United Nations Development Programme

Project Document template for projects financed by the various GEF Trust Funds

<table>
<tr><td colspan="3">Project title: Protecting and Restoring the Ocean's natural Capital, building Resilience and supporting region-wide Investments for sustainable Blue socio-Economic development (PROCARIBE+)[1]</td></tr>
<tr><td>Country(ies): Antigua and Barbuda, Brazil, Colombia, Costa Rica, Panama, the Bahamas, Belize, Cuba, Dominican Republic, Guatemala, Guyana, Haiti, Honduras, Jamaica, St. Kitts and Nevis, Saint Lucia, Suriname, Trinidad and Tobago, Venezuela

non-GEF eligible countries: the Netherlands, the United States of America (USA)</td><td>Implementing Partner (GEF Executing Entity):
United Nations Office for Project Services (UNOPS)</td><td>Execution Modality:
United Nations Agency</td></tr>
<tr><td colspan="3">Contributing Outcome (SP, CPD, RPD): UNDP RPD for LAC 2022-2025 Outcome 3: Green recovery based on principles of sustainable development reflected by integrated, equitable, gender-responsive and risk and resilient informed policies, financing and governance frameworks, and Outcome 4: Structural transformations underpinned by effective governance to shape resilient and sustainable societies.

UNDP Strategic Plan Outputs 4.1 and 4.2</td></tr>
<tr><td colspan="2">UNDP Social and Environmental Screening Category: Substantial</td><td>UNDP Gender Marker: 2</td></tr>
<tr><td colspan="2">Quantum Award ID: 00131836.1</td><td>Quantum Project ID: 00131836</td></tr>
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[1] Acronym derived from the project title: Protecting and Restoring the Ocean's natural Capital, building Resilience and supporting region-wide Investments in sustainable Blue socio-Economic development.

UNDP-GEF PIMS ID number: 6290	**GEF Project ID number:** 10800
LPAC meeting date: 17 March 2023	
Last possible date to submit to GEF: 18 August 2022	
Latest possible CEO endorsement date: 18 December 2022	
Project duration in months: 60 months	
Planned start date: 1 May 2023	**Planned end date:** 30 April 2028
Expected date of Mid-Term Review: 1 November 2025	**Expected date of Terminal evaluation:** 1 February 2028

Brief project description:

The CLME+ region (Caribbean and North Brazil Shelf LME's) constitutes one of the geopolitically most diverse and complex sets of LMEs in the world. There are twenty-six independent States and eighteen dependent/associated territories, located within or bordering the CLME+. The region supports a multitude of globally important economic activities (e.g. global tourism, shipping, fishing and oil and gas industries), and ecological processes that underpin the livelihoods and socio-economic well-being of the inhabitants of the CLME+ region and far beyond.

The UNDP/GEF project "*Protecting and Restoring the Ocean's natural Capital, building Resilience and supporting region-wide Investments for sustainable Blue socio-Economic development"* (PROCARIBE+) (GEF-ID 10800, 2023-2027) is a 5-year project that aims at protecting, restoring and harnessing the natural coastal and marine capital of the Caribbean and North Brazil Shelf Large Marine Ecosystems (CLME+) to catalyze investments in a climate-resilient, sustainable post-covid Blue Economy, through strengthened regional coordination and collaboration, and wide-ranging partnerships. The project seeks to achieve this by enabling and developing sustainable and resilient ocean-based (blue) economies (through Marine Spatial Planning, marine conservation, sustainable fisheries and addressing land-based sources of pollution); while taking into account cross-cutting issues such as climate change, gender and post COVID-19 recovery. The project will build on the results from the UNDP/GEF CLME (2009-2014) and CLME+ (2015-2021) Projects, and catalyze the next iteration of key regional processes, such as the Transboundary Diagnostic Analysis (TDA) / Strategic Action Programme (SAP). The project will operationalize a region-wide ocean coordination mechanism that seeks to enhance collaboration and coordination for the conservation and sustainable use of living marine resources in the Caribbean and North Brazil Shelf Large Marine Ecosystems.

FINANCING PLAN

GEF Trust Fund grant	15,429,817 USD
(1) Total Budget administered by UNDP	USD 15,429,817
(2) Total confirmed co-financing to this project not administered by UNDP	126,016,646 USD
(3) Grand-Total Project Financing (1)+(2)	141,446,463 USD

SIGNATURES:		
Signature: print name below	**Agreed by Government Development Coordination Authority**	**Date/Month/Year:** *within 6 months of GEF CEO endorsement*
Signature: print name below	**Agreed by Government Development Coordination Authority**	**Date/Month/Year:** *within 6 months of GEF CEO endorsement*
Signature: print name below	**Agreed by Government Development Coordination Authority**	**Date/Month/Year:** *within 6 months of GEF CEO endorsement*

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List of acronyms

Acronym	Full name in English
ACS	Association of Caribbean States
AFD	French Development Agency
ALDFG	Abandoned, Lost or otherwise Discarded Fishing Gear
ARSB	Rosario and San Bernardo Archipelagos
ATBAs	Areas To Be Avoided
BaU	Business As Usual
BCIE	Central American Bank for Economic Integration
BE	Blue Economy
BNA	Blue Nature Alliance
BNCFF	Blue Natural Capital Financing Facility (ICRI)
BPPS NCE	Bureau for Policy and Programme Support, Nature, Climate and Energy
BluEFin	Blue Economy Financing
C-SAP	Civil Society Action Programme
CaMPAM	Caribbean MPA Management
CANARI	Caribbean Natural Resources Institute
CAR	Coastal Autonomous Regional Corporations
CARDIQUE	Regional Autonomous Corporation for the Dique Canal
CARICOM	Caribbean Community
CARSUCRE	Regional Autonomous Corporation of Sucre
CBC	Caribbean Biological Corridor
CBD	Convention on Biological Diversity
CBF	Caribbean Biodiversity Fund
CBO	Community-based organisation
CCAD	Central American Commission for Environment and Development
CCI	Caribbean Challenge Initiative
CDB	Caribbean Development Bank

CEDAW	Convention on the Elimination of All Forms of Discrimination against Women
CEO	Chief Executive Officer
CERMES	Center for Resource Management and Environmental Studies
CI	Conservation International
CIFOR	Center for International Forestry Research
CLME	Caribbean Large Marine Ecosystem
CLME	"Sustainable Management of the shared Living Marine Resources of the Caribbean and North Brazil Shelf Large Marine Ecosystems" (UNDP/GEF Project, 2009-2014)
CLME+	"Catalysing implementation of the Strategic Action Programme for Sustainable Management of shared Living Marine Resources in the Caribbean and North Brazil Shelf Large Marine Ecosystems" (UNDP/GEF Project, 2015-2021)
CLME+	Caribbean and North Brazil Shelf Large Marine Ecosystems (geographic area)
COCATRAM	Central American Commission for Maritime Transportation
CODOPESCA	Dominican Council of Fisheries and Aquaculture
COP	Conference of the Parties
CPR	Deep Water Corals
CRAB	Caribbean Regional Architecture for Biodiversity
CRFM	Caribbean Regional Fisheries Mechanism
CROP	Caribbean Regional Oceanscape Project
CSO	Civil society organisation
CTA	Chief Technical Advisor
DAMCRA	Directorate of Marine, Coastal and Aquatic Resources Affairs
DIM	Data & information management
DIMAR	Maritime Directorate (Colombia)
DOA	Delegation of Authority
DPSIR	Driver Pressure State Impact Response
DRMI	Regional Integrated Management District
EAF	Ecosystem Approach to Fisheries
EBM	Ecosystem-based management

ECLAC	Economic Commission for Latin America and the Caribbean
ECROP	Eastern Caribbean Regional Ocean Policy (OECS)
ECU	Environmental Coastal Unit
EEZ	Exclusive Economic Zone
EG	Executive Group
EGCS	Exhaust Gas Cleaning Systems
EMP	Environmental Management Plan
ERCA	Regional Strategy for the Blue Economy
ESA	European Space Agency
ESMF	Environmental Social Management Framework
EU	European Union
FA	Focal Area (GEF)
FAO	Food and Agriculture Organization
FFEM	French Facility for the Global Environment
FRZ	Fishery Replenishment Zones
FSA	Fish spawning aggregations
FSP	Full Sized Project
GCFI	Gulf and Caribbean Fisheries Institute
GDP	Gross Domestic Product
GEF	Global Environment Facility
GEFSEC	Global Environment Facility Secretariat
GGGI	Global Gender Gap Index
GHG	Greenhouse Gases
GII	Gender Inequality Index
GSA	Grant Support Agreement
GSS	Gender Safeguards Specialist
GIS	Geographic Information System
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit

GOMLME	Gulf of Mexico Large Marine Ecosystem
GWP	Global Water Partnership
HAC	High Ambition Coalition
HDI	Human Development Index
HRI	Healthy Reefs for Healthy People Initiative
IBERMAR	Ibero-American Network of Integrated Coastal Management
ICCT	International Council on Clean Transportation
ICM	Interim Coordination Mechanism
ICRI	International Coral Reef Initiative
ICZM	Integrated Coastal Zone Management
IDB	Inter-American Development Bank
IDEAM	Institute of Hydrology, Meteorology and Environmental Studies
IFCM	Interim Fisheries Coordination Mechanism
IFI	International Financial Institution
IGO	Inter-Governmental Organization
IMA	Institute of Marine Affairs
IMO	International Maritime Organization
INPESCA	Nicaraguan Fisheries and Aquaculture Institute
INVEMAR	Institute for Marine and Coastal Research
IOC	Intergovernmental Oceanographic Commission
IOCARIBE	IOC Sub-Commission for the Caribbean and Adjacent Regions
IP	Implementing Partner
IPCC	Intergovernmental Panel on Climate Change
IPPF	Indigenous Peoples Planning Framework
IRBM	Integrated River Basin Management
IUCN	International Union for Conservation of Nature
IUU	Illegal, Unreported and Unregulated
IW	International Waters (GEF)

IWECO	Integrating Water, Land and Ecosystems Management in Caribbean Small Island Developing States
IWRM	Integrated Water Resources Management
JNCC	Joint Nature Conservation Council
LAC	Latin America and Caribbean
LBS	Land Based Sources of Marine Pollution
LME	Large Marine Ecosystem
LPAC	Local Project Appraisal Committee
MAR	Meso-American Reef
MAVDT	Ministry of Environment, Housing and Territorial Development
MAR2R	Integrated Transboundary Ridges-to-Reef Management of the Mesoamerican Reef
MARPOL	International Convention for the Prevention of Pollution from Ships
MCSP	Marine/Coastal Spatial Planning
MDI	Marine Data/Information/Knowledge Infrastructure
MEPC	Marine Environment Protection Committee
METT	Management Effectiveness Tracking Tool
Minambiente	Ministry of Environment and Sustainable Development (Colombia)
MIMARENA	Ministry of Environment and Natural Resources (Dominican Republic)
MINEC	Ministry of Popular Power for Ecosocialism (Venezuela)
MOU	Memorandum of Understanding
MPA	Marine Protected Area
MSME	Micro, Small & Medium Enterprises
MSP	Marine Spatial Planning
MSP	Medium Sized Project
MTR	Mid-term Review
M&E	Monitoring and Evaluation
NBSLME	North Brazil Shelf Large Marine Ecosystem
NCA	Natural Capital Accounting
NCTF	National Conservation Trust Fund

NDC	Nationally Determined Contributions
NEAES	North-East Atlantic Environment Strategy
NFP	National Focal Point
NGO	Non-governmental organization
NICs	National Intersectoral Coordination Mechanisms
NNP	National Natural Park
NOAA	National Oceanic and Atmospheric Administration (US)
OAI	UNDP's Office of Audit and Investigations
OCM	Ocean Coordination Mechanism
OECMs	Other Effective Conservation Measures
OECS	Organisation of Eastern Caribbean States
OIC	Ocean Innovation Challenge
OIRSA	International Regional Organisation for Plant and Animal Health
OLSA	Operations and Liaisons Support Assistant
OLSM	Operations and Liaisons Support Manager
OSPAR	Convention for the Protection of the Marine Environment of the North-East Atlantic
OSPESCA	Central American Aquaculture and Fisheries Organization
PACA	Pacific Central American Coastal
PAHs	Polycyclic aromatic hydrocarbons
PCA	Project Cooperation Agreement
PCU	Project Coordination Unit
PEG	Project Executive Group
PEMSEA	Partnerships in Environmental Management for the Seas of East Asia
PGWG	Project Gender Working Group
PIF	Project Identification Form
PIMS	Project Information Management System
PIR	GEF Project Implementation Report
PM	Project Manager

PMC	Project Management cost
PMCU	Project Management and Coordination Unit
PMU	Project Management Unit
POMIUAC	Integrated Management Plan
POPP	Programme and Operations Policies and Procedures
PPG	Project Preparation Grant
PROCARIBE+	Protecting and Restoring the Ocean's natural Capital, building Resilience and supporting region-wide Investments for sustainable Blue socio-Economic development
PSSA	Particularly Sensitive Sea Area
PSC	Project Steering Committee
PTA	UNDP Principal Technical Advisor
R2R	Ridge-to-Reef
RBLA	La Amistad Biosphere Reserve
RAPs	Regional and National Action Plans
RNSC	Civil Society Natural Reserve
RRI	Reef Rescue Initiative
RSAP	Regional Strategies and Action Plan
RSB	Rosario and San Bernardo
RTA	Regional Technical Advisor
S2S	Source-to-Sea
SAP	Strategic Action Programme
SBAA	Standard Basic Assistance Agreement
SDG	Sustainable Development Goals
SDM	Sustainable Development Model
SEA	Sexual exploitation and abuse
SEEA EA	UN System of Environmental-Economic Accounting - Ecosystem Accounting
SESP	Social and Environmental Screening Procedure
SG	Steering Group

SGP	Small Grants Programme
SH	Sexual harassment
SICA	Central American Integration System
SIDS	Small Island Developing States
SINAP	National System of Protected Areas
SITCAR	Cartagena Tourism Information System
SIWI	Stockholm International Water Institute
SMPA	Subsystem of Marine Protected Areas
SOI	Sustainable Ocean Initiative (CBD)
SOMEE	State of the Marine Environment and associated socio-Economics
SOPACA	State of Protected Areas
SPAW	Specially Protected Areas and Wildlife
STAP	GEF Scientific Technical Advisory Panel
SWOT	Strengths, Weaknesses, Opportunities, and Threats
TBWP	Total Budget and Work Plans
TDA	Transboundary Diagnostic Analysis
TE	Terminal Evaluation
TNC	The Nature Conservancy
ToRs	Terms of Reference
TRAC	Target for resource assignment from the core
TRAZAR-AGRO	Harmonized Regional Traceability System for Agricultural and Food Products
TSVCM	Taskforce on Scaling Voluntary Carbon Markets
UBEEC	Unleashing the Blue Economy of the Eastern Caribbean
UN2UN Agreement	UN-Agency to UN-Agency Contribution Agreement
UNDESA	United Nations Department of Economic and Social Affairs
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme

UNEP-CEP/RCU	United Nations Environment Programme - Caribbean Environment Programme/ Regional Coordinating Unit
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNFCCC	United Nations Framework Convention on Climate Change
UNOPS	United Nations Office for Project Services
UNSMS	United Nations Security Management System
USAID	U.S. Agency for International Development
WCMC	World Conservation Monitoring Center
WCPA	World Commission on Protected Areas
WDPA	World Database on Protected Areas
WEC	Water and Energy Cluster
WECAFC	Western Central Atlantic Fishery Commission
WEF	World Economic Forum
WOC	World Ocean Council
WTTC	World Travel and Tourism Council
WWF	World Wide Fund for Nature

II. DEVELOPMENT CHALLENGE

Environmental and socio-economic context, and global significance

Geography and Environment

The Atlantic Ocean's Caribbean and North Brazil Shelf Large Marine Ecosystems (also jointly referred to as: "CLME+ region"; 4.4 million km^2) constitute one of the most geopolitically complex and biodiversity-rich sets of Large Marine Ecosystems (LME's) in the world (Figure 1). Comprising 26 independent States and 18 dependent/associated territories[2] (Table 1), of which 25 are Small Island Developing States (SIDS), they represent a largely shared source of ecosystem goods & services, supporting a multitude of economic activities.

The CLME+ region showcases a dichotomy of high marine-based socio-economic potential and social-ecological vulnerability. Its culturally diverse countries and territories range from among the largest (e.g. Brazil, United States of America) to among the smallest (e.g. Barbados, St. Kitts and Nevis), and from the most developed to the least developed in the world. Several of the CLME+ countries, namely Colombia, Costa Rica, Guatemala, Honduras, Mexico, Nicaragua and Panama have coasts on both the Atlantic and Pacific Ocean (Pacific Central American Coastal LME).

Figure 1. The CLME+ region is composed of the Caribbean and North Brazil Shelf LME's and coincides to a large extent with the area covered by the Cartagena Convention for the Protection and Development of the Marine Environment (wider Caribbean - UNEP Regional Seas); note however that the CLME+ region does not include the Gulf of Mexico LME. (source: CLME+ Project)

[2] This includes overseas dependent territories, associated states, departments and islands with a special status.

Table 1. CLME+ Countries and Territories (GEF-eligible countries are in bold)

Independent continental states	**Independent island states**	**Overseas territories, associated states, departments and island with a special status[1]**
Belize[2]	Antigua & Barbuda[2]	Anguilla (United Kingdom)[2]
Brazil	Bahamas[2]	Aruba, Curacao, St. Maarten[2-3]
Colombia	Barbados[2]	British Virgin Islands (United Kingdom)
Costa Rica	Cuba[2]	Cayman Islands (United Kingdom)[2]
Guatemala	Dominica[2]	French Guiana (France)
Guyana[2]	Dominican Republic[2]	Guadeloupe (France)[2]
Honduras	Grenada[2]	Montserrat (United Kingdom)[2]
Mexico	Haiti[2]	Martinique (France)[2]
Nicaragua	Jamaica[2]	Puerto Rico (United States of America)[2]
Panama	St. Kitts & Nevis[2]	Bonaire, St. Eustatius, Saba[2-3]
Suriname[2]	Saint Lucia[2]	St. Barthélemy (France)[2]
Venezuela	St. Vincent & the Grenadines[2]	St. Martin (France)[2]
United States of America	Trinidad & Tobago[2]	Turks and Caicos (United Kingdom)[2]
		U.S. Virgin Islands (United States of America)[2]

Table notes:

[1]As of 10 October 2010, the Netherlands, Aruba, Curacao and St. Maarten are partners in the Kingdom of the Netherlands. The Islands of Bonaire, Saba and St. Eustatius have become "special municipalities" of Holland

[2]Low-lying coastal and/or Small Island Development States (SIDS)

[3]Special municipalities of Holland

Combined with the adjacent Gulf of Mexico LME and Southeast US Continental Shelf LME (see also the maps in Annex 3), the region largely coincides with the "Wider Caribbean Region" (UNEP Regional Seas/Cartagena Convention, IOCARIBE).

The Caribbean and North Brazil Shelf LME's (CLME and NBSLME) receive the outflows from many rivers, incl. 23 transboundary river basins (see Annex 3). Massive quantities of fresh water and sediments enter the LME's from three great South American river systems: the Amazon, Orinoco, and Magdalena Rivers.

The complex interaction of riverine discharge and coastal and ocean processes promotes high marine ecological and biological diversity. Among the region's marine ecosystems are coral reefs, mangroves, seagrass beds, beaches, wide expanses of muddy continental shelf, and pelagic systems, as well as all of the biodiversity associated with these ecosystems. The coral reef-mangrove-seagrass complex in the CLME+ has been described as one of the most biologically diverse and productive systems in the world:

- It contains an estimated 26,000 km^2 of coral reefs, ±10% of the world's total;
- Mangroves in the Wider Caribbean represent ±20% of global mangrove coverage (10,429 km^2 in the NBSLME alone, the most of any LME);

- Seagrass coverage in 2010 was estimated to be ±66,000 km^2 (UNEP-CEP, 2020); together with mangroves they constitute important carbon sinks.

Coral reefs are generally found along insular and continental coastlines throughout the wider Caribbean, including the Mesoamerican Reef system which is the largest transboundary barrier reef and second largest barrier reef in the world. Few small reefs are found along the North Brazil Shelf coastline. Mangroves are widespread along the coasts of the wider Caribbean, especially in the North Brazil Shelf. Seagrasses are located throughout the wider Caribbean, growing in lagoons between beaches and coral reefs or forming extensive meadows in protected bays and estuaries. These habitats host significant species diversity, including endemic and threatened species, as well as commercially valuable species. The UNEP "State of Nearshore Marine Habitats in the Wider Caribbean" (2020) provides maps with the estimated distribution of coral reefs, mangroves and seagrasses in the Wider Caribbean Region.

In the area of the Caribbean Sea, a total of 12,046 marine species (approx. 1.400 species of fish) were identified by the Census of Marine Life (Miloslavich et al. 2010), with well over 90% of the fish, coral and crustacean species being endemic to the area (WRI, 2011).

A dominant climatic feature of the CLME is the existence of an annual hurricane season from (historically) 1st June to 30th November, with an increase in both frequency and intensity of storms considered to be associated with due to climate change.

The draft" State of Protected and Conserved Areas" (SOPACA, IUCN/BIOPAMA) report documents a total of 767 protected areas with a marine component in the Wider Caribbean, covering 319,154.6 km^2 which equates to a total marine area under protection of approximately 8.6% of the full Wider Caribbean Region (Figure 2) (J. Walcott, personal communication). No marine Other Effective area-based Conservation Measures (OECM) have been formally declared/registered as such for the wider Caribbean to date (May 2022).

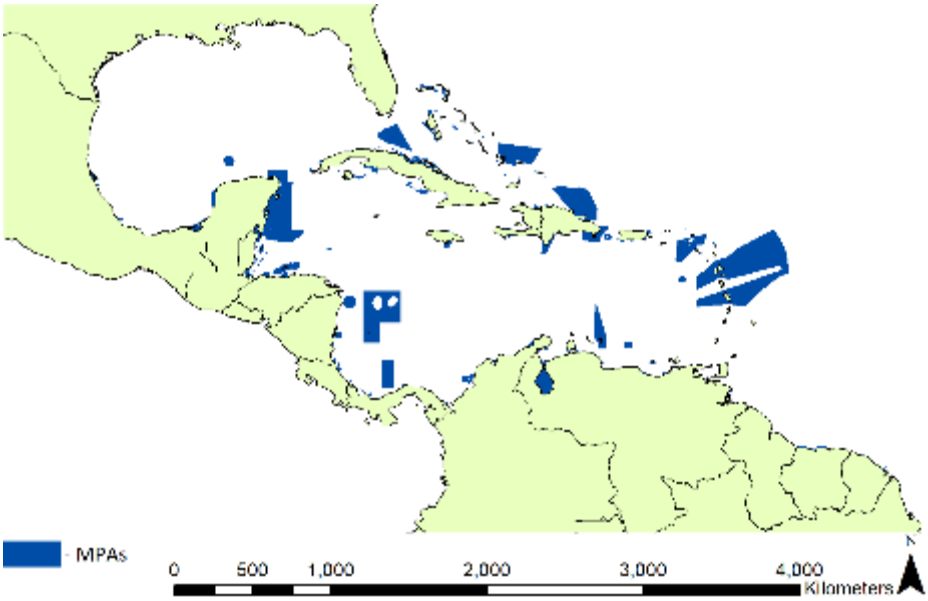


Figure 2. Protected Areas with a marine component in the Wider Caribbean which meet the IUCN definition of a protected area and that have been legally designated by countries. (source: BIOPAMA/Caribbean Protected Areas Gateway)

Socio-economics

The UNEP State Of the Cartagena Convention Area report (2019)[3] provides Human Development Index and associated metrics for countries in the Wider Caribbean Region, averaged over the period 2011–2015. Overall, most countries of the Wider Caribbean scored a high HDI, with only Haiti demonstrating a low HDI. Guatemala, Honduras, Nicaragua and Guyana ranked as having a Medium HDI.

In 2015, population of the terrestrial drainage area of these LME's was 174 million, with 95 million living within 100 km of the coastline (see Annex 3). Data reported by IOC-UNESCO and UNEP in 2015 indicated that about 32% of the coastal population in the Caribbean LME was considered poor (IOC-UNESCO & UNEP, 2015a) compared to 22% for the NBSLME (IOC-UNESCO & UNEP, 2015b).

There are more than 50 indigenous and tribal peoples geographically located in the coastal areas of the countries participating in the PROCARIBE+ Project, and/or making use of the lands and territories, and/or their coastal and/or marine resources. The participating countries with higher indigenous populations located in the main areas of influence of the PROCARIBE+ Project activities are the Central American countries, Colombia, Venezuela and Brazil. For more information, we refer to the PROCARIBE+ Indigenous Peoples Planning Framework (IPPF included in Annex 10 ESMF).

The blue economy is expected to become an increasingly important driver of the economies in the countries of the CLME+/wider Caribbean region, with most countries having at least some well established marine and coastal sectors. The main sectors involved in the blue economy in the region are capture fisheries, coastal aquaculture, shipping & ports, marine and coastal tourism, and offshore oil and gas exploitation. Emerging sectors like marine aquaculture and marine renewable energy are still being explored.

UNEP's State of Nearshore Marine Habitats in the Wider Caribbean (2020) states that the Caribbean Sea accounts for 14 to 17 percent of the global ocean economy and provided approximately US$407 billion in 2012.

Fisheries

Fisheries are a significant provider of food, livelihoods and income in the region. It is estimated that more than 900,000 people are employed directly in capture fisheries, with another 3 million jobs in ancillary activities such as processing, net-making and boat building (CLME+ SAP). Within the wider setting of the Western Central Atlantic, countries and territories of these LMEs caught an estimated 1.4 million tons of fish in 2019 (FAO, 2021). The fisheries sector in the wider Caribbean earns close to US$ 5 billion annually (Patil et al., 2016).

Notably, the region's spiny lobster, conch and shrimp fisheries are economically important. Given the high commercial value and the importance of international trade for Caribbean spiny lobster products (around 350 - 400 thousands USD annually), this fishery is an important source of jobs, including for artisanal and industrial fishers, processors and the tourism industry, and it could account for more than 1% of the gross domestic product in countries such as Cuba, The Bahamas, Brazil, Nicaragua, and Honduras (Prada et al., 2017). Estimates for queen conch indicate that the regional annual production could be valued at between 50 to 70 million US dollars, with exports to the United States of America accounting for approximately ⅓ of this value (M. Prada, personal communication)[4].

[3] In Annex 4.3

[4] The value of the Queen conch fishery for the Caribbean was estimated based on expanded landings (weight of the meat plus weight of the shell) using global databases (FAO and Sea around us).

The Caribbean spiny lobster reached its maximum production in the 1990s with an average of 41 thousand tons annually, and decreased after the 2000's by around 9% (to approximately 37 thousand tons).

The fishery of the Caribbean endemic queen conch has a variable annual production which according to data from FAO reported in 2014 amounted to approximately 7,800 tons of 100% clean meat filets (FAO 2017). However, there is high uncertainty of its regional annual production levels due to data quality issues. The international trade of this species has been regulated by CITES since 1992, in an effort to increase the sustainability of this fishery.

The shrimp stocks in the CLME+ region have been subjected to an intense and valuable fishery for more than six decades, especially in Central and South America, including Northern Brazil. This fishery includes several species, such as the southern brown shrimp (*Farfantepenaeus subtilis*), the pink spotted shrimp (*F. brasiliensis*), the southern pink shrimp (*F. notialis*), the white shrimp (*L. schmitti*), and the smaller seabob shrimp (*Xiphopenaeus kroyeri*). In the last 15 years, shrimp catches have exhibited a negative trend, decreasing from 3,019 tons to 1,019 tons in Guyana, from 3,267 tons to 624 tons in Suriname, from 3,940 tons to 732 tons in French Guiana, and from 6,224 tons to 2,482 tons in Northern Brazil (FAO 2017).

Considering the importance of these fisheries for the economies of the region, and for local livelihoods, fishing activity has been increasingly regulated, however fisheries managers in the CLME+ region still face challenges in determining the status of the stocks being exploited and the potential for their recoveries in light of data quality issues and an important presence of increase of Illegal, Unreported and Unregulated (IUU) fishing activity, the increase in fishing mortality of juvenile individuals, habitat degradation and climate change impacts.

The true regional importance of fisheries is not fully reflected in the above figures: in most CLME+ countries, a large proportion of the population has access to the sea and there is a preponderance of small-scale fisheries that are under-reported (Dunn et al., 2010). Thus the role of fisheries in terms of livelihoods and food security to the Caribbean population is substantial, but poorly known. Many fishing communities continue to be highly vulnerable to poverty (CRFM, 2012).

Tourism

The region of the insular Caribbean is more dependent on tourism than any other part of the world (CRFM, 2016). The Caribbean Tourism Organization (CTO) reported that Caribbean destinations received an estimated 32 million international tourists in 2019, contributing a total of USD$ 58.4 billion (14.6% of total Gross Domestic Product (GDP)) to the economies of Caribbean countries (World Travel and Tourism Council, 2021). However, as with other regions of the world, the tourism industry suffered great losses during the COVID-19 pandemic. In the Caribbean, it appears that the sector suffered disproportionately compared to other regions with Travel & Tourism GDP dropping by 58% due to its strong reliance on international tourism which decreased significantly due to COVID measures (World Travel and Tourism Council, 2021). Considering that the sector accounts for a large share of the overall economies of the region, travel and tourism will play a key role in driving the socio-economic recovery post COVID-19.

Visitors to the region are largely attracted by its climate and nature, particularly the marine environment. Tourism therefore depends on the capacity of the marine ecosystems to continue providing the ecosystem services which make the region such a popular destination. The Caribbean is also the world's premier cruise tourism destination, commanding the largest cruise market share worldwide (World Travel and Tourism Council, 2004).

Maritime transport

The CLME+ is also important for shipping. Within the Caribbean region, shipping represents 76.4% of the economy (Patil et al., 2016) and tens of thousands of cargo vessels, cruise ships, fishing and recreational vessels pass through

the waters of the Caribbean Sea each year. The expansion of the Panama Canal in 2016 has increased maritime transport activity across the entire wider Caribbean, particularly in the north, an area of intense maritime cargo freight traffic between the Atlantic and Pacific Oceans. A total movement of about 104,000 ships and averages of over 8,500 ships per month and approximately 300 ships per day have been reported in the CLME and adjacent regions (Vila et al., 2004). Much of the ship traffic in the Caribbean Sea is related to oil transportation with the Caribbean Sea second in oil traffic only to the Persian Gulf (CLME Project, 2011).

Oil and gas

The CLME+ region holds significant potential as a major producer of hydrocarbons.

Trinidad and Tobago is the most established and largest oil and gas producer in the CLME, with the energy sector contributing approximately 40% of the country's GDP (Halcrow Group Ltd, 2016). While countries like Belize and Costa Rica have banned oil exploration, others like Aruba, The Bahamas and Jamaica are at various stages of exploration (UNEP-CEP, 2020).

In the NBSLME, exploration activities have intensified in recent years. Oil production in Brazil in 2020 was ranked ninth in the world and the country was the only oil-producing country in South America to report an increase in crude oil in 2020 (EIA, 2021).

In Guyana, oil production started in late 2019 (Seefeldt, 2022) with oil reserves estimated to be worth over US$200 billion (Krauss, 2017). The country's coastal waters are said to contain one of the richest oil and natural gas discoveries in decades and could lead to Guyana becoming one of the principal oil-producing countries in the Western Hemisphere (Krauss, 2017). Suriname has also discovered hydrocarbon basins that offer potential and has started small operations with major projects expected to start by 2025 (Seefeldt, 2022).

Global environmental problems and root causes

The environmental problem and its associated socio-economic impact

Pressures on the marine environment in the region have grown significantly, with ecosystem capacity to provide goods and services increasingly impacted, and further **aggravated by climate change**. Economic recovery from the COVID-19 pandemic and development of a resilient blue economy are set against a baseline of 3 interlinked trends: **(i)** growing ocean-based activities with increasing and accumulating environmental stressors/impacts; **(ii)** increasing impacts from natural disasters, and **(iii)** overall decline in natural ocean resources and ocean health.

With a complex post-COVID recovery ahead, harnessing the marine natural capital to underpin recovery and resilience-building efforts will be critical. Threats to the ocean are to be addressed in a thorough and comprehensive way. Areas of particular concern remain: **(i) habitat degradation; (ii) unsustainable fishing**; **(iii) marine pollution** - all highlighted in the UNDP/GEF CLME Project Transboundary Diagnostic Analyses (TDA's, 2011), and the **(iv)** cross-cutting concern of **climate change**.

Root Causes of Environmental Degradation

The TDA's identified *inter alia* the following cross-cutting root causes of the aforementioned persistent threats to the marine environment in the region: **(1) limited human and financial resources**; **(2) inadequate (access to) data and information**; **(3) inadequate public awareness and involvement; (4) inadequate consideration of the value of ecosystem goods and services; (5) population and cultural pressures;** and **(vi) trade and external dependencies.** This notwithstanding, the TDA's clearly identified **(6) weaknesses in ocean governance as the overarching root cause**.

Examples of the causal chain analyses leading to the identification of these root causes, such as for example the causal chain analysis for habitat degradation and for pollution of the reef and pelagic ecosystems in the wider Caribbean, can be consulted online on the CLME+ Hub.

Dealing with these root causes has been a core consideration in the development under the first CLME Project of the **10-year "*Strategic Action Programme for the Sustainable Management of the shared Living Marine Resources of the Caribbean and North Brazil Shelf LMEs (2015-2025)*" (the "CLME+ SAP" or "SAP")**.

The creation of a regional Ocean Coordination Mechanism, complemented by **wider-ranging partnership(s)**, and the **proposed paradigm shift** from a "problem-focused" approach to a more aspirational outlook centered on the region's wealth of **opportunities and potential for positive change**, are now expected to further put the region on the path towards dealing with these root causes in a **more holistic, integrated way, with contributions from all sectors of society**.

Barriers to be addressed

While the Transboundary Diagnostic Analyses (TDA's) conducted with the support of the CLME Project identified the root causes on which action is to be taken, several barriers may hamper the successful removal of these root causes.

These include:

Absence of trust (barrier #1) among stakeholders constitutes a critical barrier.

Absence of trust makes it difficult, for example, to optimize the use of limited human and financial resources (root cause 1) through coordination and collaboration, and to ensure adequate access to data and information (root cause 2); it also hampers the collaboration among countries and organizations required to achieve synergies and avoid antagonistic action by different stakeholder groups; overall, it thus constitutes a barrier to the elimination of weaknesses in ocean governance (over-arching root cause, 6).

Trust-building across sectors and sub-regions was initiated under the CLME Project (GEF ID 1032), and continued with increasing levels of collaboration within and among countries, and among a core set of inter-governmental organizations and development partners under the CLME+ Project (GEF ID 5542). PROCARIBE+ (GEF ID 1800) will continue and further upscale this effort.

Financial constraints (root cause), accentuated by the COVID-19 crisis, mean that at this particular moment **discontinuity of the required GEF's transitional support (barrier #2) for the aforementioned efforts** would constitute a critical obstacle to securing the positive long-term impacts of these initial investments. The CLME+ Project culminated with the finalization, at its final Project Steering Committee Meeting in October 2021, of the full text of the Memorandum of Understanding (see Annex 22), i.e. the document that will allow to establish the regional Ocean Coordination Mechanism (OCM, see section IV of this Project Document). The creation of such regional coordination mechanism was one of the highest-ranking priority actions under the politically-endorsed CLME+ SAP, and is seen as key to resolving the weaknesses in ocean governance arrangements in the region, with the latter cited as the over-arching root cause (6) of environmental degradation at the LME-level in the CLME TDA's and SAP. Absence of transitional GEF support for the OCM would jeopardize operationalization of the OCM.

Absence of a paradigm shift (barrier # 3) in the application of the TDA/SAP concept in the region, from a "problem"-focussed approach towards a more balanced focus on "challenges and opportunities" would be another important barrier: a failure to more explicitly link the ocean, and its protection and restoration, to socio-economic development would contribute to a perpetuation of distrust among different ocean stakeholder groups, in particular those advocating for ocean protection and conservation, and those seeking to exploit and use its resources (i.e. feedback loop with barrier # 1) and negatively impact efforts to remove/resolve several of the root causes, including root cause 3 (inadequate public awareness and involvement), 4 (inadequate consideration of the value of ecosystem goods and services) and 5 (cultural pressures); it would hence also jeopardize the construction of the wide-ranging

societal **partnerships and the successful engagement of key ocean-using sectors (barrier # 4)** in the development and implementation of the new SAP. With successful governance demanding concerted and complementary action from all sectors of society, barrier #4 would lead to a perpetuation of the over-arching root cause (6) of weak governance.

Absence of systematic mainstreaming of climate change mitigation and adaptation considerations in decision-making, management actions and investments would also constitute an important barrier **(barrier # 5)** to the selection of actions, and the priorization of decisions and investments that are most prone to lead to solutions that combine cost-effectiveness with sustainability of outcomes. Systematic screening of all proposed PROCARIBE+ actions on their "robustness" *(i.e. will the proposed solution ensure positive impacts, even under different potential manifestations of climate change?)* and their contributions to enhancing the resilience of the socio-ecological systems in the CLME+ region, will help lifting this barrier.

With the region being hit particularly hard by natural disasters (e.g. hurricanes, volcanic/seismic activity) and the coronavirus (COVID-19) pandemic, the pressure to deploy and fully focus on short-term emergency measures is high. In this context, **disregard of longer-term, strategic considerations (barrier # 6)** becomes a real threat, making it likely that a unique chance to implement more sustainable solutions will be missed.

Now, more than ever, does the introduction, exploration and implementation of the concept of sustainable ocean-based economies, or "blue economies" provide a singular opportunity.

The PROCARIBE+ approach to addressing this challenge, and consistency with regional and national priorities and assessments, and global commitments

For the CLME+ region, the first-ever, 10-year region-wide "umbrella" Strategic Action Programme ("**CLME+ SAP", 2015-2025**) was developed in 2013 with the support of the first CLME Project. The SAP articulated as the long-term (~20 years) Vision for the region: "*A healthy marine environment that provides benefits and livelihoods for the well-being of the people*".

This SAP is based on the results of a series of Transboundary Diagnostic Analyses (TDAs), case studies and pilots, and was developed following a highly participative approach in which CLME+ countries and key regional organizations were engaged as the main stakeholders.

The CLME+ SAP has been politically endorsed by 36 Ministers, representing 26 Countries and 8 Overseas Territories. As such, the CLME+ SAP is highly reflective of the shared priorities of the countries from the Caribbean and North Brazil Shelf LMEs, and provides a common roadmap for collective, ocean-positive action to address the aforementioned threats to the marine environment and their root causes. SAP Strategies and priority actions have consequently been mainstreamed into the formal work programmes of key Inter-Governmental Organizations (IGO's) in the region with an oceans-related mandate. A mechanism to track SAP implementation progress has been developed with the support of the CLME+ Project and is implemented on the CLME+ Hub.

The SAP is supportive of several regional and global instruments (including the 2030 Sustainable Development Agenda, in particular SDG14 and the CBD Strategic Plan).

To complement this SAP, the CLME+ Project facilitated, through the Caribbean Natural Resources Institute (CANARI), the development by civil society organizations of a complementary "**People Managing Oceans**" or "**C-SAP**". To date this C-SAP has been endorsed by a total of 51 civil society organizations.

Emanating from the over-arching regional SAP, PROCARIBE+'s predecessor CLME+ Project supported the development by regional IGO's of a series of **thematic assessments** (e.g. the "**State of the Convention Area**" reports on land-based sources of pollution and on marine habitats, Cartagena Convention) and **Regional Strategies and Action Plans** (**RSAPs**, e.g. on Illegal, Unregulated and Unreported (IUU) Fishing, on LBS pollution, and on marine habitat protection and restoration)

PROCARIBE+ through its 4 technical Project Components (see section IV) and with its over-arching objective of "*Protecting, restoring and harnessing the natural coastal and marine capital of the Caribbean and North Brazil Shelf Large Marine Ecosystems to catalyze investments in a climate-resilient, sustainable post-covid Blue Economy, through strengthened regional coordination and collaboration, and wide-ranging partnerships*", now seeks to further advance and upscale the strategies and priority actions agreed upon through the CLME+ SAP and C-SAP, and the associated RSAPs.

