainability of the project will be achieved by ensuring that for all components the activities are financially and economically viable for the parties involved, including leaders of national and regional fisherfolk organizations, national and regional fisheries agencies and partner organizations. The project design is aimed at demonstrating what can be accomplished with pooling and networking of capacity amongst partners rather than reliance on major financial inputs. The activities promoted by the project will help increase the financial and economic sustainability of fisherfolk and improve their livelihoods. The project's focus on schemes for sustainable fisheries livelihoods and best practice guidelines will tend to improve financial sustainability in the medium term through livelihoods analyses, training and identification of practical contribution to well-being.

4.4 SUSTAINABILITY OF CAPACITY DEVELOPMENT

The project will assist in building both institutional structures and capacity in various forms. Capacity building that focuses on both the fisherfolk organizations and fisheries-related state agencies is central to the sustainability of capacity development. Through the project state-related agencies will be strengthened to support fisherfolk organizations and their role in

stewardship. A participatory ecosystem approach to fisheries will allow for mentorship of fisherfolk leadership for increased and sustained capacities among fisherfolk organizations.

Through private-public partnerships (under a framework established through the CLME+ project) with existing local, national and regional organizations, government agencies, NGOs and other structures, project results are disseminated and utilized broadly. Existing institutional structures and capacity will be strengthened through these enhanced linkages and knowledge, and a broad base for continued action is created.

The sharing of information during the course of the project will ensure that a range of stakeholders, countries and partners in the region hold knowledge. Opportunities for using established channels of information exchange will be taken advantage of to ensure broad dissemination of results from the project including the websites of executing partners.

4.5 APPROPRIATENESS OF TECHNOLOGIES INTRODUCED and COST/EFFECTIVENESS

In the StewardFish project, technology and cost effectiveness are closely intertwined and best dealt with together in these SIDS. While the ecosystem approach to fisheries (EAF) is accepted, it is not yet widely practiced in the Caribbean. Therefore the project will have support from partners (CERMES, CRFM, CNFO and CANARI) with experience and knowledge of EAF to transfer this knowledge to fisherfolk and fisheries-related state agencies.

The project will be designed to be cost-effective as it is based upon baseline initiatives, existing skills, and national and local policies. Below are some cost-effective ways of removing the barriers and addressing the threats:

- The strengthening of fisherfolk will build their capacity to better participate in regional governance initiatives under CLME+.
- Capacity development based upon needs assessments and gap analyses will ensure that technology is appropriate and current.
- The priorities developed will be aligned with national and regional policies and plans.
- The training and awareness components will contribute to compliance and mainstreaming of EAF, leading to longer term benefits
- The commitment of co-financing from the national governments is based on their own assessment of cost effectiveness.
- Training in ICT will improve cost-effective communication among stakeholders in the short term and result in better decision-making in the long term.
- Sustainable livelihoods profiled under the project will take into account blue and green economy initiatives already underway that incorporate new technologies such as renewable energy and energy efficiency

4.6 INNOVATIVENESS, REPLICATION and SCALE-UP

Innovativeness

There is remarkable room for innovativeness within the StewardFish project. Capacity development will introduce fisherfolk leaders (men and women) to new systems of organization management, some of which will involve new technology and ICT. These can

potentially revolutionise their efficiency and effectiveness when coupled with improved administrative systems. This is another innovation for small CSOs and NGOs. Approaches to capacity development will also be innovative to the extent possible, minimising conventional classroom formal training in favour of more hands-on approaches.

Innovation is also evident in the stewardship, livelihood and PM&E components not in the least because fisherfolk will have the opportunity to tailor the activities and processes to their current and projected capacities rather than assume impractical capability. Building upon small successes that utilise new thinking and approaches to take larger risks is at the heart of innovation, and this is what StewardFish will seek to institutionalise in fisherfolk organizations especially. Examples include performance assessment through PM&E and social learning as a means to encourage innovative adaptation.

Replication and up-scaling

Experiences and lessons learned will be documented and shared through IW Learn to allow for up-scaling and replication beyond the region. Within the region the seven project countries will communicate with the remaining ten of the CRFM members and the additional twenty of the CLME+ project through the existing institutional structures in the region. The existence of several closely linked GEF-funded projects provides an unprecedented opportunity for networking, linkages and leverage and achieving greater economies of scale depending on the sequencing of activities.

The up-scaling potential of the StewardFish approach is high, given its complementarity and integration with national policies, plans, programmes and projects. Some of these involve the Caribbean project partnership of CRFM, CANARI, CNFO and UWI-CERMES and hence offer immediate opportunity for linkages with items in the pipeline. In addition, the FAO-SLC BH will disseminate information and share the results and lessons learned with other FAO projects in the region, and with other countries in the region with similar characteristics and problems through the FAO Subregional Office for the Caribbean, WECAFC network and the FAO Regional Office for Latin America and the Caribbean.

APPENDICES

APPENDIX 1: RESULTS FRAMEWORK

Results chain	Indicators	Baseline	Mid-term target	Final target	Means of verification	Assumptions
Objective: To support the implementation of strategies 1,2,3 and sub-strategies 1.4, 1.5, 2.7, 2.8, 3.7of the CLME+ SAP in CRFM Member States by empowering fisherfolk throughout fisheries value chains to engage in resource management, decision-making processes and sustainable livelihoods with strengthened institutional support at all levels						
Component 1: Developing organisational capacity for fisheries governance						
<u>Outcome 1.1</u> Fisherfolk have improved their organization capacity to meet objectives that enhance well-being	Number of NFO that participate in leadership capacity development Number of participating NFO that report positive change due to training	3 NFO. Currently some NFO participate in leadership development activities 3 NFO. Those that have participated have reported positive change	5 NFO 5 NFO	7 NFO 7 NFO	Consultancy report; training records; minutes of PM&E meetings; survey of participants	Sufficient detailed policy and plan level documents are available to make specific, rather than only general, links with FFO leadership requirements

Results chain	Indicators	Baseline	Mid-term target	Final target	Means of verification	Assumptions
<u>Output 1.1.1</u> Leaders with strengthened capacity in management, administration, planning sustainable finance, leadership and other operational skills	Number of FFO leaders, disaggregated by sex, that complete leadership capacity development activities	5 FFO leaders (4 men, 1 woman)	20 FFO leaders (15 men, 5 women)	40 FFO leaders (25 men, 15 women)	Consultancy report; training records	
Output 1.1.2: Information and communication technologies (ICT) used for good governance	Number of FFO that adopt ICT proficiency standards and best practices in support of good governance practices	0 FFO Never done	10 FFOs	20 FFOs	Consultancy report; goods procurement records, ICT standards	