Particular reference is made in this context to the CLME+ SAP's Core Strategy, namely **SAP Strategy 3**, which calls for the **establishment and operationalization of a regional ocean coordination mechanism ("OCM")**. Through the CLME+ Project, countries and IGO's from the region have now finalized the establishing document for this "OCM", with the document assigning the role of "regional platform" to the OCM to facilitate the continued implementation in the region of the cyclical TDA/SAP approach promoted by the GEF.

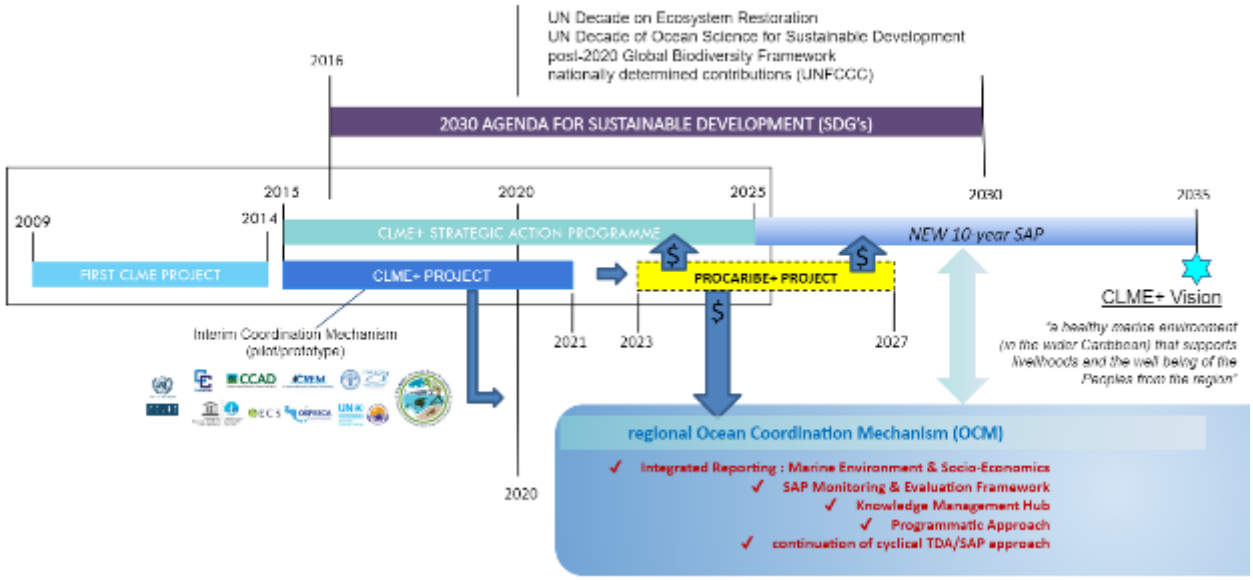


Figure 3. Road towards achieving the long-term vision for the marine environment of the CLME+ region, and towards region-wide delivery on global priorities and commitments, with transformational change being achieved and consolidated through the sequence of GEF-supported projects under the CLME+ initiative. (source: PROCARIBE+ PPG Phase)

The dependency of the societal and economic dimensions of the 2030 Sustainable Development Agenda on a healthy biosphere and on "Life Below Water" ("Sustainable Development Goal" or "SDG " #14) is clearly captured in the representation by the Stockholm Resilience Centre of the 17 SDG's shown in Figure 4 here below.

Figure 4. Representation of the 17 Sustainable Development Goals (SDG's) clearly showing how the protection and restoration of the biosphere underpins and will thus be key to the achievement of all other SDG's. (source: Stockholm Resilience Centre)

The CLME+ SAP and PROCARIBE+ Project's objective and approach are clearly consistent with, and strongly supportive of a large number of internationally, (sub-)regionally and nationally agreed upon commitments and instruments. These include but are not limited to:

Rio + 20 Resolution, which recognizes inter alia: **(i)** the importance of promoting the science-policy interface; **(ii)** strengthening the participation of countries in international sustainable development processes through capacity building and assistance to conducting their own monitoring and assessments; **(iii)** recognizing the importance of also building capacity in developing countries to benefit from conservation and sustainable use of the oceans and seas and their resources and emphasizing, in this regard, the need for cooperation and partnership in marine scientific research; **(iv)** commit to take action to reduce the incidents and impacts of pollution on marine ecosystems, including through effective implementation of relevant conventions and adoption of coordinated strategies to this end (including measures to control introduction of alien invasive species); **(v)** supporting international cooperation toward realizing the social, economic and environmental benefits from the conservation and effective management of coral and mangrove ecosystems; **(vi)** recognize the importance of area- based planning and conservation measures; **(vii)** encourage the GEF to take additional steps to make resources more accessible to meet country needs for the national implementation on international commitments; **(viii)** recognize that a dynamic, inclusive and well-functioning and socially environmentally responsible private sector is a valuable instrument that can offer a crucial contribution to economic growth and reducing poverty and promoting sustainable development.

Sustainable Development Goals:

• Goal 2: Zero hunger through the critical role living marine resources play in food security;
• Goal 5: Achieve gender equality and empower all women and girls;
• Goal 7: Affordable and clean energy through the contribution marine renewable sources play in energy security;
• Goal 8: Decent work and economic growth through the diversification and growth of marine-based economic sectors;
• Goal 13: Climate Action through the implicit link between the oceans and climate change, and the adaptive measures countries can take to maintain ocean integrity and resilience.
• Goal 14: Life Below Water through identifying risks to the marine environment, especially to marine living resources, and proposing strategies that mitigate those risks;

• Goal 16: Strong Institutions through establishing robust national marine regulators and incorporating participatory processes in decision-making about marine management issues.
• Goal 17: Partnerships through establishing mechanisms through which the broad range of stakeholders with an interest in sustainable use of the oceans can participate and play a role in decision making and management.

Aichi Biodiversity Targets:
A – Address the underlying causes of biodiversity loss by mainstreaming biodiversity across government and society;
B – Reduce the direct pressures on biodiversity and promote sustainable use;
C – Improve the status of biodiversity by safeguarding ecosystems, species and genetic diversity;
D – Enhance the bene□ts to all from biodiversity and ecosystem services;
E – Enhance implementation through participatory planning, knowledge management and capacity building.

High Ambition Coalition (HAC) on Nature and People, and the **Global Ocean Alliance**: an increasing number of countries from the region is pledging to work towards the 2030 target of having 30% of their marine space under enhanced protection.

Other (sub-)regional instruments of high relevance include but are not limited to: the **UNEP Caribbean Environment Programme/Cartagena Convention Strategy**, the **SAMOA Pathway**, the **Eastern Caribbean Regional Ocean Policy (ECROP; OECS)**, and the **Regional Strategy for Blue Growth in the SICA sub-region ("Estrategia Regional para el Crecimiento Azul en los países SICA; ERCA/SICA).**

The countries participating in this project are, to varying degrees, signatories to numerous multi-lateral agreements relating to the protection and management of the marine environment, both at a global and regional level. Table 2 below lists some of those most relevant to the sustainable development of the CLME+ region.

Table 2. List of multi-lateral agreements and arrangements of relevance to PROCARIBE+ (non-comprehensive).

International	Regional
United Nations Convention on the Law of the Sea (UNCLOS), 1982; Convention on Biological Diversity (CBD), 1992; United Nations Framework Convention on Climate Change (UNFCCC), 1992 and the Kyoto Protocol and the Paris Agreement; Convention of International Trade in Endangered Species (CITES), 1972; The Convention on Wetlands of International Importance, especially as Waterfowl Habitat (Ramsar Convention), 1971; International Convention for the Conservation of Atlantic Tuna (ICCAT), 1966; International Convention for the Regulation of Whaling, 1948 and 1959; International Convention for the Prevention of Pollution from Ships, 1973, as modified by the Protocol of 1978 (MARPOL 73/78) including Annexes I-VI;	CLME+ Strategic Action Programme (CLME+ SAP, 2015 -2025) and associated/complementary Regional Strategies and Action Plans, and Investment Plans (IUU, Marine Habitats, Nutrients/Pollution), developed by WECAFC/CRFM/OSPESCA and UNEP CEP (Cartagena Convention), with the support of the CLME+ Project; Convention on the Protection and Development of the Marine Environment in the Wider Caribbean, 1983 ("Cartagena Convention"); Protocol Concerning Cooperation in Combating Oil Spills in the Wider Caribbean, 1983; Protocol Concerning Specially Protected Areas and Wild life (SPAW) in the Wider Caribbean Region; Protocol Concerning Pollution from Land-Based Sources and Activities (LBS), 1999; Caribbean Community Common Fisheries Policy (CCCFP); Mesoamerican Strategy for Environmental

International Convention on the Control of Harmful Anti-fouling Systems on Ships, 2001; International Convention for the Control and Management of Ships Ballast Water and Sediment, 2004; Agreement for the Implementation of the Provisions of the United Nations Convention on the Law of the Sea Relating to the Conservation and Management of Straddling Fish Stocks and Highly Migratory Fish Stocks; FAO Agreement on Port States Measures to Prevent, Deter and Eliminate Illegal, Unreported and Unregulated Fishing; UN 2030 Agenda for Sustainable Development; CBD Strategic Plan for Biodiversity 2021-2030; recent "30x30" pledges: High Ambition Coalition for Nature and People Global Ocean Alliance	Sustainability; Eastern Caribbean Regional Ocean Policy and Action Pl an (2019); The St. George's Declaration of Principles for Environmental Sustainability in the OECS, 2006; Estrategia Regional Ambiental Marco (ERAM), CCAD; Joint CRFM-OSPESCA Action Plan for the responsible management of migratory fish resources of the Caribbean Sea; The OSPESCA Caribbean Spiny Lobster Fishery Regional Regulation and Management Plan; The Strategy for the Development of the Caribbean Environment Programme;

Several of these agreements have been translated into national policies and/or related action plans. In particular, most, if not all countries have developed the following:

● National Biodiversity Strategic Action Plans (NBSAPs) under the CBD addressing both terrestrial and marine biodiversity;
● National Action Plan for Adaptation (NAPA) under LDCF/UNFCCC including publishing and maintaining successive nationally determined contributions (NDCs) relating to commitments under the Paris Agreement.

There is also a growing trend among countries to develop national ocean or maritime policies and, more recently, Blue Economy Strategies and Action Plans.

The PROCARIBE+ Project aims to give continuity to the implementation of the 10-year CLME+ SAP, in particular several of the longer-term actions initiated through the CLME+ Project. In addition, the PROCARIBE+ Project will catalyze the implementation of key activities under the associated Regional Strategies & Action Plans, in particular those relating to Marine Habitats, Nutrient Pollution and IUU. The PROCARIBE+ proposal is therefore fully consistent and aligned with marine resources-related national, sub-regional and regional plans, reports, assessments and agreements. The project will help wider Caribbean countries meet their objectives under the various agreements and associated national strategies, including the CLME+ SAP and those regional and national action plans (NAPs) guided by SAP recommendations.

The project will also generally support countries with making progress on several key international policies, including the Sustainable Development Goals.

III. STRATEGY

As already highlighted under the previous section, a 10-year region-wide Strategic Action Programme (2015-2025) was developed and politically endorsed and, to date, continues to provide a strategic roadmap for collective, ocean-positive action. As such, the PROCARIBE+ Project strategy aligns with, continues to support and further enhances (*based on lessons learned*) the strategic approach to the development challenge for the CLME+ Region that was elaborated through the CLME+ SAP.

During the first 5 years of SAP implementation, the CLME+ Project has enabled region-wide progress towards better cooperation, communication, and collaboration. Simultaneously, initially modest and progressively increasing investments towards conservation measures, environmental stress-reduction and enhanced/alternative livelihoods have been implemented or prepared, through the CLME+ Project and many other parallel SAP-contributing projects (both GEF and non-GEF).

As per the CLME+ Project Terminal Evaluation (TE):

"GEF interventions have been supporting the countries in creating (...) the governance frameworks needed to enable sustainable cooperative ecosystem-based management (...) of the CLME+ region: ***continuity of action has been a critical factor of success****.* ***Ahead lies the challenge of consolidating EBM and regional governance frameworks and moving on to systematic stress reduction****".*

Providing continuity to the efforts that were initiated and advanced under the CLME and CLME+ Projects and building on their success will be a key factor in ensuring that PROCARIBE+ is able to keep up the momentum achieved from the previous GEF investments in the region, notably with respect to the work on the regional Ocean Coordination Mechanism.

In line with these TE conclusions, PROCARIBE+ is now indeed specifically designed to: **(a) continue supporting and upscaling/accelerating** the coordinated and synergistic **implementation of both the CLME+ SAP and the "People Managing Oceans" civil society SAP**, as well as of the **associated regional and sub-regional strategies and action plans**; **(b) tracking** and reviewing their **implementation progress**; and **(c) producing the next iteration of the regional SAP(s)** by 2025.

Such a strategic approach is deemed **essential to achieving the 20-year (2015-2035) Vision** of "*a healthy marine environment that provides benefits and livelihoods for the well-being of the people"*, while simultaneously assisting the region in overcoming the impacts of natural disasters, including hurricanes and COVID-19.

PROCARIBE+ will build on and expand the **collaborative, multi-sectoral, multi-stakeholder approaches**. It will work with and progressively attract inter-governmental institutions, governments, donors/investors and civil society/private sector stakeholders at the global, regional, national and local levels, while bringing into full swing the proposed "**International Waters paradigm shift**": away from a "**problem-centered**" approach, towards viewing the marine environment as a source of important "socio-environmental "***opportunities and challenges***".

In doing so, the proposed project will deliver on cost-efficient and effective, sustainable and concrete results in terms of: ***planning and managing the marine space and its uses in order to protect, restore and sustain coastal and marine ecosystem goods and services, and to achieve ocean-based, climate-resilient, inclusive socio-economic recovery and development, through inter alia the development of "blue" economies****.*

For this purpose, PROCARIBE+ embraces and will seek to further promote the 3-pronged approach proposed by "Friends of Ocean Action" (a coalition of 50+ global ocean leaders from business, civil society, international organizations, science,..) in their World Economic Forum Impact Report on "**The Business Case for Marine Protection**

and Conservation" (2020), as a means to drive transformative, high-impact and scalable solutions to help addressing the pressing challenges the ocean is facing today.

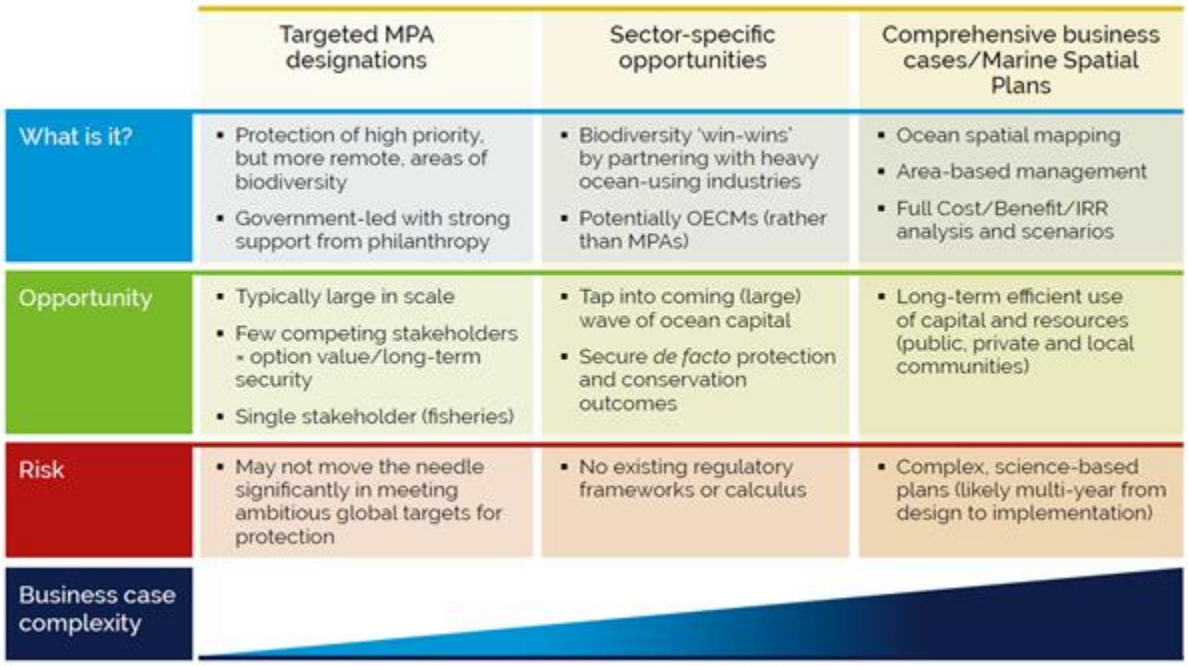


Figure 5. The three-pronged approach to upscaling marine conservation and protection in support of sustainable blue economies. (source: WEF Impact Report by Friends of Ocean Action)

PROCARIBE+ will consist of **4 complementary, inter-linked and mutually supportive technical components (see Section IV)**, **designed to collectively deliver on the project objective**: **Protect, restore and harness the natural coastal and marine capital to catalyze investments in support of climate-resilient blue economies and related recovery efforts (COVID-19, hurricanes,...), through enhanced regional cooperation and wide-ranging partnerships.**

Cross-cutting considerations that will be mainstreamed across all components include: the projects contributions to/impacts on: gender and youth, indigenous people and local communities, climate change adaptation and mitigation, and resilience of the socio-ecological system to climate variability and change, economic recovery from natural disaster (including COVID19) and regional food supply and food security.

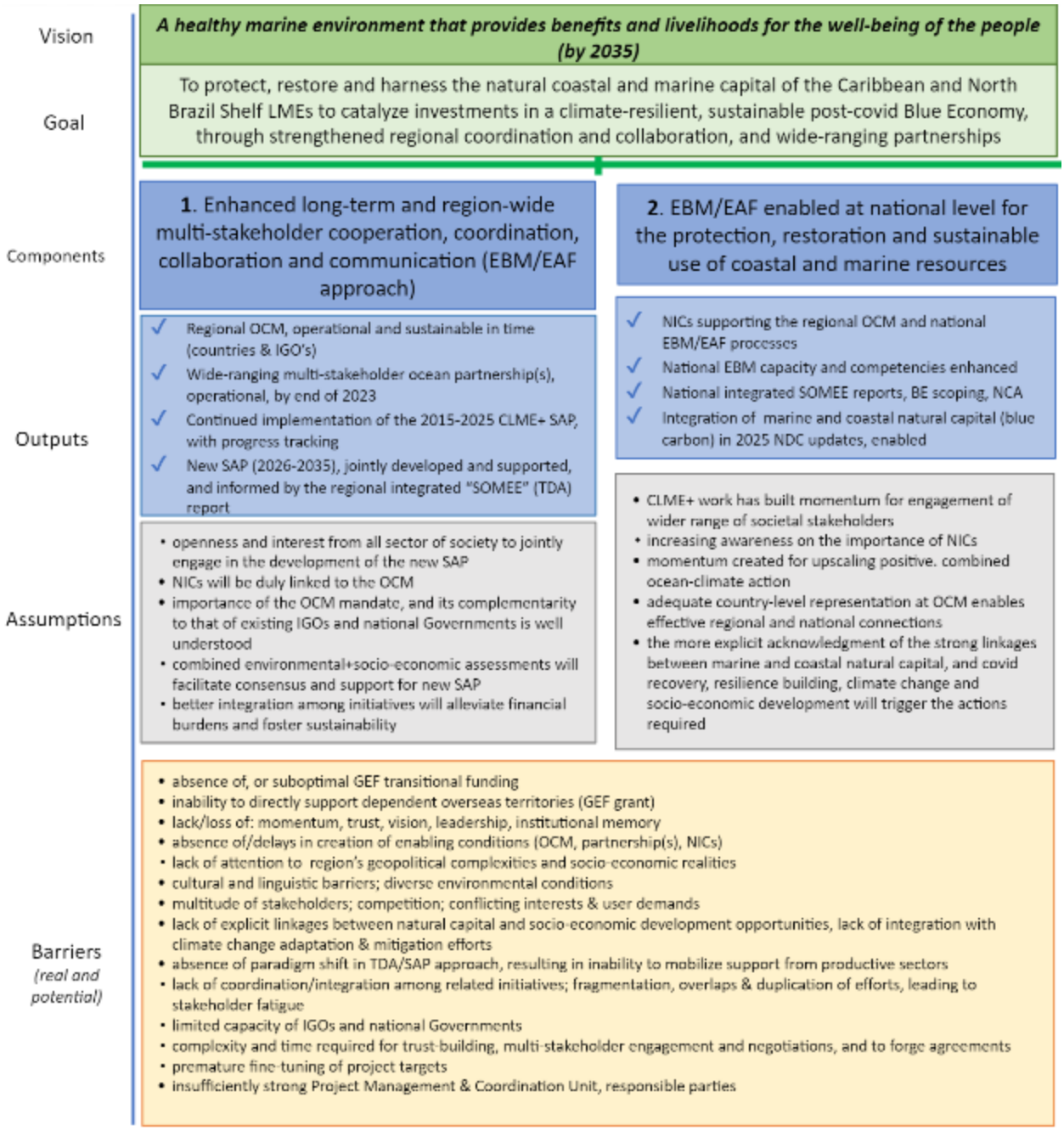


Figure 6. Theory of change diagram for the PROCARIBE+ Project.
(source: PROCARIBE+ PPG team)

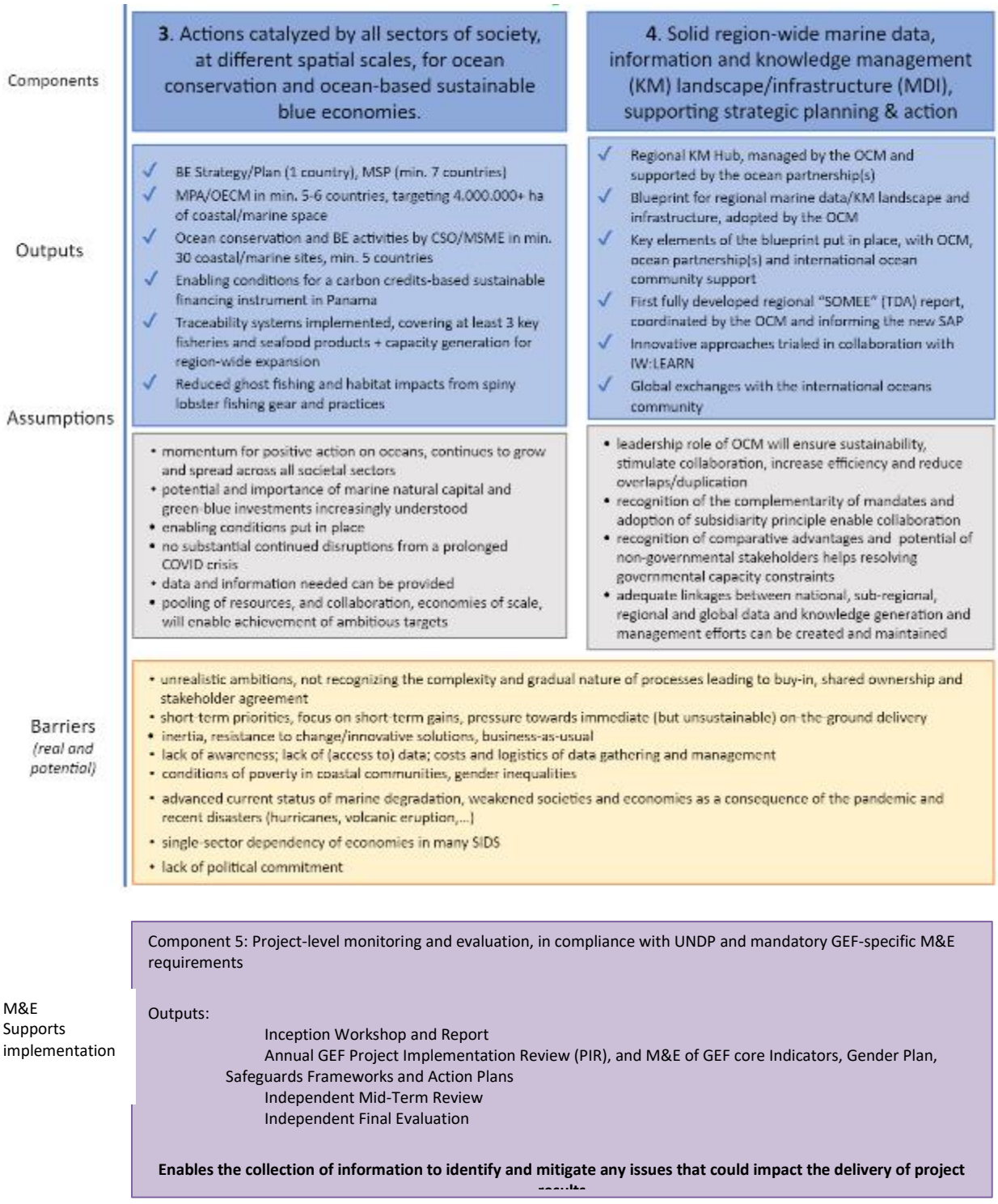


Figure 6. Theory of change diagram for the PROCARIBE+ Project (cont'ed). (source: PROCARIBE+ PPG team)

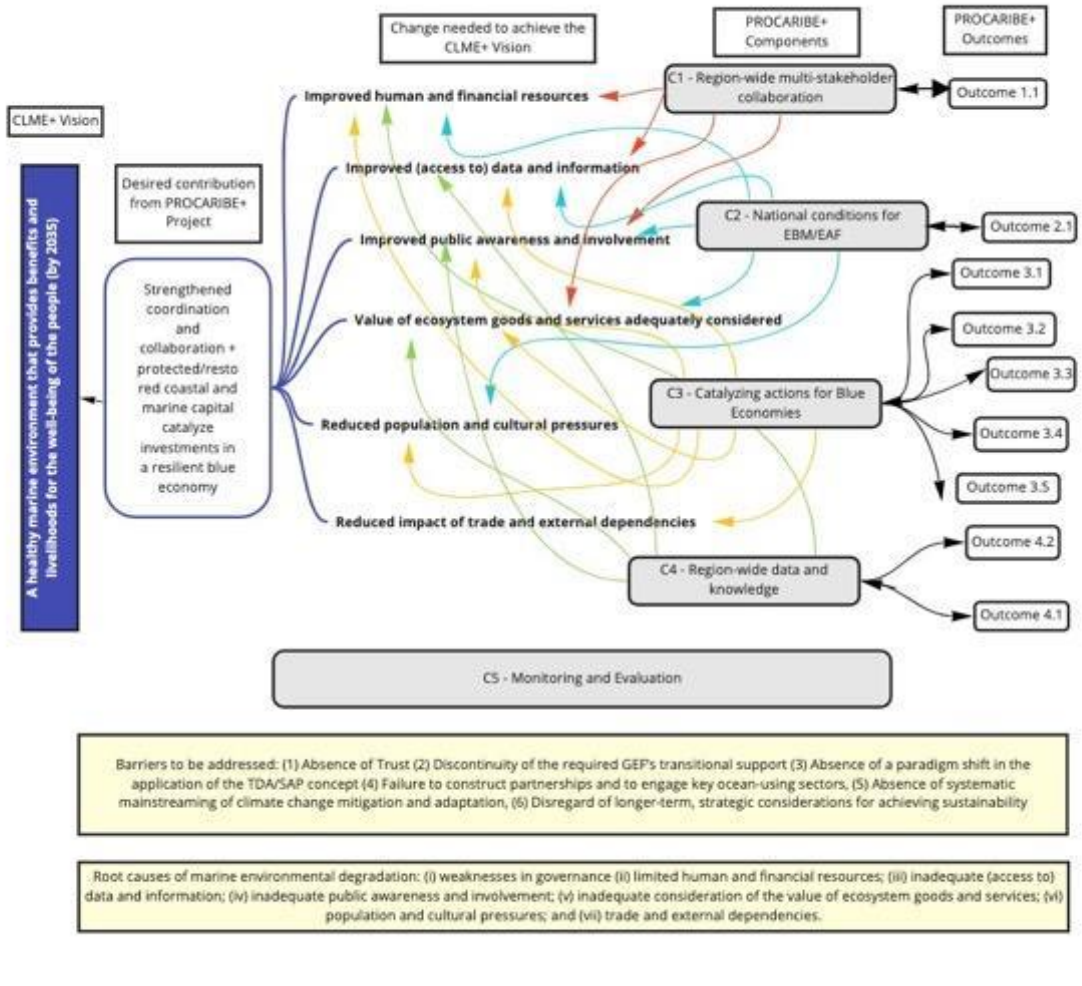


Figure 7. Contribution of the project interventions to address the barriers and root causes of environmental degradation. (source: PROCARIBE+ PPG team)

The Theory of Change (ToC) diagrams shown in Figures 6 and 7, while flagging the underlying assumptions and pointing out potential barriers, reflects how the project's delivery on the different Outputs under the Project Results Framework (see also Section IV and V) will contribute to the achievement of the expected Outcomes under each of the 4 technical Project Components and as such, collectively advance the project objective.

Figure 7 also shows how these different Components, being specifically designed (together with solid project management and coordination arrangements, see Section VII) to help lift the listed barriers, will collectively tackle the root causes of environmental degradation listed in the CLME+ SAP (see also the description of the main barriers under Section II, as well as the detailed description of outputs and activities under each Project Component in Section 4).

Following a recommendation from the GEF Scientific and Technical Advisory Panel (STAP), a more in-depth analysis has been made of the assumptions underlying the project strategy and documented in the ToC representation in Figure 6. Annex 13 therefore documents the risks/potential that at any point during execution an assumption may not/no longer hold, and proposes associated preventive, remedial and/or mitigative actions in order to ensure that, should such happen, the project objective and outcomes do not become jeopardized.

It is clear at this point that the Strategy towards the successful achievement of the Project Objective does not only depend on the **design of the technical aspects** of the proposed project, but **also on the design and configuration of the project governance, management, coordination & (technical) support arrangements**.

In this context, reference is made, once more, to the CLME+ Terminal Evaluation (TE), where it is mentioned that:

- *"The (CLME+) project has excelled in adaptive management, monitoring, and reporting of progress. This appears to be due to the quality and commitment of the PCU staff, and to the project's execution arrangements which facilitated monitoring of progress, dialogue among all actors (UNDP, UNOPS, the PCU, and all executing partners), and decision making (...). These management settings were instrumental in overcoming the obstacles that the project had to overcome"*

- *"Despite the challenging conditions under which the project had to operate, the execution modalities of the project have proven successful, and could serve as example for other similar projects characterized by multi-country transboundary settings and multiple executing partners. Two elements of the execution arrangements are worth noting: the strong PCU, established by UNOPS – the principal executing agency providing also administrative/procurement backstopping; the Project Executive Group (PEG), formally established and including the PCU.*

This is consistent with finding from the predecessor CLME TE, where it was stated:

- Adaptive management: The PCU was remarkable in its ability to implement adaptive management through effective interactions with other management bodies such as the Steering Committee, and advisory groups and panels, and the client countries. Without this capacity to re-structure the project and adjust it to emerging situations, the project would have failed.

Consequently, best practice and lessons learned from the CLME and CLME+ Projects, and related findings from the TE, were fully considered in the shaping of project governance, management, coordination & support arrangements: PROCARIBE+ is to fully embrace an adaptive management approach, with frequent stock-taking through solid, collaborative M&E approaches and early detection mechanisms (see also, e.g., Section VII).

Notably, the establishment of a strong and adequately staffed Project Management & Coordination Unit (PMCU, for further details see Section VII and Annex 8) will be a key ingredient for the PROCARIBE+ success formula: as highlighted in the CLME+ Project Terminal Evaluation, a strong PCU has been (...) "critical in maintaining focus on the achievement of the main expected outcomes (...)". In the context of PROCARIBE+, such PMCU, in addition to

project governance and management-related tasks, is to be given a very substantive advocacy and "visionary leadership"/technical support role.

Alignment with the GEF International Water Focal Area strategy:

PROCARIBE+ responds to **Strategic Objective 1** of the **GEF-7 International Waters (IW) Focal Area (FA)**, which aims to catalyze **multi-state cooperation** to "**Strengthen Blue Economy Opportunities**". The proposal is extremely well-aligned with the Strategic Actions of Objective 1:

The Project will apply ecosystem-based approaches to management of LMEs through, inter alia, the development of ocean management arrangements that are integrated and consistent at both the regional and national levels, and the development of initiatives that address the different key environmental stressors, namely **land-based sources of pollution, habitat degradation, unsustainable fisheries**, and the cross-cutting issue of **climate change**, in an integrated way. As such, the project **responds to all 3 Strategic Actions** called for under **Objective 1**.

The project will continue to foster the **enhanced collaboration among LME's, Regional Seas Conventions and Regional Fisheries Bodies**, and the relevant sub-regional geopolitical integration mechanisms, through the regional Ocean Coordination Mechanism (**OCM)** - a collaborative arrangement for which the CLME+ Project was a global pioneer as it operationalized the OCM's predecessor and prototype "CLME+ Interim Coordination Mechanism" (ICM); to be consolidated through Project **Components 1** and **4**.

As indicated under the GEF-7 IW Programming directions, strengthening blue economy opportunities require **regional cooperation** (esp. **Project Components 1 and 4**) and **national action** (esp. Project **Components 2 and 3**), with tools such as **Marine Spatial Planning** (**Component 2 and 3** -*supported by the **Marine Data Infrastructure** built under **Component 4**)*- being enablers for more sustainable use of marine and coastal resources. The GEF-7 IW Focal Area aims to fund collective management of coastal and marine systems (Project **Component 3, engaging civil society, MSME, private sector and governments**) and implementation of the full range of integrated ocean policies, legal and institutional **reforms** (**all Component**s). As per the Programming Directions, this is to be done in tandem with catalyzing regional processes, such as the **Transboundary Diagnostic Analysis/Strategic Action Program (TDA/SAP)** (Project **Components 1 and 4**, and supported by SOMEE reporting under **Component 2**, and with **Component 3** supporting the implementation of several of the priority actions under the CLME+ SAP).

The Project will support selected countries in developing their **Blue Economy Plans** and in enhancing their **MPA networks**, and engage civil society organizations and MSME's in the **protection and restoration** of key coastal habitats (**mangroves, seagrass beds, corals**) while simultaneously providing sustainable **livelihoods (tourism, small-scale fisheries, mariculture,...) (Component 3)**. It will further seek to harness the region's enormous potential in terms of **blue carbon**, in alliance with the NDC Partnership, UNDP's Climate Promise and others **(Component 2 and 3)**.

Connecting the targets of healthy ecosystems and sustainable fisheries, and through a joint **public-private** effort, and supported by **enhanced civil society consumer awareness**, the Project will support actions to substantially reduce **IUU** and negative impacts from **unsustainable fishing practices and gear**, by applying **traceability** to a substantial share of the region's **key fisheries exports** (spiny lobster, queen conch and shrimp) while also developing, for implementation through **regulatory reforms**, measures and technological innovation to reduce **ghost fishing** and **habitat impacts** from spiny lobster fishing gear (**Component 3**).

Whereas the Project's GEF grant would not provide the resources required to make substantive investments in large-scale on-the-ground LBS pollution prevention and reduction efforts, the Project will seek to support the implementation of the **Regional Action Plan on Nutrients,** developed under the Cartagena Conventions' LBS Protocol with the support of the CLME+ Project, i.a. by providing **micro-financing support for small-scale nature-based solutions**, and by **fostering alliances with International Financial Institutions (IFI's)** through which more substantial financial resources for **major investment** works can then be mobilized.

While the Project would also not directly deliver on the target of enhanced water security in transboundary freshwater ecosystems (**GEF7 IW FA Objective 3**), it does support several of the calls for action under this Objective, as it acknowledges the close to **10.2 million km^2 of terrestrial area** draining directly into the project LME's, including through **23 transboundary river basins**. Through engagements with, e.g., IW:LEARN, SIWI, CAPNET and with (GEF-supported IW) projects targeting the region's transboundary basins such as (but not necessarily limited to) those of the Sixaola and Motagua Rivers in Central America (GEF IDs: resp. 10172 and 9246) , it will increase awareness, as well as the capacity for better integration of IWRM/IRBM and ICZM/MSP efforts, promoting the Source-to-Sea (S2S)/Ridge-toReef (R2R) approach (**Component 2**). Training provided will stimulate cooperation on water quality issues where such can help deflate potential conflict e.g. as a consequence of marine impacts from land-based pollution. The linkage with related GEF projects will thus support reduction of ecosystems pressures, also in the adjacent coastal and marine zone. As such, the project will help countries in addressing point and non-point sources of pollution, along the source to sea continuum (**Component 3**), in support of the CLME+ SAP and Cartagena Convention LBS Protocol and the Regional Nutrients Action Plan, and to the benefit of other marine conservation efforts undertaken e.g. in support of the SPAW Protocol and the associated Regional Action Plan on Marine Habitats. Through actions under Component 3 (and the planning for such actions under Component 2, e.g. through the NDC's) the project will also contribute to the protection and rehabilitation of coastal aquatic ecosystems (e.g. through micro-finance, blue carbon action, NBS, MSP and MPA's), especially coastal wetlands and mangroves, with multiple derived benefits (incl. carbon sequestration, coastal protection, etc.).

The Project will contribute to not only regional environmental management but also regional food security, peace and stability. **Gender issues** and **climate change considerations will** be mainstreamed throughout the project design and implementation. Gender considerations during the PPG phase will include a gender analysis, a gender action plan (Annex 11) and a method for collecting sex-disagregated data.

The Project will develop a strong alliance with IW:LEARN (**Component 4**).

Incremental/additional cost reasoning:

While both transboundary as well as cross-sectoral coordination and collaboration, and the introduction of innovative technologies and approaches, are acknowledged to be essential for resolving the challenges and for optimally harnessing the opportunities arising from marine and coastal resources in Large Marine Ecosystems, achieving such well-informed coordination and collaboration does create both transient and permanent costs that are additional to those associated with purely national and/or sector-based, traditional ("business as usual") approaches. This is even more the case in geopolitically complex LME's such as the Caribbean and North Brazil Shelf LME's, where the marine space is subject to multiple user demands and potentially conflicting objectives.

Multiple inter-governmental organizations and geopolitical integration mechanisms co-exist in the region, each with their own, sometimes complementary, sometimes overlapping thematic and geographic scopes.

While the medium- to long-term gains to be obtained from innovation and from adopting a collaborative, integrated, LME-based approach can generally be clearly visualized, in a post-COVID19 context and with the more substantial returns to be obtained from a developing blue economy lagging behind the initial investments in creating its enabling actions, one of the main bottlenecks to the implementation of the Alternative Scenario proposed by the Project will continue to be the short-term financing of the incremental costs of: well-coordinated, region-wide, cross/multi-sectoral and innovative action, covering multiple spatial scales, and backed by sound data, information and knowledge.

Without renewed, transitory co-financing support from the GEF to help cover these incremental costs, the progress and momentum obtained from prior investments (described under the baseline) is likely to stall; the value of these initial investments may either be permanently lost, or become very costly to restore at a later stage.

By continuing to promote and support the regional, holistic SAP approach as an overarching reference framework and by catalyzing and supporting the coordinated, synergistic implementation of the different SAP Strategies and

Priority Actions, the GEF-funded PROCARIBE+ intervention will allow the Alternative Scenario to develop and mature, and by delivering an initial return-on-investments during the project's timeframe, will help generate the support needed to mobilize the more sustainable/innovative funding streams required for its long-term continuity.

Through the operations of the OCM and partnerships, and other catalytic project activities, the co-financing of incremental costs by the GEF is expected to result in a much higher return on the cumulative investments made by the many marine-oriented projects and initiatives in the region, including those receiving funds from the GEF both through the IW and other Focal Areas.

Notwithstanding the acknowledgment that substantive incremental/additional costs will be associated with implementing the Alternative Scenario, the PROCARIBE+ Project has been specifically designed to reduce these overall costs, e.g. by having the PROCARIBE+ Project Coordination Unit providing the services of (interim) Secretariat of the OCM for the duration of the project (and thus substantially reducing the additional funding required for its successful operations). Additionally, the OCM and partnerships, as per their nature and mandates, will further help to minimize the incremental costs of the Alternative Scenario, by avoiding the duplication of efforts, and by facilitating collaborative and synergistic action towards common objectives among the many countries, organizations and initiatives in the region.