Results chain	Indicators	Baseline	Mid-term target	Final target	Means of verification	Assumptions
Output 1.1.3: Capacity for policy engagement, and of women as leaders, is strengthened	Number of FFO leaders trained in policy engagement, disaggregated by sex	5 FFO leaders (4 men, 1 woman)	20 FFOs leaders (15 men, 5 women)	40 FFOs leaders (25 men, 15 women)	Training records	
<u>Outcome 1.2</u> Fisheries-related state agencies have capacity to support fishing industry stewardship	Number of fisheries-related state agencies that participate in FFO support capacity development activities Number of participating fisheries-related state agencies that report positive change due to FFO support capacity	3 fisheries-related state agencies. 0 fisheries-related state agencies.	5 agencies 5 agencies	7 agencies 7 agencies	intervention proposals; minutes of PM&E meetings; survey of participants	Fisheries-related state agencies buy-into the need for them to be an integral part of the change process and are willing to try out change management

Results chain	Indicators	Baseline	Mid-term target	Final target	Means of verification	Assumptions
	development activities					
Output 1.2.1: State agency implementation gaps assessed regarding support for fisherfolk organizations and their role in stewardship	Number of fisheries-related state agencies that complete the gap analyses	0 fisheries-related state agencies	5 agencies	7 agencies	Consultancy report	
Output 1.2.2: State agency prioritization capacity developed to support fisherfolk organizations and roles in stewardship	Number of fisheries-related state agencies that participate in gap filling activities	0 fisheries-related state agencies	5 agencies	7 agencies	Intervention proposals	
Component 2: Enhancing ecosystem stewardship for fisheries sustainability						

Results chain	Indicators	Baseline	Mid-term target	Final target	Means of verification	Assumptions
<u>Outcome 2.1</u> Increased participatory Ecosystem Approach to Fisheries (EAF) application with focus on healthier habitats and pollution reduction	Number of FFO leaders who engage in stewardship activities Number of FFO leaders who report positive change due to engagement	5 FFO leaders (4 men, 1 woman). 0 FFO leaders. No good data on participation rates or positive outcomes	20 FFO leaders (15 men, 5 women) for participation and change	40 FFO leaders (25 men, 15 women) for participation and change	Training records; mentoring records; minutes of PM&E meetings; survey of participants	Poverty, uncertainty in both social and ecological system components, and short term coping strategies do not overwhelm the longer term benefits to be gained from EAF
Output 2.1.1: Fisherfolk engaged in the management of marine protected areas or other coastal uses	Number of FFO leaders trained and mentored in EAF stewardship	5 FFO leaders (4 men, 1 woman)	20 FFO leaders (15 men, 5 women)	40 FFO leaders (25 men, 15 women)	Training records; mentoring records;	

Results chain	Indicators	Baseline	Mid-term target	Final target	Means of verification	Assumptions
Output 2.1.2: Fisherfolks successfully applying EAF - supported by greater general public awareness of EAF	Number of EAF interventions that are undertaken by FFO leaders	0 FFO leaders None doing this yet	10 FFO leaders (7 men, 3 women)	20 FFO leaders (15 men, 5 women)	Minutes of PM&E meetings; survey of participants	
Component 3: Securing sustainable livelihoods for food and nutrition security						
<u>Outcome 3.1</u> Livelihoods throughout fisheries value chains balance development with conservation for food and nutrition security	Number of FFO leaders who engage in livelihood enhancement activities Number of FFO leaders who report positive change due to engagement	5 FFO leaders (4 men, 1 woman) 0 Not applicable to pre-StewardFish	20 FFO leaders (15 men, 5 women) for participation and change	40 FFO leaders (25 men, 15 women) for participation and change	Training records; livelihood analysis reports; minutes of PM&E meetings; survey of participants; web site content	Global, regional and national fisheries trade and livelihoods are influenced by more than profitability considerations given that Caribbean seafood is not always competitive, or

Results chain	Indicators	Baseline	Mid-term target	Final target	Means of verification	Assumptions
						buying linked to health
Output 3.1.1: Schemes for sustainable fisheries livelihoods reviewed in order to learn from them and adapt future activities	Livelihood report with adaptation recommendations produced	0 reports	1 report	1 report	Minutes of PM&E meetings; web site content	
Output 3.1.2: Use of local fish in healthy diets promoted through public policies and private enterprises	Value chain and marketing report with recommendations produced	0 reports	1 report	1 report	Minutes of PM&E meetings; web site content	
Component 4: Project management, monitoring and evaluation, and communication						

Results chain	Indicators	Baseline	Mid-term target	Final target	Means of verification	Assumptions
<u>Outcome 4.1</u> Good governance and learning for adaptation institutionalized among fisherfolk organisations	Number of NFO participating in PM&E arrangements Number of NFO leaders who report learning due to engagement	0 NFO 0 NFO	5 NFO 5 NFO	7 NFO 7 NFO	Minutes of StewardFish Project Steering Committee; minutes of PM&E meetings;	NFO and FFO treat PM&E as a pathway towards their empowerment and benefits rather than an imposition on their time and resources
Output 4.1.1: Improved results and learning through fisherfolk participatory monitoring and evaluation	Number of PM&E meetings held	0 meetings	10 meetings. If over 1.5 years 3-4 meetings per year are held in 3-4 of the project countries	20 meetings. If same pattern in second half of project	Minutes of StewardFish Project Steering Committee; minutes of PM&E meetings;	
Output 4.1.2: Annual project participant conferences, web site outputs and best practice	Number of lessons learned outputs shared regionally and globally	0 products	2 products	5 products	Web site content	

Results chain	Indicators	Baseline	Mid-term target	Final target	Means of verification	Assumptions
guidelines for fisherfolk-centred PM&E based on learning-by-doing						
Output 4.1.3: Project Mid-Term Review and Final Evaluation		0	Mid-term Review completed and shared with partners	Final Evaluation completed and shared with partners	Report	

APPENDIX 2: WORK PLAN

Acronyms: FAO-SLC BH: FAO Budget Holder in the Subregional Office for the Caribbean; PCU: Project Coordination Unit; RPC: Regional Project Coordinator; NFO: national fisherfolk organization.