IV. RESULTS AND PARTNERSHIPS

Expected Results

The **objective** of the project is: *to protect, restore and harness the natural coastal and marine capital of the Caribbean and North Brazil Shelf Large Marine Ecosystems to catalyze investments in a climate-resilient, sustainable post-covid Blue Economy, through strengthened regional coordination and collaboration, and wide-ranging partnerships*.

The project is organized in **four technical components** with **nine** associated **outcomes**. In total, **eighteen technical outputs** will be generated (Table 3). A fifth component focuses on Monitoring and Evaluation for the project.

Table 3. Project Components, Outcomes and Outputs.

Component 1: Region-wide multi-stakeholder cooperation, coordination, collaboration and communication for the protection, restoration and sustainable use of marine and coastal ecosystems in the Caribbean and North Brazil Shelf Large Marine Ecosystems (EBM approach)	
Outcomes	**Outputs**
Outcome 1.1. Coordinated, collaborative and synergistic implementation of regional, sub-regional and national (Strategic) Action Programmes and Plans in support of the CLME+ Vision, enabled through a regional Ocean Coordination Mechanism (OCM) and complementary, (thematic) partnership(s), and a regional programmatic approach	1.1.1.a. A regional Ocean Coordination Mechanism (OCM), with operations commencing by latest 2023 and ongoing throughout (and beyond) the PROCARIBE+ Project lifespan 1.1.1.b. Wide-ranging multi-stakeholder partnership(s) operational by latest end of 2023 1.1.2. New 10-year (2026-2035), broadly supported multi-stakeholder regional Strategic Action Programme (including ministerial-level endorsements)
Component 2: Enabling national environments for the protection, restoration and sustainable use of coastal and marine resources (EBM/EAF)	
Outcome 2.1. National-level capacity, enabling conditions and commitments for EBM/EAF and marine-based, climate and disaster-resilient "green-blue" socio-economic development	2.1.1. National Intersectoral Coordination Mechanisms (NICs) operational in at least 75% of OCM member countries, connected to the OCM (supporting national-level BE and MSP efforts)
	2.1.2. 2 National integrated "State of the Marine Environment" (SOMEE) reports, 2 Blue Economy (BE) Scoping Studies and 1 Marine and Coastal Natural Capital Accounting pilot/enhancement, delivered by end of 2025; extraction and dissemination of lessons learned and recommended way forward
	2.1.3. Training delivered and/or made permanently accessible for all 44 CLME+ OCM States & Territories, supporting the integration of IWRM/IRBM, ICZM/MSP and Natural Capital Accounting, and underpinning the implementation of the LBS and SPAW Protocols, the source-to-sea approach, NDCs, 30x30 conservation targets, and related Regional and National Action Plans (incl. min. 30 trainers-of-trainers, targeting key stakeholders engaged in: MSP, SOMEE and NDC development, and IRBM; with special attention to gender balance and including practitioners from min. 10 of the 23 transboundary river basins draining into the CLME and NBSLME)

	2.1.4. Marine and coastal natural capital/Blue Carbon integrated in national-level climate change mitigation and adaptation commitments/efforts: (a) verifiable (initial or upscaled) integration of coastal and marine natural capital/blue carbon in a minimum of five 2025 NDC updates from OCM member/PROCARIBE+ participating countries, enabled; (b) 1 early draft "best practice" NDC with strong marine component, regionally disseminated (by 2024) through the OCM and/or partnership(s), to promote upscaling and replication; (c) integration of NDC, MSP/MPA and/or BE development efforts in at least 1 country, demonstrated.
Component 3: Catalyzing actions by all sectors of society, at different spatial scales, for the protection, restoration and sustainable use of marine and coastal natural capital ("blue economies")	
Outcome 3.1 Civil Society and MSME contributions to ocean conservation and ocean-based sustainable development & livelihoods/blue economies, upscaled	3.1.1. Micro-financing schemes, supporting the implementation of key regional/national ocean instruments (SAPs, RSAPs, marine/coastal component of NDCs,...) through Civil Society and MSME action: (a) min. USD 2.5 million (of which USD 1 million from UNDP/GEF SGP) invested in (replicable) small grants/micro-finance initiatives supportive of the PROCARIBE+/ SAP/RSAP objectives (incl. associated gender objectives) (b) on-the-ground stress reduction/restoration and/or enhanced management practices at min. 30 coastal/marine sites, in min 5 countries. Priorities: nature-based solutions, ecosystem conservation/restoration, sustainable harvesting of ecosystem goods (incl. small-scale fisheries), development of sustainable "blue" businesses (incl. technological innovation), post-covid and post-hurricane, post-earthquake recovery, climate change mitigation and adaptation/resilience, and enhanced/alternative livelihoods; with special attention to gender, youth and households.
Outcome 3.2. Increased mobilization of private capital supporting environmental stress reduction and sustainable climate-smart blue economy initiatives, supporting CLME+ SAP implementation and post COVID-19 recovery, enabled	3.2.1. Enabling conditions to implement carbon credits-based sustainable financing instruments for seagrasses and tropical peatlands : **(**pre-)feasibility studies including carbon stock assessments developed in 1 country (Panama,for 3 pilot sites); methodologies tested and fine-tuned for blue carbon project development and regional replication/up-scaling
Outcome 3.3. Expansion and integration of "Blue Economy", Marine Spatial Planning and MPA/OECM efforts across the region (ecosystem approach), supporting ocean-based socio-economic development, recovery and resilience (covid19, hurricanes) and progressive delivery on international targets in the fields of: marine conservation and climate change mitigation and adaptation	3.3.1.a. BE and MSP planning in at least 8 countries, integrating blue economy (incl. sustainable fisheries and post-covid19 recovery), climate change mitigation and adaptation and ocean conservation objectives, and source-to-sea considerations. 3.3.1.b exchange of experiences + advocacy for accelerated progress towards regional target of 10% of CLME under MSP
	3.3.2. Enhanced area-based ocean conservation (MPA/OECM) in 5-6 countries, targeting over 4,000,000 ha of coastal/marine space, through: expansion of, or newly created MPA's, and/or MPA's with increased protection levels/demonstrated enhanced management effectiveness, and/or equivalent amounts of marine space under Other Effective area-based Conservation Measures (OECMs)
Outcome 3.4. Generalized implementation across the Wider Caribbean/WECAFC region of traceability systems is enabled for key fisheries and seafood	3.4.1. (a) traceability systems in place for 3 selected key fisheries and 1 aquaculture products in min. 8 countries; by Project End % of exports (and equivalent approx. volume) from WECAFC region commercialized under regional traceability standard: min. 30% of regional spiny lobster exports (approx. 5.200 tons/yr) + min 39% of

products, as a key measure for sustainability and against IUU fishing	queen conch exports (approx. 400 tons/yr) + min 31% of shrimp (fisheries & aquaculture) exports (approx. 50.300 tons/yr); total = 55.900 tons/yr. (b) enabling conditions to replicate/expand the traceability systems across the wider WECAFC countries, with the aim of achieving a total export volume of 94,800 tons/yr traceable by 2030 (i.e. 52% of all regional spiny lobster+queen conch+shrimp exports)
Outcome 3.5. Region-wide reduction of ghost fishing and negative habitat impacts from unsustainable spiny lobster fishing gear & practices, enabled	3.5.1. (a) on-the-ground solutions developed and tested to reduce negative environmental, resource stock and socio-economic impacts from unsustainable fishing gear and practices in industrial spiny lobster fisheries (with special attention to "ghost fishing"/lost and abandoned fishing gear). (b) provisions for the implementation of measures against ghost fishing and negative habitat impacts from spiny lobster fishing gear and practices, covering all countries active in the fishery in the WECAFC region (average regional annual total spiny lobster catch volume = approx. 28.000 ton)
Component 4: Region-wide data/information/knowledge generation, management and sharing mechanisms supporting cooperation, coordination, collaboration and synergistic action	
Outcome 4.1 A well-articulated marine data, information and knowledge management infrastructure/network is enabled, (a) providing a science-policy interface; (b) supporting the development/updating, implementation and M&E of regional Action Programmes and Plans; (c) boosting and increasing the impacts of marine & coastal investments	4.1.1. Online Regional Knowledge Management HUB on the Marine Environment of the Caribbean and North Brazil Shelf LME's fully developed and operational, facilitating collaborative knowledge management by the OCM and partnership(s) (with well-articulated linkages to third-party data/information/knowledge sources/products)
	4.1.2. (a) Formally adopted "blueprint" for a regional Marine Data/Information/Knowledge Infrastructure (MDI); (b) MDI implementation enabled, and key elements put in place, through commitments and collaborative action by the Secretariat and Members of the OCM and partnership(s)
	4.1.3. Comprehensive, updated regional Transboundary Diagnostic Analysis (TDA): fully developed regional "State of the Marine Environment and associated Economies" (SOMEE), finalized by 2024/mid-25 and informing preparation of the new 2026-2035 regional Strategic Action Programme (SAP)
Outcome 4.2. Increased regional and global impacts from GEF IW investments through global dissemination and sharing of experiences, and by forging synergies with other Regional Seas/LME/Regional Fisheries programmes and the wider community of International Waters/Ocean practitioners & stakeholders	4.2.1. Strategic Alliance with IW:LEARN developed and implemented, piloting innovative approaches within (and beyond) the IW Portfolio and providing means for its replication (e.g. data & information management (DIM), use of Remote Sensing, integrated environmental & socio-economic assessments, TDA paradigm shift and BE, SAP implementation progress tracking, etc. (to be further fine-tuned/prioritized and adaptively managed during Project Inception/implementation phase)
	4.2.2 Support for and participation in GEF IW:LEARN and other Global Marine/LME community events (e.g. IW:LEARN conferences and workshops, twining events/twinning visits among GEF IW projects), including the 8th "Our Oceans Conference" (Panama, March 2023)
	4.2.3. At least 6 best/good practice examples in coastal and marine ecosystem management and blue economies showcased/documented, exchanged and promoted through IW:LEARN (e.g. experience notes)

Component 5: Project Monitoring & Evaluation (M&E)	
5.1. Project-level monitoring and evaluation, in compliance with UNDP and mandatory GEF-specific M&E requirements	5.1.1 Inception Workshop and Report
	5.1.2 Annual GEF Project Implementation Review (PIR), and M&E of GEF core Indicators, Gender Plan, Safeguards Frameworks and Action Plans
	5.1.3 Independent Mid-Term Review
	5.1.4. Independent Final Evaluation

When working on the delivery of these project outputs and in seeking to advancing the project outcomes, the following cross-cutting considerations will be systematically and consistently[5] mainstreamed, across all project outputs and activities:

- gender equality and empowerment of women and youth
- rights of and benefits for indigenous people groups and local communities
- different stakeholders' considerations
- robustness of the proposed/selected solutions in the face of climate change, and their contributions to enhanced resilience of the socio-ecological system
- regional food supply and food security

As can be seen from Table 3, the project considers both regional-level activities, such as (but not limited to) those under Components 1 and 4, and in which all CLME+ countries will be able to participate, as well as activities, such as especially those under Component 3, for which, due to limitations inherent to the size of the project grant, it will only be possible to conduct these in 1 or a limited number of PROCARIBE+-participating countries. For many of these however, the country-level activities will be complemented by enabling activities and/or the exchange of best practices and lessons learned, engaging and benefiting, also in these cases, the wider set of participating countries.

Table 4 provides an overview of all project outputs listed in Table 3, listing how the different GEF-eligible countries from the CLME+ region will directly participate[6] in/benefit from the different project outputs (a legend, to be used with the table, is included in the upper left corner). It is noted how for a few outputs (e.g. 2.1.2. on SOMEE,...), additional beneficiaries will further be determined collaboratively during the project inception phase. Due care has been taken in this sense to ensure that all participating countries will stand to benefit substantially from the project activities.

[5] whenever deemed meaningful and feasible (limitations inherent to the project grant size and timeframe are to be considered in this context)

[6] whereas all CLME+ countries will be able to participate in the activities, direct financial support from the PROCARIBE+ project grant will be available for this purpose to GEF-eligible countries that provided a GEF OFP letter for the PROCARIBE+ PIF and/or that signed the UNDP PROCARIBE+ Project Document.

Table 4. PROCARIBE+ GEF-eligible participating countries and anticipated direct participation in/benefits to be obtained from the different Project Components and Outputs (source: PROCARIBE+ PPG team)[7]

	Legend: DB – direct participant/beneficiary, P = prospective, T = tentative, *=transboundary (Mesoamerican Reef); tbd = to be decided during project inception	# of OUTPUTS	# of outputs from C2-C3	GEF OFP LETTER	COMPONENT 1			COMPONENT 2					COMPONENT 3												COMPONENT 4					
					COORDINATION MECHANISM	PARTNERSHIPS	new SAF	NICS	National SOMEE RE SCOPING, MSA (5)	TRAINING, CAPACITY BUILDING	2025 NDCs (5)	2025 NDCS (regional workshops)	SMALL GRANTS (5-6)	BLUE CARBON - INNOVATIVE FINANCING (1)	BE PLANNING (1)	MARINE SPATIAL PLANNING (min. 7)	MARINE SPATIAL PLANNING - ENABLING	MPA / OECM (5)	TRACEABILITY - LOBSTER (4)	TRACEABILITY - QUEEN CONCH (3)	TRACEABILITY - SHRIMP (min. 5)	TRACEABILITY - ENABLING	LOBSTER GEAR PILOT (1)	LOBSTER GEAR (TRAPS) - ENABLING	ONLINE HUB	BLUEPRINT MDI	regional SOMEE	ALLIANCE IMLEARN	IMLEARN TWINNING	EXPERIENCE NOTES
1	Antigua and Barbuda	18	7	☑	DB	DB	DB	DB		DB		DB	DB				DB					DB		DB	DB	DB	DB	DB	DB	DB
2	Barbados	16	5	☐	DB	DB	DB	DB	P	DB		DB	P				DB					DB			DB	DB	DB	DB	DB	DB
3	Belize	19	8	☑	DB	DB	DB	DB		DB		DB				DB*	DB	DB*	DB	DB		DB		DB	DB	DB	DB	DB	DB	DB
4	Brazil	17	6	☑	DB	DB	DB	DB		DB		DB					DB		T*		T*	DB		DB	DB	DB	DB	DB	DB	DB
5	Colombia	19	8	☑	DB	DB	DB	DB		DB		DB				DB	DB	DB				DB		DB	DB	DB	DB	DB	DB	DB
6	Costa Rica	18	7	☑	DB	DB	DB	DB	DB	DB		DB			DB		DB					DB			DB	DB	DB	DB	DB	DB
7	Cuba	17	6	☑	DB	DB	DB	DB		DB		DB					DB					DB		DB	DB	DB	DB	DB	DB	DB
8	Dominica	17	6	☐	DB	DB	DB	DB		DB		DB					DB					DB		DB	DB	DB	DB	DB	DB	DB
9	Dominican Republic	19	8	☑	DB	DB	DB	DB		DB		DB				DB	DB	DB				DB		DB	DB	DB	DB	DB	DB	DB
10	Grenada	17	6	☐	DB	DB	DB	DB		DB		DB					DB					DB		DB	DB	DB	DB	DB	DB	DB
11	Guatemala	17	6	☑	DB	DB	DB	DB		DB		DB				DB*	DB	DB*			DB	DB			DB	DB	DB	DB	DB	DB
12	Guyana	17	6	☑	DB	DB	DB	DB		DB		DB					DB				DB	DB			DB	DB	DB	DB	DB	DB
13	Haiti	18	7	☑	DB	DB	DB	DB		DB		DB	DB				DB					DB		DB	DB	DB	DB	DB	DB	DB
14	Honduras	21	10	☑	DB	DB	DB	DB		DB		DB				DB*	DB	DB*	DB	DB	DB	DB	DB	DB	DB	DB	DB	DB	DB	DB
15	Jamaica	18	7	☑	DB	DB	DB	DB		DB		DB	DB				DB					DB		DB	DB	DB	DB	DB	DB	DB
16	Mexico	17	6	☐	DB	DB	DB	DB		DB		DB				P*	DB	P*	P*		P*	DB		DB	DB	DB	DB	DB	DB	DB
17	Panama	19	8	☑	DB	DB	DB	DB		DB	DB	DB		DB			DB				DB	DB			DB	DB	DB	DB	DB	DB
18	Saint Kitts and Nevis	18	7	☑	DB	DB	DB	DB		DB		DB	DB				DB					DB		DB	DB	DB	DB	DB	DB	DB
19	Saint Lucia	18	7	☑	DB	DB	DB	DB		DB		DB	DB				DB					DB		DB	DB	DB	DB	DB	DB	DB
20	Saint Vincent and the Grenadines	17	6	☐	DB	DB	DB	DB		DB		DB					DB					DB		DB	DB	DB	DB	DB	DB	DB
21	Suriname	17	6	☑	DB	DB	DB	DB		DB		DB					DB				DB	DB			DB	DB	DB	DB	DB	DB
22	The Bahamas	19	8	☑	DB	DB	DB	DB		DB		DB					DB		DB	DB		DB		DB	DB	DB	DB	DB	DB	DB
23	Trinidad and Tobago	18	7	☑	DB	DB	DB	DB		DB		DB				DB	DB					DB		DB	DB	DB	DB	DB	DB	DB
24	Venezuela	17	6	☑	DB	DB	DB	DB		DB		DB				DB	DB					DB			DB	DB	DB	DB	DB	DB
									4tbd		4tbd					1tbd		1tbd												

[7] This table does not include Component 5 on Monitoring and Evaluation.

COMPONENT 1: Region-wide multi-stakeholder cooperation, coordination, collaboration and communication for the protection, restoration and sustainable use of marine and coastal ecosystems in the Caribbean and North Brazil Shelf Large Marine Ecosystems (EBM approach)

Project activities under Component 1 seek to contribute to the following outcome:

Outcome 1.1. Coordinated, collaborative and synergistic implementation of regional, sub-regional and national (Strategic) Action Programmes and Plans in support of the CLME+ Vision, enabled through a regional Ocean Coordination Mechanism (OCM) and complementary, (thematic) partnership(s), and a regional programmatic approach.

As per the table above, 2 outputs will be produced by the PROCARIBE+ Project in support of this Outcome. The first output, Output 1.1.1. will consist of 2 distinct, but interlinked elements (a and b).

Output 1.1.1.A: A regional Ocean Coordination Mechanism (OCM), with operations commencing by latest 2023 and ongoing throughout (and beyond) the PROCARIBE+ Project lifespan

In advancing the implementation of **Action 3.3** ("*Adopt and operationalise the coordination mechanism*") of the 10-year, 2015-2025 CLME+ SAP, the Final Regular Project Steering Committee (PSC) Meeting of the UNDP/GEF CLME+ Project provisionally finalized, on 12 October 2021, the "**Memorandum of Understanding (MOU) Enabling the Creation of a Coordination Mechanism to Support Integrated Ocean Governance in the Caribbean and North Brazil Shelf Large Marine Ecosystems**"(Annex 22). The PSC decided that this "Ocean Coordination Mechanism" MOU (OCM MOU) is to be opened for signature once the language reconciliation of the English, Spanish and French versions of the MOU has been concluded". At such point, the MOU will formally be opened for signatures by prospective Parties (*countries and IGO's with a marine-related mandate) listed in* MOU Annex 1).

As per its **Article XX.3,** the OCM MOU is expected to commence on the date that a minimum of twenty-three (23) States/Territories and IGOs listed in MOU Annex I, including no fewer than seventeen (17) States and/or Territories, and six (6) IGOs, have signed the MOU. A progress tracker is available on the CLME+ Hub Home Page (see the Interactive Timeline, mid-page).

Through Decision # 18 of the October 2021 UNDP/GEF CLME+ final Project Steering Committee Meeting (see also Annex 23), countries and organizations from the region reaffirmed the importance of simultaneously and expeditiously moving towards operationalizing the PROCARIBE+ Project and commencing the coordination mechanism MoU, noting that the PROCARIBE+ Project is anticipated to financially support the work of the coordination mechanism and its organs. It is noted in this context that swift, more or less synchronized operationalization of both the OCM and the PROCARIBE+ Project will be important for ensuring the continuity, maximum buy-in for and impact of the GEF-supported, cyclical TDA-SAP process and that of associated past, present and future GEF investments, and for the achievement of pressing global and regional targets under existing international commitments.

As per the OCM MOU, the OCM will consist of a **Steering Group (SG**, membership = countries**)**, an **Executive Group (EG**, membership = IGO's**)** and **a Secretariat**. The work of the OCM may be further supported by (thematic) **Working Groups.**

Note: The predecessor CLME+ Interim Coordination Mechanism (ICM), created with the support of the CLME+ Project and whose membership consists of 9 IGO's with an oceans-related mandate, will continue to exist until the OCM becomes established.

List of Proposed Activities to be supported by the PROCARIBE+ Project:

The OCM Secretariat

- Appointment, and subsequent approval of the appointment[8], of the PROCARIBE+ Project Management and Coordination Unit (PMCU) as (interim) **Secretariat** of the Ocean Coordination Mechanism (OCM) through the OCM organs;
- PROCARIBE+ PMCU exercises the role of OCM Secretariat for the duration of the PROCARIBE+ Project, unless a different (long-term) OCM Secretariat solution is identified, decided upon by the OCM and implemented prior to the project end;
- Throughout its appointment as OCM Secretariat, the PROCARIBE+ PMCU will support the OCM - *to the extent that it is enabled to do so through its installed capacity and the financial means at its disposition* - by executing tasks in alignment with the specifications included for this purpose under **Article XII ("Secretariat") of the OCM MOU**, and the relevant decisions of the OCM organs.

The OCM Executive Group

- First meeting of the OCM **Executive Group** (EG), no later than six months after the commencement of the MoU or as soon as practicable (see **Article XI, Item 2.a. of the OCM MOU**; the Executive Director of the first IGO Signatory to sign the MOU will convene the first meeting of the Executive Group); appointment of the EG Chair.
- Ordinary meetings of the Executive Group (in person or virtual) will be convened by the EG Chair at regular intervals; the frequency of the ordinary meetings is to be defined by the OCM Executive Group, but a total of 5 ordinary meetings may be anticipated throughout the PROCARIBE+ lifespan
- Extraordinary meetings of the Executive Group will be convened as needed or deemed beneficial and feasible, to advance the OCM objectives and Work Plan -e.g. dedicated EG meetings in support of the TDA-SAP development process, and/or pursuing the technical (pre-)clearance by EG members of the new SAP (see **Article X, Item 2.c. of the OCM MOU)**

The OCM Steering Group

- First meeting of the OCM **Steering Group**, no later than one year after the commencement of the MoU or as soon as practicable (see **Article X, Item 2.a. of the OCM MOU;** the Chair of the Executive Group will convene the first meeting of the Steering Group); appointment of the SG Chair.

[8] The appointment of the PROCARIBE+ PMCU as OCM Secretariat is to be approved by the OCM EG and SG at their first meeting; however, prior to this the PROCARIBE+ PMCU will already provide secretarial services to the OCM in order to facilitate the organization of these first meetings

- Ordinary meetings of the Steering Group (in person or virtual) will be convened by the Chair of the Steering Group at regular intervals; a minimum of 3 ordinary meetings can be anticipated throughout the PROCARIBE+ lifespan
- Extraordinary meetings of the Steering Group will be convened as needed or deemed beneficial and feasible, to advance the OCM objectives and Work Plan -e.g. dedicated SG meetings in support of the TDA-SAP development process, and/or pursuing the technical clearance by OCM member states of the new SAP (see **Article X, Item 2.c. of the OCM MOU)**

Some of the activities that will be undertaken or supported by the OCM, through collaborative efforts among the OCM Secretariat, the EG and the SG, each with their own differentiated responsibilities as per the OCM MOU, include:

- Development and approval of the biennial OCM Work Programmes & Budget; M&E of Work Programme implementation
- Participatory, ongoing/periodic SAP Implementation Progress M&E + final evaluation + the OCM is to commission and oversee the independent review process of the first iteration of the GEF-supported TDA-SAP process in the region (this includes e.g. TOR development & approval) (see also Output 1.1.2)
- Development and adoption, as appropriate, of (a) the regional OCM knowledge management Hub (see Output 4.1.1.), (b) the Blueprint for a regional marine data, information and knowledge management infrastructure (see Output 4.1.2), and (c) the integrated "State of the Marine Environment and associated Economies (SOMEE)" report (see Output 4.1.3)
- Development, adoption and implementation of long-term sustainable financing strategy and long-term Secretariat solution for the OCM - by project end, latest
- Creation of and supporting the operations of OCM Working Groups (either permanent or temporary/Ad Hoc), in line with **Article IX.2 of the OCM MOU** and subject to deliberations by the OCM organs and taking into account financial constraints
- Exploration and identification of potential "networking" activities, and inclusion of such activities in the OCM Work Programme, that will allow to link PROCARIBE+ efforts under Output 1.1.1.a (the Ocean Coordination Mechanism, with as members countries and IGO's) with those to be conducted under PROCARIBE+ Output 1.1.1.b. (wider-ranging societal Partnership(s)), with the purpose of advancing Objective 1.d. of the OCM (OCM MOU Article II. "Objectives"): "*To promote partnerships with stakeholders from civil society and the private sector to facilitate and enhance efforts for the ecosystem-based conservation and sustainable use of marine and coastal resources and to support intersectoral coordination and collaboration*".

OCM Working Groups

Working Groups may be created by the OCM Governing Structures to operate indefinitely or for a period of fixed duration, once the OCM has been established. Whereas the decision as to which Working Group(s) will be created and maintained for the duration of the PROCARIBE+ Project lays with the OCM, it can be anticipated that creation of the following Working Groups (a.o.) would be supportive of the achievement of key OCM objectives, and the delivery of associated outputs under the PROCARIBE+ Results Framework:

- A "SOMEE" Working Group, supporting (a) the OCM Core Function of "*coordination of the periodic assessment of and reporting on the state of the marine environment and associated economies in the MOU Area",* as stipulated under the OCM MOU Section VII. "Core Functions", 1.a.i., and (b) the associated delivery of PROCARIBE+ **Output 4.1.3** (regional SOMEE)

- A cross-sectoral SAP Development Working Group, supporting (a) the OCM Core Function of "*Providing a platform for cyclical Transboundary Diagnostic Analysis/Strategic Action Programme ("TDA/SAP") processes*", as stipulated under the OCM MOU Section VII. "Core Functions", 1.a.i., and (b) the associated delivery of PROCARIBE+ **Output 1.1.2** (new 10-year SAP)
- A Marine Data/Information/Knowledge Management Working Group, supporting (a) the OCM Complementary Function of (a.o.) "*Coordinated knowledge management and facilitate data and information sharing*", stipulated under the OCM MOU Section VIII. "Complementary Functions", 1.a, and (b) the associated delivery of PROCARIBE+ **Outputs 4.1.1.** (regional OCM Knowledge Hub) and **4.1.2.** (Blueprint for a Marine Data Infrastructure), and, through these, also the Outputs 4.1.3 and 1.1.2 mentioned above
- A "Gender and Youth in Oceans Governance" Working Group, supporting the cross-cutting PROCARIBE+ Project Objective of mainstreaming gender considerations in all project-supported activities, and the OCM-related elements of the PROCARIBE+ Gender Action Plan (Annex 11).

Output 1.1.1.B: Wide-ranging multi-stakeholder partnership(s) operational by latest end of 2023

In general, it will be the complementary roles and distinct comparative advantages of the different societal groupings (government, academia, civil society and private sector) that will allow societies to achieve their aspirations and ambitions, such as, e.g, those set under the CLME+ SAP and its associated long-term vision.

The operationalization of an Ocean Coordination Mechanism (OCM, **Output 1.1.1.A**), called for under the CLME+ SAP, constitutes an important step to overcome the weaknesses in regional ocean governance processes identified in the CLME TDA's (delivered through the UNDP/GEF CLME Project). However, true progress will require the commitment and active engagement of all sectors of society towards achieving the long-term vision on the marine environment articulated in the CLME+ SAP.

To this effect, the CLME+ SAP also makes a call, e.g through SAP Action 1.5., for "*enhancing 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...)*". In addition and through the support of the UNDP/GEF CLME+ Project, a complementary "civil society version of the CLME+ SAP" was also collaboratively developed and jointly endorsed by numerous civil society groups. **Recommendations were formulated in this context, for a more immediate integration of different societal groups and other existing regional and sub-regional initiatives in the development (and subsequent implementation) of the next iteration of the 10-year regional SAP.**

It is indeed well known that many initiatives have been launched in the region, at both regional and sub-regional levels, that expand the ability of, and complement the contributions made by governmental actors. Many of these initiatives engage different societal groups in positive ocean action and thus contribute, in one way or another, to the over-arching CLME+ vision and the implementation of the wide-ranging regional SAP. To just give 2 practical examples, we can refer e.g. to the Caribbean Challenge Initiative (CCI) and the Caribbean Biodiversity Fund (CBF). Further, a better integration among actions geared towards the protection, conservation and sustainable use of oceans, and those geared towards integrating coastal and marine natural capital in climate change mitigation and adaptation action, by articulating a stronger connection between the latter efforts (e.g. NDC Partnership and UNDP Climate Promise) and the regional Ocean Coordination Mechanism and its membership.

What has remained lacking, thus, to date, is a means to better coordinate and articulate actions among these different initiatives, stakeholders and sectors, with a view of optimizing the use of available capacity and resources, avoiding duplication of efforts and/or antagonistic action, and, instead, exploit and maximize the potential synergies.

In line with this, the OCM MOU states as one of its objectives under MOU Section II: "*To promote partnerships (...) to facilitate and enhance efforts for the ecosystem-based conservation and sustainable use of marine and coastal resources and to support intersectoral coordination and collaboration*".

List of Proposed Activities to be supported by the PROCARIBE+ Project:

- Review of the draft proposal for a "wide-ranging CLME+ Partnership", developed under the CLME+ Project, as well as the feedback received, and concerns expressed, relative to this initial proposal (including the idea of multiple, thematic partnerships)
- Inventory and analysis/mapping of existing regional/sub-regional thematic partnerships and/or stakeholder groupings[9] within the CLME+ region, and/or supra-regional/global partnerships, supporting marine-related objectives in the CLME+ region (); extraction of best practices and lessons learned from other existing partnerships and partnership models in other LME's and/or Regional Seas
- SWOT analysis: comparing the advantages and disadvantages of multiple, thematic "ocean" partnerships, versus a holistic, integrative partnership model
- Discussion and decision-making process with the OCM and prospective and/or existing partnership leaders on the way forward for the region (including the identification of concrete, first-priority action points)
- Adoption of a partnership(s) model/blueprint for the region, with special attention to the linkages of such partnership(s) with, and their role(s) vis-a-vis the regional Ocean Coordination Mechanism, and other relevant regional bodies in the region
- Organization of 2 Regional Partnership(s) Fora: "*Together We Achieve More: working together towards the achievement of the CLME+ Vision*"
- Engagement of the Partnership(s) in SOMEE (Output 4.1.3.) and SAP development (Output 1.1.2), and SAP Monitoring & Evaluation - with special attention to the upfront identification (i.e. during its development and political negotiation) of financing modalities for the new 10-year regional SAP *(including through -but not limited to- the engagement of development banks and international development partners in the SAP development process)*
- Engagement of the Partnership(s) in the development and subsequent progressive implementation and sustainable management of the regional data/information/knowledge management infrastructure blueprint (see also Output 4.1.2.), including the regional OCM Knowledge Management Hub (see also Output 4.1.1.)

Output 1.1.2. New 10-year (2026-2035), broadly supported multi-stakeholder regional Strategic Action Programme (including ministerial-level endorsements)

As described under Section 2 of the Project Document, implementation of a first iteration of the GEF-promoted cyclical TDA-SAP approach in the CLME+ region was supported by the UNDP/GEF CLME (2009-2014) and CLME+ (2015-2021) Projects.

The resulting (first-ever) politically-endorsed regional SAP, the "CLME+ SAP", adopted a long-term (20+ years) regional "**Vision**" of "***a healthy marine environment in the CLME+ region that provides benefits and livelihoods for the well-being of its people***" (short version). The more fully elaborated version of this "CLME+ Vision" statement reads: "*healthy marine ecosystems that are adequately valued and protected through robust, integrative and inclusive governance arrangements at regional, sub-regional, national and local levels, which in turn effectively enable adaptive management that maximizes, in a sustainable manner, the provision of goods and services in support of enhanced livelihoods and human well-being*".

[9] including, as applicable, those representing women, youth and/or indigenous interests

In line with this Vision, and following comments on the limited participation of civil society in the preparation of this first SAP, the CLME+ Project supported the development of a separate, but complementary and compatible "People Managing Oceans" Civil Society version of the SAP, (the 10+ year "C-SAP", 2018-2030). This C-SAP, which was delivered in 2018, shares the main CLME+ SAP's over-arching objectives and contributes to the same over-arching regional Vision.

Considering that the planned implementation period for the main CLME+ SAP will come to an end in 2025, a new iteration of the TDA/SAP cycle will allow the region to continue coordinated progress towards the aforementioned long-term Vision.

This next iteration of the SAP process is now expected to more fully embrace the concept of robust, wide-ranging stakeholder engagement, across the different societal sectors (*government, civil society, private sector, academia, the development aid community, International Financial Institutions (IFI's), and others*), as an essential condition for **(a)** substantive, meaningful progress towards the regional Vision articulated under the original SAP, as well as for **(b)** the successful achievement of the related, specific ambitions to be set under this new 10-year (2026-2035) SAP. The development of the SAP will use an inclusive approach, including gender and cultural considerations, and will promote the participation of indigenous and local communities to ensure that the SAP addresses the particular needs of vulnerable communities.

With the first SAP delivering the regional Oceans Coordination Mechanism, "OCM" (*see also PROCARIBE+ Output 1.1.1.A and SAP* **Action 3.3**), and in line with the OCM's Objectives and Core Functions, articulated under respectively Sections II and VII of the OCM MOU, this new iteration of the TDA/SAP process for the CLME+ region can now be strongly anchored in this new, formally created regional Coordination Mechanism.

At the same time, Component 1 of PROCARIBE+ also aims to support existing and/or newly created, or re-vitalized, wider-ranging societal partnership(s) that can help achieve the CLME+ Vision on the marine environment (See **Output 1.1.1.b**). Engagement of such partnerships during the next iteration of the GEF-supported TDA/SAP process in the region can facilitate a broader involvement of different (non-governmental) sectors of society in the next SAP, anticipating and mitigating as such the shortcomings flagged in the context of the development of the first SAP. Such action will be supportive of Objective 1.d. of the OCM (OCM MOU Article II. "Objectives"): "*To promote partnerships with stakeholders from civil society and the private sector to facilitate and enhance efforts for the ecosystem-based conservation and sustainable use of marine and coastal resources and to support intersectoral coordination and collaboration*"

Hence, PROCARIBE+ Outputs 1.1.1.a and b are expected to facilitate strong and complete[10] regional ownership as well as full consistency/complementarity of the new SAP with other relevant regional, sub-regional and national-level programming and planning efforts.

Further, and in order to better prepare for, and enable, the large-scale mobilization of resources that will be required to support SAP implementation, PROCARIBE+ will, to the extent possible, seek to directly engage bilateral and multi-lateral development partners (*e.g. GEF, FFEM, AFD, GIZ, KfW, AECID, SIDA, NORAD,...*), IFI's(e.g. World Bank, Inter-American Development Bank, Caribbean Development Bank, Latin-American Development Bank,...), and private sector financing mechanisms (e.g. corporate social responsibility investments, carbon credit schemes, debt swaps…), in the SAP development process.

[10] Membership of the OCM is open to all States and Territories from the wider Caribbean/CLME+ region, and to relevant IGO's, with the membership of such IGO's including both Independent States as well as the Overseas Territories from the region. Participation in a SAP development process that is driven by the OCM is thus not limited to GEF-eligible countries, and will facilitate (a) full regional ownership over the SAP process; and (b) true application of the EBM approach (noting that, with 16 Overseas Territories, the region's LME's are shared by both GEF-eligible and non-GEF eligible parties).

Early on in the PROCARIBE+ Project, an independent review of the first iteration of the TDA/SAP process in the CLME+ region will be commissioned by the OCM. Support will be sought from IW:LEARN with the aim of expanding this review to also **(a)** include other TDA/SAP processes in the region and their linkages with the CLME+ SAP and **(b)** identify best practices and lessons learned from other TDA/SAP processes and other marine-based programmatic approaches around the globe.

Findings from the review will be condensed in a PROCARIBE+ GEF Experience Note (see Project **Output 4.2.3.**), and, if possible, in a separate, more detailed IW:LEARN Report. As such, the PROCARIBE+-supported TDA/SAP review will not just serve the CLME+ region, but also the wider GEF IW/LME and global marine stakeholder communities and beyond.

Content-wise, the development of the new SAP will build on the findings from the regional-level "SOMEE[11]" reporting efforts to be undertaken through PROCARIBE+ Component 4. "SOMEE" or "State of the Marine Environment and associated Economies" is a reporting/diagnostics process that consists of a regional implementation of the GEF-promoted TDA process, and which was partially trialed through the development of "prototype" SOMEE "building blocks" under the CLME+ Project. PROCARIBE+ will provide the opportunity to further fine-tune and improve this approach through the OCM, aiming at its formal adoption as a regional long-term, collaborative and integrated reporting (periodically updated diagnostics & progress monitoring) mechanism.

For this second iteration of the TDA/SAP process, PROCARIBE+ will embrace the **paradigm shift** proposed to the GEF IW/LME community by the CLME+ Project Coordination Unit[12], consisting of a shift from a "problem-centered" TDA/SAP process to a **process focusing on the "challenges and opportunities" associated with the CLME+ Vision of a healthy marine environment, and the GEF7 IW Strategy's focus on "Blue Economy".**

List of Proposed Activities to be supported by the PROCARIBE+ Project:

Note: *the mentioned activities leading to the development and adoption of the new SAP are preliminary/indicative and may still be revised/modified during the project inception and execution phase, based on:* ***(a)*** *the advice/requests from the OCM organs and relevant OCM Working Groups,* ***(b)*** *the outcome of consultations with a wider range of societal stakeholders (e.g. through the marine partnership(s), once established - see Output 1.1.1.B) and (c) the findings (conclusions, recommendations,...) from the aforementioned independent review.*

- **I**ndependent review of the first iteration of the TDA/SAP process in the CLME+ region[13], extraction of lessons learned and formulation of recommendations for the second regional TDA/SAP iteration, for consideration by the OCM[14]; the review will also look at other TDA/SAP processes in the region (incl. their linkages with the CLME+ SAP); findings from the review will be condensed in a PROCARIBE+ GEF Experience Note and shared with the global community (Output 4.2.3.); PARALLEL ACTIVITY: in coordination with PROCARIBE+, and if possible, through IW:LEARN the review process will be expanded to also identify best practices and lessons learned from other TDA/SAP processes and other marine-based programmatic approaches around the globe;
- Creation and operations of a SAP development Working Group by the OCM, to be overseen and supported by the OCM interim Secretariat (i.e. the PROCARIBE+ Project Coordination Unit), and responding to the OCM EG (IGO's) and SG (countries); adequate linkages with the marine partnership(s) (see Output 1.1.1.B),

[11] "State of the Marine Environment and associated socio-Economics"

[12] see e.g. LME21: Building Partnerships Around LMEs in Support of the 2030 Sustainable Development Agenda (21st Meeting of the LME Community of Practitioners, Cartagena, Colombia, 2019).

[13] This will include a review of the (participatory) development, adoption, financing, implementation and monitoring & evaluation processes of both the main, governmentally/politically endorsed SAP as well as of the complementary "People Managing Oceans" Civil Society SAP.

[14] Review to be commissioned by the OCM, with the OCM EG approving the TORs and the Secretariat reporting the findings of the review to both the OCM EG and SG

and/or participation by representatives from the wider-ranging set of non-governmental stakholders (representing also the interests of women, youth and indigenous people) will be sought, to ensure adequate co-ownership/buy-in, and engagement of the key non-governmental stakeholders groups in both the development and subsequent implementation of the new SAP. The SAP development process will apply a Strategic Environmental and Social Assessment (SESA) approach to identify and help assess whether any proposed SAP actions could give rise to adverse social and environmental effects. Wherever possible, the SAP will build upon and align with/support and strengthen other strategies developed in the region by IGOs and other entities.