Output	Activities	Responsible	Year 1				Year 2				Year 3			
			Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Component 1: Developing organisational capacity for fisheries governance														
Output 1.1.1:	1.1.1.1: Determine the priority training needs and delivery mechanisms shared by FFO	CNFO; CERMES; CANARI; CRFM Sec; NFO; FAO; consultants	■											
	1.1.1.2: Develop practical training packages, including exchanges, to cover priorities	CNFO; CERMES; CANARI; consultants		■										
	1.1.1.3: Deliver training, network capacity builders with NFOs to form a CNFO 'leadership institute'	CNFO; CERMES; CANARI; consultants			■									
	1.1.1.4: Conduct pilot projects for FFO management documenting lessons learned for best practices	CNFO; CANARI; NFO				■	■	■						
Output 1.1.2:	1.1.2.1: Analyse NFO capacity in ICT and share exemplary best practices	CNFO; CERMES; CANARI; CRFM Sec; NFO; consultants	■											
	1.1.2.2: Provide hardware and software to NFO requiring ICT	FAO; CANARI; CNFO; NFO		■	■									

Output	Activities	Responsible	Year 1				Year 2				Year 3			
			Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
	1.1.2.3: Develop ICT best practices for NFOs, along with ICT training to meet NFO proficiency standards	CERMES; CANARI; CNFO; NFO												
Output 1.1.3:	1.1.3.1: Conduct national workshops to improve NFO engagement in fisheries policy	CNFO; CERMES; CANARI; CRFM Sec; consultants												
	1.1.3.2: Conduct gender analysis to identify the capacity gaps of men and women, especially youth, in relation to fisherfolk leadership													
	1.1.3.3: Develop and offer training on leadership for women and youth informed by gender analysis													
Output 1.2.1:	1.2.1.1 Conduct institutional analysis and organizational assessment in key fisheries-related state agencies in the country and recommend priority improvement	CERMES; CRFM Sec; WECAFC Sec; CNFO; NFO; state authorities; consultants												
Output 1.2.2:	1.2.2.1 Undertake pilot projects to address priority implementation gaps and adapt current practices	CERMES; CRFM Sec; WECAFC Sec; CNFO; NFO; state authorities												

Output	Activities	Responsible	Year 1				Year 2				Year 3			
			Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Component 2: Enhancing ecosystem stewardship for fisheries sustainability														
Output 2.1.1:	2.1.1.1 Train and mentor selected fisherfolk leaders to engage in coastal management generally	CNFO; CERMES; CANARI; CRFM Sec; NFO; consultants; mentors												
	2.1.1.2 Conduct pilot projects to support fisherfolk engagement in coastal management	CNFO; CERMES; CANARI; CRFM Sec; WECAFC Sec; NFO; mentors												
Output 2.1.2:	2.1.2.1 Train fisherfolk in specific EAF-based plans, providing gear, technology and skills to change their practices where required	CNFO; CERMES; CANARI; CRFM Sec; NFO; FAO; consultants; mentors												
	2.1.2.2 Adapt international guidelines to produce codes of conduct and ethics based on EAF for local and national FFO	CNFO; CERMES; CANARI; CRFM Sec; FAO/WECAFC Sec ; consultants;												
	2.1.2.3 Use social media and low-cost communication to increase public awareness of EAF practices	CNFO; CANARI; CRFM Sec;												

Output	Activities	Responsible	Year 1				Year 2				Year 3						
			Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4			
		NFO; consultants															
Component 3: : Securing sustainable livelihoods for food and nutrition security																	
Output 3.1.1:	3.1.1.1 Compile and analyse data and information from livelihoods and socio-economic projects in order to learn from fisherfolk perspectives	CNFO; CERMES; CANARI; CRFM Sec; NFO; consultants															
	3.1.1.2 Prepare and communicate best practices based on the results of the livelihoods projects analyses	CNFO; CERMES; CANARI; FAO; CRFM Sec; NFO; consultants															
	3.1.1.3 Create profiles for fisheries livelihoods to integrate into training for fisherfolk implementation of EAF	CNFO; CERMES; CANARI; CRFM Sec; NFO; consultants															
Output 3.1.2:	3.1.2.1 Analyse fisheries value chains and opportunities for new marketing and distribution seafood products that improve nutrition	CNFO; CERMES; CANARI; CRFM Sec; NFO; consultants															
	3.1.2.2 Examine public policy and private sector purchasing practices	CNFO; CERMES; CANARI; FAO; CRFM Sec;															

Output	Activities	Responsible	Year 1				Year 2				Year 3			
			Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
	of seafood to improve consumption and intra-regional trade	NFO; consultants												
Component 4: Project management, monitoring and evaluation, and communication														
Output 4.1.1:	4.1.1.1 Hold quarterly meeting of NICs, such as FAC, or the NFO and fisheries authority at which StewardFish review is on the agenda in each country and share the PM&E findings regionally	CNFO; CERMES; CANARI; CRFM Sec; NFO; FAO;												
Output 4.1.2:	4.1.2.1 Integrate the lessons learned into best practice guidelines and the products of CLME+ IW:LEARN etc.	CNFO; CERMES; CANARI; CRFM Sec; NFO; FAO;												
Output 4.1.3:	4.1.3.1 Undertake mid-term review and final evaluations	CNFO; CERMES; CANARI; CRFM Sec; NFO; FAO-SLC; External Consultant												
	4.1.3.2 Undertake final evaluations	CNFO; CERMES; CANARI; CRFM Sec; NFO; FAO-SLC; FAO Independent Evaluation Unit;												

Output	Activities	Responsible	Year 1				Year 2				Year 3			
			Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
		External Consultant												

APPENDIX 3: PROJECT BUDGET



Stewardfish budget
for Prodoc 23Nov20

Oracle code and description	Unit	No. of units	Unit cost	Component 1:			Component 2:		Component 3:		Component 4:		PMC	GEF	Year 1	Year 2	Year 3
				1.1	1.2	Total	2.1	Total	3.1	total	4.1	Total					
5300 Salaries professionals																	
Operational and Administrative Officer	months	36	2,350			0		0		0		0	84,594	84,594	28,198	28,198	28,198
5300 Sub-total salaries professionals				0	0	0	0	0	0	0	0	0	84,594	84,594	28,198	28,198	28,198
International consultants																	
Project Coordinator	months	36	3,006	5,493	5,493	10,986	5,493	5,493	5,493	5,493	5,495	5,495	76,905	104,372	34,791	34,791	34,791
Capacity Development Specialist	months	18	3,000	6,750	6,750	13,500	13,500	13,500	13,500	13,500	13,500	13,500	0	54,000	36,000	18,000	0
Consultant 1 - institutional analysis	lump sum	4	2,500	0	10,000	10,000	0	0	0	0	0	0	0	10,000	10,000	0	0
Consultant 2 - livelihood analysis	lump sum	4	2,500	0	0	0	0	0	10,000	10,000	0	0	0	10,000	10,000	0	0
Consultant 3 - socio-economic & gender analyst	lump sum	10	2,500	25,000	0	25,000	0	0	0	0	0	0	0	25,000	25,000	0	0

Consultant 4 - resource persons	lump sum	35	1,200	8,400	8,400	16,800	8,400	8,400	8,400	8,400	8,400	8,400	0	42,000	14,000	14,000	14,000
Sub-total International Consultants				45,643	30,643	76,286	27,393	27,393	37,393	37,393	27,395	27,395	76,905	245,372	129,791	66,791	48,791
5570 Sub-total consultants				45,643	30,643	76,286	27,393	27,393	37,393	37,393	27,395	27,395	76,905	245,372	129,791	66,791	48,791
5650 Contracts																	
Letter of Agreement CANARI	lump sum	2	35,000	14,000	14,000	28,000	28,000	7,000	7,000	7,000	7,000	7,000	0	70,000	23,333	23,333	23,333
Letter of Agreement CERMES	lump sum	2	50,000	20,000	14,000	34,000	28,000	28,000	21,000	21,000	17,000	17,000	0	100,000	33,333	33,333	33,333
Letter of Agreement CRFM	lump sum	2	35,000	14,000	14,000	28,000	28,000	7,000	7,000	7,000	7,000	7,000	0	70,000	23,333	23,333	23,333
Letter of Agreement CNFO	lump sum	2	50,000	20,000	20,000	40,000	40,000	10,000	10,000	10,000	10,000	10,000	0	100,000	33,333	33,333	33,333
Letter of Agreement Antigua & Barbuda	lump sum	2	50,000	20,000	18,000	38,000	36,000	36,000	9,000	9,000	9,000	9,000	0	92,000	30,667	30,667	30,667
Letter of Agreement Barbados	lump sum	2	50,000	20,000	18,000	38,000	36,000	36,000	9,000	9,000	9,000	9,000	0	92,000	30,667	30,667	30,667
Letter of Agreement Belize	lump sum	2	50,000	20,000	18,000	38,000	36,000	36,000	9,000	9,000	9,000	9,000	0	92,000	30,667	30,667	30,667
Letter of Agreement Guyana	lump sum	2	50,000	20,000	18,000	38,000	36,000	36,000	9,000	9,000	9,000	9,000	0	92,000	30,667	30,667	30,667
Letter of Agreement Jamaica	lump sum	2	50,000	20,000	18,000	38,000	36,000	36,000	9,000	9,000	9,000	9,000	0	92,000	30,667	30,667	30,667

Letter of Agreement St. Lucia	lump sum	2	50,000	20,000	18,000	38,000	36,000	36,000	9,000	9,000	9,000	9,000	0	92,000	30,667	30,667	30,667
Letter of Agreement St. Vincent & the Grenadines	lump sum	2	50,000	20,000	18,000	38,000	36,000	36,000	9,000	9,000	9,000	9,000	0	92,000	30,667	30,667	30,667
Mid-term review	contract	1	25,000	0	0	0	0	0	0	0	25,000	25,000	0	25,000	0	25,000	0
Final evaluation	contract	1	80,000	0	0	0	0	0	0	0	80,000	80,000	0	80,000	0	80,000	80,000
Terminal Report	lump sum	1	6,550	0	0	0	0	0	0	0	6,550	6,550	0	6,550	0	0	6,550
5650 Sub-total Contracts				208,000	188,000	396,000	376,000	376,000	108,000	108,000	215,550	215,550	0	1,095,550	328,000	353,000	414,550
5900 Travel																	
Project participants meetings				0	0	0	0	0	0	0	75,000	75,000	0	75,000	25,000	25,000	25,000
Travel Project Coordinator + consultants			91,250	10,000	11,249	21,249	10,000	10,000	15,000	15,000	45,000	45,000	0	91,249	30,416	30,416	30,416
5900 Sub-total travel				10,000	11,249	21,249	10,000	10,000	15,000	15,000	120,000	120,000	0	166,249	55,416	55,416	55,416
5023 Training and workshops																	
Inception, final and mid-term online workshops	Meetings	3	5,860	0	0	0	0	0	0	0	17,580	17,580	0	17,580	5,860	5,860	5,860
5023 Sub-total training				0	0	0	0	0	0	0	17,580	17,580	0	17,580	5,860	5,860	5,860
6000 Expendable procurement														0			
Supplies	lump sum		21,139	2,764	2,625	5,389	5,250	5,250	5,250	5,250	5,250	5,250	0	21,139	7,046	7,046	7,046
Communication material (website)	lump sum		16,000	3,500	3,500	7,000	3,000	3,000	3,000	3,000	3,000	3,000	0	16,000	5,333	5,333	5,333

outputs, guidelines)																		
6000 Sub-total expendable procurement				6,264	6,125	12,389	8,250	8,250	8,250	8,250	8,250	8,250	0	37,139	12,380	12,380	12,380	
6100 Non-expendable procurement																		
ICT hardware and software	lump sum		50,000	0	50,000	50,000	0	0	0	0	0	0	0	50,000	50,000	0	0	
6100 Sub-total non-expendable procurement				0	50,000	50,000	0	0	0	0	0	0	0	50,000	50,000	0	0	
6300 GOE budget																		
Miscellaneous including contingencies	lump sum		80,000	20,000	20,000	40,000	10,000	10,000	20,000	20,000	10,000	10,000	0	80,000	26,667	26,667	26,667	
6300 Sub-total GOE budget				20,000	20,000	40,000	10,000	10,000	20,000	20,000	10,000	10,000	0	80,000	26,667	26,667	26,667	
TOTAL				289,907	306,017	595,924	431,643	431,643	188,643	188,643	398,775	398,775	161,499	1,776,484	636,311	548,311	591,861	

SUBTOTAL Comp 1	595,924	33.5%
SUBTOTAL Comp 2	431,643	24.3%
SUBTOTAL Comp 3	188,643	10.6%
SUBTOTAL Comp 4	398,775	22.4%
Subtotal	1,614,985	
SUBTOTAL Project Management Cost	161,499	9.1%
TOTAL GEF	1,776,484	100.0%

APPENDIX 4: RISK MATRIX

Main risks identified	Level of risk	Mitigation measures incorporated in project
Moderate level of policy support for a project that focuses on fisherfolk organizations as it would change the power dynamics among diverse fisheries stakeholders and also alter gender relations.	Low	Project activities are consistent with national and regional policies. These include strengthening civil society and gender mainstreaming. The project will practically demonstrate how these policy objectives can be achieved. It will also seek to build or establish relationships among coastal and marine stakeholders primarily around their shared interests, thereby minimising conflict.
Insufficient capacity of national fisheries authorities and fisherfolk organizations to engage in the project in addition to their other commitments	Low	The Caribbean project partners and the primary beneficiaries (fisheries authorities and fisherfolk organizations) have actively collaborated in the project design as an extension of several projects and programmes already in progress. The work plan takes these initiatives into account. FAO has extensive experience in working with partners in the region and has FAO representations and/ or national correspondents' offices in each of the countries to assist national level implementation.