- Technical review, revision and subsequent technical clearance of the new SAP by the OCM Executive Group (IGO's) and Steering Group (States & Territories), and relevant non-governmental societal stakeholders (e.g. through the engagement in the process of the wider-ranging partnership(s))
- Development and adoption, by the OCM (and relevant, interested non-governmental stakeholders) of a M&E approach for the new SAP; implementation of the M&E approach and development of post-PROCARIBE+ project sustainability strategy
- Project support for the high-level, political (Ministerial) endorsement of the new 10-year SAP
- Project support for enabling wide-ranging stakeholder contributions to the development of, and buy-in for the new 10-year SAP

The PROCARIBE+ Gender and Safeguards Specialist(s) will, as applicable and feasible, support and/or provide advisory services for the integration of considerations relative to gender, youth and indigenous and local communities in the development of the SAP (We further also refer back to the proposal to create a "Gender and Youth in Oceans Governance" Working Group under Output 1.1.1a.).

COMPONENT 2: Enabling national environments for the protection, restoration and sustainable use of coastal and marine resources (EBM/EAF)

Project activities under Component 2 seeks to contribute to achieve the following outcome:

Outcome 2.1. National-level capacity, enabling conditions and commitments for EBM/EAF and marine-based, climate and disaster-resilient "green-blue" socio-economic development

As per the table at the beginning of this Section IV, 4 outputs are described under this Outcome.

Output 2.1.1. National Intersectoral Coordination Mechanisms (NICs) operational in at least 75% of OCM member countries, connected to the OCM (supporting national-level BE and MSP efforts)

While during the past decade substantive progress was achieved in the region towards the creation and consolidation of National Intersectoral Coordination Mechanisms (NICs) (as reflected in e.g. the progress reports created under the CLME+ Project), achieving truly functional and sustainable NICs in all countries from the Wider Caribbean region remains an important goal and has acquired additional relevance in the current context of blue economy aspirations in the region and, also concretely, in the context of the operationalization and adequate functioning of the regional Ocean Coordination Mechanism (OCM, Output 1.1.1.a). In the case of the latter, it is to be pointed out that countries are expected to be represented on the OCM's Steering Group through a single country representative. It will therefore be critical to the success of the OCM that country representatives can speak on

behalf of their country as a whole, i.e. integrating the views of the different sectors of government with a stake in and/or mandate relating to the marine environment.

For this reason, and while it is currently not anticipated that project funds will be used to directly support the working of NICS in any given country, advocacy will be exercised by the project, both through the OCM as well as through the Project Board/Steering Committee and Project Management and Coordination Unit (PMCU), for a strong linkage between the OCM and well-established national-level intersectoral coordination mechanisms.

Acknowledging that "advancing NICs" has generally been an action point for all or most GEF-funded IW projects in the region, coordination and synergies with other projects will continue to be sought for this purpose.

Well-functioning NICs will also substantially contribute to the success of several of the PROCARIBE+ Project Outputs, for which activities are undertaken at the country-level: e.g. Output 2.1.2. on integrated reporting on the marine environment and associated socioeconomics, Output 2.1.4. on Nationally Determined Contributions (Paris Agreement) and Output 3.3.1. on Marine Spatial Planning.

The Project will seek to promote "well-functioning" or best-practice national level (and sub-regional level) intersectoral mechanisms with a view to build and replicate those best examples, a.o. National Ocean Governance Committees (NOGC's) established in OECS member countries.

List of Proposed Activities to be supported by the PROCARIBE+ Project:

- Advocacy, through the OCM Secretariat, Executive Group and Steering Group (see **Output 1.1.1.a**), and through the PROCARIBE+ Project Board/Steering Committee and PMCU, for strengthened and consolidated national intersectoral coordination mechanisms in the OCM member/PROCARIBE+-participating countries.
- Engagement of the NICs in activities relevant to the decision-making processes of the OCM
- Engagement of the NICs in relevant PROCARIBE+ Project Output-related activities (country-level Outputs such as e.g. **Output 3.3.1**).
- Production of a status report on NICs in the wider Caribbean/CLME+ countries (to be integrated in the regional SOMEE, **Output 4.1.3**)

Output 2.1.2. 2 National integrated "State of the Marine Environment" (SOMEE) reports, 2 Blue Economy (BE) Scoping Studies and 1 Marine and Coastal Natural Capital Accounting pilot/enhancement, delivered by end of 2025; extraction and dissemination of lessons learned and recommended way forward

Defining meaningful and cost-effective action to achieve the PROCARIBE+ Project Objective of "*Protecting, restoring and harnessing the natural coastal and marine capital (...) to catalyze investments in a climate-resilient, sustainable post-covid Blue Economy*" at the country level demands that it is underpinned by sufficient and solid national data and information, and a good understanding of the (national) baseline situation, in terms of the status of the marine environment, the associated governance processes, and current and potential contributions of marine and coastal natural capital to human societies ("*the blue economy*").

While acknowledging that substantive national-level investments in additional (field) data gathering on the marine environment and associated socioeconomics remain a critical need in the majority of the PROCARIBE+ countries, it is also to be recognized that this is something that falls beyond the scope and capabilities of an individual, regional multi-country and multi-faceted project such as PROCARIBE+.

Nonetheless, PROCARIBE+ is well positioned to facilitate part of the needed "information transition" by supporting the development and implementation of information-based decision support systems and processes that cut across various geographic scales: from national (Output 2.1.1) to regional (Output 4.1.3).

Through Output 2.1.2 PROCARIBE+ will support the piloting, in a limited number of countries, of innovative scoping and reporting exercises: PROCARIBE+ will support the development of 2 national "State of the Marine Environment and associated Socio-Economics" ("SOMEE") prototype reports, 2 national Blue Economy scoping studies, and 1 Natural Capital Accounting pilot/enhancement.

Several countries in the region have indeed already undertaken, or do regularly undertake, (sectoral) marine environmental reporting efforts - but integrated, multi-sectoral reporting and explicit linkage with the blue economy is generally still lacking. Likewise, an increasing number of countries have recently conducted blue economy scoping; still, a large number of countries in the region are yet to initiate such exercise. Natural capital accounting (NCA) efforts are also on the rise, and the current context (see further below for a more expanded baseline on NCA) provides a unique opportunity to pursue a further piloting and expansion of the three mentioned efforts across the region.

While work under this Output will need to largely build on already existing, or readily collectable data, an important aspect of the pilot efforts is that they will help with the mapping and visualization of critical data, knowledge and capacity gaps - the enhanced clarity and insights into the "data / information / capacity challenge", and how it affects a country's blue economy aspirations, can then provide an important stimulus for the upscaling of investments in priority data collection efforts (e.g. through parallel/complementary initiatives).

In promoting the aforementioned approach, where possible, the integration of the 3 elements of the approach (SOMEE reporting, Blue Economy Scoping, and Natural Capital Accounting) will be sought. Related efforts should also be linked to, and/or steered by the country's national inter-sectoral committee (NIC) – Output 2.1.1.

In line with the approach promoted for the regional-level SOMEE, the national-level SOMEE reporting effort is meant to go beyond the mere description of status and trends of marine environmental variables, but also analyze indicators related to governance and above all, the reports should seek to articulate the connection between marine and coastal natural capital and socioeconomics (the blue economy). As such, the report would result and summarize findings from an "analysis of status, opportunities, challenges and risks" as it seeks to support and underpin national efforts aligned with the PROCARIBE+ project objective.

In the execution of this output, the project will seek alignment with existing regional and subregional initiatives supporting countries with national reporting efforts on the marine environment, such as for example UNEP-CEP, which is working to develop National Environmental Information Systems, the IWEco project (GEF ID 4932 and the OECS sub-regional platforms, and consider the integration of data and information from relevant existing regional reports.

Due to limitations related to the size of the GEF grant, PROCARIBE+ will only be able to directly support national-level efforts under this Output in a limited number of countries. However, the achieved results will allow for the extraction of lessons and best practices that can then be regionally disseminated through the OCM and/or associated mechanisms, with the aim of stimulating replication and a progressive expansion of related efforts.

More specifically, on natural capital accounting:

In 2017, the *WAVES (Wealth Accounting and the Valuation of Ecosystem Services) Partnership*" indicated that Latin America and Caribbean (LAC) countries were increasingly using natural capital accounting (NCA) to inform decision making on policies and planning in areas such as natural resource extraction and estimating the economic values of ecosystem services. WAVES noted that, in the wider Caribbean, Colombia, Costa Rica, Guatemala and Mexico had

implemented environmental accounts, and that five other countries from the region (Brazil, the Dominican Republic, Jamaica, Panama and Saint Lucia) had undertaken their first pilot accounts.

Also in the region, the United Kingdom (UK)'s "*Caribbean Overseas Territories Regional Natural Capital Accounting Programme*" (April 2020 - March 2022) aimed to establish national systems of accounting for the benefits that the environment provides in five UK Caribbean Overseas Territories (*Anguilla, British Virgin Islands, Cayman Islands, Montserrat, Turks and Caicos Islands*). The UK's Joint Nature Conservation Council (JNCC) produced "A guide to Natural Capital Accounting for the UK Overseas Territories".

In March 2021 the new economic and environmental framework, the "UN System of Environmental-Economic Accounting - Ecosystem Accounting" (SEEA EA), was adopted by the UN Statistical Commission and has now become the accepted international standard for environmental-economic accounting. SEEA is a framework that integrates economic and environmental data to provide a more comprehensive and multipurpose view of the interrelationships between the economy and the environment. It helps to demystify the relationship between the environment and the economy and provide consistent and comparable data at the national level. It provides guidance on accounting for the extent and condition of natural assets, the size of stocks (reductions and additions), and flows (e.g. use of ecosystems services) in both physical and monetary terms. The framework allows countries to answer questions such as 'who benefits and who is impacted by natural resource use?' and 'how is the wealth of nations developing over time?'. It is a flexible system that can be adapted to countries' priorities and policy needs while at the same time providing a common framework, concepts, terms and definitions.

NCA and ecosystem accounting are now clearly on the global (marine) agenda. For example, in Europe, OSPAR[15]'s North-East Atlantic Environment Strategy (NEAES) 2030 which was adopted at OSPAR's Ministerial meeting on 1 October 2021, states under its Strategic Objective 7.03: "*By 2025 OSPAR will start accounting for ecosystem services and natural capital by making maximum use of existing frameworks in order to recognise, assess and consistently account for human activities and their consequences in the implementation of ecosystem-based management*".

In that context, the UK and the Netherlands have been leading countries in terms of marine natural capital accounting. In this sense, the experience from The Netherlands - with a substantive co-financing commitment to PROCARIBE+, and having an important stake in the health of the marine environment of the region through the Caribbean territories of Saba, St. Eustatius, Bonaire, Sint Maarten, Aruba and Curacao, as well as the experience from the OSPAR Commission, can be tapped to support work on NCA in the region through PROCARIBE+.

List of Proposed Activities to be supported by the PROCARIBE+ Project:

- Regional Workshop(s)/Stocktaking Seminar(s), analyzing and discussing "Status, Approaches, regional and global Best Practices/Lessons Learned, Way Forward" and covering the following topics: **(a)** national-level **(**Marine & Coastal) Natural Capital Accounting (NCA)[16]; **(b)** national-level Blue Economy Scoping & Strategies; **(c)** national-level marine environmental reporting;
- Development and dissemination of (brief) workshop/seminar reports
- Review of preliminary SOMEE work conducted under the CLME+ Project, extraction of lessons learned, successes and challenges, and formulation of recommendations on the way forward - bearing in mind the concept of the interlinkage of regional and national-level SOMEE's (activity contributing to both Outputs 2.1.2. and 4.1.3.)
- Development of 2 prototype national SOMEE reports (1 English-speaking and 1 Spanish-speaking country, to be decided during project inception phase), trialing the integration of information originating from

[15] Convention for the Protection of the Marine Environment of the North-East Atlantic
[16] Potential collaboration with the OSPAR Commission - to be confirmed

Natural Capital Accounting and/or Blue Economy Scoping; harmonization/articulation of linkages with the regional SOMEE (see Output 4.1.3)

- Development of (min.) 2 Blue Economy scoping studies (Costa Rica + 1 OECS/CARICOM country, to be decided during the project inception phase)
- Implementation/enhancement of (min.) 1 national Marine and Coastal Natural Capital Accounting effort (country to be decided during project inception phase)

Note on gender mainstreaming:

The PROCARIBE+ Gender and Safeguards Specialist(s) will, as applicable and feasible, support and/or provide advisory services for the integration of considerations relative to gender, youth and indigenous communities in the above activities and outputs. Lessons learned and good practices from such integration efforts in the regional SOMEE (see Output 4.1.3) and the national-level SOMEE's can be exchanged.

Output 2.1.3. Training delivered and/or made permanently accessible for all 44 CLME+ OCM States & Territories, supporting the integration of IWRM/IRBM, ICZM/MSP and Natural Capital Accounting, and underpinning the implementation of the LBS and SPAW Protocols, the source-to-sea approach, NDCs, 30x30 conservation targets, and related Regional and National Action Plans (incl. min. 30 trainers-of-trainers, targeting key stakeholders engaged in: MSP, SOMEE and NDC development, and IRBM; with special attention to gender balance and including practitioners from min. 10 of the 23 transboundary river basins draining into the CLME and NBSLME)

Advancing Integrated Coastal Zone Management (ICZM) and Marine Spatial Planning (MSP) efforts in the region over the next decade will be vital for achieving regional and national conservation targets, enhancing the sustainable use of marine ecosystems, reducing negative impacts from land, defining effective management measures, and for creating a safe space for public and private investments in the blue economy.

MSP efforts are indeed becoming increasingly necessary in the wider Caribbean: the science-backed pledge to (strongly) protect 30% of ocean space by 2030 through area-based conservation measures comes while human uses of the marine and coastal environment are expected to substantially grow, as the aspirations to develop blue economies spread and rise across the region.

While MSP efforts have been advanced to different degrees in several countries in the region, and while support for additional MSP efforts is underway (through e.g. the PROCARIBE+ and BE CLME+ Projects (GEF ID 10211), vast gaps persist, and both awareness on the importance of MSP as well as training and capacity building for its use and implementation remain critically and urgently needed.

An increasing number of training opportunities on MSP are being offered, globally, through a variety of initiatives (including IW:LEARN). Given this tendency, it will be important for PROCARIBE+ to identify and harness such existing and newly planned efforts, and to scope for synergies and/or complementarity. This way, PROCARIBE+ will seek to avoid duplication of efforts, and to maximize delivery on Output 2.1.3 across the different training topics, while remaining within the very modest limits of the GEF PROCARIBE+ budget allocated for this output.

Investments in the marine environment will not reach their potential, or may even become undone and lost, if parallel and complementary action is not undertaken on land. For this reason, PROCARIBE+ will also seek to mobilize established service providers to help build and expand the capacity in the region to mainstream the Source-to-Sea (S2S)/Ridge-to-Reef(R2R) concept and approach in Integrated Water Resources/River Basin Management (IWRM/IRBM). For this purpose, PROCARIBE+ will also take note of and seek to coordinate efforts with the different GEF-supported International Water Projects targeting several transboundary river basins that drain into the Caribbean and North Brazil Shelf Large Marine Ecosystems. A preliminary indication (non-comprehensive) of

prospective partnerships for Output 2.1.3 is also contained in Table 7 under the sub-section on "Partnerships" of this Section IV.

Ultimately, the persistent disconnect between the marine protection and conservation, the climate and ocean-based sustainable socio-economic development agendas is to be urgently resolved. This will however demand increased capacities across the region for Natural Capital Accounting (NCA), and for the integration of marine and coastal natural capital/blue carbon in future iterations of the Nationally Determined Contributions (NDC's, UNFCCC Paris Agreement).

A unique opportunity now exists, through PROCARIBE+, the OCM and partnership(s), and in collaboration with a.o. IW:LEARN/UNESCO, GWP/CAPNET, SIWI/the Source-to-Sea Platform, the European Space Agency (ESA), the NDC Partnership, UNDP Climate Promise, the Sustainable Ocean Initiative (SOI) of the Secretariat of the Convention on Biological Diversity (CBD), the Pew Charitable Trusts and others, to explore and harness the opportunities to provide for a more holistic set of training and capacity building opportunities for OCM member countries, and to install lasting national-level competency, facilitating the integration of IWRM/IRBM, ICZM/MSP, Blue Economy and Natural Capital Accounting in national-level ocean action, and underpinning the implementation of the LBS and SPAW Protocols, S2S, the NDC's, the 30x30 targets.

The proposed approach to achieve the project targets associated with Output 2.1.3 will be based on 3 key principles: (1) strategic alliances; (2) the avoidance of duplication of efforts across different/parallel initiatives, and (3) the optimal use of pre-existing capacity building/training resources, expertise and materials.

List of Proposed Activities to be supported by the PROCARIBE+ Project:

- Brief desk review of existing, online, preferentially freely accessible and permanently available capacity building opportunities and training courses and materials, in languages of relevance to the region, and assessment of their continued relevance and usefulness, bearing in mind the PROCARIBE+ target public and regional conditions (online search, complemented by a questionnaire targeting strategically chosen networks, e.g. IW:LEARN/UNESCO,..., and established platforms/mailing lists, e.g. OCTOGroup's MPAHelp, EBMHelp,...)
- Engagement with other (potential) providers/facilitators of capacity building and training services, materials & resources (PROCARIBE+ co-financing partners and other relevant GEF and non-GEF projects, organizations and initiatives, for example: IW:LEARN, OceanTeacher, ESA, GWP/CapNet, SIWI, NDC Partnership, UNDP Climate Promise, Pew Charitable Trusts, CAF/FAO BE CLME+ Project, CBD SOI, IODE-UNESCO, IBERMAR, UNDESA...), to develop and map a collaborative, cost-effective approach for the delivery of Output 2.1.3; Implementation of these activities will be supported by the PROCARIBE+ Gender Specialist, with a view of securing the incorporation of gender-related targets and promoting the participation from indigenous and vulnerable communities.
- Organization of a minimum of 3 dedicated regional training events, or, alternatively online courses (guided and/or self-paced), to be directly (co-)financed by PROCARIBE+ (potential topics: Blue Carbon and NDC's, Natural Capital Accounting, Ridge-to-Reef approach in MSP, Remote Sensing of the Marine Environment)
- Selection and implementation of an online solution(s) to provide permanent access to the training/course and capacity building materials (linked to the OCM Hub, see Output 4.1.1), including through the screening of, and collaborative action with existing platforms (e.g. CapNet Virtual Campus, CLME+ training portal (prototype), Ocean Teacher Global Academy,...)
- Install lasting national-level competencies by linking *-to the extent possible and as allowed by the project timeline-* the training/capacity building support to be provided under this output to the delivery, in selected pilot countries, of other PROCARIBE+ outputs such as for example: Marine Spatial Plans, SOMEE reports, 2025 NDC's.

Output 2.1.4. Marine and coastal natural capital/Blue Carbon integrated in national-level climate change mitigation and adaptation commitments/efforts: (a) verifiable (initial or upscaled) integration of coastal and marine natural capital/blue carbon in a minimum of five 2025 NDC updates from OCM member/PROCARIBE+ participating countries, enabled; (b) 1 early draft "best practice" NDC with strong marine component, regionally disseminated (by 2024) through the OCM and/or partnership(s), to promote upscaling and replication; (c) integration of NDC, MSP/MPA and/or BE development efforts in at least 1 country, demonstrated.

Coastal ecosystems are some of the most productive on Earth: mangrove forests, seagrass meadows and saltwater marshes are home to a wealth of biodiversity and provide many essential ecosystem services, such as coastal protection from storm surges, waves and floods, and nursery grounds for fish. Extractive (e.g fishing) and non-extractive (e.g. ecotourism) uses of living natural resources from these systems can support livelihoods and the development of blue economies.

The three aforementioned ecosystems are also known to sequester and store substantial amounts of "blue" carbon from the atmosphere and can thus play an important role in both climate adaptation and mitigation efforts.

Some 151 countries around the world contain at least one coastal blue carbon ecosystem. Globally, coastal habitats cover less than 2% of the total ocean areas, but account for approximately half of the total carbon sequestered in ocean sediments. According to "Mapping Ocean Wealth", the Caribbean by itself (i.e. the Caribbean LME alone) contains 18 percent of seagrass beds, and 12 percent of mangrove forests.

As the primary implementation mechanism for the Paris Agreement (United Nations Framework Convention on Climate Change, UNFCCC), the "Nationally Determined Contribution" (NDC) reflects the ambitions and embodies the efforts by a country to reduce national emissions and adapt to the impacts of climate change. Parties to the Paris Agreement are required to submit NDCs every five years; each successive NDCs is expected to represent an increasing level of ambition. As such, Parties were requested to submit their new or updated NDCs by 2020 and will be expected to continue to do so every five years (e.g. by 2025, 2030,..) regardless of the implementation time frames of prior NDC's. The periodic updating turns the NDC's into a dynamic instrument and makes it possible for countries to embrace the latest advances in knowledge and technology, and shifting economic trends, to further upscale their climate action.

Both globally and regionally, integration of carbon-sequestrating marine and coastal habitats in the first iteration(s) of the NDC's remained relatively limited. This is even though the destruction of blue carbon ecosystems, which continues to occur globally and at alarming rates, results in substantive emissions of greenhouse gases into the ocean and atmosphere, while the integration of blue carbon into the NDC's can serve the dual goal of helping countries meet and increase climate-change related targets will simultaneously protecting a valuable resource base for the development of their blue economies.

While several countries made reference to coastal wetlands in their first round of NDCs, only a minority discussed ocean actions as climate solutions (Herr and Landis, 2016). A positive trend is however appearing through the 2020 iteration of the NDCs, with an increasing recognition, by a rising number of countries, of the important linkages between positive action on oceans and the climate change agenda. The 2025 updates will offer a renewed opportunity for countries to increase ambitions by enhancing the role of nature, including blue carbon, in climate change mitigation and adaptation efforts.

The PROCARIBE+ Project, with its focus on "*Protecting and Restoring the Ocean's natural Capital, building Resilience and supporting region-wide Investments for sustainable Blue socio-Economic development"* is well positioned to support a continuation and further acceleration of such positive trend across the region.

In the CLME+/wider Caribbean region, countries have indeed started to progressively integrate blue carbon and/or coastal and marine ecosystems in the NDC's: as of January 2021, Antigua and Barbuda, Belize, Colombia, Costa Rica, Cuba, Dominican Republic, Mexico, and Panama had integrated, to some extent, blue carbon, and Saint Kitts and

Nevis, Honduras, Jamaica, Grenada, Bahamas and Suriname had integrated marine and coastal ecosystems in their NDC's.

In particular, Costa Rica and Belize significantly raised ambitions, by making strong commitments for respectively the protection of coastal wetlands, and the protection and restoration of mangrove and seagrass habitats.

Over the past few years, more solid guidance has indeed become available on how to integrate blue carbon in the development of the NDC's. Reference can for example be made to, e.g., the Blue Carbon Initiative's "*Blue Carbon and Nationally Determined Contributions: Guidelines on Enhanced Action*". A range of organizations and initiatives have been providing, and plan to continue providing support to countries for the development and implementation of their NDC's. While past support may have put limited emphasis on the blue carbon options, a clear change can be observed since UNFCCC COP 25 (2019).

Project Interventions

Considering the globally relevant presence of blue carbon habitats, as well as the huge (potential, and still largely untapped) value of the broader range of coastal and marine natural capital in the region, both from a conservation perspective and for the development of (blue) ocean-based economies, as well as from a climate change adaptation and mitigation perspective, the PROCARIBE+ Project will seek to enable, in collaboration and coordination with other supporting initiatives and organizations (e.g. UNDP Climate Promise, NDC Partnership Support Unit and Partnership Members, Pew Charitable Trusts,...) a further expansion of the integration of coastal and marine natural capital in general, and, specifically, blue carbon, in the 2025 NDC updates in the region.

Recognizing that the PROCARIBE+ GEF grant by itself would be far from sufficient to independently and fully fund the activities required to directly deliver a major upscaling of marine and coastal natural capital and blue carbon-based ambitions across multiple NDC's, and acknowledging the existence of several parallel, though often still disconnected supporting initiatives, PROCARIBE+ will instead focus on a set of strategically selected enabling activities that can lead to the delivery of 2025 NDC's with enhanced marine ambitions. For this purpose, the project will seek to mobilize, channel and harness support for the region through strategic alliances. Both during the development of the PROCARIBE+ PIF and during the PROCARIBE+ PPG phase, options for collaborative action with a number of NDC-supporting initiatives have been scoped to this effect, and are reflected in the strong co-financing commitments received to date.

In this context, PROCARIBE+ funds will support the consolidation of an updated regional baseline (existing NDC's, existing institutional arrangements/capacities,...) against which progress by project end can be measured, and help identify and disseminate best practices from past NDC development efforts. PROCARIBE+ will further support awareness raising and advocacy actions, including through the OCM and associated mechanisms and platforms created and/or supported under PROCARIBE+ Components 1 and 4, and seek to directly financially support NDC development efforts in at least 1 country.

In coordination/collaboration with global and regional partners, the project will seek to enable the target of having at least five 2025 NDC updates in the CLME+/wider Caribbean region with a demonstrated substantial increase in national climate change mitigation and adaptation commitments that are based on/relate to marine and coastal natural capital, in particular blue carbon.

With the exception of Panama, where the development of the 2025 NDC will be directly supported by the project, with cross-linkages to respectively blue carbon field work to be supported in the country under Output 3.2.1, and Costa Rica, where the Pew Charitable Trusts is planning to support enabling conditions around the implementation of the country's coastal wetland commitments in its 2020 NDC, which in turn could feed into the development of the 2025 NDC update, and where PROCARIBE+ would seek to support the linking of the NDC updating efforts to PROCARIBE+ support for national blue economy scoping and strategy development in the country, the engagement with additional countries with the purpose of enabling the (min.) "5 by 2025" target set under this Output will be further planned in collaboration and coordination with the enabling/PROCARIBE+ co-financing partners (e.g. Pew

Charitable Trusts, NDC Partnership, others) and PROCARIBE+ participating countries, and taking into account "readiness" and "replicability & upscaling" considerations, during the project's initial phase.

By 2024, the project will seek to disseminate a "best-practice" draft NDC through the OCM and its membership, with a view to promote replication and the exchange of good/best practice, among the countries from the wider Caribbean. In addition, the project will seek to make the case for an enhanced integration of national level NDC, marine spatial planning (MSP), marine conservation (MPA/OECMs) and Blue Economy scoping, planning and development efforts.

List of Proposed Activities to be supported by the PROCARIBE+ Project:

- Consolidate an updated baseline reflecting the status of integration (and related levels of ambition), at project start, of marine and coastal natural capital/blue carbon in the NDC's from OCM member countries/PROCARIBE+ participating countries, and (resources allowing) of the enabling institutional arrangements and capacity
- Awareness-raising (e.g. through the OCM, the OCM Hub and OCM membership) on: **(a)** the linkages between, on one hand, ocean conservation and the blue economy, and on the other hand, actions supporting climate mitigation and adaptation, and: **(b)** the region's current baseline, and further potential, for dual-purpose synergistic action aiming at protecting coastal and marine natural capital and developing the blue economies while simultaneously setting/increasing national-level climate change mitigation and adaptation ambitions
- Advocacy for **(a)** the (upscaled) integration of marine/coastal natural capital and blue carbon in the 2025 NDCs for the countries from the wider Caribbean (e.g. through the OCM and partnership(s), and other fora as appropriate), and for **(b)** the incorporation of related, post-2025 action, in the next iteration of the regional SAP
- Stimulate the expression of requests for support from OCM member/PROCARIBE+ participating countries to upscale/improve the integration of marine and coastal natural capital/blue carbon in the 2025 NDC's; help channel such requests for support to relevant enablers, and help mobilize such support through collaborative arrangements between the PROCARIBE+ Project and/or the OCM, and initiatives and organizations such as the UNDP Climate Promise the NDC Partnership, the PEW Charitable Trusts, etc.
- Organization of a regional workshop in support of the aforementioned activities, and to; **(a)** showcase regional/global best practice and success stories (e.g. the Costa Rica and Belize 2020 NDC), and to **(b)** facilitate discussion and exchange of ideas on the way forward to achieve a wide-spread upscaling through the 2025 (and/or subsequent) NDCs; building upon the results from the aforementioned baseline analysis, and engaging enabling partners (i.e. providers of technical and/or financial support for NDC development) in the workshop (linked with Output 2.1.3)
- Through the aforementioned activities:
    - directly financially support the (early) development of one 2025 NDC update, in one PROCARIBE+ participating country (Panama),
    - Link the 2025 NDC development support activities in Costa Rica to PROCARIBE+'s support for blue economy scoping and strategy development in the country
    - help enable the overall target of a minimum of five 2025 NDC's for the region, with a measurable, either (a) first-time integration, or (b) substantially upscaled integration (i.e. compared to the 2020 NDC), of marine and coastal natural assets/blue carbon for enhanced climate mitigation ambitions (while acknowledging the environmental and livelihoods/blue economy co-benefits)

COMPONENT 3: Catalyzing actions by all sectors of society, at different spatial scales, for the protection, restoration and sustainable use of marine and coastal natural capital ("blue economies")

Project activities under Component 3 seek to contribute to 5 distinct outcomes (Outcomes 3.1-3.5):

Outcome 3.1 Civil Society and MSME contributions to ocean conservation and ocean-based sustainable development & livelihoods/blue economies, upscaled

As per Table 3 at the beginning of this Section IV, 1 output will be produced by the PROCARIBE+ Project in support of this Outcome. The output will have 2 distinct elements.

In addition to fostering a growing, innovating and accelerated incursion of civil society groups and MSME into the blue economy, Outcome 3.1. will also contribute to the implementation of the 2020-2030 "People Managing Oceans" Civil Society version of the regional SAP (C-SAP). This C-SAP was developed under the lead of the Caribbean Natural Resources Institute (CANARI) with the support of the CLME+ Project, and endorsed by over 50 civil society groups from the region. Activities under Outcome 3.1. will also seek to enable contributions from civil society and private sector to the implementation of the Regional Strategies and Action Plans, which were prepared with the support of the CLME+ Project by regional IGO's with an oceans-related mandate: the Regional Plan of Action to Prevent, Deter and Eliminate Illegal, Unreported and Unregulated (IUU) Fishing in WECAFC Member Countries (FAO-WECAFC/CRFM/OSPESCA), and the Regional Strategies and Action Plans (RSAPs) on Nutrients, and on Coastal Habitats (UNEP CEP, Cartagena Convention). Civil society and MSME actions that help implement marine elements of Nationally Determined Contributions (NDcs) under the Paris Agreement may also be supported.

In contributing to this Outcome, the starting point for PROCARIBE+ will consist of: **(a)** achievement of the specific PROCARIBE+ Results Framework targets associated with **Output 3.1.1** (copied also here below), combined with: **(b)** a strategic alliance with the UNDP Ocean Innovation Challenge (OIC), as explained further down, and **(c)** the pursuit of synergies with the UNDP Accelerator Lab for Barbados and the Eastern Caribbean (also explained further below). During project inception and execution, other elements may be added to this strategic "joining of forces" approach, as deemed feasible and beneficial, with the aim of achieving a further upscaling of the overall, combined contributions to Outcome 3.1.

Output 3.1.1. Micro-financing schemes, supporting the implementation of key regional/national ocean instruments (SAPs, RSAPs, marine/coastal component of NDCs,...) through Civil Society and MSME action: (a) min. USD 2.5 million (of which USD 1 million from UNDP/GEF SGP) invested in (replicable) small grants/micro-finance initiatives supportive of the PROCARIBE+/ SAP/RSAP objectives. (incl. associated gender objectives) (b) on-the-ground stress reduction/restoration and/or enhanced management practices at min. 30 coastal/marine sites, in min 5 countries. Priorities: nature-based solutions, ecosystem conservation/restoration, sustainable harvesting of ecosystem goods (incl. small-scale fisheries), development of sustainable "blue" businesses (incl. technological innovation), post-covid and post-hurricane, post-earthquake recovery, climate change mitigation and adaptation/resilience, and enhanced/alternative livelihoods; with special attention to gender, youth and households.

Direct beneficiaries of the associated GEF investment: Civil Society groups in the following countries will be able to apply for the small grants support provided through PROCARIBE+: Antigua and Barbuda, Haiti, Jamaica, Saint Kitts & Nevis, Saint Lucia (1 additional country may be added during project inception)

Potential indirect beneficiaries of the associated GEF investment: innovators from or working in the region (all countries) will be made aware of, and better enabled to successfully apply for financial support from the UNDP Ocean Innovation Challenge Initiative (OIC)

The project interventions will build from the following baseline:

- Politically endorsed regional SAP (2015-2025), complemented by a "People Managing Oceans" civil society SAP endorsed by 50+ civil society groups, identifying priorities/needs for action
- 3 Regional Strategies and Action Plans, that can provide additional, more specific guidance, for high-priority actions (IUU, habitats, pollution)
- Existing NDC's (2020), a number of which already include provisions relating to the marine and coastal environment
- Well-established GEF Small Grants Programme
- The concept of a UNDP/GEF IW Project and UNDP/GEF SGP pooling resources and joining forces: successful experience and lessons learnt from UNDP/GEF IWECO, with operational mechanisms in place and tested in a number of IWECO countries: *Antigua and Barbuda, Barbados, Cuba, Dominican Republic, Jamaica, St. Kitts and Nevis, Saint Lucia, St. Vincent and the Grenadines, Trinidad and Tobago*
- Well-established UNDP Ocean Innovation Challenge (OIC), with existing experiences from a number of successful grantees from the region. Wider Caribbean countries: approved proposals from OIC Calls 1 (2020) and 2 (2021) , for a cumulative OIC grant amount of USD $750,000
- Well-established UNDP Barbados & Eastern Caribbean Blue Economy Accelerator Lab

Output 3.1.1.a: PROCARIBE+ Small Grants (to be matched by UNDP/GEF SGP small grants, safe force majeure)

For the delivery of Output 3.1.1.a, PROCARIBE+ and the UNDP/GEF SGP will seek to match USD 1 million from the PROCARIBE+ GEF grant funds with an equivalent amount of financial resources from the GEF Small Grants Programme (SGP) and/or other small grants programmes operating in the region, for civil society/community-centered and/or MSME actions that will enhance local communities' capacity for, engagement in and contributions to marine and coastal resources protection, restoration and sustainable use. The matching support from the GEF SGP will further enhance the community component of the PROCARIBE+ intervention, while co-financing to be generated at the community level (grantees) will leverage additional support. Coordination will further be sought with additional small grants initiatives operating in the region (e.g. GCFI's Small Grants Fund supporting capacity building at site-specific marine protected areas (MPA) and marine litter prevention and reduction, to just name one), to further upscale the level of support dedicated to the achievement of Outcome 3.1.

The GEF Small Grants Programme will contribute knowledge through the global experience of the programme in building sustainable economic livelihoods through community-based initiatives. The Programme will foster replication of best practices in proposal development, capacity-building for enterprise development and implementation. GEF SGP will be a source of ready finance for small communal business enterprise development that will contribute to socio-economic development at the local and, through future replication and up-scaling, national level.

In alignment with the established GEF SGP model, small grants will be awarded (typically for values of up to US$ 50,000), for community-based activities. Proposals/Grant requests will be screened for their contributions to, a.o., the implementation of the "People Managing Oceans" C-SAP, and/or the Regional Strategies and Action Plans developed under the CLME+ Project. Priority areas for funding will include: nature-based solutions, ecosystem conservation/restoration, sustainable harvesting of ecosystem goods (incl. small-scale fisheries), development of sustainable "blue" businesses (incl. technological innovation), post-covid and post-natural disaster (hurricane, earthquake, volcanic eruption,..) recovery, climate change mitigation and adaptation/resilience, and enhanced/alternative livelihoods; with special attention to gender, youth and households. The "climatic robustness" of the proposed solutions and/or their contributions to enhanced resilience of the socio-ecological system, as well as the replication/up-scaling potential will be considered in the decision-making on the allocation of the available grant resources.

Actions will be taken to integrate gender and youth participation in the selection of initiatives to receive financial support under Output 3.1.1. A tentative target is therefore set of a minimum of 30% of the funds for small grants/micro finance to women-led projects, and a 10% to youth-led projects. As such, PROCARIBE+ will seek to promote the participation, access to benefits and economic empowerment of women and young people.

In order to effectively attract the submission of women and youth-led proposals, the call for proposals, guidelines and specific information related to the small grants programme will give due consideration to the particular needs and interests of women and youth. To this end, specific guidelines will be developed and aligned with the financing principles of the SGP. The PROCARIBE+ Gender Specialist will actively participate and support these affirmative actions.

To deliver this "community output" under the PROCARIBE+ Project, the following activities will be undertaken: (1) provision of (financial) support for the demonstration and piloting of (replicable/scalable) sustainable local "blue economy" solutions to the environmental problems identified in the C-SAP, and/or targeted through the aforementioned Regional Strategies and Action Plans (IUU, nutrient pollution, habitat degradation,...); (2) develop local stakeholders' capacities to contribute to the implementation of regional and national policies, strategies and plans, at the community level; (3) facilitate vertical exchanges of information between local, national and regional levels, and horizontal exchanges between communities beyond national boundaries.

List of Proposed Activities to be supported by the PROCARIBE+ Project:

- Regional Training Workshop for the National SGP Coordinators on the "People Managing Oceans" Civil Society SAP and other relevant Regional Strategies and Action Plan produced under the CLME+ Project, and that the Small Grants funding to be provided under this Output will seek to support.
- Development and dissemination of specific guidelines on the achievement of gender and youth targets through Output 3.1.1.
- National launching events
- Issuance of calls for proposals, in the 5-6 target countries, clarification of priorities and selection criteria
- Screening of proposals, and grants issuance and management
- Issuance of a total of min. 34 grants, benefiting civil society groups in min. 5-6 countries, and targeting a minimum of 30 coastal/marine sites (tentative targets[17])
- Site visits (tentative number: 10, final number to be determined based on perceived needs/benefits and available budget)
- Outreach and communication activities; incl. through SGP and PROCARIBE+ websites, and through OCM (HUB, OCM membership - as relevant)
- Monitoring & Evaluation (incl. in terms of contributions to the aforementioned C-SAP and Regional Strategies and Action Plans) of interim progress, and final achievements
- Evaluation of the PROCARIBE+ SGP investment
- Regional Learning and Experience Exchange: Closing Workshop
- Production of a publication highlighting the achievements, best practices and lessons learnt from the grant support provided under this output

Output 3.1.1.b: Opportunities through the UNDP Ocean Innovation Challenge (OIC)

The **UNDP Ocean Innovation Challenge (OIC)** is a unique new mechanism that has been designed to accelerate progress on SDG14 by identifying, financing, advising and mentoring truly innovative, entrepreneurial and creative approaches to ocean and coastal restoration and protection that sustains livelihoods and advances the 'blue

[17] If deviating from these original targets during project execution: sound justification will be provided (including assessment of cumulative impacts of the investments)

economy'. The OIC seeks to support innovations - including technical, policy, economic and financial - that are transferable, replicable and scalable, and that can be sustained, in order to achieve maximum catalytic impact. The supported innovations will contribute directly to delivery of one or more SDG14 targets.

Each year, the OIC will be issuing a series of 'Ocean Challenges' or Requests for Proposals, each focused on a specific SDG14 target. Three such rounds of calls have been issued to date (2020, 2021 and 2022). Considering the duration of the PROCARIBE+ Project, 5 additional annual rounds of calls may thus be expected to be issued by the OIC during the project's implementation timeframe, creating as such multiple opportunities for innovators from or targeting the region, to mobilize valuable financial support which in turn can contribute to PROCARIBE+ Outcome 3.1.

Initial concepts for funding may be submitted by public or private entities, including governments, private companies (including start-ups), NGOs/CSOs, United Nations entities, academic institutions, and intergovernmental organizations. Innovators can request from 50,000 USD to 250,000 USD and project time frames can range from one to two years. Project proposals must be implemented in and benefit stakeholders in developing countries but may be submitted by applicants in either developing or developed countries. All proposals should include a special focus on gender mainstreaming, livelihood creation, and poverty reduction. The highly competitive and rigorous selection process takes approximately one year, and includes technical and operational mentoring for shortlisted proponents in the 6 months prior to contracting, making the overall engagement in the OIC Innovator a total of 32 months.

With the possibility of requesting grants of up to USD 250,000 and a 2-year (max.) implementation timeframe, concrete possibilities thus exist to leverage substantial financing in support of PROCARIBE+ Outcome 3.1, as well as, together with the GEF SGP element, to achieve and exceed the USD 2,5 million target set under Output 3.1.1.