Main risks identified	Level of risk	Mitigation measures incorporated in project
Uncertainty of reliable and sustainable local/national arrangements for training fisherfolk leaders. Training packages for the leadership institute may require more capacity for coordination than the CNFO may initially possess.	Medium	Mentors identified from previous regional projects will be engaged to assist with sustaining initiatives within each participating country in collaboration with project partners. Partnerships will be established between regional and national bodies to support the CNFO in offering leadership and other training packages, and operating a leadership institute.
Co-funding and active interest by project partners do not materialize as planned, causing the project to develop budget shortfalls.	Low	The project only includes results or activities for which funding has been confirmed in writing. This is in accordance with GEF requirements that all co-funders must confirm their contributions. Regular national participatory monitoring and evaluation of project progress will ensure accountability and allow corrective action to be taken if and as needed.
Limited active interest of fisherfolk organizations in the project and engagement of non-organized fisherfolk is also lower than anticipated	Low	The activities have been designed with fisherfolk leaders to provide incentives through practical and demonstrable benefits that will serve as incentives to draw non-organized fisherfolk into joining collective action. Fisherfolk organization leaders have participated in development of the project at regional and national levels and achieve buy-in. The implementation of activities in the field will provide opportunities for broad engagement. Capacity development will be scheduled to permit maximum participation, especially of women and young people.

Main risks identified	Level of risk	Mitigation measures incorporated in project
The number of women interested in formal fisherfolk leadership, stewardship and fisheries policy influence may be relatively small such that targets for participation of women are not met within the relatively short project period.	Low	The project will encourage female fisherfolk organization board members to engage in the leadership training. The project will engage women through training that fits their livelihood and household obligations. Targets for the participation of women will be realistic. The courses will remain for future use so uptake and growth after the project will be facilitated.
Climate change induced extreme weather events, such as hurricanes and storms, coastal erosion and inundation, and invasions such as of sargassum seaweed occur more often than anticipated and distract stakeholders from the project	Medium	The capacity building activities foreseen under the project include climate change adaptation and disaster risk management aspects. The immediacy of issues should increase rather than decrease their relevance to fisherfolk and other stakeholders and help to prepare fisherfolk for uncertainties. Linkages with the CC4FISH project will increase adaptation related measures information exchange and potential uptake by fisherfolk.
Engaging fisherfolk in use of ICT may be challenging due to inadequate formal education, limited prior knowledge of ICT and lack of resources for personal devices. Performance and use will decline unless leaders adhere to simple ICT standards	Low	CNFO is already aware of the technological constraints of national fisherfolk organizations. Assessments will be conducted on the use and knowledge of ICT among NFO, and NFO will receive equipment on a needs basis. Adequate support will be provided to build competencies in ICTs and to sustain the use of new goods via on-going training and orientation for new leaders
Uptake of new or improved technology by fisherfolk to help support EAF is either low or is abused to fish irresponsibly.	Low	Only proven and properly tested technologies will be introduced to or adapted for the region. To the extent possible the technologies will be simple, low-risk, economically viable, durable and practical in order to facilitate rapid uptake also

Main risks identified	Level of risk	Mitigation measures incorporated in project
		by persons with limited formal education. Special attention will be paid to ensuring that women have access to technology
The public may show little to no interest in communications aimed at supporting EAF.	Low	The project will develop a well thought out communication plan to raise awareness on EAF. It will use social media as one of its strategies. The integration with fisherfolk organization activities will ensure that communication strategies are maintained in the long-term.

APPENDIX 5: ENVIRONMENTAL AND SOCIAL ASSESSMENT

FAO Project Environmental and Social (E&S) Screening Checklist

Would the project, if implemented?	Not Applicable	No	Yes	Unknown
I. FAO VISION/STRATEGIC OBJECTIVES				
Be in line with FAO's vision?			X	
Be supportive of FAO's strategic objectives?			X	
II. FAO KEY PRINCIPLES FOR SUSTAINABILITY IN FOOD AND AGRICULTURE				
Improve efficiency in the use of resources?			X	
Conserve, protect and enhance natural resources?			X	
Protect and improve rural livelihoods and social well-being?			X	
Enhance resilience of people, communities and ecosystems?			X	
Include responsible and effective governance mechanisms?			X	
ESS 1 NATURAL RESOURCES MANAGEMENT				
❖ Management of water resources and small dams				
Include an irrigation scheme that is more than 20 hectares or withdraws more than 1000 m ³ /day of water?	X			
Include an irrigation scheme that is more than 100 hectares or withdraws more than 5000 m ³ /day of water?	X			
Include an existing irrigation scheme?	X			
Include an area known or expected to have water quality problems?	X			
Include usage of non-conventional sources of water (i.e. wastewater)?	X			
Include a dam that is more than 5 m. in height?	X			
Include a dam that is more than 15 m. in height?	X			
Include measures that build resilience to climate change?			X	
❖ Tenure				

Would the project, if implemented?	Not Applicable	No	Yes	Unknown
Negatively affect the legitimate tenure rights of individuals, communities or others ¹ ?		X		
ESS 2 BIODIVERSITY, ECOSYSTEMS AND NATURAL HABITATS				
Make reasonable and feasible effort to avoid practices that could have a negative impact on biodiversity, including agricultural biodiversity and genetic resources?			X	
Have biosafety provisions in place?	X			
Respect access and benefit-sharing measures in force?	X			
Safeguard the relationships between biological and cultural diversity?	X			
❖ Protected areas, buffer zones and natural habitats				
Located such that it poses no risk or impact to protected areas, critical habitats and ecosystem functions?			x	
ESS 3 PLANT GENETIC RESOURCES FOR FOOD AND AGRICULTURE				
❖ Planted forests				
Have a credible forest certification scheme, national forest programmes or equivalent or use the Voluntary Guidelines on Planted Forests (or an equivalent for indigenous forests)?	X			
ESS 4 ANIMAL - LIVESTOCK AND AQUATIC- GENETIC RESOURCES FOR FOOD AND AGRICULTURE				
❖ Aquatic genetic resources				
Adhere (Aligned) to the FAO Code of Conduct for Responsible Fisheries (CCRF) and its related negotiated instruments?			X	
Aligned, where applicable, with FAO's strategic policies established in the FAO Technical Guidelines for Responsible Fisheries (including aquaculture)?			X	
❖ Livestock genetic resources				
Aligned with the Livestock Sector Strategy including the animal disease, public health and land degradation provisions?	X			
ESS 5 PEST AND PESTICIDES MANAGEMENT				

¹ In accordance with Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests in the Context of National Food Security (VGGT) <http://www.fao.org/docrep/016/i2801e/i2801e.pdf>

Would the project, if implemented?	Not Applicable	No	Yes	Unknown
Involve the procurement or provision of pesticides?	X			
Result in increased use of pesticides through expansion or intensification of production systems?	X			
Require the disposal of pesticides or pesticide contaminated materials?	X			
ESS 6 INVOLUNTARY RESETTLEMENT AND DISPLACEMENT				
Avoid the physical and economic displacement of people?	X			
ESS 7 DECENT WORK				
Adhere to FAO's guidance on decent rural employment, promoting more and better employment opportunities and working conditions in rural areas and avoiding practices that could increase workers' vulnerability?			X	
Respect the fundamental principles and rights at work and support the effective implementation of other international labour standards, in particular those that are relevant to the agri-food sector?			X	
ESS 8 GENDER EQUALITY				
Have the needs, priorities and constraints of both women and men been taken into consideration?			X	
Does the intervention promote women's and men's equitable access to and control over productive resources and services?			X	
Does the intervention foster their equal participation in institutions and decision-making processes?			X	
ESS 9 INDIGENOUS PEOPLES AND CULTURAL HERITAGE				
Are there any indigenous communities in the project area?		X		
Are project activities likely to have adverse effects on indigenous peoples' rights, lands, natural resources, territories, livelihoods, knowledge, social fabric, traditions, governance systems, and culture or heritage (tangible and intangible)?	X			
Are indigenous communities outside the project area likely to be affected by the project?		X		
Designed to be sensitive to cultural heritage issues?			X	

Risk Classification Certification Form



Stewardfish ESM
form signed LTO Oc

ENVIRONMENTAL AND SOCIAL ASSESSMENT: **Background information**

The full *Social and Environmental Analysis Report* that was conducted for the design of the *StewardFish* project is available as a separate document. As shown in Appendix 5 above, the environmental and social risks are rated as low. A major feature of the *StewardFish* project is the emphasis on stakeholder engagement. An extract of key points on this aspect is below.

Stakeholder engagement is addressed in several sections and no negative social or environmental impacts were identified. The existing national institutional arrangements will be utilised and enhanced for deeper engagement. This will be based on the social network analysis and design principles that have featured in the collaboration between the CNFO members and the project partnership (CRFM, CANARI, CERMES, and FAO/WECAFC) for several years. These principles will be applied to the formal project management structure.

In this implementation structure the CNFO is pivotal as both partner and beneficiary. It reaches out from the regional level, through the national fisherfolk organizations, to the male and female members of their primary organizations. These individual members will have easy access to all aspects of the *StewardFish* project through the established network of organizations. They will be involved in the design and execution of activities. Few activities are pre-determined beyond fairly broad categories of interventions so that national stakeholders can tailor them to meet real needs. The national consultative mechanisms will engage them in PM&E, learning and adaptation. The RPSC brings national fisherfolk organization and fisheries authority participants into close collaboration with the project partnership. Stewardship is at the core of this project that relies on stakeholder engagement for achieving its objectives, and being evaluated a success through engagement. A national to local level summary of stakeholder engagement is provided in the table below.

Stakeholder	Examples of engagement
National fisherfolk organization (CNFO member)	<ul style="list-style-type: none">• Overall project design and steering with project partnership• Design and implementation of activities such as training, learning-by-doing tests, ICT and EAF demonstration• Participatory M&E via Project Steering Committee and national intersectoral consultative mechanisms• Gender mainstreaming, livelihood profiling, use of mentors

Stakeholder	Examples of engagement
Local level (primary) fisherfolk organization	<ul style="list-style-type: none"> • Design and implementation of activities such as training, learning-by-doing tests, ICT and EAF demonstration • Participatory M&E via fisherfolk organisation governance • Recruitment of candidates for leadership and other training • Gender mainstreaming, livelihood profiling, use of mentors
Non-organized fisherfolk	<ul style="list-style-type: none"> • Access to capacity development as an incentive to join a fisherfolk organization • Capacity building information received on leadership, ICT, EAF, gender, policy influence, livelihoods, stewardship to support the call for collective action and organisation • PM&E via targeted social media and public forums
National fisheries authorities	<ul style="list-style-type: none"> • Overall project design and steering with project partnership • Design and implementation of activities such as training, learning-by-doing tests, ICT and EAF demonstration • Participatory M&E via Project Steering Committee and national intersectoral consultative mechanisms • Review of policy, institutional arrangements and capacity • Fisheries management planning, gender mainstreaming, livelihood profiling, support of mentors for fisherfolk
Other fisheries-related state organizations	<ul style="list-style-type: none"> • Incorporation of fisheries into areas of jurisdiction such as coastal management, tourism, monitoring and surveillance • Review of policy, institutional arrangements and capacity • Participatory M&E via national intersectoral consultative mechanisms
Fisheries-related NGOs and private sector	<ul style="list-style-type: none"> • Participatory M&E via national intersectoral consultative mechanisms, targeted social media and public forums • Participation in learning-by-doing collaborative activities

APPENDIX 6. TERMS OF REFERENCE

Draft⁴¹

Draft TOR for the project manager, capacity development consultant, and short-term consultants will be provided following confirmation of the final draft results framework, work plan activities and budget by countries and organisations reviewing this ProDoc. Draft TOR are subject to further review and validation during project inception. Budgeted consultants:

- Regional Project Coordinator (36 months)
- Capacity Development Specialist (18 months)
- Short-term Consultant - institutional analysis (4 months)
- Short-term Consultant - livelihoods analysis (4 months)
- Short-term Consultant - gender analysis (4 months)
- Short-term Consultants – resource persons (35 months)

Title: Regional Project Coordinator/Fisheries Expert (RPC)

Duty Station: FAO Subregional office for the Caribbean (FAO-SLC), Barbados

Duties and Responsibilities:

Under the supervision of the Regional Project Steering Committee (RPSC), the overall direction and supervision of the LTO, reporting to the FAO Budget Holder (administrative matters) and FAO LTO (technical matters) and receiving technical advice from FAO Headquarters and the Regional Office for Latin America and the Caribbean, the RPSC will be responsible for all technical and coordination aspects and overall implementation of the project. Specifically, he/she will:

- Be responsible for and ensure that all technical and coordination aspects and overall implementation of the project are in accordance with FAO and GEF rules and procedures, and that technical activities implemented within the project are consistent with the Project Results Framework indicators and results-based management target.
- Support the management of the project monitoring system and tracking output and outcome indicators as established in the Project Results Framework
- In close collaboration with and based on inputs from National Co-executing Partners, prepare and follow up on the implementation of Annual Work Plans and Budgets for the project
- Collect inputs from National Co-executing Partners and prepare six-monthly Project Progress Reports in accordance with FAO-GEF reporting requirements (see section 4.5)

⁴¹ Consultants' Terms of Reference will be revised and validated during the project's inception.

of the FAO Project Document) and submit them to the FAO for comments and clearance (by the LTO) and to the Regional Project Steering Committee for information.