Whereas no predetermined geographic allocations are made under the OIC in terms of the repartition of the total volume of available grants, the opportunity exists for the PROCARIBE+ Project and its partners, in collaboration with the OIC, to enhance awareness among innovators in the wider Caribbean about the opportunities provided through this mechanism.

It is important to clarify that none of the UNDP/GEF PROCARIBE+ funds will be implemented through the UNDP OIC. PROCARIBE+ funds allocated to the activities listed below will be exclusively dedicated to supporting regional stakeholders in more successfully mobilizing additional funding for Outcome 3.1.

<u>List of Proposed Activities to be supported by the PROCARIBE+ Project:</u>

- Harnessing the direct partners of the PROCARIBE+ Project, the regional Ocean Coordination Mechanism (OCM, Output 1.1.1.A) and the wider-ranging ocean partnership(s) (Output 1.1.1.B), and associated Regional Knowledge Management Hub (Output 4.1.1) to raise awareness, among innovators in or targeting the region, about the opportunities provided by the OIC and the wider Ocean Innovation Community;
- (Virtual) Workshop/materials, co-organized/co-produced by PROCARIBE+ and the OIC, to **(a)** share the experiences from selected OIC grantees from rounds 1-3, to extract lessons learned and to help identify possible opportunities for replication and/or upscaling in the region; and **(b)** stimulate and enhance the ability of regional entrepreneurs/innovators to successfully prepare and submit proposals to the OIC (in order to maximize return on this investment, and conditions allowing, collaboration for the execution of this activity may be further expanded to also include other (UNDP) GEF IW/LME initiatives, such as e.g. PACA (GEF ID 10076), Humboldt 2 (GEF ID 9592), Global Marine Commodities 2 (GEF ID 11011) and AIO SIDS (GEF ID 10865)

List of Parallel Activities supportive of Outcome 3.1

Among the activities in the region that will contribute to Outcome 3.1. and that are parallel to those that will be undertaken to specifically deliver Output 3.1.1.a, special reference is also made to the UNDP Blue Economy Accelerator Lab.

The mission of the UNDP Accelerator Lab in Barbados and the Eastern Caribbean is to encourage and promote out-of-the-box thinking, experimentation and innovation in key sectors of the blue economy such as fisheries, waste management, renewable energy and responsible tourism. Through collaboration with grassroots innovators, the Lab is working to co-create solutions to challenges within these sectors that will lead to policy advice and behavioral change.

A **strategic alliance** between PROCARIBE+ and the **UNDP Ocean Innovation Challenge (OIC)**, as well the **pursuit of synergies** with the **UNDP Blue Economy Accelerator Lab**, is likely to increase the **opportunities for replication , upscaling and/or complementarity**, and to **pave the path for a substantive increase of Civil Society and MSME contributions** to regional ocean conservation and ocean-based sustainable development aspirations ("blue economy") during the project implementation period (PROCARIBE+ Outcome 3.1.).

Outcome 3.2. Increased mobilization of private capital supporting environmental stress reduction and sustainable climate-smart blue economy initiatives, supporting CLME+ SAP implementation and post COVID-19 recovery, enabled

As per the table at the beginning of this Section IV, 1 output will be produced by the PROCARIBE+ Project in support of this Outcome.

Output 3.2.1: Enabling conditions to implement carbon credits-based sustainable financing instruments for seagrasses and tropical peatlands : (pre-)feasibility studies including carbon stock assessments in 1 country (Panama, 3 pilot sites); methodologies tested and fine-tuned for blue carbon project development and regional replication/up-scaling

In its latest review of its Nationally Determined Contribution (UNFCCC NDC Registry, 2020), Panama pledged to become carbon neutral by 2050. Within its NDCs, it placed ocean conservation as one of the top priorities on its environmental agenda and pledged to strengthen the management of its marine-coastal systems and to restore key areas of its coasts in both the Pacific and the Caribbean. Panama was the second Latin-American nation to achieve the goal of protecting 30% of its marine areas.

As an integral part of its efforts to achieve carbon neutrality, Panama is working to provide greater effective protection for "blue carbon" ecosystems (such as mangroves, seagrasses and coastal wetlands), in this way increasing/safeguarding these important carbon sinks. It should be noted in this regard that worldwide, despite their covering only 0.1% of the ocean floor, it is estimated that seagrasses can store up to 18% of the world's ocean carbon.

In 2022, the country aims to initiate the integration of blue carbon into the national inventory of greenhouse gases (GHGs), in recognition of the critical role played by these ecosystems in the removal of GHGs.

The integration of Panama's (and, by expansion, the wider region's) blue carbon into carbon markets offers substantial opportunities to contribute to the CLME+ Vision: blue carbon markets are relatively new compared with markets for carbon sequestration on land; they are notwithstanding expected to have great potential as part of the global demand for carbon credits that is projected to increase fifteen-fold from 2020 levels and to be worth up to US$ 50bn by 2030, according to the Taskforce on Scaling Voluntary Carbon Markets (TSVCM).

Globally, however, by 2022, few projects have been certified to sell blue carbon credits; as a consequence, on e.g. the voluntary carbon market prices are currently high as demand vastly outstrips supply. Rapidly scaling up blue-carbon projects could be key to meeting the Paris Climate agreement target of keeping global temperatures within a 1.5-degree Celsius rise above pre-industrial levels. Mature nature-based solutions—involving mangroves, seagrass and salt marshes—could provide 1.4 GtCO2e of annual emissions reductions by 2050 out of the total 56 GtCO2e needed, according to the High Level Panel for a Sustainable Ocean Economy.

Integration of Panama's (and the region's) blue carbon ecosystems into the carbon markets will bring with it the accompanying economic incentives, through which coastal ecosystems will be able to receive investments for their restoration and conservation, thereby improving their capacity to sequester carbon, conserve associated biodiversity and to provide a range of other ecosystem services and goods that support local communities and allow the development of socio-economic activities within the blue economy.

In addition to the work on seagrasses, Panama will also seek to improve the protection and restoration of tropical peatlands along its coastline. In 2019, the Intergovernmental Panel on Climate Change (IPCC) defined peatland conservation and restoration as an immediate-impact alternative for mitigating carbon emissions into the atmosphere (IPCC, 2019). Also, in the case of peatlands, and emphasizing the "source-to-sea" concept, positive side effects could be generated for the marine-coastal environment, since the degradation and/or destruction of tropical peatlands entails the export of carbon and other nutrients, such as nitrogen, to the river network, coastal lagoons and, ultimately, the ocean, which can contribute to acidification and eutrophication.

The Coasts and Seas Directorate of the Panamanian Environment Ministry has now begun to map seagrasses in Panama and to generate knowledge about their status. While methodological guidance has increasingly become available internationally, to date, however, there are no specific data available for the country on seagrass and (coastal) peatland carbon sequestration and storage capacity, which is why advantage is still not being taken of the major opportunities to generate carbon credits, which would help providing funding to improve their management and protection.

PROCARIBE+ will therefore support (pre-)feasibility assessments for a number of selected sites on the Caribbean coast, including through the generation of quality carbon sequestration/storage data. In doing so, PROCARIBE+ will help creating the enabling conditions that will allow Panama, and subsequently, based on the exchange of experiences and lessons learned, also other countries from the region to access the rapidly growing blue carbon markets.

Project Intervention Sites

In support of Outcome 3.2, through strategic collaborations with the NDC Partnership, UNDP Climate Promise, the Pew Charitable Trusts and other projects, such as the UNEP/GEF Caribbean BluEFin Project (GEF ID 10782), progress will thus be sought on the development of innovative (blended/private sector-based) financing mechanisms for the CLME+ region based on blue carbon.

In the context of Output 3.2.1, and mindful:

- that Panama's Caribbean and Pacific coasts have significant expanses of seagrass (179.39 km^2) (Allen Coral Atlas) and coastal wetlands, including tropical peatlands.
- of the importance of these ecosystems for carbon storage and the opportunities that they present in the context of Nationally Determined Contributions (NDCs) for climate-change mitigation and adaptation
- of the high levels of degradation suffered by these ecosystems, for many decades now, in Panama and at the regional and global levels (it is estimated that in the last 50 years, more than half of Panama's mangrove forests and wetlands have been cleared)

- of the opportunity presented by the recent launch of the Sustainable System of National Greenhouse Gas Inventories, offering the tools needed for the development of Panama's National Inventory of Greenhouse Gases (GHG inventory)

PROCARIBE+**, more specifically, will undertake key preparatory steps for the development and implementation of blue carbon/coastal peatland carbon projects for representative sites on the Caribbean coast of Panama, by:**

In particular, and taking into account the limitations in terms of available resources under the PROCARIBE+ GEF grant, activities under Output 3.2.1. will focus on the identification, including through field studies, of carbon sequestration and storage capacity and volumes at the selected sites named below:

1. **Seagrass pastures** around the protected landscape of **Isla Escudo de Veraguas-Degó** (Site 1), a marine protected area governed by the indigenous communities of the *Comarca* of Ngäbe Buglé. **(Category V IUCN) (WDPA ID 115101; 422.5 km^2),** and
2. Tropical peatlands at two coastal Ramsar sites: **San San Pond Sak (WDPA ID 68135; 308.12 km^2)** (Site 2) (Province of Bocas del Toro) and **Damani-Guariviara** (Site 3) **(WDPA ID 107289; 268.57 km^2)** (Indigenous comarca of Ngäbe-Bugle).

The waters near to the island of **Isla Escudo de Veraguas-Degó** contain a significant area of **seagrass** considered mostly healthy, and this represents an important opportunity to develop an innovative blue carbon mechanism at this site. Almost the entire island is in its natural state, since most of it is uninhabited. In addition to its natural and biological value, the island is considered a valuable heritage landscape, mainly for the coastal Ngäbe groups who have historically interacted with the island and its resources as a means of subsistence. Indigenous communities have expressed interest in and a commitment to conserving and rationally using the island's and the sea's resources. The site is considered a **national-level priority site for the conservation of seagrasses.**

Two sites where the presence of peatlands is known are the two Ramsar Sites of San San Pond Sak and Damani-Guariviara.

Figure 8. Damani-Guariviara Ramsar Site (source: Ministry of Environment Panama)

Figure 9. San San Pond Sak (source: as indicated in the image)

Ramsar Site

Both sites have coastal and inland wetlands such as beaches, swamps (salt- and freshwater), lagoons (salt- and freshwater), rivers and mangroves. The wetlands are influenced both by the sea and the major rivers that cross them. They also have important biological value in terms of species of flora and fauna. The diversity of fauna is due to the interplay of systems of large rivers with lagoon and coastal ecosystems, which allows many species of fish to use these areas as reproduction and/or feeding areas. In addition, both sites including nesting areas of sea turtles and the presence of manatees (*Trichechus manatus*), an endangered species.

There is currently no quantification of carbon storage in Panama's peatlands. Work is under way in Panama to develop a methodology of its own for tropical peatlands in order to generate carbon credits from these peatlands.

It is estimated that the San San Pond Sak peatland contains approximately 80 $MtCO_2$ (Cohen et al., 1989) named in the scientific literature as "Changuinola Peat Deposit". San San Pond Sak is considered one of the most biodiverse protected areas in Panama and has been identified as a Key Biodiversity Area. This wetland is also part of the La Amistad Biosphere Reserve (RBLA) next to the La Amistad International Park, the Volcán Barú National Park, the Lagunas de Volcán Wetland, the Fortuna Forest Reserve, the Isla Bastimentos Marine Park and the Palo Seco Protective Forest.

There is still no estimate of the amount of carbon stored in the **Damani-Guariviara Wetland**, but it potentially contains even more peat than San San Pond Sak. The site's Ramsar entry states that the site has a 80km2 peatbog. This system has coastal and inland wetlands such as beaches, swamps, fresh- and saltwater lagoons, rivers and mangroves. The site has high biological value due to its diverse habitats, for which reason it presents a wide diversity of flora and fauna. The area is also important as a nesting place for turtles, such as the critically-endangered hawksbill sea turtle (*Eretmochelys imbricata*), and is home to species such as the manatee (*Trichechus manatus*), howler monkey (*Aloutta palliata*), harpy eagle (*Harpia harpyja*), loggerhead sea turtle (*Caretta caretta*) and green sea turtle (*Chelonia mydas*), which are included in CITES Appendices I and II and the IUCN Red List. It has high ethnotourism and ecotourism value since it is a place of life of the nomadic Ngäbe and Buglé people, one of the oldest in Panama (Ramsar, 2010).

Even though the San Pond Sak and Damani-Guariviara wetlands are of international importance (RAMSAR sites) representing biodiverse ecosystems with a wide variety of wildlife species, including some at critical risk of extinction, they both currently face deforestation, inappropriate agricultural practices, subsistence hunting, the over-exploitation of marine resources, mining and pollution. The presence of tropical peatlands in these coastal wetlands presents an important potential source of GHGs while at the same time offering, if they are under good management, conservation and restoration, a very high carbon storage capacity. Hence the importance of their selection as pilot sites for PROCARIBE+ and for the generation of better data and knowledge about this ecosystem in order to improve its effective management and conservation.

The application of methodologies for (blue) carbon accounting will seek to determine these sites' carbon sequestration and storage capacities/volumes with the goal of enabling the of sale carbon credits.

PROCARIBE+ will strengthen and expand these national efforts, through the Project's direct support for the development of (pre-)feasibility studies. Accordingly, the contributions to be made through PROCARIBE+ for these pilot sites will also allow the evaluation and (going beyond the scope of the project)improvement and subsequent replication of the methodologies and improved practices in the country and, as applicable, throughout the wider Caribbean region.

Proposed project interventions:

PROCARIBE+ will focus its support on the measures and activities needed to carry out the (pre-)feasibility studies, including the quantification of blue (seagrass) and peatland carbon in the identified sites, to provide the basis for blue carbon projects that will seek to mobilize and implement sustainable financing schemes based on the sale of carbon credits. The studies will also seek to determine the health status and trends of these important ecosystems with a view to ensuring their protection.

In light of project funding limitations and to learn from and build synergies, avoid overlaps and achieve complementarities with related initiatives in the region, the project will seek to liaise with, a.o., Colombian stakeholders, based on recent progress and successes related to blue carbon credits achieved in the neighboring country, the UNEP/GEF Caribbean Blue Economy Financing Project (Caribbean BluEFin Project, GEF ID 10782) and AFD/FFEM “Caribbean Regional Architecture for Biodiversity” (CRAB) Project, both implemented by the Caribbean Biodiversity Fund (CBF) and focussing on conservation (including blue carbon-based) financing schemes, the PEW Charitable Trusts (blue carbon, NDC’s,..), and the Smithsonian Institute (peatlands).

Of high relevance for this output and the associated PROCARIBE+ Outcome 3.2 is that one of the goals of the aforementioned Caribbean BlueFin Project is to develop a (sub-)regional “Blue Carbon Facility” to further help enable the sale of blue carbon bonds from the region to investors, supporting as such conservation targets for the region’s blue carbon ecosystems.

Considering that some of the proposed intervention sites are located within indigenous territories, as indicated in the ESMF (Annex 10), appropriate measures will be taken to ensure that indigenous communities are adequately considered in the further design of the project interventions. The eligibility criteria for the implementation of activities will rule out any intervention where significant negative impacts on indigenous peoples are identified. In the case that project activities are identified to have potential impacts on indigenous peoples or indigenous lands, the culturally appropriate consultations will be initiated with the objective of achieving agreement and FPIC, and an Indigenous Peoples Plan will be developed If there is no consent of potentially affected communities in the implementation of activities that may result in restricted access to certain natural resources, these will not be implemented.

List of Proposed Activities to be supported by the PROCARIBE+ Project:

- Exchange of experiences with one or more leading regional (e.g. Colombia) and/or global countries, and relevant partner organizations on (a) the quantification of carbon stocks in seagrass and tropical peatlands and on (b) the creation of blue carbon projects/development of carbon credits (building on existing global guidance from e.g. IUCN, the Blue Carbon Initiative, Silvestrum, AGEDI, UNEP/CIFOR, a.o.)
- Identify and adopt, or adapt and fine-tune, one or more existing and proven methodology/ies, based on successful regional and/or international experience, to quantify the carbon stocks of seagrasses and tropical peatlands, as an activity preparatory to the inventory process, and to the preparation of blue carbon projects
- Training of national and local officials/stakeholders on the application of the selected methodology/ies (e.g., through a national workshop)
- Develop and implement a participatory process for the engagement of indigenous communities
- Develop maps of the distribution of seagrass pastures and tropical peatlands at three selected sites on the Caribbean coasts of Panama (remote sensing + field validation)
- Determine the current status and threats against seagrass and peatland ecosystems at the three sites and identify potential management actions to enable the selected sites to maintain/improve their carbon-capture capacity, through protection and restoration measures (Driver-Pressure-State-Impact-Response (DPSIR) Framework)
- Apply the selected methodology/ies to quantify carbon stocks at the selected sites
- Integrate the results in pre-feasibility and/or feasibility studies to determine the blue carbon potentials, with the view of subsequently advancing (parallel funding allowing[18]) the design of blue carbon projects
- Carry out steps to integrate blue carbon into the new iteration of the NDCs (link with Output 2.1.4)
- As possible and depending on the parallel progress of the UNEP/GEF Caribbean BluEFin Project, seek to adopt a common standard for the development of blue carbon credit projects for the countries of the region that would facilitate the mobilization of funding through the BluEFin's Blue Carbon Facility (scaling/pooling of projects).
- Regional activity to disseminate lessons learned

Outcome 3.3. Expansion and integration of "Blue Economy", Marine Spatial Planning and MPA/OECM efforts across the region (ecosystem approach), supporting ocean-based socio-economic development, recovery and resilience (covid19, hurricanes) and progressive delivery on international targets in the fields of: marine conservation and climate change mitigation and adaptation

As per the table at the beginning of this Section IV, 2 (interlinked) outputs will be produced by the PROCARIBE+ Project in support of this Outcome.

[18] PROCARIBE+ may support the identification/mobilization of required financial resources, see e.g. the Blue Natural Capital Financing Facility (BNCFF; ICRI)

PROCARIBE+ will seek to contribute to this Outcome by delivering Outputs 3.3.1 and 3.3.2, which are described in further detail here below, and which consist of both country-specific as well as transboundary/multi-country interventions covering a total of at least 8 countries. Output 3.3.1 focuses on advancing marine spatial planning efforts and supporting blue economy planning in selected countries (element "a" of the output), but will also pursue exchange of experiences and lessons learned (element "b" of the output) through site visits and a regional workshop, and advocacy efforts (e.g. through OCM and partnerships) towards achieving the target of min. 10% of the CLME under MSP (note: achievement of the latter target NOT being the responsibility of PROCARIBE+).

Output 3.3.2 will work towards supporting area-based conservation in the marine environment through the creation of new and/or strengthening of existing MPAs and/or by developing/supporting Other Effective Area Based Conservation Measures (OECM), while duly considering the interests of local communities.

The implementation of the interventions under Outputs 3.3.1 and 3.3.2 will require the engagement of a wide range of stakeholders, at the regional, national and local levels. A preliminary analysis of the stakeholders with potential interests in the activities of the Project is included in the Stakeholder Analysis and Engagement Plan (Annex 9), the IPPF (Section 10.4 of the ESMF (Annex 10)) and the Gender Analysis and Action Plan (Annex 10). A more complete analysis will be conducted during the project inception phase, with the support from the countries and local organisations, with a view of engaging all interested parties in a fair and equitable manner in any activity financed by the project that may affect them. For all engagement processes, the UNDP SES procedures will be applied, and where necessary, additional measures will be taken to ensure that the project does not cause negative impacts on local inhabitants or the environment. The ESMF (Annex 10) provides guidance on the measures and complementary actions needed to meaningfully implement the UNDP SES standards.

The planned interventions for Outputs 3.3.1 and 3.3.2 have been structured by countries or sub-region (in the case of the Meso-American Reef region). The description of the different PROCARIBE+ on-the-ground interventions given here below is done at the site level rather than at the output level, as the site interventions often contain elements contributing to both Output 3.3.1 and 3.3.2.

Table 5. Intervention sites and their contributions to the PROCARIBE+ Outputs 3.3.1 and 3.3.2

Outputs	Participating countries	Products
3.3.1.a Marine Spatial Planning (MSP)	Dominican Republic	-Coarse-scale MSP covering a substantial part of the EEZ (min. 150,000 km2) + (at least 1 additional), Finer-scale MSP, covering a "high-priority" marine-coastal area, of no less than 1,400 km2
	Meso-American Reef (MAR) region: Belize, Guatemala, Honduras	MSP exercise for the MAR with focus on reconciling shipping with reef conservation, in support of the development and submission to the International Maritime Organization (IMO) of a proposal for the designation of part of the MAR region as a Particularly Sensitive Sea Area, tentative extension: approx. 56,097 km^2
	Trinidad and Tobago	Multi-sector MSP covering 2,942 km^2 in the Gulf of Paria

	Venezuela	Multi-sector MSP covering 5,200 km2 in the Gulf of Paria
	Colombia	Multi-sector MSP for the Bay of Cartagena and adjacent areas (~274km^2)
	1 additional PROCARIBE+ - participating country (to be determined during Project Inception)	1 additional MSP effort is considered
3.3.1.a Blue Economy/Strategies/Plan	Costa Rica	Blue Economy Strategy/Plan for the Caribbean
3.3.2. Enhanced area-based ocean conservation (MPA/OECM)	Colombia (MPA)	-Management plan and priority management actions for newly declared "Reserva Natural Cordillera Submarina Beata" (Beata Ridge) MPA (extension: 33,125.47 km2) -New Regional Protected Area (527.74 km^2) in Punta San Bernardo and Chichimán - Rincón del Mar sector -New MPA (27.31 km2) for the Varadero sector (Mission Blue "hope spot") of the Bay of Catagena
	Dominican Republic (MPA/OECM)	-Inclusion of (part of the) "Beata Ridge" seamount system (Dominican part) in the Dominican Republic's system of MPAs (new/expanded MPA, tentative extension: 10,000 to 13,000 km^2) -Creation of (pilot) no-take/fish replenishment and/or management zones, cumulatively covering a marine area of no less than 35 km^2
	Meso-American Reef region: Belize, Guatemala and Honduras (MPA/OECM)	-Community-based Fisheries Replenishment Zones (min. 100 km2) -Submission to IMO of proposal for the designation of part of the MAR region as a Particularly Sensitive Area under the International Maritime Organization (IMO), tentative extension: approx. 56,097 km2 (OECM)
	1 additional PROCARIBE+ - participating country (to be determined during Project Inception)	1 additional MPA/OECM effort is considered

For **element (b) of Output 3.3.1**, the following activities are being anticipated:

- in order to promote collaboration between the ongoing MSP processes in the CLME+ region, at least one MSP Regional Workshop will be organized to: (1) exchange MSP experience and methods among countries in the region, (ii) share information about the impacts of the COVID-19 pandemic and possible implications for MSP, and (iii) share workplans and coordinate actions among the different sites working on MSP;
- (an) exchange visit(s) between some of the MSP sites supported under the PROCARIBE+ project will be organized to have first-hand experience of the ongoing MSP processes;
- advocacy to promote and achieve the prioritization, among OCM member countries, of a further increase of MSP efforts in the region, or commitments to initiate MSP efforts in the short to medium-term, and to achieve a further mobilization of the required financial support through a coordinated approach (OCM/partnerships), visualizing the target of a minimum of 10% of the CLME under MSP (either initiated or completed)

As part of the Project's Environmental and Social Safeguards Management Framework (ESMF) and Gender Action Plan, affirmative actions for promoting the full participation and representation of local communities/stakeholders and of women in MSP and MPA/OECM activities will be included. Guidelines will be developed to support the full integration of local stakeholder (incld. indigenous, where applicable) and gender considerations in the design and implementation of the planning processes, including recommendations for organizing inclusive-consultations, producing sex-disaggregated data, analyzing socio-economic outcomes, and recommendations on opportunities for women in MSP.

Output 3.3.1. BE and MSP planning in at least 8 countries, integrating blue economy (incl. sustainable fisheries and post-covid19 recovery), climate change mitigation and adaptation and ocean conservation objectives, and source-to-sea considerations*.*

and

Output 3.3.2. Enhanced area-based ocean conservation (MPA/OECM) in 5-6 countries, targeting over 4,000,000 ha of coastal/marine space, through: expansion of, or newly created MPA's, and/or MPA's with increased protection levels/demonstrated enhanced management effectiveness, and/or equivalent amounts of marine space under Other Effective area-based Conservation Measures (OECMs)

The proposed country-level interventions on MSP, Blue Economy and MPA/OECM in each site is presented below (Outputs 3.3.1 and 3.3.2)

Site: Colombia

National context

Colombia, a bioceanic country (Caribbean and Pacific) committed to marine conservation due to its high intrinsic value, and to national and local socio-economic development through the blue economy, has signed up to both the **High Ambition Coalition for Nature and People (HAC)** and the **Global Partnership for Oceans,** two global initiatives that are promoting the goal of effectively protecting 30% of the seas by 2030, considered essential by many scientists to ensure the long-term health of global ecosystems and the provision of the resulting ecosystem services.

Reaffirming this **target at the COP26 Conference of the Parties on climate change (Glasgow, 2021)**, the Presidency of Colombia set itself the goal of fully achieving 30% already **during 2022.** For this purpose, and as far as it relates to the Caribbean, the national strategy envisaged expanding existing MPAs and creating new ones, including an oceanic

"Beata Ridge" MPA, as well as recognizing and implementing "Other Effective Area-based Conservation Measures" (OECMs).

It is against this backdrop that the integrated Outputs 3.3.1 and 3.3.2 of the PROCARIBE+ Project have been designed to revolve around the following three lines of intervention for Colombia:

1. Implementation of the new "**Beata Ridge**" Marine Protected Area (MPA), **(± 33,000 km^2),** in particular the process of drafting, and initiating the implementation of selected elements of its management plan.
2. Marine/Coastal Spatial Planning (MCSP) of the **Bay of Cartagena** and adjacent areas, covering an area of approximately **274 km^2** corresponding to the area that forms part of the Bay's ecological restoration plan, and declaration of a new Marine Protected Area (MPA) in the "Varadero" sector **(27.31km^2)** of the Bay.
3. Declaration of a new "**Punta San Bernardo y Chichimán - Rincón del Mar"** Regional Protected Area (Sucre department, **527.74 km^2**) and production of its management plan.

For all activities described below, the UNDP SES guidelines will be followed. The ESMF (Annex 10) provides guidance on the assessments and measures needed to comply with the SES.

Each line of intervention is described in more detail below:

<u>Colombia Intervention 1: New "Reserva Natural Cordillera Submarina Beata" (Beata Ridge) Marine Protected Area (3,312,547 ha; IUCN Category I)</u>

As part of its efforts to achieve the 30% target, Colombia conducted the **first expedition to a submarine mountain range in the Colombian Caribbean**, known as the "**Beata Ridge Expedition**", between January and March 2022. This major scientific expedition took place under an agreement between the Ministry of Environment and Sustainable Development (Minambiente) and the Institute for Marine and Coastal Research (INVEMAR), at a cost of nearly **USD 2 million** (mostly contributed by **Minambiente**) and covering an area of 3.5 million hectares (**35,000 km^2**) of the Colombian Caribbean.

As a **binational system** of the **oceanic Caribbean**, the Beata Ridge consists of a seamount system with important biodiversity values and oceanographic phenomena, as well as unique geological characteristics. It corresponds to a triangular space 450 km long by 300 km wide and covering a total area of approximately **57,300 km^2** in the narrowest part of the Caribbean, between the peninsulas of La Guajira (Colombia) and Hispaniola (more precisely the **Dominican Republic**). Approximately **60%** of the area is located in **Colombian waters**, in the north-eastern corner of the country's maritime territory. Depths in the area range from 1,500 to 4,400 metres.

It is characterized by a permanent upwelling of cold and nutrient-rich waters that result in **high productivity**, supporting the **important biodiversity** of the seamount. This is reflected in its **fisheries** with species such as yellowfin tuna (*Thunnus albacares*), white tuna (*Thunnus alalunga*), blackfin tuna (*Thunnus atlanticus*), bigeye tuna (*Thunnus obesus*) and skipjack tuna (*Katsuwonus pelamis*), in addition to **species under varying degrees of threat** such as the whitetip shark *(Carcharhinus longimanus*), longfin maco shark (*Isurus paucus*) and silky shark (*Carcharhinus falciformis*), as well as blue (*Makaira nigricans*) and white (*Kajikia albida*) marlin.

Figure 10. Approximate location of the Cordillera Beata (source: world wide web)

The expedition arose out of a recent analysis of the **Colombian Subsystem of Marine Protected Areas** (SMPA), which identified **a lack of representation of underwater landscapes in the Colombian Caribbean, such as submarine plateaux, escarpments, hills, mountains and canyons**, which are all recognized for their high biodiversity values in the Convention on Biological Diversity (CBD) and by international organizations such as the World Commission on Protected Areas (WCPA) of the International Union for Conservation of Nature (IUCN), as well as government agencies such as the US National Oceanic and Atmospheric Administration (NOAA), among others.

It should be noted that these recognitions have also recently led other countries such as the USA, Canada and France to prioritize declaring this type of deep-sea ecosystem as an MPA. This may also be linked to the growth of offshore production activities such as mineral extraction, trawling, laying of submarine cables, hydrocarbon exploitation, etc., which if developed unsustainably would put the important natural capital associated with seamounts at risk.

In terms of the socio-environmental risks and threats facing the Beata Ridge, we have thus far identified dynamics relating to hydrocarbons, fisheries, communications cabling, maritime transit, climate change and variability.

It is in this context that the scientific expedition from early 2022, together with the process of coordinating with relevant economic sectors, is helping to identify the objectives and conservation targets (determining factors in the delimitation of the area), and to prepare a summary document in support of the declaration, as well as the subsequent **declaration** of this area of the Colombian Caribbean as a **new Marine Protected Area (MPA).** The declaration process was undertaken by the **Interinstitutional Technical Committee**, with the participation of various national-level entities that may be able to contribute to the declaration process as well as to its administration and management. The following are members of this Committee: Minambiente, National Parks of Colombia, INVEMAR and the Maritime Directorate (DIMAR). According to the current schedule, it is anticipated that the area will be declared an MPA before the PROCARIBE+ Project commences. At the time of writing (July 2022); the new “Reserva Natural Cordillera Submarina Beata” (“Beata Ridge)” Marine Protected Area (3,312,547 ha; IUCN Category I) had just been formally declared.

The information gathered by INVEMAR will be of **great importance** in **drawing up the corresponding management plans, an activity that will be supported by the PROCARIBE+ Project** and one that is necessary if the protection provided by this declaration is to be effective.

The design, creation and effective implementation of the Beata Ridge MPA follows a "**landscape-scale restoration strategy**", i.e. it seeks to advance our understanding of the landscape structure, its spatial heterogeneity and its biodiversity with the aim of maintaining its ecological functions on a national and regional scale.

It will protect sites in the Beata Ridge ecozone, strategic for ecological connectivity in the Central Caribbean. It will also preserve landscapes and ecosystems associated with mountains, escarpments, hills and plateaux and contribute to maintaining habitat conditions for the socially and environmentally sustainable use of species of commercial interest in this ecozone.

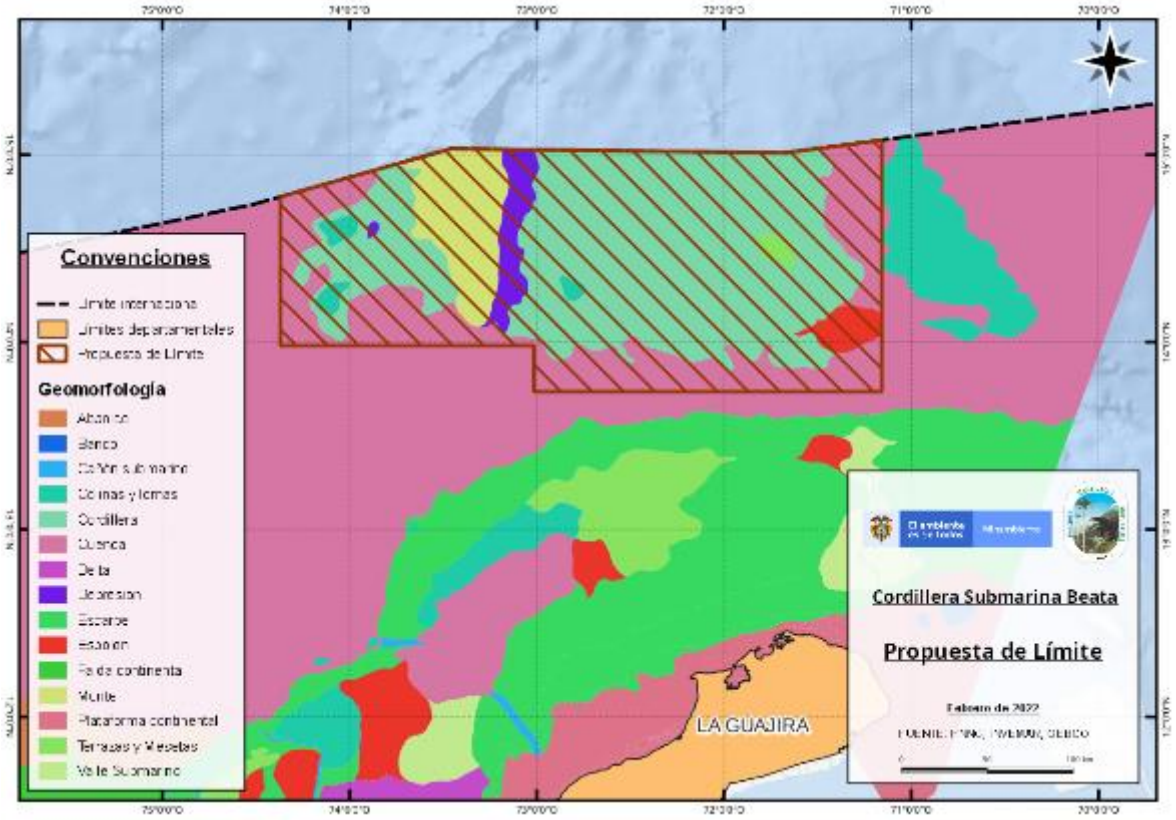


Figure 11. Preliminary Reference Area for the Beata Ridge. (source: see map inset)

In conjunction with other planned measures (both in the Colombian Caribbean and the Colombian Pacific), this MPA will enable the country to comply with the international commitments that are expected to derive from the Convention on Biological Diversity's post-2020 Global Biodiversity Framework agreements. It will also contribute to the international commitments of Goal 14 "Marine Life" of the Sustainable Development Goals (SDGs, Agenda 2030) and to the actions of the 2021-2030 Decade of Ocean Sciences for Sustainable Development in relation to the challenge "A healthy and resilient ocean in which marine ecosystems are mapped and protected", as well as the Decade on Ecosystem Restoration (2021-2030).

According to preliminary estimates by the Colombian authorities, the effective implementation of the area following its declaration will require around USD 800,000 over the first 3 years.

In June 2022, it was also announced that Colombia and the Dominican Republic would sign a cooperation agreement for joint marine-coastal research and pursue a joint research expedition for the binational Cordillera Beata system

(based on the results of which the Dominican Republic would advance towards the declaration of a new MPA adjacent to the recently declared "Reserva Natural Cordillera Submarina Beata").

List of Proposed Activities to be supported by the PROCARIBE+ Project:

PROCARIBE+ will focus its support on the measures and activities necessary to ensure the effective and efficient management of the newly designated MPA. The proposed activities to be funded by the project include:

- Implementing the initial actions resulting from the declaration process, such as:
    - Producing and disseminating informational materials on the new MPA to increase awareness among key stakeholders and the general public, with the ultimate goal of achieving compliance with conservation objectives
- Formulation of the Management Plan for the new MPA, with special emphasis on data collection/analysis and the development of a solid strategy to ensure the effectiveness of the management of the protected area
- Supporting the implementation of priority actions under the management plan (to be established during the project with the corresponding stakeholders) aimed at implementing monitoring, control and surveillance measures/systems
- Activities aimed at supporting a cross-border geographic extension of the protection area
    - Creating a Binational working group for the Beata Ridge, involving Colombia and the Dominican Republic
    - Binational meetings
    - Exchanges of experiences
    - Data and knowledge sharing
    - Creating harmonized and/or unified data/information/knowledge management structures for the Beata Ridge

It should be noted that the management and administration of this new protected area will take place within the framework of the National System of Protected Areas (SINAP) and the Subsystem for Marine Protected Areas (SAMP).

Colombia Intervention 2: Marine/Coastal Spatial Planning (MSP) for the Bay of Cartagena and adjacent areas (~274km^2), with a focus on protecting and restoring the marine/coastal natural capital, including declaring the Varadero sector a new Marine Protected Area (27.31km^2) of global scientific importance

In the Bay of Cartagena and its area of influence, conservation and sustainable development are underpinned by heterogeneous mosaics incorporating production systems and natural ecosystems in which biodiversity is of great importance as one of the structuring elements (INVEMAR-CARDIQUE, 2014).

The Bay area and its adjacent zones consists of a set of ecosystems that include sandy beaches, mangroves, a wetland complex comprising marshes and coastal lagoons, dry forest relicts, sea grasses and coral reefs stretching from the continental landmass to the island areas (and including the archipelagos of the Rosario and San Bernardo Islands), the latter strongly linked to the tourist development of the Colombian Caribbean city of Cartagena.

It is worth noting in this context that Cartagena, the fourth largest seaport in Latin America in terms of cargo traffic and with an important industrial zone, already exceeds one million inhabitants; at the end of 2019, the Cartagena Tourism Information System (SITCAR) reported a total of more than 2.8 million passengers arriving at this destination during that year (pre-pandemic).

As a result of strong anthropogenic pressures, the Bay of Cartagena is a highly polluted system, receiving high loads of industrial waste and sewage every day, as well as sediments and inland water discharges from the Dique Canal, which connects the Bay with the Magdalena River (Martínez-Campo et al. 2017; INVEMAR, 2016; Restrepo et al. 2006).

The lack of specific integrated management strategies for the Bay is considered to be one of the main causes of the deterioration, vulnerability and loss of its ecosystems. This makes an exercise of this nature necessary, including land use and sectoral planning, and taking as a reference and inputs the following planning exercises already carried out involving the Bay area: (a) the Integrated Management Plan for the Magdalena River Coastal Environmental Unit, Dique Canal complex – Ciénaga Grande de Santa Marta Lagoon System; (b) the 4C Climate Change Plan for Cartagena; (c) the portfolio of conservation priorities for the Colombian continental Caribbean, among others.

In this context, the "**Ecological Restoration Master Plan for the Bay of Cartagena"** was drawn up in 2021 to be implemented over the **short (1 to 3 years)** and **medium (5 years) term** and an **Interinstitutional Environmental Committee for the Management of the Bay of Cartagena and Barbacoas Bay** was established as a "*coordinating body for actions that contribute to preventing, correcting and mitigating the effects of environmental pollution occurring in the bays, as well as seeking to reduce the loss of ecosystem services and their rehabilitation in order to promote the welfare of coastal populations and promote sustainable development*".

This committee has become the ideal arena in which to generate a coordinated decision-making process that could spearhead a marine spatial planning exercise (MSP) for the Bay.

As noted above, in the context of Colombia's marine/coastal environmental management, the Bay of Cartagena forms part of the "**Magdalena River-Ciénaga Grande de Santa Marta-Dique Canal Complex**" Environmental Coastal Unit (ECU). ECUs are areas of the coastal zone that are geographically designed for the purposes of planning and management. In this sense, each ECU is deemed to contain ecosystems with their own distinctive characteristics, with similar conditions and connectivity in terms of their structural and functional aspects.

The regulations governing ECUs, along with their planning instrument (the Integrated Management Plan (POMIUAC)) and with the joint committees as coordinating body, were approved by means of Decree 1120 of 2013 (aggregated into the Sole Regulatory Decree for the Environment Sector No. 1076 of 2015), enabling the process of managing the 245,717 km^2 of the country's coastal areas to be promoted with the 12 Coastal Autonomous Regional Corporations (CAR), the National Natural Parks, and the authorities of the large coastal urban centres.

In accordance with Article 10 of Law 388 of 1997, the POMIUAC is the highest environmental standard for the preparation and adoption of land-use plans and it guides the planning of other sectors in the coastal zone.

In addition, by means of Resolution 768 of 2017, the Colombian Ministry of Environment and Sustainable Development adopted the **Technical Guide for the Integrated Management of the Coastal Zone** for use in drafting the POMIUACs.