- Collect inputs from National Co-executing Partners and other project co-financing partners and prepare an annual report on the invested co-financing.
- Support the LTO in preparing the annual Project Implementation Review (PIR) to be submitted to the FAO-GEF Coordination Unit for clearance, (which subsequently submits it to GEF)
- Provide support to Government counterpart institutions as appropriate, and ensure effective and timely execution of planned activities in the countries and at regional level involving other related parties.
- Support the project Operational and Administrative Officer at FAO-SLC (the Budget Holder – BH) with: preparation of six-monthly statements of expenditures to be distributed to the PSC; six-monthly updating of the project's procurement plan; prepare LoAs; review and clear disbursement requests under the LoAs with National Co-executing Partners, and procurement and contract documentation for goods and services to be purchased in accordance with the project approved budget and procurement plan.
- Review TORs for consultancies and contracts to be performed through the LoAs with National Co-executing Partners for submission to FAO for clearance. Review and provide comments on technical products delivered by consultants and contract holders contracted by the GEF project.
- Be responsible for partner coordination and liaison with donors and other projects, programmes and organizations and coordinate institutional arrangements and meeting/workshop activities needed to exchange lessons learned, harmonize approaches and coordinate activities to create synergies, and execute the project at the regional level.
- Provide on-the-job capacity building and mentoring to consultants on project management and coordination as required.
- Conduct periodic coordination and supervision missions to the participating countries.
- Represent the project in relevant coordination meetings and conferences.
- Organize the RPSC meetings and act as Secretary of the meetings.
- In consultation with the FAO Office of Evaluation, LTO, and the FAO GEF Coordination Unit, support the organization of the mid-term review and the final evaluation, contribute to the development of an eventual agreed adjustment plan for project execution and supervise its implementation.
- Be aware of the FAO Strategic framework and how the project contributes to the achievement of the relevant FAO Strategic Objectives and Regional Initiatives.
- Perform other related duties as required.

Minimum requirements:

- Advanced University Degree in Fisheries, Aquaculture, Ecology or closely related fields.
- At least five years' experience in international project operation and management related to natural resources management, including field experience in developing countries.
- Work experience as Team leader or senior advisor leading high level of technical advisory services in fisheries and aquaculture.
- Proven capacity to work and establish working relationships with government and non-government representatives.
- Knowledge of FAO's project management systems.

Location: Bridgetown

Language: English

Duration: 36 months

Title: Capacity Development Specialist (CDS)

Duty Station: FAO Subregional office for the Caribbean (FAO-SLC), Barbados

Duties and Responsibilities:

Under the supervision of the Regional Project Coordinator, Regional Project Steering Committee (RPSC), the overall direction and supervision of the LTO, and in cooperation with FAO Headquarters, the Regional Office for Latin America and the Caribbean and other consultants, the Capacity Development Specialist will be responsible for the design and implementation of all capacity development activities and ensure key results contributing to the overall successful implementation of the project. Specifically, he/she will:

Project responsibilities

- Support the management of the project monitoring system and tracking capacity development output and outcome indicators as established in the Project's Results framework
- Provide support to government and non-government representatives as appropriate, and ensure effective and timely execution of planned activities in the countries and at regional level involving other related parties.
- Assist the RPC in preparing the annual Project Implementation Review (PIR) to be submitted to the FAO-GEF Coordination Unit for clearance, (which subsequently submits it to GEF)
- Assist the Regional Project Coordinator in the review of TOR for consultancies and contracts to be performed under the LoAs with National Co-executing Partners for submission to FAO for clearance.

Technical responsibilities

- Participate in Regional Project Steering Committee meetings
- Assist in the periodical review of project progress
- Provide advice regarding all capacity development issues
- Take a lead role to provide technical support government and non-government representatives with respect to capacity development issues

Capacity development responsibilities

- Conduct periodic training sessions with the participating countries and provide coaching and mentoring to government and fisherfolk organization partners to support the capacity development process, always seeking to achieve gender balance in the training sessions
- Develop materials for capacity development in collaboration with the LTO, Project Coordination Unit, Regional Project Steering Committee and those in close

collaboration with participating countries and partners, taking into account the findings from the gender analysis

- In consultation with the FAO Office of Evaluation, LTO and the FAO GEF Coordination Unit, support the organization of the mid-term review and the final evaluation, contribute to the development of an eventual agreed adjustment plan for project execution and supervise its implementation.
- Identify best practices and lessons learned to build capacity and knowledge, codified and disseminated through case studies for IWLEARN
- Be aware of the FAO Corporate Strategy on Capacity Development
- Perform other related duties as required.

Minimum requirements:

- Advanced University Degree in Fisheries, Natural Resource and Environmental Management or International Development or any related field.
- At least four years of experience in projects/programme operation and/or management related to natural resource management, or any development related field, and at least two years in capacity development
- Work experience as developing and implementation capacity development interventions is an asset.
- Proven capacity to establish working relationships with government and non-government representatives.
- Knowledge of FAO's project management systems is an asset.

Location: Bridgetown

Language: English

Duration: 18 months

Title: Consultant on fisheries livelihoods analysis

Duty Station: Home based, with travel to the field

Duties and Responsibilities:

Under the supervision of the Regional Project Steering Committee (RPSC), the overall direction and supervision of the LTO, reporting to the FAO Budget Holder (administrative matters) and FAO LTO (technical matters) and receiving technical advice from FAO Headquarters Unit and the Regional Office for Latin America and the Caribbean, the consultant will undertake the following tasks:

- Conduct research on livelihoods projects in order to learn about achievements and issues from fisherfolk perspectives.
- Prepare and communicate best practices based on the results of the livelihoods projects analyses using the SSF Guidelines and Caribbean Community Common Fisheries Policy as the context.
- Create profiles for sustainable fisheries livelihoods, inclusive of alternative livelihoods, complementary or supplementary livelihoods using the best practices and integrating leadership and fisherfolk implementation of EAF
- A Consultancy Report, which should not exceed thirty pages, including tables and graphs, should contain:
 - Key achievements and issues identified in livelihoods projects from fisherfolk and fisheries management perspectives
 - Recommended sustainable livelihoods best practices
 - Recommended sustainable livelihoods profiles

The consultant will share the information collected on a bi-monthly basis to the project coordinator of StewardFish who will feedback and assist the consultant in framing both the institutional mapping and provide guidance on the capacity needs assessment.

Minimum requirements:

- Advanced University Degree in social sciences or closely related fields.
- At least five years' experience in areas related to sustainable livelihoods analysis.
- Familiarity with fisherfolk livelihoods advantageous
- Previous experience in livelihoods analysis related activities highly favourable
- Skills in word processing with Microsoft Office tools are required.
- Excellent spoken and written English proficiency required

Location: Home-based with travel to the field as required

Language: English

Duration: 4 months

Title: Consultant for fisheries institutional analysis

Duty Station: Home based, with travel to the field

Duties and Responsibilities:

Under the supervision of the Regional Project Steering Committee (RPSC), the overall direction and supervision of the LTO, reporting to the FAO Budget Holder (administrative matters) and FAO LTO (technical matters) and receiving technical advice from FAO Headquarters and the Regional Office for Latin America and the Caribbean, the consultant will undertake the following tasks:

- Update/create an inventory of public and non-public fisheries institutions in the six Project countries taking account of:
 - Roles, functions and responsibilities
 - Organizational structure
 - Financial resources
 - Human resources and level of expertise
 - Inter-institutional linkages
 - Relevance, importance and impact of the institutions to the fisheries
- Develop an institutional mapping consisting of a set of graphics of charts, graphs, schematic diagrams, flow diagrams, descriptive tables, etc. as needed, showing the information collected above for the different institutions and their linkages.
- A Consultancy Report, which should not exceed thirty pages, including tables and graphs, should contain:
 - The Institutional mapping
 - Full text explaining the results of the assessment
 - Condensed SWOT analysis (Strengths, Weaknesses, Opportunities and Threats) of the overall institutional assessments for each country. It will be indicative in nature, and will help guide further capacity development assessment activities.
 - An indicative Capacity Needs Assessment at national level based on the assessment and the SWOT analysis.

The consultant will share the information collected on a bi-monthly basis to the project coordinator of StewardFish who will feedback and assist the consultant in framing both the institutional mapping and provide guidance on the capacity needs assessment.

Minimum requirements:

- Advanced University Degree in social sciences or closely related fields.
- At least five years' experience in areas related to capacity development analysis and institutions policy.

- Familiarity with national public and non-public fisheries institutions highly advantageous
- Previous experience in institutional mapping related activities highly favourable
- Skills in word processing and graphic design with Microsoft Office tools are required.
- Excellent spoken and written English proficiency required

Location: Home-based with travel to the field as required

Language: English

Duration: 4 months

Title: Gender Specialist

Duty Station: Home-based with travel to the field as required

Duties and Responsibilities:

Under the supervision of the Regional Project Steering Committee (RPSC), the overall direction and supervision of the LTO, reporting to the FAO Budget Holder (administrative matters) and FAO LTO (technical matters) and receiving technical advice from FAO Headquarters and the Regional Office for Latin America and the Caribbean , the Gender Specialist will conduct a gender analysis in each project country in order identify the capacity gaps of men and women, especially youth, in relation to fisherfolk leadership and how these may be addressed. In particular, he/she will perform the following main tasks:

- Identify key issues contributing to gender inequalities within the fishery industry in the project countries,
- Define specific training required in addition to mainstream activities that will assist with empowering women and youth.
- Identify appropriate strategies to address inequalities within the leadership training.
- Advise on logistic arrangements that best meet the needs of women and youth for engagement in project activities

Minimum requirements:

- Postgraduate degree in Social Science, Environment, Fisheries, or related fields.
- At least four years experience of conducting gender studies, and/or work relating to gender in fisheries development
- Training in the field of gender and development
- Proven ability to work and establish working relationships with different groups at different levels such as policy makers, technical experts, field workers, and others.
- Excellent spoken and written English proficiency required

Location: Home based with travel to the different countries

Language: English

Duration: 4 months

Title: Resource Persons — Various experts to conduct training workshops in seven Caribbean countries

Duty Station: Home-based with travel to the field as required

Duties and Responsibilities:

Under the supervision of the Regional Project Steering Committee (RPSC), the overall direction and supervision of the LTO, reporting to the FAO Budget Holder (administrative matters) and FAO LTO (technical matters) and receiving technical advice from FAO Headquarters and the Regional Office for Latin America and the Caribbean, the Resource Persons will conduct leadership training in each project country in order to close capacity gaps of men and women, especially youth, in relation to fisherfolk leadership and other aspects of fisherfolk organisational capacity development. In particular, he/she will perform the following main tasks:

- Design and facilitate training workshops identified by the project using participatory methodologies for engaging project beneficiaries
- Develop material to be used in training workshops, taking into account the findings from the gender analysis
- Ensure delivery of workshop reports in a timely fashion

Minimal requirements:

- University degree in degree in Social Science, Environment, Fisheries, or related fields.
- At least four years experience of designing and facilitating training workshops
- Excellent spoken and written English proficiency required

Location: Home-based with travel to the field as required

Language: English

Duration: Short assignments of approximately 3-5 days each

Operations and Administration Officer

Under the direct supervision of the FAO BH, the Operations and Administrative Officer will have the following responsibilities and functions:

- Ensure smooth and timely implementation of project activities in support of the PPG work plan, through operational and administrative procedures according to FAO rules and standards;
- Coordinate the project operational arrangements through contractual agreements with PPG consultants;
- Maintain inter-departmental linkages with FAO units for donor liaison, Finance, Human Resources, and other units as required;
- Day-to-day manage the project budget, including the monitoring of cash availability, budget preparation and budget revisions to be reviewed by the RPC;
- Ensure the accurate recording of all data relevant for operational, financial and results-based monitoring;
- Ensure that relevant reports on expenditures, forecasts, progress against project work plan and budget, are prepared and submitted in accordance with FAO and GEF defined procedures and reporting formats, schedules and communications channels, as required;
- Execute accurate and timely actions on all operational requirements for personnel-related matters, equipment and material procurement, and field disbursements;
- Participate and represent the project in collaborative meetings with project partners and the Project Task Force meeting, as required;
- Undertake missions to monitor the project outcome-based budget, and to resolve outstanding operational problems, as appropriate;
- Be responsible for results achieved within her/his area of work and ensure issues affecting project delivery and success are brought to the attention of higher level authorities through the BH in a timely manner;
- Provide inputs and maintain the FPMIS systems up-to-date; and
- Undertake any other duties as required.