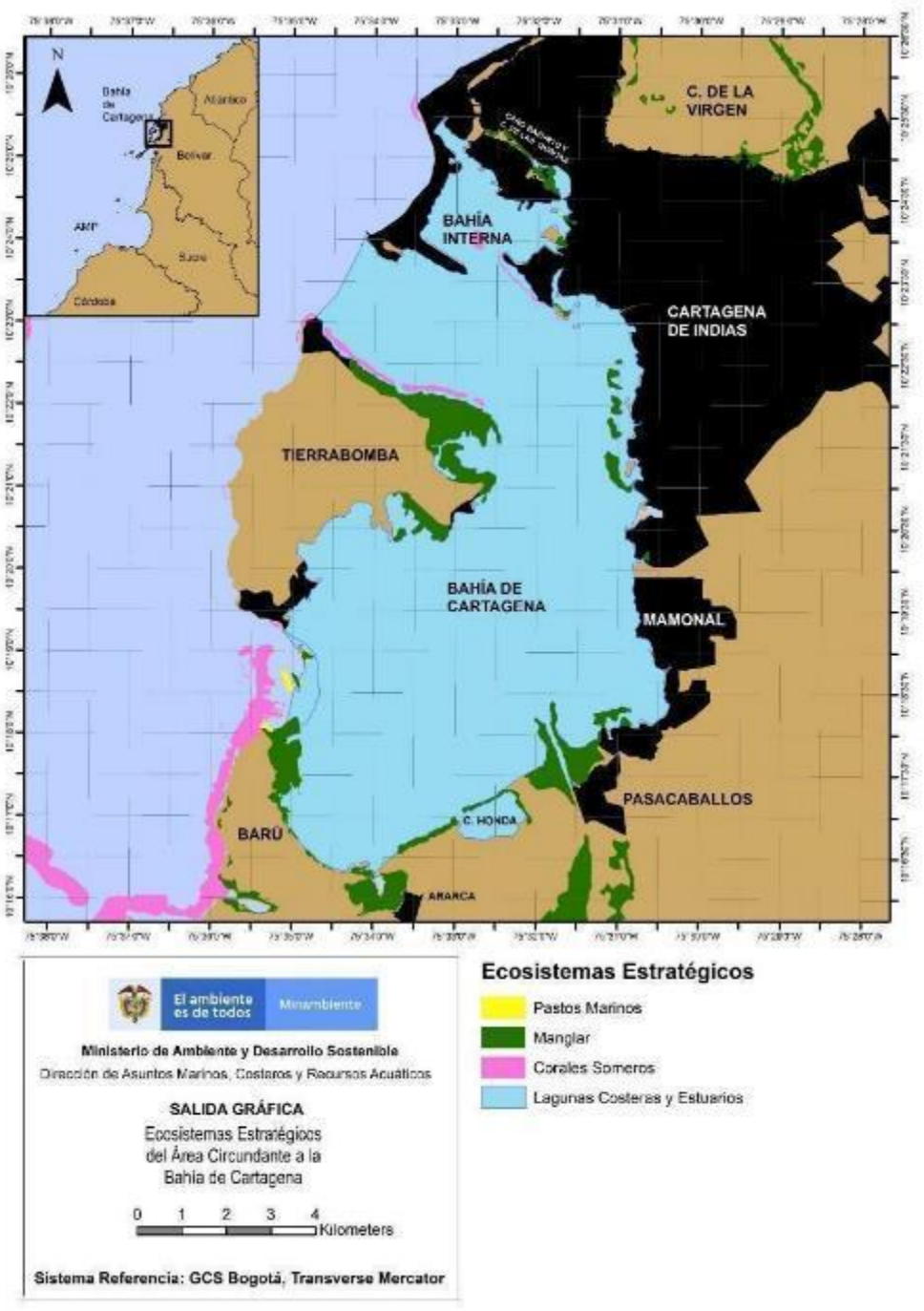


Figure 12. Marine and coastal ecosystems of the Bay of Cartagena and its area of influence. (source: DAMCRA-Minambiente GIS)

A Marine and Coastal Spatial Planning exercise, adopted in line with existing national regulations, will be implemented to seek to reconcile the various sectoral strategies and aspirations while improving the protection and conservation of priority sites, thus supporting the development of a blue economy based on the area's marine/coastal natural capital.

The specific objectives of the MCSP exercise to be supported by PROCARIBE+ are to:

- Establish a scheme by which to coordinate existing conservation strategies in the area of influence of the Bay of Cartagena and integrate new strategies that can improve the conservation of marine/coastal ecosystems in the area.
- Reduce the degradation of ecosystems and ecosystem services.
- Design and implement a management scheme for activities and conservation management in the Bay of Cartagena, under a governance model that will enable the coordination and participation of institutions, local communities and the different sectors involved in managing the area.

One particular and specific aspect of the MCSP process to be progressed with PROCARIBE+ support is the declaration of a new Marine Protected Area in the Varadero sector. This corresponds to an area of approximately 2,731.28 ha (27.31 km^2) and comprises a mosaic of ecosystems (corals, seagrasses, mangroves, coastal lagoons), in particular coral reef. More specifically, within this mosaic, a reef system was discovered in 2014 at the entrance to the Bay of Cartagena, next to the Bocachica navigation channel (López-Victoria et al. 2014).

Despite its limited area, it is considered of international importance. Notwithstanding the high levels of pollution in the Bay, the reef is exceptionally healthy and presents a high biodiversity that has attracted the attention of the international scientific community for its high resilience to the prevailing conditions of the area.

The planning exercise will be led by Minambiente and the Regional Autonomous Corporation for the Dique Canal (CARDIQUE), with technical support from INVEMAR and the participation of other entities from different levels of government and other relevant stakeholders.

List of Proposed Activities to be supported by the PROCARIBE+ Project:

- Conducting a comprehensive analysis of existing and potential conservation strategies in the area of influence of the Bay of Cartagena (protected areas, complementary conservation strategies, including the Rosario and San Bernardo Corals Marine Protected Area, mangrove ecosystem management, and other areas of environmental interest identified in the Coastal Environmental Unit).
- Zoning areas of conservation importance in the Bay of Cartagena, taking into account biophysical aspects (e.g., circulation patterns, physical connectivity), and proposing regulations for their use.
- Design and implement a planning and management scheme that allows the sustainable development of activities in the Bay of Cartagena, seeking to preserve and restore the coastal-marine natural capital in the area.
- Proposing and implementing a governance model that coordinates the different institutional and community stakeholders in the Bay of Cartagena around biodiversity management.
- Continuing the processes required to make the declaration of a new Marine Protected Area in the Varadero sector effective.

Colombia Intervention 3: Declaration of a new Regional Protected Area (527.74 km^2) in Punta San Bernardo and Chichimán - Rincón del Mar sector, Sucre department, in the Colombian Caribbean, and drafting of its Management Plan

Context of specific intervention

The "**Rosario and San Bernardo Archipelagos Marine Protected Area**"[19][20] **(ARSB MPA)** was declared in 2005 by Resolution 679 of the then Ministry of Environment, Housing and Territorial Development (MAVDT). It covers an area of **5,585.93 km²** with the aim of: *"conserving representative samples of marine and coastal biodiversity and the basic ecological processes that support the area's environmental services and facilitate the sustainable development of the region through their multiple uses"*.

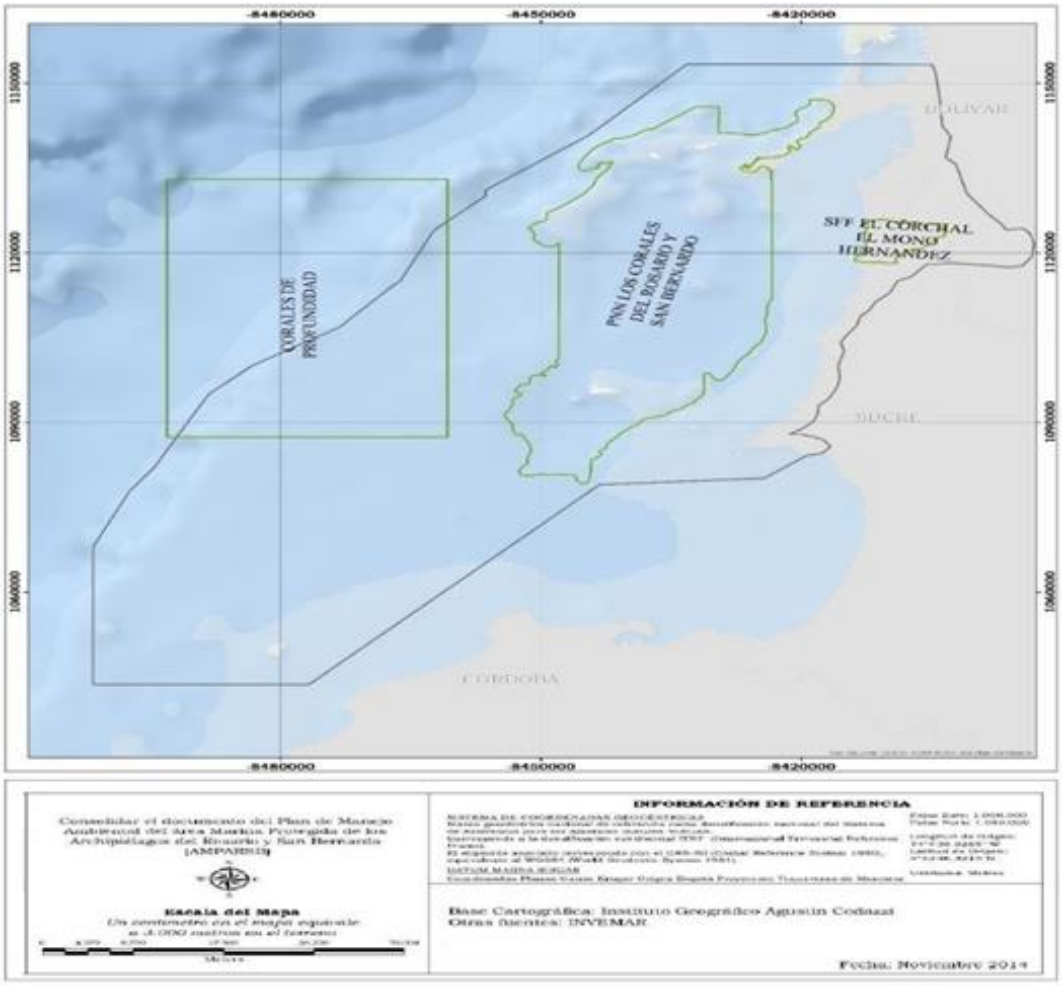


Figure 13. Location of the Rosario and San Bernardo Archipelagos Marine Protected Area. (source: ARSB MPA Management Plan, 2022)

Prior to the declaration, Resolution 456 of 2003 (Article 5) also established the production of a **Sustainable Development Model** for the Nuestra Señora del Rosario and San Bernardo Archipelagos with the aim of

[19] As shown on the map, there is a partial overlap between the ARSB MPA and the Bay of Cartagena, this latter being the object of the second line of action for Colombia under Integrated Outputs 3.3.1./3.3.2 of PROCARIBE+.

[20] The ARSB MPA includes the island territories of the Nuestra Señora del Rosario and San Bernardo Archipelagos, and the following SINAP-protected areas: the adjacent underwater Rosario and San Bernardo Corals National Natural Park (RSB) NNP, the Deep-Water Corals National Natural Park (CPR NNP), "El Mono Hernández" Cork Forest Flora and Fauna Sanctuary (CMH FFS) and the Sanguaré Civil Society Natural Reserve (Sanguaré RNSC). It also includes the continental zone from the Dique Canal (in the north) to Punta San Bernardo and the marine area from the RSB NNP to the Isla Fuerte, Bajo Bushnell and Bajo Burbujas complex (to the south) and extends to the 200m isobath on the continental shelf between the departments of Bolívar, Sucre and Córdoba, in the Colombian Caribbean (Figure 13).

incorporating criteria for the conservation of their ecosystems and critical ecological processes and defining mechanisms for the sustainable management and use of the natural resources.

As a result, there are currently two instruments for the area, which (as of April 2022) are *in the process of being adopted by the Ministry of Environment and Sustainable Development (Minambiente)*:

- the **Sustainable Development Model (SDM)**, a **long-term planning instrument** for the area **(2022-2045)** that sets out the "guidelines and objectives guaranteeing the conservation, protection, recovery, management and rational use of the strategic island ecosystems and ensures the protection of the collective rights of the communities";
- the **Environmental Management Plan (EMP)**, a **short- to medium-term instrument (2022-2030)** that forms the "**operational component** of the MPA, establishing strategic lines of action, programmes and projects".

It is essential to note, in the context of the support provided by the PROCARIBE+ Project, that although the area was designated a Marine Protected Area, the area as a whole did not acquire this status formally in Colombia's National System of Protected Areas (SINAP), even though certain parts of it were incorporated into the SINAP (Figure 13).

Colombia is therefore currently proposing: (1) to submit the ARSB MPA areas excluded from the SINAP as "**Other Effective Area-based Conservation Measures**" or "**OECM**"; and (2) to complement the areas within the ARSB MPA and already included in the SINAP with a new Regional Protected Area. Thus, the area covered by the OMEC will initially[21] consist of **3,757.46 km2. The new regional protected area would cover 527.74 km2.**

With regard to the OECM, Colombia made progress throughout 2021 in consolidating the technical information needed to guide the application of the criteria required for recognition of the area as such. This process is expected to continue into 2022, in particular with the application, review and agreement of these criteria.

In terms of the new Regional Protected Area, prior consultation processes were commenced in 2019 with the aim of achieving the desired declaration; however, due to differences with the community, who were not in agreement with the project's summary document "Technical Study by which to Declare **Punta San Bernardo and Chichimán - Rincón del Mar in San Onofre municipality (Sucre)** a Regional Protected Area and Produce the Management Plan" (Ecoversa Corporation), the declaration is still pending.

Within the framework of PROCARIBE+, support will be provided for the effective implementation of the new environmental management plan (EMP) for the ARSB MPA.

Of the three strategic lines of action envisaged in the EMP, PROCARIBE+ support will focus on line 2: "*Conservation, rehabilitation and/or restoration of marine/coastal ecosystems and their services"* and, more specifically, on **managing a new Regional Protected Area in the Punta San Bernardo and Chichimán sector**.

Under the leadership of the Regional Autonomous Corporation of Sucre (CARSUCRE), the proposal is to create the new protected area using SINAP's "**Regional Integrated Management District**" (DRMI), which is a tool for managing ecosystems and their current uses.

The target area is located between Punta de San Bernardo and Chichimán – Rincón del Mar, in San Onofre municipality (Sucre department, Colombian Caribbean), and consists of beaches interspersed with coastal wetlands

[21] Protected marine areas recognized as such in SINAP will not be part of the surface counted as OMEC. Thus, when new protected areas are established within the area initially declared as OMEC, the area declared as OMEC will be reduced proportionally; however, in these cases the total area with improved conservation measures will continue to cover the total area of the ARSB MPA, which is: 5,585.93 km2.

and mangrove forests, in addition to strategic ecosystems of seagrass meadows and coral reefs. All of these ecosystems are used in different ways by local communities and tourists visiting the area.

In addition to providing cultural and ecosystem services, as illustrated by the area's artisanal fishing and tourism activities, carbon storage and coastal protection services were also identified as being of most relevance to the area. The former is mainly provided by mangrove ecosystems and phanerogam meadows.

The proposed area's contribution to improving the protection of (1) mangroves, (2) coastal lagoons, (3) phanerogam meadows and (4) coral areas within the jurisdiction of CARSUCRE was assessed during preparatory work related to the proposed declaration, in terms of how representative these ecosystems are in relation to the total area of these ecosystems within the protected areas of the SINAP in this department of the Colombian Caribbean.

It was concluded that the ecosystems that would clearly be further represented within the protected areas under CARSUCRE's jurisdiction would be the phanerogam meadows and coral areas, increasing from 4% to 95% and from 0% to 98%, respectively. In addition, coastal lagoons would also increase from 29% to 42%, and mangroves from 42% to 58%.

The area is home to approximately 8,000 people who are engaged in fishing, tourism, and agricultural and livestock activities. Fishing in San Onofre municipality is largely of an artisanal nature. There are a total of 2,161 active fishers in Sucre department, most of them in San Onofre municipality.

By declaring the Punta San Bernardo and Chichimán - Rincón del Mar area a Regional Integrated Management District (DRMI), the socio-ecosystemic connectivity with the Rosario and San Bernardo Corals National Natural Park will be strengthened.

More specifically, the PROCARIBE+ Project will support those activities **(a)** required to make the necessary amendments to the proposal in order to be able to effectively declare the Regional Protected Area (DRMI), and **(b)** those aimed at developing and obtaining approval of its management plan, together with **(c)** a modest investment in infrastructure to facilitate implementation of the monitoring, control and surveillance measures to be included in the management plan.

List of Proposed Activities to be supported by the PROCARIBE+ Project:

(to be reviewed with the Interinstitutional Environmental Committee for the ARSB MPA, which will be established once the management plan for the area has been adopted):

- Adaptation of the declaration proposal, taking into consideration the objections that were raised in relation to the initial proposal
    - Preliminary meetings to identify flaws and/or observations
    - Technical/community field trips to review and seek out missing information
    - Joint ethnic/community construction workshops
    - Reformulation of the declaration proposal
- Consultation process with ethnic communities on the revised proposal
- Support for the declaration process
- Drafting of the management plan
    - Technical/community field trips
    - Joint ethnic/community construction workshops
    - Drafting of the management plan
- Implementation of the management plan: component selected - facilitation of monitoring, control and surveillance tasks through the acquisition of basic instruments (drone, GPS,...)

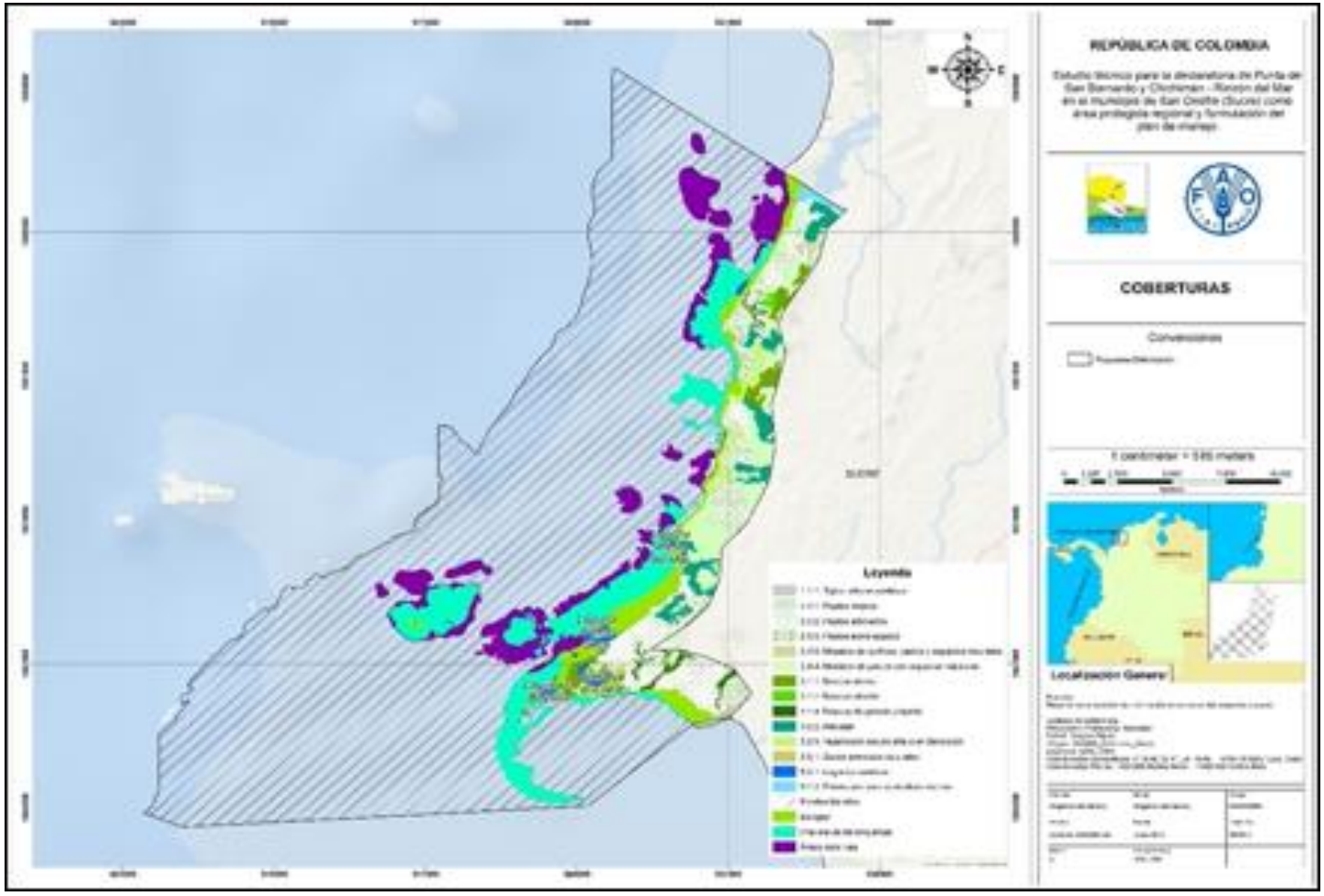


Figure 14. Proposal for a Marine Protected Area to be declared in the Chichimán-Rincón del Mar sector, Sucre Department, Colombian Caribbean. (source: FAO)

Site: Dominican Republic

National Context

The Dominican Republic has more than 1,600 kilometres of coastline and a marine territory of several hundred thousand km^2, in which a diversity of marine ecosystems (such as coral reefs, mangroves and sea grasses) combine with activities that include artisanal fishing, tourism (including infrastructure for tourist resorts and marine tourism), maritime transportation of cargo and cruises, various agricultural activities along the coastal strip, mariculture and conservation areas.

Committed to **marine conservation** and to the **management of its coasts and seas** due to their high intrinsic value, as well as to national socio-economic development, in particular its **blue economy**, the Dominican Republic has signed up to both the **High Ambition Coalition for Nature and People (HAC)** and the **Global Partnership for Oceans,** two global initiatives that are promoting the goal of effectively protecting 30% of the seas during this decade, considered essential by many scientists to ensure the long-term health of global ecosystems and provide the resulting ecosystem services. The Ministry of the Environment and Natural Resources (MIMARENA) is also currently reviewing the **Sectoral Law for the Coastal Zone and its Resources**, which sets out the parameters to be considered in the planning and sustainable use of the country's coastal and marine areas.

Marine Spatial Planning (MSP) and regulation of the activities and uses of the Dominican Republic's marine spaces will be of vital importance to guarantee the appropriate development of the blue economy. MSP will enable the Dominican State to identify coastal and marine areas that have the potential to develop activities related to the blue economy, as well as critical areas for conservation, maximizing available resource potential along sustainability criteria.

The country has thus far made substantial efforts to create an extensive network of protected areas, covering, as of April 2022, a total of 48,625 km^2 of its coastal/marine space, according to WCMC's protectedplanet.net, and offering various levels of protection in line with those established by the IUCN (Law 202-04). However, substantial additional efforts are still needed to reach the 30x30 goal.

The Ministry of Environment and Natural Resources and the Dominican Council of Fisheries and Aquaculture (CODOPESCA) do, nevertheless, recognize the need to move forward in cooperation with the artisanal fishing sector to implement **no-take zones** (a total prohibition on capture) **and/or fish replenishment** and **management zones** in areas where pressure on the resource has affected both the health of coral reefs (e.g. by reducing stocks of herbivorous species) and the sustainability of the activity itself, thus threatening the livelihoods and economic base of the artisanal fishing sector.

The following key considerations are envisaged in the design and definition of the actions to be supported by the PROCARIBE+ Project in the Dominican Republic in relation to **Outputs 3.3.1 and 3.3.2**: (a) the country has extensive areas of coral reef; (b) these resources are of critical importance both for the protection and regeneration of the country's beaches (which, in turn, support (mostly coastal) tourism, a sector that generates approximately 16% of Gross Domestic Product and 35% of foreign exchange (World Travel and Tourism Council, 2009)) as well as for the sustainability of national fishing activity); (c) these marine ecosystems have suffered high levels of degradation for many decades; (d) there is broad recognition that the gradual degradation of the coral reefs is largely related to the sharp decline in populations of herbivorous fish species, a phenomenon related to overfishing and unsustainable fishing practices, and exacerbated by the absence of substantial no-take zones in the country; (e) the limited economic possibilities of fishers inhibit an autonomous transition to new, more selective and sustainable fishing methods or gear; (f) there is a need to reconcile the different ways in which the coastal-marine environment is used by promoting the consolidation of a blue economy; and (g) the seamount system is poorly represented within the National System of Protected Areas, despite its high ecological and conservation value.

The PROCARIBE+ Project will focus its work under Outputs 3.3.1 and 3.3.2 in the Dominican Republic on **supporting the protection, restoration and conservation of coastal-marine natural capital** in the Dominican Republic, as well as **the replenishment of fish stocks of high ecological and commercial value**, as a basis for **blue economic development,** through the following three **lines of intervention**:

1. **Including the "Beata Ridge" seamount system (Dominican part) in the Dominican Republic's system of Marine Protected Areas (tentative extension: 10,000 to 13,000 km^2): support for the declaration process and the effective implementation of the protected area, as a contribution to the 30x30 goal.**
2. **Applying a multi-scalar, nested marine spatial planning (MSP) approach, with: (a) a coarse-scale marine spatial plan covering a substantial part of the EEZ (min 150,000 km2), delivered by end of Project Year 3; (b) at least 1 additional, finer-scale marine spatial plan, covering a "high-priority" marine-coastal area (i.e. with both important blue economy, livelihoods and conservation value), of no less than 1,400 km2, by Project End.**
3. **Creating and effectively implementing (pilot) no-take/fish replenishment and/or management zones, cumulatively covering a marine area of no less than 35 km^2** *(and additional to those that could be set in the context of action line #1)*

For all activities described below, the UNDP SES guidelines will be followed. The ESMF (Annex 10) provides guidance on the assessments and measures needed to comply with the SES.

Each line of intervention is described in more detail below:

Dominican Republic Intervention 1: Including the "Beata Ridge" seamount system (Dominican part) in the Dominican Republic's system of Marine Protected Areas (tentative extension: 10,000 to 13,000 km^2): support for the declaration process and the effective implementation of the protected area, as a contribution to the 30x30 goal.

As part of its efforts to achieve the 30x30 target, the Dominican Republic will seek to extend, in the coming years, the area of its formally protected marine waters, either through the creation of new Marine Protected Areas (MPAs), the extension of existing MPAs and/or Other Effective Area-based Conservation Measures (OECMs).

Part of these efforts, to be supported by PROCARIBE+, will focus on the marine waters located to the south of Hispaniola Island. These efforts will be coordinated, as appropriate, with a possible project of the Blue Nature Alliance initiative (a more holistic approach, through complementary actions). Communications with the Blue Nature Alliance team initiated and sustained throughout the PROCARIBE+ PPG phase will be continued for this purpose into and throughout the PROCARIBE+ implementation timeframe.

The **Arrecifes del Suroeste Marine Sanctuary (IV IUCN) (WDPA ID 555629451; 2,707 km^2)** is located at the south-western tip of the Dominican Republic's land territory, which is also the southern tip of Hispaniola Island. It was created in 2009 with the purpose of conserving the natural habitats and special environments that form along the continental shelf south of Hispaniola. The sanctuary contains an important coral reef barrier plus numerous marine species under varying degrees of threat, such as the West Indian manatee (*Trychechus manatus*).

To the north-west, it borders the **Jaragua National Park (II UICN) (WDPA ID 555624220**; 1,577 km^2 in total, **marine areas = 828 km^2**), which includes Cabo Beata and Beata Island. It is listed as a protected area under the SPAW Protocol of the Cartagena Convention for the Protection of the Marine Environment of the Caribbean.

Adjacent to the sanctuary, and extending in a south-westerly direction, begins the system of submarine mountains known as the "**Beata Ridge**", a binational system that extends beyond the limits of the Dominican Republic's Exclusive Economic Zone and into Colombian waters.

An expansion of the formally protected marine area in this part of the Dominican Republic (either by extending the area covered by the Arrecifes del Suroeste Marine Sanctuary or by creating a new oceanic Marine Protected Area adjacent to it) will seek to **protect the Dominican part of the Beata Ridge system.**

It should be noted in this context that, due to its unique characteristics and important biodiversity values, and as previously described in this document, at the time of writing (July 2022), Colombia has proceeded to declare 3,312,547 ha of the section of the Beata Ridge located in Colombian waters as a new Marine Protected Area.

The Dominican Republic's interest in protecting the part of the ridge that lies within its national waters, which contains significant marine ecosystem areas not currently covered by its national system of Marine Protected Areas, offers an important opportunity to ensure the conservation of this important binational oceanic system.

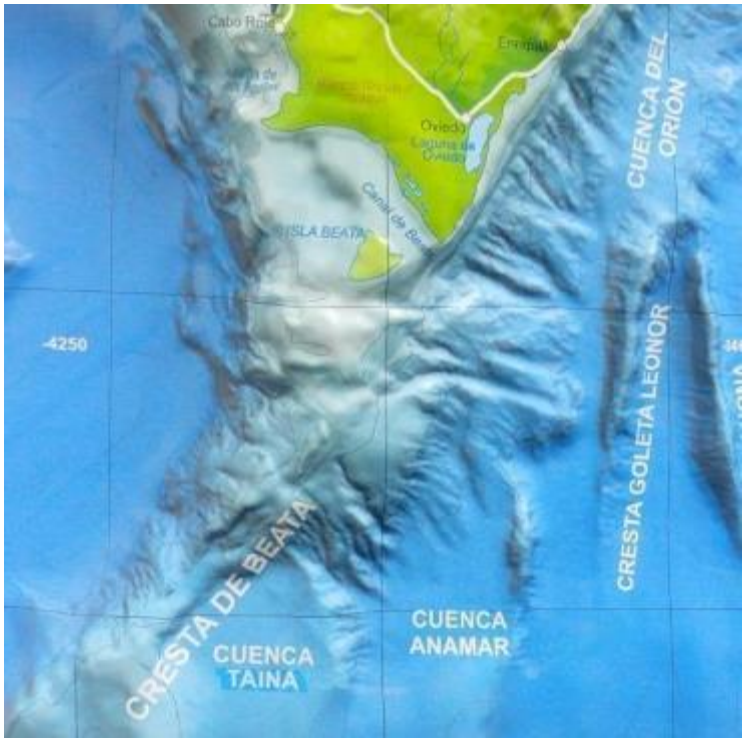


Figure 15. Location of the Cordillera Beata in the Dominican Republic, and of the Arrecifes del Suroeste Marine Sanctuary. (source: Ministry of Environment, Dominican Republic)

Over the last decade, there has been a global trend towards establishing (very) large MPAs. Large MPAs are often found in open ocean areas where human uses are less abundant and protection less controversial. They also tend to include diverse habitats and assemblages of species that do not yet show signs of extraction pressures and therefore remain in very good ecological condition (Halpern et al., 2008).

In conjunction with parallel actions in Colombian waters, the proposed action in the Dominican Republic under this line of action will promote connectivity between habitats and species in the area and allow for more holistic conservation. It is expected that the potential expansion of the action planned by PROCARIBE+ through what would be complementary and properly coordinated support between a possible project of the Blue Nature Alliance initiative and the PROCARIBE+ Project will allow the mobilization of a volume of support and technical assistance resources that would allow the actions to go beyond the mere declaration of the area as a protected zone, also helping to advance its effective implementation.

It is further noted in this context that in June 2022, it was announced that Colombia and the Dominican Republic would sign a cooperation agreement for joint marine-coastal research, and pursue a joint research expedition for the binational Cordillera Beata system, based on the results of which the Dominican Republic would then advance towards the declaration of a new MPA adjacent to the recently declared "Reserva Natural Cordillera Submarina Beata" in Colombia.

The intervention proposed here is in line with the three-pronged approach recommended by Friends of Ocean Action in their Impact Report: "The Business Case for Marine Protection and Conservation", also described in Section III of this document.

List of Proposed Activities to be supported by the PROCARIBE+ Project:

- Concrete activities to support the process of including the Beata Ridge in the Dominican Republic's system of Marine Protected Areas:
    - Development of complementary technical studies, and collection of information to strengthen the baseline
    - Delineation of the boundaries of the area to be granted formal protection, and proposed zoning for permitted and non-permitted uses (mapping)
    - Consultations with authorities and relevant actors with (potential) interest in the area
    - Preparation of other inputs required to conduct the declaration process
- Activities aimed at supporting a transboundary geographic approach to protecting the Beata Ridge
    - Creation of a Binational Working Group for the Beata Ridge involving Colombia and the Dominican Republic
    - Binational meetings
    - Exchanges of experiences
    - Data and knowledge sharing
    - Creation of harmonized and/or unified data/information/knowledge management structures for the Beata Ridge
- Development of a management plan, with provisions for monitoring and evaluating progress, and support for the implementation of priority measures identified during the development of the plan
- Awareness-raising activities

Dominican Republic Intervention 2: Applying a multi-scalar, nested marine spatial planning (MSP) approach, with: **(a)** a coarse-scale marine spatial plan covering a substantial part of the EEZ (min 150,000 km^2), delivered by end of Project Year 3; **(b)** at least 1 additional, finer-scale marine spatial plan, covering a "high-priority" marine-coastal area

(i.e. with both important blue economy, livelihoods and conservation value), of no less than 1,400 km^2, by Project End.

For countries with extensive EEZ's, and based on the characteristics of the sea space under national jurisdiction (*e.g. dimensions, geographic features, spatial variability of the intensity and multiplicity of uses, presence of vulnerable areas, (the potential for) synergies between uses and (the potential for) current and future conflicts, administrative issues,...*), national MSP authorities may decide to adopt a **multi-scalar approach to marine spatial planning**.

Under such an approach, distinct plans may be prepared for different marine areas. These plans may differ in regard to their levels of detail, as well as the time horizons to which they apply. The origin of the term 'multi-scalar' comes from the different planning scales; however, in practice the terms will mostly relate to the level of detail with which the planning process is exercised.

As such, large areas of more remote ocean space with limited overlapping uses may require less details in the resulting plan than is the case with MSP efforts focussing on smaller but intensively used areas of marine space adjacent to the coasts. Similarly, the planning objectives, and time horizon during which the plan will be applicable, will also be determinants for the ideal planning scale/resolution.

Producing highly detailed marine spatial plans for vast swaths of ocean space may result in prohibitively expensive, while delivering limited added value. Therefore, where ambitions exist to submit the full, or most of the EEZ to a planning process, a multi-scalar planning exercise where one or several more detailed plans are nested within a larger-scale, EEZ-level plan provides a cost-effective solution. When resources are limited, such a solution will also allow a country to gradually advance its planning efforts, assigning higher urgency in the planning process to high-priority areas and/or uses, and with the aim of timely addressing the more critical national sustainability, adaptation, conservation and development targets.

PROCARIBE+ will pilot and demonstrate this approach in the Dominican Republic, by supporting the development of a "coarse-resolution" marine spatial plan, covering, tentatively, at least 150,000 km2 of the EEZ, and, nested within this coarse-resolution MSP, higher-resolution MSP efforts focussing on at least one coastal-marine area consider to be a high-priority area for the Blue Economy.

The national MSP exercise could also be used to assess the different options the Dominican Republic may have at its disposal to achieve its marine conservation goals, including the "30x30" target and targets (to be defined nationally) related to the creation of no-take zones.

For the purpose of conducting the exercise of at least 1 MSP pilot on a more detailed scale, to date 2 potential priority areas have been pre-identified for such an exercise, these being: the coastline between Playa Menganito and Playa Caobita, including **Bahías de las Calderas and Ocoa, in the Peravia and Azua provinces** (approximate area: **400** km2), and **Costa de Pedernales (Pedernales River-Punta Picé)**, **in the Pedernales province** (approximate area: **1,400** km2). The latter consists of some of the most pristine areas in the country, which is also considered a high priority national area for development, with a strategic plan for tourism development. What is particular about this situation, and the sense of urgency in this particular case, consists in the fact that the participatory development of the planning exercise would be carried out before the large investments enter the area, thus providing greater guarantees for the sustainability and early identification, and therefore also the possibility of preventing through planning (instead of having to remedy later), potential conflicts.

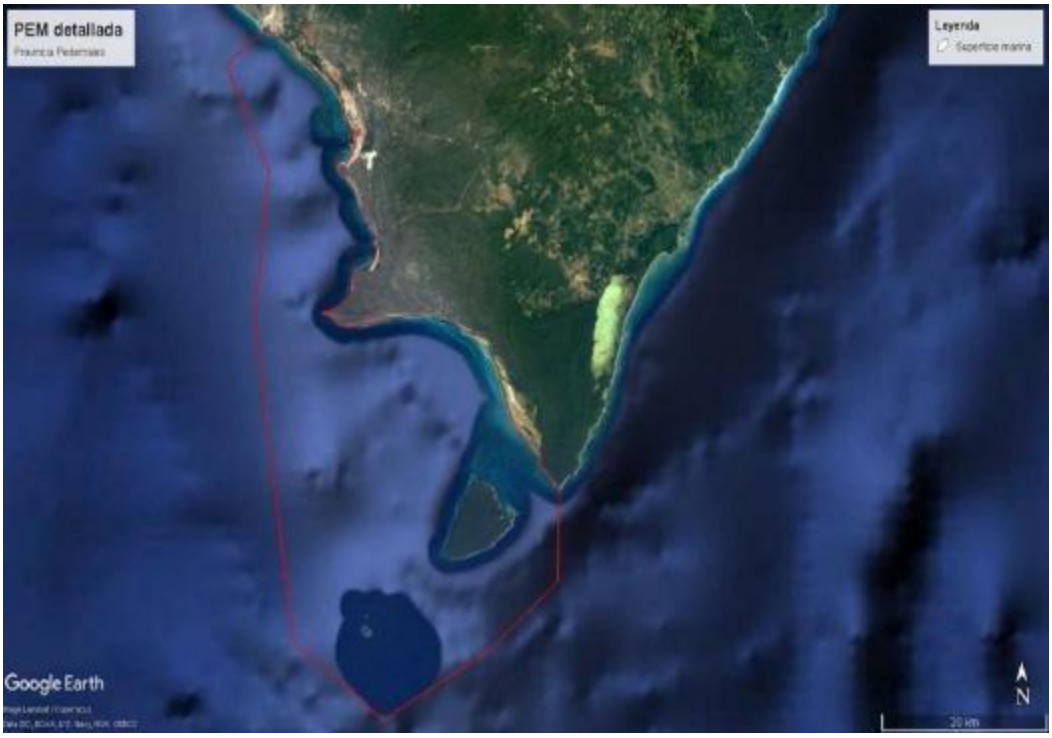


Figure 16. The coastline of the Pedernales province where a finer-scale MSP exercise is considered, can be seen in red (Source: MinAmbiente/Google Earth)

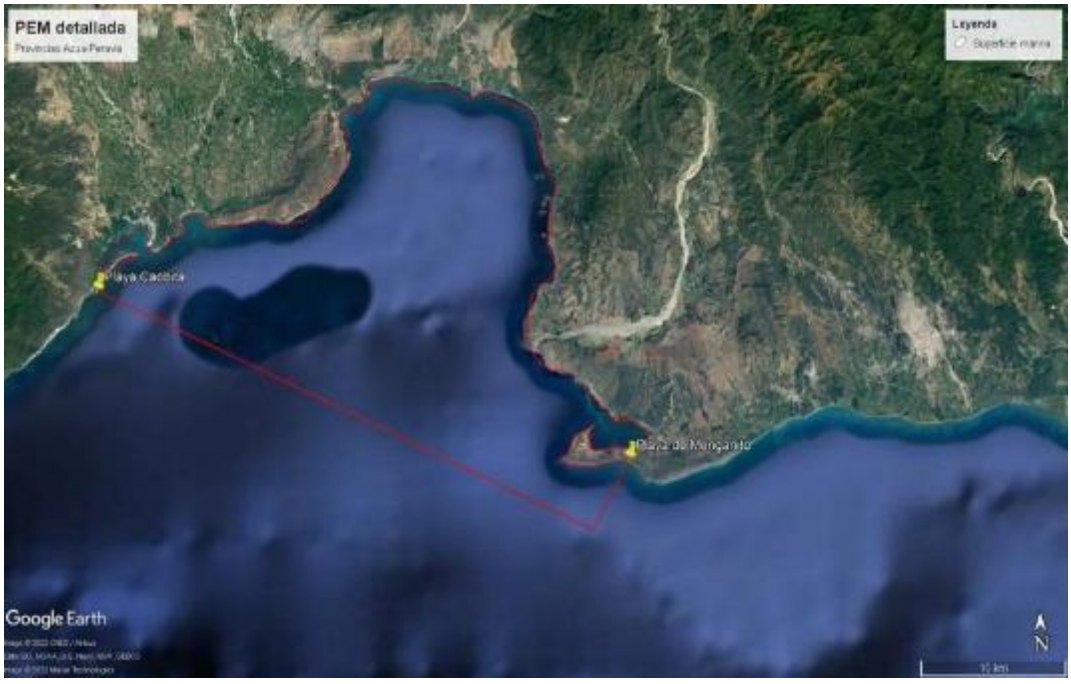


Figure 17. The coastline of the Peravia and Azua provinces is a second area where a finer-scale MSP exercise may be supported by PROCARIBE+ (potential target area delineated in red) (Source: MinAmbiente/Google Earth)

In recognition of the importance of creating highly protected areas, in particular designating no-take zones and/or fish replenishment zones, the MSP exercises to be supported by the PROCARIBE+ Project will be used to advance

the **strategic mapping of possible priority areas for the establishment of fish replenishment zones**, either at the national level or pilot level (MSP on a more detailed scale) (to be agreed with key actors during the project).

List of Proposed Activities to be supported by the PROCARIBE+ Project:

The generic approach described below will be considered for the proposed MSP efforts in the Dominican Republic and may be further fine-tuned with national stakeholders and with the inputs of MSP experts, during the project inception phase.

This generic approach considers four main actions, as presented below. A tentative list of activities is included for each action. Linkages with relevant other outputs under the PROCARIBE+ Results Framework will be pursued (e.g. MSP training under Component 2, potential linkage with NDC, etc.).

- Define and analyze existing and plausible future conditions of the marine and coastal environment, and marine and coastal uses (*opportunities & threats*), in the planning area:
    a. Conduct a Blue Economy (BE) and marine conservation baseline diagnosis, and BE scoping exercise, including a review of current and proposed developmental plans and policies
    b. Map natural resources, socio-economic activities and cultural values using Participatory GIS, including the potential impacts of climate change, at appropriate spatial scales (resources allowing); incorporate the results from prior coastal vulnerability assessments
    c. Valuate assets of coastal infrastructure and ecosystem services as part of a marine and coastal natural capital accounting exercise
- Raise awareness on the importance of MSP, and technical capacities for its implementation:
    a. Develop custom-made awareness raising programmes for politicians, decision-makers, coastal-marine resource users and the citizenry
    b. Build capacity and skill sets for relevant stakeholders to be engaged in the planning process
    c. Build technical capacity of relevant stakeholders in communication, facilitation, socio-economic and adaptive management
- Design and implement a participatory approach for the planning exercise:
    a. Update and/or fine-tune, as applicable, a stakeholder analysis to facilitate the active involvement of relevant actors throughout the MSP process
    b. Establish a multi-sectoral committee, and the required multi-sectoral arrangements, to respectively oversee and support the Marine Spatial Planning process
    c. Mobilize and engage key stakeholders from civil society, non-governmental organizations and the private sector in the MSP planning process
- Develop the marine spatial plan:
    a. Collaboratively develop (participatory approach) the marine and coastal spatial plan that includes scenarios for zoning areas for multi-use, limited use and no-take areas based on the outcomes of stakeholder consultations and simulations of plausible future conditions (incl. climate change), and, to the extent feasible, with keen attention to influences on the coastal and marine environment from processes associated with the land-water interface (source-to-sea)
    b. Seek endorsement of the MSP plan by the corresponding entities and/or stakeholder groups, with a view of facilitating/enabling its subsequent formal adoption and implementation

Dominican Republic Intervention 3: Creating and effectively implementing pilot no-take/fish replenishment and/or management zones in coral reef areas, through collaborative efforts between the fishing sector and the environmental sector, with the goal to be achieved through PROCARIBE+ support being proposed as: the implementation of protection and recovery measures over a cumulative area of no less than 35 km^2 *(and additional to those that could be set in the context of action line #1)*

Through a joint exercise between the Ministry of the Environment and the Dominican Council for Fisheries and Aquaculture, and with the involvement of other relevant actors, the Project will support the establishment of pilot

areas of **No-take Zones/Fishing Replenishment Zones** and/or **Local Management Areas,** in coral reef areas affected by overfishing. Priority areas will be geo-spatially delineated and ecological and socioeconomic criteria will be used to identify areas with high feasibility for the establishment of new No-take zones and with high potential to contribute to the reestablishment of local fish stocks.

These zones may be established either inside (no-take zones) or outside (local management areas) the areas that already enjoy protected status under the National System of Protected Areas (SINAP).

Within the framework of PROCARIBE+, the implementation of a minimum of two pilots is projected (tentatively, in the provinces of La Altagracia and/or Pedernales), impacting an area of no less than 35 km^2.

Considering the pre-existing experiences of the MAR Fund, and of certain fishers groups from the MAR region with the establishment and implementation of fish replenishment zones, the project will seek to support an exchange of experiences among authorities and fisherfolk from the Dominican Republic, and their peers from the MAR region, to promote peer-to-peer learning and exchange of experiences and best practices that will further help the shaping and fine-tuning of the project-supported activities under this Output in the Dominican Republic.

List of Proposed Activities to be supported by the PROCARIBE+ Project:

- Exchange of experiences between authorities and fishers from the Dominican Republic and the Mesoamerican Barrier Reef System (MAR) region to promote peer learning and an exchange of experiences and best practices on the creation and implementation of Fishing Replenishment Zones;
- Capacity building and awareness raising of local communities, relevant authorities and fishers on the importance of Fishing Replenishment Zones and their responsibilities in relation to their effective implementation;
- Identification and empowerment of social leaders;
- Development of proposals for establishing Fishing Replenishment Zones, including the collection of technical data on the ecological and socio-economic conditions of the proposed areas;
- Establishment of governance and management frameworks for new Fishing Replenishment Zones;
- Development of monitoring and surveillance plans for new Fishing Replenishment Zones; establishment of site baseline (fish biomass);
- Installation of markers to delineate the sites of the new Fishing Replenishment Zones;
- Identification of alternative livelihoods for fishers (where applicable).

Site: Meso-American Reef Region ("MAR" Region, Belize, Guatemala and Honduras)

Regional Context: The Meso-American Reef

Within the Caribbean Large Marine Ecosystem (CLME), the **Mesoamerican Reef (MAR)** stretches over **1,000 kilometers along the coast of Mexico, Belize, Guatemala and Honduras**. It constitutes the largest and most diverse barrier reef in the Western Hemisphere, home to marine resources and ecological processes of regional and global importance.

The marine environment of the wider MAR region includes not just the coral reefs but also, a.o., seagrass beds, coastal lagoons, mangroves and estuaries, and pelagic habitats.

An estimated **2 million people** are woven into the fabric of the MAR region's rich coastal environments. Fishing industries and thousands of artisanal (small-scale) fishermen depend on the MAR. Thus, healthy marine and coastal ecosystems in the MAR provide the foundation for local economies and a multi-billion-dollar tourism industry.

According to a recent economic valuation (Ruiz de Gauna et al., 2021), the **ecosystem services** provided by the mesoamerican reef deliver **annual economic benefits of more than US$4.5 billion** from tourism, coastal protection and fishing value, securing resilient and sustainable lives and livelihoods.

In recognition of the critical importance of marine and coastal ecosystems, the countries sharing the MAR have created more than 70 marine and coastal protected areas, covering 8.8 million hectares.

Notwithstanding these substantive efforts, the MAR remains under threat: it has been deeply affected by the loss and degradation of mangroves, the physical and chemical alteration of estuarine, seagrass, and coral reef habitats, the ecological effects of **overexploitation of resources**, **negative impacts from maritime shipping and accidents**, coral disease, and the effects of extreme meteorological events and climate change.

Great declines in reef health have been tied to large decreases in herbivorous fish attributed to unsustainable fishing practices and insufficient fully protected MPA's, and, more recently, the newly emerging and quickly spreading stony coral tissue loss disease. More than 75 groundings by ships have been reported in the MAR in the past two decades, and vessel strandings are common.

Despite all this, ecosystems and species have persisted to date, and, in some cases recovered, thanks to their enormous resilience combined with the multiple investments made into their protection and sustainable management.

The Healthy Reefs for Healthy People Initiative (HRI) reported, in its 2020 Mesoamerican Reef Health Report Card, an increase in the number of monitored sites exhibiting poor or deteriorating conditions. More positively, the report also highlighted the **demonstrated benefits of sound management actions**, such as the increase of herbivorous fish biomass (2,744g/100m2) at Belizean sites since the protection of parrotfish established in 2009.

With the support of the German Government through KfW, an innovative parametric insurance scheme is being implemented to provide immediate access to funds for reef restoration in case of damages caused by hurricanes. Action is being planned to tackle the newly emerging coral disease.

Yet, in light of the ongoing decline and the emergence of new and/or incremental threats, **additional investments and complementary actions remain urgently needed, to achieve the necessary upscaling and in order to provide for a more holistic approach**. The 2020 Report Card provides **solid guidance in terms of some of the priorities for action to be contemplated for the MAR**.

The following key considerations are envisaged in the design and definition of the actions to be supported by the PROCARIBE+ Project in the MAR Region in relation to **Outputs 3.3.1 and 3.3.2**: (a) substantive amounts of the marine space of the MAR are currently already contained within established MPA's; (b) notwithstanding this, currently **only approximately 1% of the marine space of the MAR** (i.e. 3,000 km^2 out of 249,342 km^2) **is fully protected through no-take/fish replenishment zones**; and (c) in spite of the existing MPA coverage, the MAR's substantive **international shipping activity continues to constitutes an important threat** to coral reef health and physical integrity and demands complementary (area-based) protective measures.

In Support from PROCARIBE+ under Outputs 3.31 and 3.32 in the Meso American Reef Region will strategically focus on **the following 2 lines of intervention**:

1) **Contribution from the PROCARIBE+ Project to the regional, multi-partner efforts to increase the amount and spatial coverage of effective fish replenishment/no-take zones in the MAR**, in direct collaboration with local fisherfolk organizations/marine stakeholders, and with a preliminary PROCARIBE+ target to effectively implement at least **100 km^2** of new Fishery Replenishment Zones (FRZ)
2) Submission to the **International Maritime Organization (IMO)** of a **joint proposal by the MAR countries** to designate part of the MAR (approx. **56,097 km^2**; tentative/preliminary value) as a **Particularly Sensitive Sea**

Area (PSSA), with the aim of more effectively addressing existing and potential/newly emerging threats to the reef system posed by international shipping (*note: the development of the joint proposal is to be supported by a* ***Marine Spatial Planning exercise***).

Through these area-based conservation measures and improvements in the management efforts of specific strategic areas of the reef ecosystem, the project interventions aim to complement ongoing and planned actions by other actors in the region and as such support the creation of a **more holistic set of actions** required for an effective, sustainable improvement of the health and resilience of the MAR ecosystems.

For all activities described below, the UNDP SES guidelines will be followed. The ESMF (Annex 10) provides guidance on the assessments and measures needed to comply with the SES.

Each line of intervention is described in more detail below:

MAR Region Intervention 1: Contribution from the PROCARIBE+ Project to the regional, multi-partner efforts to increase the amount and spatial coverage of effective fish replenishment/no-take zones in the MAR, in direct collaboration with local fisherfolk organizations/marine stakeholders, and with a preliminary PROCARIBE+ target to effectively implement at least 100 km^2 of new Fishery Replenishment Zones (FRZ)

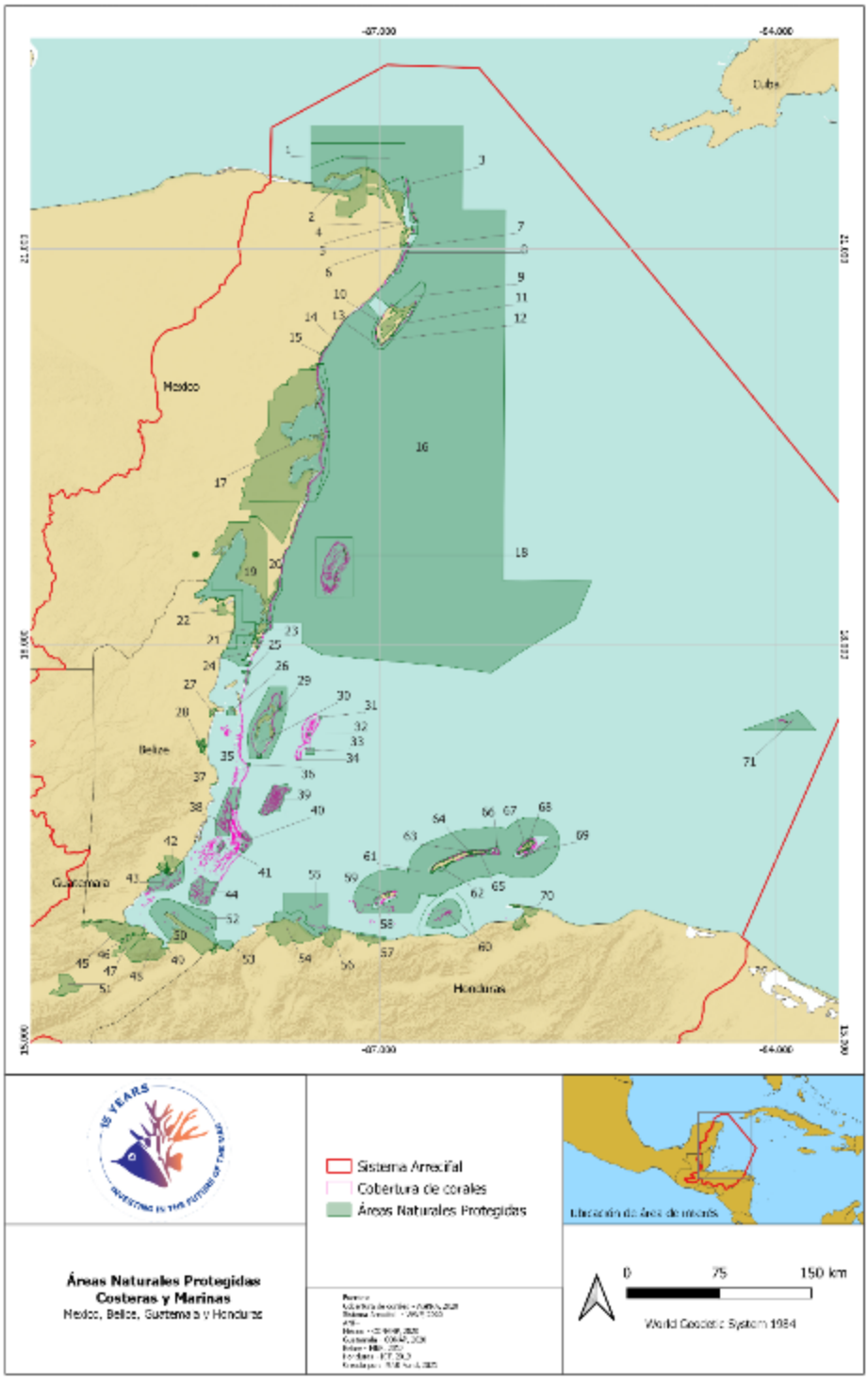


Figure 18. Mesoamerican Barrier Reef System and Associated Marine Protected Areas. (source: MAR Fund)

While 70+ marine and coastal protected areas have been established in the MAR, only 1% of the MAR marine territory is currently fully protected from fishing. This leaves most of the area vulnerable to unsustainable and

harmful fishing practices, and does not provide the critically needed opportunities for fish stock replenishments that will support coral reef health and the long-term sustainability of commercial fisheries.

The Healthy Reefs for Healthy People's "**Call to Action**" under the 2020 Mesoamerican Reef Report Card had one element in common across all 4 MAR countries, namely: "***to increase fully-protected fish replenishment zones to 20%, with proper enforcement***". The report acknowledged the need for special attention to **fish spawning aggregations (FSA)**, given the critical importance of such areas in the life cycle of species.

A call for action on the designation of fishery replenishment zones (FRZs) or MPA's - with an Ecosystem-based management approach for the protection of herbivores fish, as parrot fish species, and spawning aggregations - was also made under the Regional Strategy and Action Plan for the Valuation, Protection and/or Restoration of Key Marine Habitats in the Wider Caribbean 2021 – 2030 developed by UNEP with the financial support of the UNDP/GEF CLME+ Project.

"Fish Replenishment Zones" (FRZ), also called "No-take" areas[22] are designated areas where all extractive activities are banned. No-take marine reserves – the MPA's with stronger protection – are very effective in restoring and preserving biodiversity, and in enhancing ecosystem resilience. A 2018 meta-analysis of existing studies showed that biomass of whole fish assemblages in marine reserves is, on average, 670% greater than in adjacent unprotected areas, and 343% greater than in partially-protected MPAs (Sala and Giakoumi, 2018). Marine reserves can consequently help repopulating "outside" areas and hence benefit the communities that rely on fisheries for their livelihoods. They also often provide alternative income through activities directly related to the management of the area, or in some cases, from an increase in tourism due to the recovery of the reef.

All four countries of the MAR region have procedures in place through their institutional frameworks that allow for the establishment of FRZs and have already taken steps to increase the protection of the MAR from unsustainable fishing activities. To date, a total of 99 areas have been established in the MAR, covering a total of 295,506 hectares (close to 3,000 km^2)[23]. Already, these areas have helped double the amount of commercial fish inside some of these no-take zones over the past decade (Mcfield et al., 2018).

While governments have authority over the formal establishment of FRZs in MAR countries, bottom-up approaches in which local fisherfolk organizations/cooperatives (are incentivized, through project support, to) take initiative increase the chances for effective implementation.

Based on existing success stories and with concrete results becoming more readily available in the MAR, a growing interest can be observed among fisherfolk in the region in creating new FRZs, as there is an increased awareness and understanding of their benefits for the sustainability of local fish stocks and thus of their livelihoods.

While the official process for the formal designation of FRZs by governments can be lengthy, practice has shown that once the necessary agreements, buy-in and commitments within the local fisherfolk community(s) are achieved, transitional financial support can be sufficient to initiate the effective, on-the-ground implementation of the no-take areas, while their formal designation by the state is pending.

In prior experiences with the establishment of FRZs in the MAR region, the involvement of fishers in the process has included their participation in technical studies developed to identify the priority areas for establishing new FRZs, and an active role in monitoring and surveillance activities once the sites are established.

Progress in the MAR region with the designation and implementation of FRZs are in large part due to the continuous work of well-established regional and local organizations. We refer in this context to the work conducted by the Mesoamerican Reef Fund (MAR Fund), a regional environmental fund established in 2004 and whose primary goal

[22] While largely referring to the same concept, the naming used differs among the countries of the MAR sub-region: in Mexico, the zones are called "Fish refuge zones", whereas in Belize the term "Preservation and Conservation zones" is (also) used.
[23] Some of the areas designated as FRZ allow non-extractive sports fishing.

is to protect the MAR by providing meaningful long-term financial support and trustworthy reef management advice. MAR Fund has a long leadership track-record in supporting MAR countries with the creation and consolidation of an interconnected network of coastal and marine protected areas, including the establishment and implementation of FRZs.

Providing such organizations with access to a variety of funding sources (including the GEF) will allow actions on FRZs in the MAR region to progressively and collectively be upscaled, towards recommended, science-based targets and/or national or local societal or political aspirations.

Other international partners providing financial support for the conservation and sustained ecological health are **KfW** and the **Summit Foundation**.

The PROCARIBE+ Project will seek to collaborate with such global, regional and local partners to support the effective implementation of no-take/fish replenishment measures in the MAR, through the creation of new and/or expansion/improvement of existing FRZs in the MAR countries participating in the PROCARIBE+ Project.

Financial and technical support will be provided to local fisherfolk associations/groups and marine protected area practitioners operating in the MAR and interested in developing FRZ initiatives. Grants will be provided to the successful proponents for activities related to the technical and legal work required for the designation and practical, effective implementation of FRZs. A gender and culture sensitive approach will be used for selecting the projects to receive support to ensure that women, indigenous peoples and other vulnerable communities benefit from the activities of the project. Support may include assistance for the establishment of the FRZ baseline situation (e.g. pre-establishment fish biomass) and the development of a monitoring & evaluation plan, as well as the design and initial implementation of control and surveillance activities needed to ensure compliance with the protection measures established.

A proposal/proponent screening and selection process will be fine-tuned and adopted, and subsequently applied for the selection of grantees. With a view to maximise return on the GEF investment, the PROCARIBE+ project will aim at selecting local fisherfolk associations/groups that have the enabling factors in place for successfully establishing new FRZs and/or expanding/improving existing zones. The project will also seek to increase the protection in areas of strategic importance for the conservation of the reef and/or associated biodiversity and sustainability assets (e.g. fish spawning aggregations).

The designation and/or expansion/improvement of the FRZ will follow the regulatory requirements of each country and build on the experience gained with this fishery tool in the MAR to date.

The support from PROCARIBE+ will allow the MAR region to continue the critically needed expansion of the work undertaken by the organization since 2007, and complement resources provided by the KfW-funded project “Protection of maritime resources in Central America III, 2022 - 2026”.

More specifically, through the support to be provided by PROCARIBE+, additional FRZ’s are expected to become effectively implemented for an area covering at least 100km^2 of marine space in the MAR region, by project end.

In addition to the support for FRZs to be provided under PROCARIBE+ to the countries of the MAR, the project will also support the Dominican Republic with the establishment of no-take zones/FRZs. Considering the pre-existing experience of certain fishers groups from the MAR region with the establishment and implementation of FRZs, the project will seek to support an exchange of experiences among authorities and fisherfolk from the Dominican Republic, and their peers from the MAR region, to promote peer-to-peer learning and exchange of experiences and best practices that will further help the shaping and fine-tuning of the project-supported activities under this Output in the Dominican Republic.

The project will work towards increasing the capacity of regional and national/local partners during the implementation of this intervention and seek to facilitate the continuity and sustainability of the project's achievements beyond the PROCARIBE+ project life span.

List of Proposed Activities to be supported by the PROCARIBE+ Project:

- Revision and consolidation of the screening procedure and of the criteria for the selection of the FRZ to be supported by the PROCARIBE+ Project (with a view of maximising return on investment and with due consideration of social and gender aspects).
- Awareness raising on the benefits of FRZ's, and on the opportunities provided through the PROCARIBE+ Project to receive financial support for community-driven FRZ efforts
- Conduct a call for proposals for the community-driven initiatives aimed at identifying and implementing fish replenishment zones
- Grant issuance and management for the selected proponents; implementation oversight and monitoring; results-based reporting
- Technical advice to (prospective) proponents, in support of successful FRZ proposal development and implementation
- Exchange of experiences between fisherfolk organizations and/or MPA practitioners with other peers from the MAR region to promote peer-to-peer learning within the region and build from existing experiences with FRZs.
- Twinning: Exchange workshop with the Dominican Republic on no take zones/FRZ's

Eligible grantees for the financial support will be local fisherfolk organizations and marine protected area practitioners interested in establishing new FRZs and/or expand/improve existing ones in the MAR region.

Eligible activities to be undertaken by grantees that can be financed with PROCARIBE+ GEF funds include, but are not necessarily limited to:

- Prepare technical studies on the biological, environmental, economic and social conditions of the proposed areas for designation of FRZs
- Establish the governance and management frameworks for the new FRZs
- Develop the FRZ baseline, and design a monitoring and evaluation scheme
- Develop a monitoring, control and surveillance plan for the FRZs
- Capacity-building and awareness raising activities related to the establishment and implementation of the FRZs for fishers and local communities
- Install markings to delineate the new and/or expanded FRZs

MAR Region Intervention 2: Submission to the **International Maritime Organization (IMO)** of a **joint proposal by the MAR countries** to designate part of the MAR (approx. **56,097 km^2**; tentative/preliminary value) as a **Particularly Sensitive Sea Area (PSSA)**, with the aim of more effectively addressing existing and potential/newly emerging threats to the reef system posed by international shipping (*note: the development of the joint proposal is to be supported by a **Marine Spatial Planning exercise***).

The **International Maritime Organization (IMO)** has adopted a wide range of **measures to prevent and control** marine and atmospheric **pollution by ships** and to mitigate the effects of **any other kinds of damage** that may occur **as a result of maritime operations and accidents**.

This includes the **International Convention and Protocol for the Prevention of Pollution from Ships (MARPOL 1973/78)**, aimed at preventing and minimizing both accidental pollution and that from routine operations.
As such, in **2011** and due to its heavy maritime traffic and sensitive and fragile marine ecosystems, the **Wider Caribbean Region** was **formally designated** and declared as a **"Special Area" under the requirements of MARPOL Annex V ("Regulations for the Prevention of Pollution by Garbage from Ships")**.

In addition to this, under IMO the possibility also exists to designate areas as **"Particularly Sensitive Sea Area"(PSSA).** A PSSA is an area that needs **special (additional) protection** through action by IMO because of its significance for recognized ecological, socio-economic, or scientific attributes, where such attributes may be **vulnerable to damage by international shipping activities**.

The criteria for the identification of PSSA's and the criteria for the designation of Special Areas are not necessarily mutually exclusive. In many cases a Particularly Sensitive Sea Area may be identified within a Special Area and vice versa, to provide for more comprehensive protection from potential damage arising from shipping activities.

To date within the **Wider Caribbean** Region **3 areas have been designated as PSSA's**: Cuba's Sabana-Camagüey Archipelago (1997), the sea around the Florida Keys (USA, 2002), and the Saba Bank in the North-eastern Caribbean (Kingdom of the Netherlands, 2012). All designated PSSA's in the Wider Caribbean are completely contained within the EEZ of a single country. While globally, several transboundary PSSA's exist, none have been designated so far in the Wider Caribbean.

While the **Mesoamerican Reef (MAR) sub-region** has been recognized as being **(a)** of globally exceptional value while at the same time **(b)** highly vulnerable to damage, a.o, from the **substantial international shipping activities** in the area, **it is yet to be designated as a (transboundary) PSSA**.

Data for September 2019 to August 2020 showed that more than 3,000 unique vessels and a total of 19,115 transits were recorded in the MAR region[24]. Of the total commercial transits in the region obtained from this dataset, in more than 50% of the cases some portion of the transit occurred within 12 nautical miles (nm) of the MAR coral reefs and 53% of the transits entered designated marine protected areas.

The ships that sail and dock in the ports of the MAR (sub)region are of the general cargo type (some carrying hazardous materials), container ships, bulk carriers, ferries, tourist cruises and route vessels.

Ships in transit through the globally important reef complex of the MAR thus pose a persistent and significant threat to its health and long-term viability. As evidenced by the amount of shipwrecks, groundings and strandings, this area is vulnerable not just to damage from pollution, but also to physical damage by ships.

More than 75 groundings have been reported in the MAR in the **past two decades**. The large majority of those groundings are not identified in nautical charts. The **updating of navigation charts and aids was flagged a critical priority** under the **COCATRAM's 2014 Central American Maritime Strategy** (COCATRAM is the Central American Commission on Maritime Transport, under the Central American Integration System SICA).

Other environmental effects of shipping include air pollution, acoustic pollution, and water pollution and oil spills. In an analysis of the potential effects from oil spills within the Caribbean region, Singh et al. (2015) note that Belize, Honduras and Guatemala are the top three countries at highest risk as more than 70% of their EEZ may be potentially affected from a major tanker spill. The increasing number of cruise ships visiting the MAR region are also a significant source of potential pollution.

More recently, the **International Council on Clean Transportation (ICCT)** issued a **2021 report**, consisting of the first **global assessment of the mass of acidic washwater discharges expected from ships using Exhaust Gas Cleaning Systems (EGCS) or "scrubbers"**: a rapidly growing number of ships are being fitted with scrubbers, as a way to comply with the **IMO's 2020 global fuel sulfur limit.**

The report highlights how the implementation of "scrubbers'', as they remove sulfur oxides from the exhaust, could lead to the dumping of millions of tonnes of polluted, **acidic washwater** in the global ocean yearly. Scrubber washwater also contains carcinogens such as polycyclic aromatic hydrocarbons (PAHs) and heavy metals that can accumulate over time in marine food webs and have toxic effects on marine life.

[24] An interactive map of the existing shipping lanes and vessel transit in the MAR Region is available here.

Approximately 80% of scrubber discharges occur within 200 nautical miles of shore, and there are hot spots in heavily trafficked regions, including the Caribbean Sea. Scrubber discharges also occur in IMO-designated Particularly Sensitive Sea Areas (PSSAs): according to IMO Assembly Resolution A.982(24), PSSA status requires the adoption of special methods for the prevention of pollution of the sea from things including a ship's oil, sewage, and garbage, but no reference is made to date with regard to protection from scrubber pollution.

Although several governments have taken preventative measures and banned the use of scrubbers in their ports, internal waters, and territorial seas, many have not. Several actions can be considered to address the rapidly emerging concerns about the impacts of washwater discharges. Belize, for example, does not permit EGCS discharge in its ports or territorial waters.

Considering the ecological sensitivity and global importance of the MAR, **specific measures, complementary to those already in place, thus clearly still need to be taken to minimize the risks to this unique system related to international shipping**, and the associated long- known and potentially newly emerging issues.

In addition to the measures adopted for the Wider Caribbean to reduce pollution by garbage from ships under MARPOL Annex 5, the **designation of the MAR as a PSSA** will allow for the adoption of specific measures to control some of the maritime activities, such as designating new routeing measures, strict application of MARPOL discharge and equipment requirements for ships, such as oil tankers; and installation of Vessel Traffic Services (VTS). Given the potential impacts of acidic washwater in particular on coral ecosystems, in the case of the MAR and in light of the absence of a specific reference in IMO Resolution A.982(24), the issue of scrubber pollution is something that should also be further looked at.

The strategic importance of designating the MAR as a PSSA was already captured in the **Tulum Declaration**, signed by the governments of Mexico, Guatemala, Honduras and Belize. **Article 7** of the Tulum Declaration expressly states: "***To jointly request the IMO to declare the Mesoamerican Barrier Reef System as a Particularly Sensitive Sea Area, in order to protect it from increased marine traffic in the area and with the aim of contributing to the conservation of biodiversity and the sustainable development of the region; conservation should be harmonized with the needs of countries' international maritime traffic***".

To date, preliminary work on the development of a PSSA proposal has been conducted through MAR Fund's **Mesoamerican Reef Rescue Initiative** (RRI, supported by the German Government through the KfW), and has focused on collecting baseline information and on the construction of a geospatial database using a Geographic Information System (GIS). Preliminary geospatial analyses have been conducted, correlating coral reefs with different activities, risks, and key threats in the region. Further GIS analyses are required and maps including preliminary proposals for the spatial extent of the PSSA have been developed but are yet to be discussed with the MAR countries.

The PROCARIBE+ Project activities will build on and complement the work initiated under the RRI, to enable the submission by MAR countries of the completed proposal package to the IMO.

The IMO is the international body responsible for assessing proposals for and designating areas as PSSAs and adopting measures applicable to international shipping. The IMO's Marine Environment Protection Committee (MEPC) has elaborated guidance to assist Member Governments in the preparation, identification and submission of PSSA proposals. Key documents supporting this process are: (1) Revised PSSA Guidelines; (2) Revised Guidance for submission of PSSA Proposals to IMO; (3) PSSA Proposal Review Form; and (4) Uniform PSSA Resolution Format.

With the support of the PROCARIBE+ Project and for the purpose of designating a strategically selected part of the MAR (*currently and tentatively set at approx. 56,097 km^2*) as a PSSA, a comprehensive submission package will be collaboratively developed with the corresponding authorities from the MAR countries, and as per the corresponding

IMO guidelines and requirements. Subject to the endorsement of the submission by the MAR countries, the package will be submitted for approval to the IMO Secretariat as soon as possible, and (at the very) latest by project end.

In order to support and underpin the preparation and successful submission of the submission package, the project will seek to facilitate a learning exchange between authorities and stakeholders from the MAR region, and their counterparts from other PSSA's in the Caribbean and from other regions of the world where transboundary PSSA's have been previously designated or are currently in the process of being designated (e.g. the proposed North-Western Mediterranean Sea transboundary PSSA).

Preparation of the submission package will include the updating of the biological and socio-economic data integrated in the preliminary draft proposal, and the development of new proposed navigation routes and nautical charts.

Three protective measures to be associated with the PSSA designation and that are within the competence of IMO are currently (preliminarily) being brought forward, as they are considered to be the best tools for providing protection to the area and for increasing maritime safety, while taking into account the impact on navigation.

These proposed measures are:

1. Defining **Areas To Be Avoided (ATBAs)**
2. Establishing **traffic separation routes** and recommend regional **practices for safe navigation** to and from key ports, and
3. Establishing **integrated regional ship tracking, reporting, and communication systems**.

The adoption of these protective measures will be important as the PSSA designation alone may not necessarily confer increased protection to the marine environment.

In addition, the project will analyze how the emerging issue of acidic washwater from "scrubbers" *(ship Exhaust Gas Cleaning Systems -EGCS)* can be addressed, and whether this can be achieved in the context of the PSSA designation. As per the guidelines from IMO, the PSSA submission package will describe how the proposed measures will protect the area from the identified vulnerabilities. A concrete proposal for the implementation of each measure, including their legal basis, will be submitted as an appendix. The development of the "Associated Protective Measures" will be part of the work to be financed by the PROCARIBE+ project.

The complete proposal will need the approval from the MAR countries and the project will therefore provide support for the organization of the corresponding regional and national-level consultations.

Once the proposal is submitted to IMO, and conditional to the remaining time and budget available under PROCARIBE+, the Project will aim at supporting additional activities that will further advance the designation of the PSSA, and, as applicable, its subsequent implementation.

The engagement of the Central American Integration System (SICA), and more precisely the Central American Commission for Environment and Development (CCAD) and the Central American Commission for Maritime Transportation (COCATRAM) in the implementation of the PSSA work will ensure coherence with existing regional frameworks and regional and national priorities. It is also anticipated that Mar Fund, will be a strategic regional partner providing the technical support for the development of the PSSA proposal and associated actions.

Engagement of the Central American Commission for Environment and Development (CCAD) as responsible party for this project intervention and, through the CCAD, other key regional partners such as MAR Fund and COCATRAM, will support regional ownership of the process and facilitate continuity of actions leading to the effective and continued implementation of the PSSA (once designated) beyond the PROCARIBE+ Project timeline.

At the same time, this approach will further increase the capacity of regional and national/local partners, and enhance the sustainability of the project's achievements.

List of Proposed Activities to be supported by the PROCARIBE+ Project:

- Creation of, and support for the operations of a "MAR PSSA task force" in charge of developing, securing the endorsement of, and timely submission of the PSSA proposal; the task force should have among its members: representatives from the CCAD, COCATRAM, MAR Fund, a legal specialist(s), representatives from the participating country governments, among others
- Review (including SWOT[25] analysis) and revise/update/improve the draft IMO proposal, including the documentation required to develop the "associated protective measures" to be proposed for the PSSA
- Develop new and/or updated mapping products: sensitive reef areas; existing and proposed navigation routes; derived mapping products (GIS analysis) representing geospatial vulnerability assessments (incl. the purchase of nautical data, as required).
- Legal analysis, support for and review of the IMO proposal, including support for the proposed legal and administrative procedures for submission
- Develop the full proposal package for submission, including maps with alternative navigation routes, in English and Spanish
- Organization of consultations with relevant authorities (naval and environment) from the MAR countries on the draft IMO proposal
- (Pre-)validation of the final proposed navigation routes, with relevant stakeholders
- Submission of the final proposal to the IMO Secretariat
- Cross-cutting: development and dissemination of advocacy materials, along the timeline of the proposal development process, to mobilize wide-ranging support and buy-in from key stakeholders and the wider public
- Organization of a "twinning" activity with the other 3 existing PSSA's currently in place in the Caribbean and/or with other regions that have designated PSSAs or are working towards designation of PSSAs, notably transboundary PSSAs, to exchange on best practices and lessons learned for a successful PSSA submission. Experience exchange activity with practitioners/stakeholders from other (proposed) transboundary PSSA's.
- Dissemination of lessons learned on the development of the PSSA proposal

Site: Trinidad and Tobago

National Context

Trinidad and Tobago's draft "Integrated Coastal Zone Management (ICZM) Policy Framework" (September 2020) highlights the country's land to sea ratio of 1:15, which indicates the importance of the marine and coastal sphere to the country. However, the legislations themselves do not provide a definition for the coastal zone. For the purpose of the ICZM policy, and hence also for the proposed project intervention described in this document, (*unless explicitly stated otherwise*) the coastal zone is defined as the geographical area covering both the maritime and the terrestrial parts of the shore, including off-shore islands, salt-water ponds and wetlands in contact with the sea; the coastal zone of Trinidad and Tobago includes all areas of sea extending to the limit of the EEZ and includes the shoreline and coastal lands, which are inland areas above the high water mark that influence the quality or composition of coastal waters, or are influenced in some way by their proximity to coastal waters.

[25] SWOT stands for: Strengths, Weaknesses, Opportunities & Threats

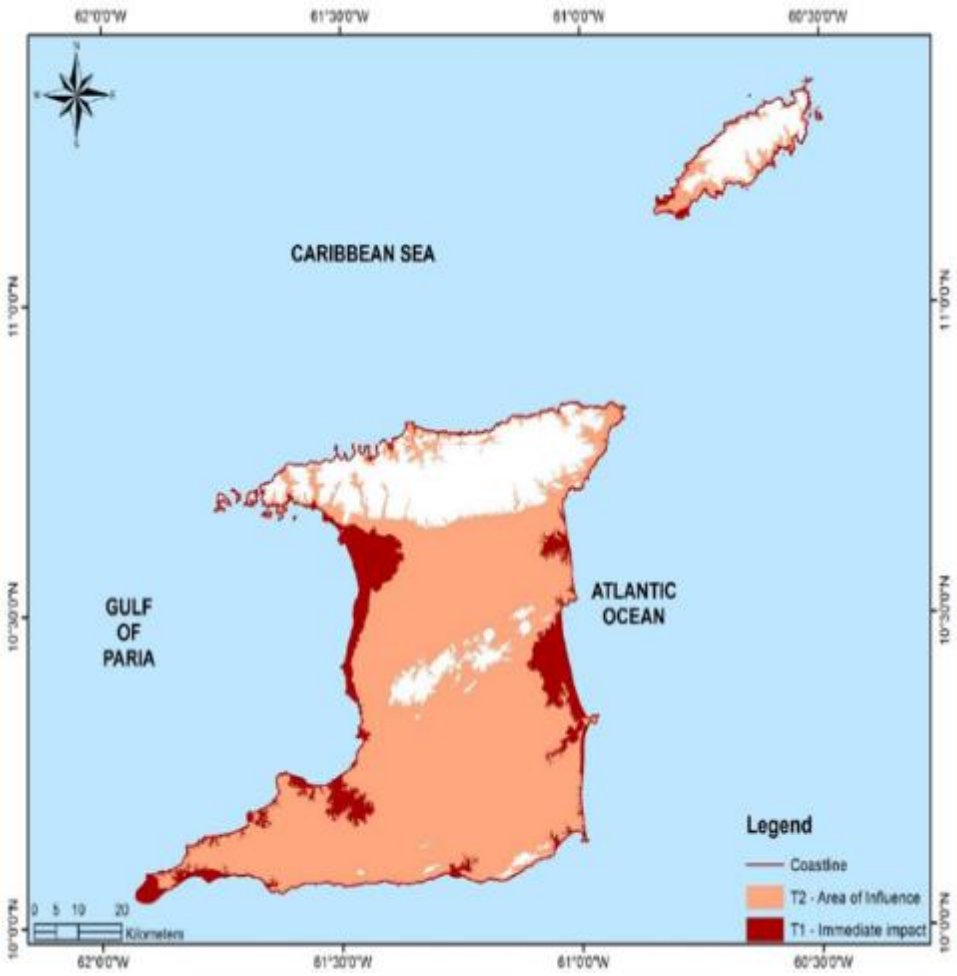


Figure 19. Terrestrial Boundaries of the Coastal Zone of Trinidad and Tobago, as displayed in the ICZM Policy Framework. (source: Institute of Marine Affairs, Trinidad & Tobago)

Activities within Trinidad and Tobago's "coastal zone" were estimated to be worth US$22.5 billion or 81% of the country's total Gross Domestic Product (GDP) in 2015. Of those coastal activities, oil and gas alone accounted for 40% of GDP (Halcrow Group Ltd, 2016).

A large part of the country's marine and coastal economy originates from the **Gulf of Paria**, a shallow semi-enclosed basin (see Figures 19 and 20) located between the island of Trinidad (west coast) and the east coast of Venezuela. The Gulf of Paria covers approximately 7,800 km^2, of which approximately 3,000 km^2 pertain to Trinidad and Tobago. The extension of the terrestrial drainage basin flowing into the Gulf of Paria is estimated at 2,391 km^2 with a total of 37 subwatersheds.

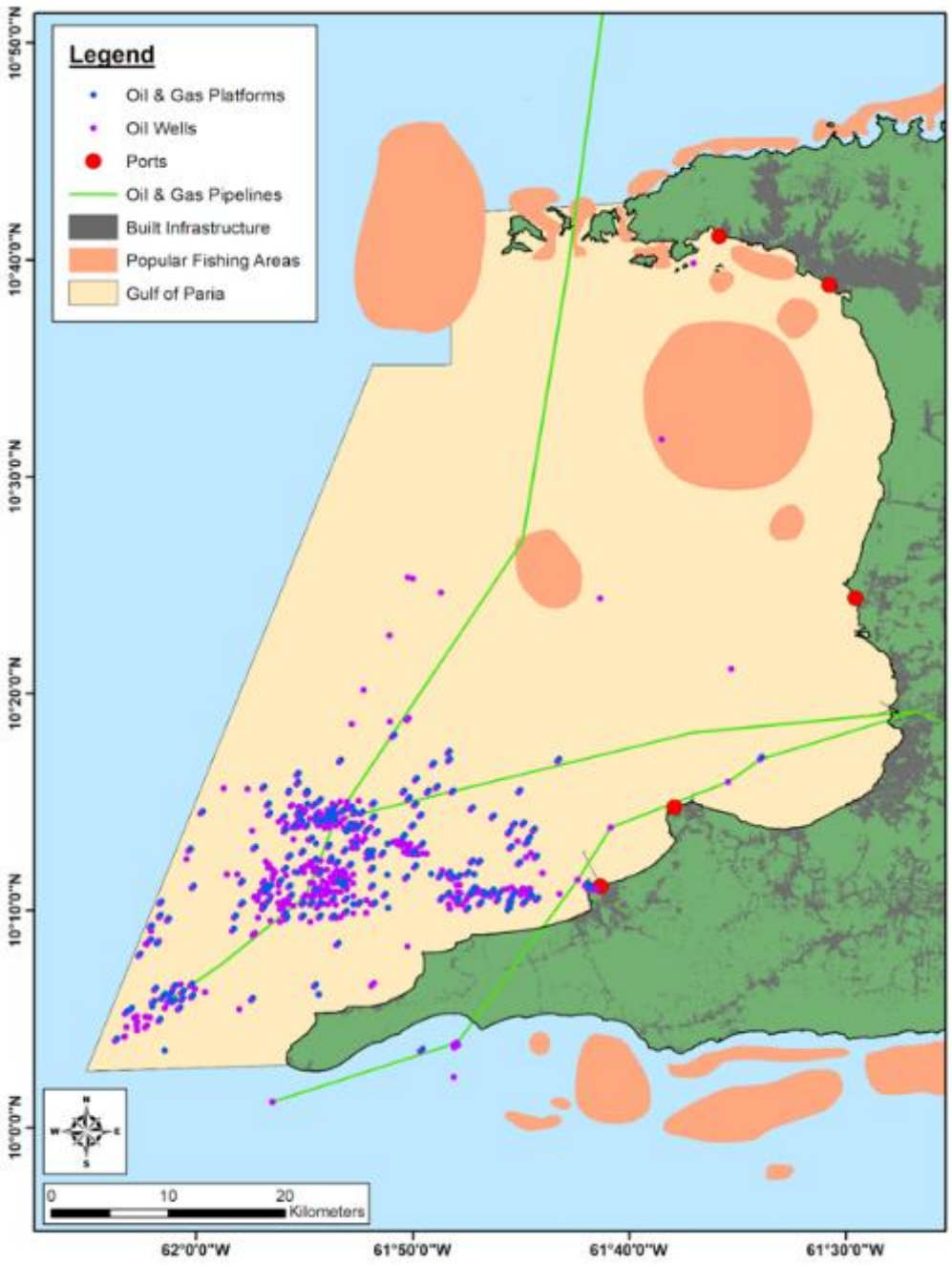


Figure 20. Map of the Gulf of Paria, the proposed planning area, in Trinidad and Tobago. (source: Institute of Marine Affairs, Trinidad & Tobago)

The Gulf of Paria holds important oil and gas reserves and the country has invested deeply in infrastructure to continue extracting and transporting oil and gas, with miles of pipelines connecting platforms on offshore oil and natural gas fields to refineries and ports across the island of Trinidad. The Gulf of Paria is also the most important fishing ground in Trinidad and Tobago, and has historically accounted for over 40% of total fish landings. It is intensely exploited by a number of fisheries utilizing a variety of gears and is the main fishing ground for the shrimp trawl fleet (Mohammed et al. 2011) which is associated with high levels of bycatch (Kuruvilla 2001) and habitat degradation. The intense fishing activity in the Gulf of Paria is largely unregulated and could be significantly impacting populations of commercially exploited species. Most of Trinidad and Tobago's commercially exploited fish stocks are being either

fully fished or over-exploited. Within the Gulf of Paria, there are also fish nursery habitats which are being negatively impacted by fishing and other anthropogenic activities. The mangroves and wetlands along the Gulf of Paria provide such important shelter for juvenile fish and support important populations of shellfish. Mangrove coverage was estimated at 7,532 Ha in 2016.

Trinidad's west coast which borders the Gulf of Paria is the most populous area of the island (Trinidad and Tobago Central Statistics Office, 2007) and constitutes the island's coast with the most coastal infrastructure. The capital city, Port of Spain, as well as other major cities and towns are located along this coast (Port of Spain metro area population of approx 545,000 inhabitants for 2022). The watersheds and hinterland of the Gulf coast support the majority of the country's agriculture, ranging from small farms to large estates supporting sugar cane, rice and citrus cultivation. Major industries are also located along this coast.

The influx of economic activities in the Gulf of Paria has led to conflicts between the oil and gas sector, shipping and fisherfolk, while coastal communities express concerns about the loss of beach property and access, due to coastal development linked to the expansion of industries, tourism and housing. There have been frequent oil spills in the Gulf of Paria. The most recent oil spill was reported in August 2021.

Pollution of coastal waters has proven to be an ongoing and pervasive problem both from land-based and marine sources, and in parts of the Gulf of Paria, the problem is particularly acute. Health and safety standards at several bathing beaches have been compromised and ¼ of shellfish species are now unsafe for human consumption. Water pollution has also been linked to a decline in the health of coral reefs and seagrass beds. At the same time, the destruction of mangrove forests can lead to increased damage to shorelines from coastal hazards such as erosion, flooding, and storm waves and surges. The loss of mangroves also exacerbates the reduction in coastal water quality and biodiversity, while eliminating fish and crustacean nursery habitat and adversely affecting adjacent coastal communities that traditionally rely on mangroves for numerous products and services. The compounding effect from pollution and habitat destruction leads to a reduction in the associated ecosystem services of coastal ecosystems. Accelerated erosion in the future as a result of climate change and sea level rise has the potential to put critical coastal infrastructure and coastal communities at further risk.

Coastal ecosystems, such as mangrove forests, seagrasses and coastal lagoons, are known to be powerful carbon sinks and "blue carbon" is increasingly integrated as part of the efforts to help mitigate climate change. The degradation of these ecosystems jeopardizes an important opportunity to develop climate change strategies that could mobilize financial resources for the conservation and restoration of blue carbon ecosystems.

Part of the proposed approach to improve ecosystem health and attenuate existing and future conflicts between marine and coastal zone users while supporting the development of a blue economy in the Gulf of Paria is Marine Spatial Planning (MSP). In 2021, Trinidad and Tobago developed a draft "Maritime Policy and Strategy" that calls for the development of a "Maritime Spatial Planning Strategy" and will provide an overarching framework for MSP in the country. Once completed, the policy will assist in the alignment and sustainability of ongoing and future developments for the maritime industry. It will have a specific focus on maximizing the sustainable use of Trinidad and Tobago's ocean and sea resources, while enabling growth of the maritime economy through improving business competitiveness in the shipping industry and balancing safety and sector interest.

In addition to the draft Maritime Policy and Strategy, the Integrated Coastal Zone Management Policy Framework revised in 2020 has a call to "Promote Marine Spatial Planning (MSP) in the coastal zone" and the country's National Development Strategy 2016 - 2030 also known as Vision 2030, has included MSP as a strategic initiative.

An Integrated Coastal Zone Management (ICZM) Inter-Ministerial Committee was appointed by the Trinidad and Tobago Cabinet in 2018 to guide the implementation of the Action Plan for the ICZM Policy Framework. The ICZM Policy Framework seeks to facilitate an integrated approach to coastal zone management aimed at maintaining and where necessary, enhancing the functional integrity of the coastal resource systems while enabling sustainable, economic development through rational, inclusive decision-making and planning. The terms of reference of the ICZM Inter-Ministerial Committee include, among others, the following responsibilities: To oversee the implementation

of the ICZM Policy Framework to mitigate negative impacts on the coastal and marine environment; to identify key targets and indicators, and appropriate timelines as per the Action Plan; to assign action items to the most relevant agency, and be authorized to co-opt other Ministries/Division/ Agencies as may be required for the implementation of the Action Plan; and to coordinate the production of a biannual State of the Marine Environment Report.

Building on the existing policy framework and enabling conditions available in the country, the MSP efforts to be pursued in the Gulf of Paria with the support from the PROCARIBE+ Project will contribute to achieving the following overarching long-term objectives:

- Promoting sustainable blue economic growth in the Gulf of Paria, and reducing user conflict by establishing zones for different users of the marine and coastal space
- Maintaining, and where necessary rehabilitating coastal ecosystems and ecosystem goods and services in the Gulf of Paria by improving the management of socio-economic activities, and their impacts
- Planning and managing development in the Gulf of Paria's coast so as to avoid increasing the incidence and severity of natural hazards and to avoid exposure of people, property and economic activities to significant risk from dynamic coastal processes and impacts from climate change (e.g. coastal flooding).
- Implementing an integrated, ecosystem-based management approach through participatory governance.

In light of this, and in consultation with regional stakeholders, support from PROCARIBE+ will strategically focus on **the following line of intervention**:

- Development of a Marine Spatial Plan, covering 2,942 km[22] of the national waters of Trinidad and Tobago in the Gulf of Paria, endorsed by the Integrated Coastal Zone Management (ICZM) Inter-Ministerial Committee and submitted for approval by the Cabinet of Trinidad and Tobago, by Project End.

Context for the specific intervention

The MSP process in the Gulf of Paria will be important to promote the environmentally sound development of ocean-based activities and growth of the Blue Economy in the Gulf of Paria and contribute to post-COVID 19 recovery as well as climate change adaptation and mitigation strategies and targets. MSP efforts consider planning for a potential expansion in the maritime sector (transshipment, ship to ship transfer, cold stacking, ship building and repair), coastal tourism, sustainable fisheries and mariculture (cage culture). Planning efforts will also consider and integrate climate change mitigation and adaptation objectives into their design. The MSP process will also seek to contribute to the country's ambitions to integrate blue carbon as part of the development of the next (2025) iteration of its Nationally Determined Contributions (NDC's) under the Paris agreement. As per the PROCARIBE+ Gender Action Plan, the MSP process will mainstream gender considerations into its design and implementation.

In addition to the support to be provided by PROCARIBE+ to Trinidad and Tobago for MSP in the Gulf of Paria, the project will also support MSP efforts on the Venezuelan side of the Gulf (see the corresponding section of the ProDoc), with the ambition of advancing MSP efforts across the full Gulf of Paria. In this context, the project will seek to facilitate dialogue between both countries and support collaboration efforts in areas of mutual interest, with a view to promote synergies and coherence of the overall MSP efforts.

Trinidad and Tobago's Institute of Marine Affairs (IMA) has been given the mandate to lead the national MSP efforts by its line Ministry, the Ministry of Planning and Development, who chairs the ICZM Inter-Ministerial Committee. Considering this mandate, the IMA was selected as the PROCARIBE+ responsible partner for the execution of the MSP activities to be financed in Trinidad and Tobago under the project.

For all activities described below, the UNDP SES guidelines will be followed. The ESMF (Annex 10) provides guidance on the assessments and measures needed to comply with the SES.

List of Proposed Activities to be supported by the PROCARIBE+ Project:

The project is expected to support four main actions, as presented below. A tentative list of activities is included for each action:

I. Defining and analyzing existing and plausible future conditions of the marine and coastal environment, and marine and coastal uses in the Gulf of Paria area in Trinidad and Tobago:
    a. Conduct a Blue Economy scoping exercise, including a review of current and proposed developmental plans and policies
    b. Map natural resources, economic and cultural activities using Participatory GIS, including the potential impacts of climate change
    c. Valuate assets of coastal infrastructure and ecosystem services as part of a marine and coastal natural capital accounting exercise

II. Strengthening participatory governance for the planning area:
    a. Conduct a detailed stakeholder analysis to promote the active involvement of relevant actors throughout the MSP process
    b. Establish a multi-sectoral committee to oversee the development and implementation of MSP
    c. Build partnerships with local communities, non governmental organizations and the private sector to enable their engagement in, and promote their buy-in for the outcomes of the MSP process

III. Developing awareness on the importance of MSP, and technical capacities for its implementation:
    a. Develop custom-made awareness raising programmes for politicians, decision-makers, coastal-marine resource users and the citizenry
    b. Build capacity and skill sets of local communities to be engaged in participatory governance
    c. Build technical capacity of technocrats in communication, facilitation, socio-economic and adaptive management

IV. Developing a spatial management plan:
    a. Collaboratively develop (participatory approach) a marine and coastal spatial plan that includes scenarios for zoning areas for multi-use, limited use and no-take areas based on the outcomes of stakeholder consultations and simulations of plausible future conditions (incl. climate change), and, to the extent feasible, with keen attention to influences on the coastal and marine environment from processes associated with the land-water interface (source-to-sea)
    b. Seek endorsement of the MSP plan by the Integrated Coastal Zone Management (ICZM) Inter-Ministerial Committee, with a view of enabling its subsequent submission for approval by the Cabinet of the Government of Trinidad and Tobago

In addition, during the Project Inception Phase, Trinidad and Tobago, and Venezuela will seek to identify, discuss and agree on a set of concrete (joint) activities/measures to promote synergies and coherence among their mutual MSP efforts targeting the Gulf of Paria.

Site: Venezuela

National Context

Venezuela's marine-coastal zones are home to an abundance of biological diversity associated with ecosystems such as coral reefs, seagrass beds, internationally important estuaries and mangrove communities. Major marine industries, including fisheries, shipping, oil, gas and mineral extraction, as well as tourism, have played an important role in developing the country's economy although they have, at the same time, exerted significant pressure on its natural resources.

Hence the importance of the Law on Coastal Zones, Decree No. 1,468 adopted in 2001, which establishes a regulatory framework for the conservation and sustainable use of Venezuela's coastal zones. The country also has an **Integrated Management Plan for Coastal Zones**, currently under review by the Attorney-General's Office, as an instrument for

promoting the sustainable development of the coastline. This guiding document serves as a basis for establishing planning processes for the country's coastal and marine spaces and it also supported the recent declaration of three new wildlife reserves in Venezuela's coastal zones and the expansion of two National Parks towards aquatic spaces (Official Gazette of the Bolivarian Republic of Venezuela No. 42182 dated 08/03/2021).

This progress has laid the foundations for the integral planning of marine-coastal activities aimed at ensuring the protection of biodiversity and contributing to socio-economic improvements for the inhabitants of coastal regions.

Marine Spatial Planning (MSP) and management of the activities and uses of marine spaces in Venezuela will be of vital importance to ensure the appropriate sustainable development of marine-coastal resources. MSP will enable the country to identify coastal and marine areas with the potential for developing production activities or for the protection, maximizing the potential of the available resources along sustainability criteria and driving the sustainable economy based on the ocean.

Based on the above, the following key considerations are envisaged in the design and definition of the actions to be supported by the PROCARIBE+ Project in Venezuela in relation to **Output 3.3.1:**

- Venezuela is one of the top 10 countries in the world in terms of its biodiversity, both terrestrial and marine
- The high productivity of its marine-coastal ecosystems is being threatened by habitat loss and environmental degradation, something that has been occurring for many decades now and more recently, due to the implications of climate change in the coastal zones and the aquatic space of Venezuela.
- The different uses of the marine-coastal environment need to be concealed in order to promote the consolidation of a sustainable economy
- The Integrated Management Plan for Coastal Zones is a framework instrument that will enable MSP to be implemented in the country
- MSP will help reconcile conservation objectives and a sustainable use of the marine-coastal resources

In light of this, support from PROCARIBE+ will strategically focus on **the following line of intervention**:

- Preparation of a Marine Spatial Plan, which covers approximately 5,200 km^2 of the national waters of Venezuela in the Gulf of Paria, endorsed by the Central and State Work Committee on Coastal Zones (Sucre, Monagas and Delta Amacuro), at the end of the project, for subsequent review and approval by the competent Bodies and Entities.

Context of specific intervention

One of the marine-coastal areas of Venezuela where there is a perceived need and priority interest in advancing MSP processes is the Gulf of Paria. The **Gulf of Paria** is a shallow (0-15 meters) semi-enclosed basin located between the island of Trinidad (west coast) and the east coast of Venezuela (Figure 21). The Gulf covers approximately 8,200 km^2, of which some 5,200 km^2 belong to Venezuela. It is of high primary productivity and is a growth area for numerous species of commercial fish, such as corvinas and snappers, and invertebrates of marine origin. It is one of the most important fishing areas in the country. It is one of the most important fishing areas in the country. The coasts have extensive communities of mangrove forests and swamps. As conservation areas, there is the Turuépano National Park (WDPA ID 30024; 744.08 km^2), and the Caño Ajíes and Caño San Juan Estuaries as reservoirs and fish refuges. In 2011, an exercise was carried out to identify conservation priorities for the Atlantic coast of Venezuela, including the Gulf of Paria, which will serve as an important input to develop the MSP.

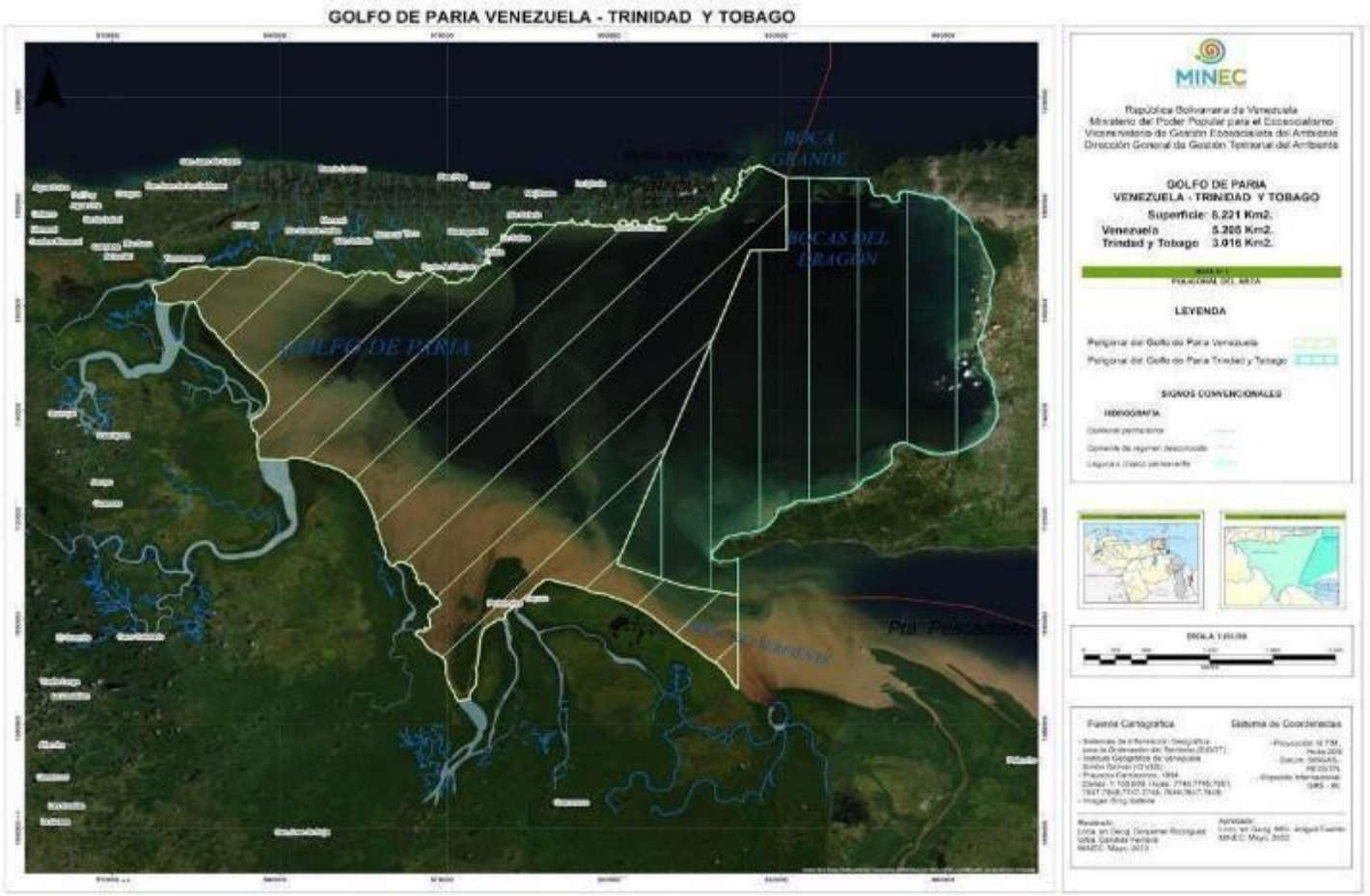


Figure 21. The Gulf of Paria, where the general and detailed surface for Venezuela and Trinidad and Tobago can be seen. (source: MINEC, Venezuela)

Added to the above is a scenario of industrial development in the Gulf of Paria and the associated Atlantic front. The Gulf has an important hydrocarbon activity, extensive navigation routes with ports, fishing activities, as well as dredging activities. The flow of several rivers in the basin for the agricultural use of the towns is also regulated. In light of the pressures of these activities on the marine-coastal resources of the Gulf and the associated livelihoods, it is essential to design strategies that allow us to continue with a responsible and sustainable use of resources, and at the same time ensure the conservation of biodiversity.

The Venezuelan government wants to declare the Gulf of Paria a "Special Aquatic Habitat for Exploitation or Controlled Intensive Use", one of the country's protection categories (IUCN Category: VI). The MSP will allow progress in the planning for the declaration and the necessary zoning of the area, as well as contribute to the visualisation of these processes in neighbouring areas.

It can thus be noted that the activities to be supported by the PROCARIBE+ Project will seek to put the entire Gulf of Paria, both the part corresponding to Venezuelan territory and that belonging to Trinidad and Tobago, under marine-coastal Spatial Planning processes.

The project will therefore seek to facilitate a dialogue between the two countries and, where possible, will support potential collaborative efforts in areas of mutual interest with a view to promoting synergies and coherence of overall MSP efforts across both countries.

Although the MSP efforts to be facilitated through the PROCARIBE+ Project in Venezuela will have the Gulf of Paria as their geographic scope, the project will, if possible, seek to extend beyond the Gulf by applying a nested multi-scale MSP approach.

For more information on this approach, we refer to the section of the Project Document describing the support the project will provide to the MSP efforts in the Dominican Republic, where the MSP exercise is also based on this multi-scale approach.

Also under this multi-scale concept, the more restricted geographic scope of this first MSP application will allow the MSP exercise to be conducted with a more detailed spatial resolution. This is in line with the needs of the area in which it is to be applied given the multiple uses of the marine space in this area of the country.

It is also believed that the experience gained through this pilot project in a more restricted geographic area will enable the development of national capacities and the acquisition of practical experiences that will facilitate the subsequent replication and expansion of MSP efforts in other areas of the country.

The MSP in the Gulf of Paria will seek to improve the conservation of natural and cultural spaces and apply sustainable and responsible natural resource management. In particular, the intention is to work with the fishing sector to promote the sustainable management of fish species that can be harvested in order to increase their populations and achieve their sustainable use.

Depending on the conditions in place (including financial and technical resources and time available), and in consultation with the Government of Venezuela during the project start-up phase, an assessment will be made of the possibility and practical feasibility of increasing the area under MSP that is being supported by the project, also considering the possibility of using such an increase to identify and delimit potential new conservation areas for their subsequent declaration as marine protected areas.

In terms of implementing the activities in Venezuela, following consultations with and approval by the GEF Secretariat, the UNDP Country Office has been identified as the PROCARIBE+ responsible party ("co-executing

agency") due to its long history of successfully implementing projects jointly with the ¨Ministerio del Poder Popular para el Ecosocialismo¨ (MINEC) and given the absence of other actors with sufficient capacity to successfully take on this role (see also Annexes 2 and 20).

For all activities described below, the UNDP SES guidelines will be followed. The ESMF (Annex 10) provides guidance on the assessments and measures needed to comply with the SES.

List of Proposed Activities to be supported by the PROCARIBE+ Project:

The generic approach described below will be considered for the proposed MSP efforts in Venezuela and may be further fine-tuned with national stakeholders and input from MSP experts during the project start-up phase.
This generic approach envisages four main actions, as given below. A tentative list of activities is included for each action. Linkages will be sought with other relevant outputs of the PROCARIBE+ Results Framework (e.g., MSP training under Component 2, etc.).

I. Define and analyze existing and plausible future conditions of the marine and coastal environment, and marine and coastal uses (opportunities & threats):
    a. Conduct a baseline diagnostic analysis of the socio-economic contributions of marine and coastal sectors, including conservation, with a review of current and proposed development plans and policies
    b. Map natural resources, socio-economic activities and cultural values using Participatory GIS, including the potential impacts of climate change, at appropriate spatial scales (resources allowing); incorporate the results from prior coastal vulnerability assessments
    c. Valuate assets of coastal infrastructure and ecosystem services as part of a marine and coastal natural capital accounting exercise
II. Raise awareness on the importance of MSP, and technical capacities for its implementation:
    a. Develop custom-made awareness raising programs for politicians, decision-makers, coastal-marine resource users and the citizenry
    b. Build capacity and skill sets for relevant stakeholders to be engaged in the planning process
    c. Build technical capacity of technocrats in communication, facilitation, socio-economic and adaptive management
III. Design and implement a participatory approach for the planning exercise:
    a. Update and/or fine-tune, as applicable, a stakeholder analysis to facilitate the active involvement of relevant actors throughout the MSP process
    b. Establish a multi-sectoral committee, and the required multi-sectoral arrangements, to respectively oversee and support the Marine Spatial Planning process
    c. Mobilize and engage key stakeholders from civil society, non-governmental organizations and the private sector in the MSP planning process
IV. Develop the marine spatial plan:
    a. Collaboratively develop (participatory approach) the marine and coastal spatial plan(s) that includes scenarios for zoning areas for multi-use, limited use and no-take areas based on the outcomes of stakeholder consultations and simulations of plausible future conditions (incl. climate change), and, to the extent feasible, with keen attention to influences on the coastal and marine environment from processes associated with the land-water interface (source-to-sea)
    b. Seek endorsement of the MSP plan by the corresponding entities and/or stakeholder groups, with a view of facilitating/enabling its subsequent formal adoption and implementation

Outcome 3.4. Generalized implementation across the Wider Caribbean/WECAFC region of traceability systems is enabled for key fisheries and seafood products, as a key measure for sustainability and

against IUU fishing

As per the table at the beginning of this Section IV, 1 output will be produced by the PROCARIBE+ Project in support of this Outcome. The output will have 2 distinct, but interrelated elements.

PROCARIBE+ will seek to directly contribute to this Outcome by delivering the Output 3.4.1, which is described in further detail here below, and which consists of two distinct elements: **(a)** the effective, practical implementation of the traceability standard developed by the International Regional Organisation for Plant and Animal Health (OIRSA)[26] and the Central American Aquaculture and Fisheries Organization (OSPESCA), in a minimum of 8 countries from the region and applied to a substantive share of the cumulative exports from these countries, for 3 key regional fishery & aquaculture export products; **(b)** the enabling of a replication and the up-scaling of the results from element (a) of this Output, through the more region-wide promotion and support for the adoption of traceability standards for fisheries and aquaculture products by the corresponding regional and sub-regional entities (e.g. WECAFC, CRFM, OSPESCA).

Throughout the project's execution, opportunities for coordination/exchanges, and potential synergies with other parallel initiatives that can also contribute to Outcome 3.4, will continue to be sought.

Output 3.4.1. (a) traceability systems in place for 3 selected key fisheries and 1 aquaculture products in min. 8 countries; by Project End % of exports (and equivalent approx. volume) from WECAFC region commercialized under regional traceability standard: min. 30% of regional spiny lobster exports (approx. 5.200 tons/yr) + min 39% of queen conch exports (approx. 400 tons/yr) + min 31% of shrimp (fisheries & aquaculture) exports (approx. 50.300 tons/yr); total = 55.900 tons/yr. (b) enabling conditions to replicate/expand the traceability systems across the wider WECAFC countries, with the aim of achieving a total export volume of 94,800 tons/yr traceable by 2030 (i.e. 52% of all regional spiny lobster+queen conch+shrimp exports)

Key baseline elements on which the project interventions will build:

PROCARIBE+ will build on and give continuity to the implementation of important achievements and products from the CLME (GEF ID 1032) and CLME+ (GEF ID 5542) Projects:

- Politically endorsed regional CLME+ SAP (2015-2025), including dedicated Sub-Strategies promoting the ecosystem approach for spiny lobster and for queen conch fisheries *(developed with the support of the CLME Project)*
- Regional Plan of Action against IUU fishing *(developed with the support of the CLME+ Project)*
- Regional OIRSA/OSPESCA Traceability Standard for Fishery and Aquaculture Products *(developed with the support of the CLME+ Project)*
- "MARPLESCA Plan" - Caribbean Spiny Lobster Fishery Regional Management Plan *(developed with the support of the CLME+ Project)*
- Regional Queen Conch Fisheries Management and Conservation Plan
- Interim Fisheries Coordination Mechanism, created and operationalized under the CLME+ Project, and providing a platform for discussion, collaboration and coordination of actions among the region's 3 Regional Fisheries Bodies

Context

[26] For the non-OIRSA member countries participating under element (a) of the Output, the project will seek to implement a standard which is inspired by, or equivalent to the OIRSA standard

Reduction of the levels of IUU fishing, and ensuring the traceability of seafood exports, will be critical to the sustainability of the fishery sector, and for continued market access: anecdotal evidence from a 2020 poll conducted by Ipsos (USA) revealed that 83% of Americans agree that all seafood should be traceable. For European consumers, traceability of seafood products has acquired increasing importance over especially the past 5 years.

It is also worth mentioning, for example, that the EU Regulation to end illegal, unreported and unregulated (IUU) fishing requires that 'third countries' (those not in the EU) which export seafood products to the EU or lend their flags to vessels that import into the EU meet strict standards for fisheries management. Under the IUU Regulation, non-EU countries identified as having inadequate measures in place to prevent and deter this activity may be issued with a formal warning (yellow card) to improve. If they fail to do so, they face having their seafood products banned from the EU market (red card), among other measures.

Several countries from the region have been issued a card under the EU Regulation. The current desire to prioritize this issue is illustrated, for example, by the high-level meeting of the Panamanian Inter-Institutional Commission for the Prevention, Deterrence and Elimination of IUU Fishing, with a view of pursuing the lifting of the yellow card applied to the country by the EU.

The OIRSA/OSPESCA Regional Traceability Standard for Fishery and Aquaculture Products, developed with the support of the CLME+ Project, establishes that a country's National Traceability Systems for Seafood and Aquaculture products, or regulatory reference frameworks, must have nation-wide application, including all elements of the value chain beginning with the process of capture/production and up to and including the point of commercialization. As such, it provides an important tool in the fight against Illegal, Unreported and Unregulated (IUU) fishing and against crime along the fisheries & aquaculture value chain. Its implementation, combined with that of the existing fisheries regulations and management and conservation plans, will be key for achieving the sustainability of the fisheries targeted under this Output, and for protecting the access to the region's export markets.

The OIRSA/OSPESCA Regional Standard was approved by the OIRSA Technical Commission in 2020 and recommended by the Commission for approval by the Ministerial Committee. While the expectation exists that such ministerial approval is imminent, Honduras and Guatemala have also already taken individual steps towards traceability and have issued respectively Resolutions and a Ministerial Decree/Agreement on the implementation of traceability for its fishery and aquaculture products and on the adoption of the regional OIRSA Standard.

As per the instructions of its Ministerial Council, OIRSA has also already established the wider-ranging (i.e. not focussed on fisheries & aquaculture products) Harmonized Regional Traceability System for Agricultural and Food Products "TRAZAR-AGRO". TRAZAR-AGRO is a tool that facilitates the application of OIRSA's different traceability standards, through, a.o., the registration of individuals and companies involved in the agricultural, livestock, fisheries and aquaculture value chains, as well as of all actions under the traceability standards to which these products are subjected.

As also already agreed between OIRSA and the competent authorities in Guatemala and Honduras, OIRSA will have the function of "providing, developing, administering, updating and technically supporting the implementation in both countries of the TRAZAR-AGRO IT Tool. To date, Panama and OIRSA have also already initiated exchanges on the national-level implementation of the standard. Both Honduras and Nicaragua have conducted traceability tests at the pilot level.

Project Interventions

Spiny lobster, queen conch and shrimp are 3 of the region's most valuable fishery & aquaculture products, with the value of annual export levels e.g. reaching USD 1.3 billion/year in 2019[27], and providing employment and income for

[27] COMTRADE (https://comtrade.un.org/data), Departamento de Estadísticas de Las Bahamas, 2019 (http://www.bahamastradeinfo.gov.bs/trade-information/global-trade-statistics/), República Dominicana, 2019 - ONE

an estimated 950,000 people along their value chains[28]. These fisheries are heavily geared towards external markets (targeting in particular the USA, Europe and more recently some Asian countries).

Building upon the foundations laid by the CLME and CLME+ Projects, and other ongoing work in the region, PROCARIBE+ will work with OSPESCA, OIRSA and all relevant stakeholders including the major producing countries and companies, both from within and outside the sub-region of the Central American Integration System (SICA), and in collaboration with the other Regional Fisheries Bodies (CRFM, WECAFC), to bring at least 30% of the region's spiny lobster exports (i.e. an approximate annual volume of 5,200 tons/yr), 39% of the queen conch exports (400 tons/yr), and 31% of shrimp exports (50,300 tons/yr), i.e. a total of 55,900 tons/yr of seafood products, originating from at least 8 countries, under traceability by the Project's end.

Expertise gained and lessons learned will be used to promote and support the development of equivalent traceability standards (different languages) that can be proposed for consideration and adoption by the non-OIRSA member countries, through the different regional coordination mechanisms (WECAFC, CRFM, OSPESCA, OIRSA). Such action will allow to replicate and expand the implementation of traceability across the wider region, so that, through continued action beyond the PROCARIBE+ Project timeline, the preliminary target of a volume of at least 94.800 tons/yr of traceable seafood products by 2030 (i.e. equivalent to 52% of all regional spiny lobster, queen conch and shrimp exports), can be met, or further increased.

OSPESCA has been selected as the responsible partner for the execution of output 3.4. to ensure continuity with the traceability activities conducted under the CLME+ Project and coherence with ongoing regional and national priorities.

For all activities described below, the UNDP SES guidelines will be followed. The ESMF (Annex 10) provides guidance on the assessments and measures needed to comply with the SES.

List of Proposed Activities to be supported by the PROCARIBE+ Project:

For the delivery of element (a) of Output 3.4.1, the following activities are expected to be undertaken:

- Regional Inception Workshop, to be organized by the PROCARIBE+ responsible party for the delivery of Output 3.4.1., namely OSPESCA/OIRSA, and with the participation of regional experts and national representatives from governmental entities and private actors engaged along the value chain of the fisheries and aquaculture products. Fine-tuning of the Baseline and Work Plan
- Development of an equivalent of the OIRSA standard, in the language of the target country, for the different countries participating in the activities under element (a) of Output 3.4.1. and that are not members of OIRSA/SICA
- Formalizing the traceability processes in the participating countries: development of, and support for the adoption of Regulations/Agreements/Protocols for the implementation of national traceability systems
- For the target country where the traceability standard was already tested under the CLME+ Project, at the pilot level, for spiny lobster (i.e. Honduras): upscaling from the current pilot-scale implementation to a wider-spread, national level implementation for the target export products that will enable achievement of the numeric targets set for Output 3.4.1, by Project End

(https://www.one.gob.do/economicas/anuario/exportaciones), Cuba
(https://www.icex.es/icex/GetContentGestor?dDocName=486048), México
(https://www.gob.mx/conapesca/documentos/anuario-estadistico-de-acuacultura-y-pesca)

[28] Source: data calculated based on FAO (Contribución de la pesca y la acuicultura a la seguridad alimentaria y el ingreso familiar en Centroamérica https://www.fao.org/publications/card/es/c/caaff2db-fb93-4c12-a344-80c01bee99f2/), OSPESCA/CLME+ (Plan MARPLESCA https://www.sica.int/documentos/plan-marplesca-espanol_1_119895.html), Anuario estadístico de acuacultura y pesca 2018 México (https://www.gob.mx/conapesca/documentos/anuario-estadistico-de-acuacultura-y-pesca)

- For the target countries where no pilot-level implementation efforts have taken place to date: (a) training & capacity building sessions; (b) pilot-level implementation during year 1; (c) intermediate evaluation and revision/fine-tuning of the approach, as/if applicable; (d) upscaling from the current pilot-scale implementation to a wider-spread, national level implementation for the target export products that will enable achievement of the numeric targets set for Output 3.4.1, by Project End
- Final Workshop: discussion and documentation of best practices & lessons learned

Direct beneficiaries of the associated GEF investment under element (a) of Output 3.4.1.: Government Entities and Private Sector Agents/Fisherfolk involved in the value chains of the following fisheries/marine products, in the following countries:

Table 6. PROCARIBE+ traceability efforts: products and countries

Country	Caribbean spiny lobster	Queen conch	Shrimp (from fishery and/or aquaculture)
1. Bahamas	X	X	
2. Belize	x	x	
3. Guatemala			x
4. Honduras	x	x	x
5. Mexico/Brazil (tentative)	x		x
6. Panama	x		x
7. Guyana			x
8. Suriname (tentative)			x

In the case of Panama, and considering the planned efforts on traceability under PROCARIBE+, the project will also seek to apply traceability to: spiny lobster (capture) and cobia, pompano and macroalgae (aquaculture)

For the delivery of element (b) of Output 3.4.1, the following activities are expected to be undertaken:

- Evaluation of the results achieved under element (a) of the output, and formulation - with the assistance of experts- of recommendations for the implementation of seafood traceability standards and systems in countries from the region that do not belong to the OIRSA/OSPESCA membership
- Evaluation of the formulated recommendations by the WECAFC Scientific and Technical Advisory Committee and the Interim Fisheries Coordination Mechanism (CRFM, OSPESCA, WECAFC) and/or its constituents
- Preparation of the proposed standards (min. English and Spanish), for adoption/recommendation by the corresponding regional entities: CARICOM-CRFM, FAO-WECAFC,...

- Preparation and dissemination of practical guidance/training materials, for the wide-spread regional implementation of the traceability standard(s)
- Preparation and dissemination of regional awareness raising materials
- Development and adoption of a post-project strategy, to ensure the sustainability and future expansion of the scope of the seafood traceability efforts in the region

Direct beneficiaries of the associated GEF investment under element (b) of Output 3.4.1.: Regional Organizations with a fisheries & aquaculture-related mandate (e.g. WECAFC, CRFM, OSPESCA and OIRSA), Government Entities with a responsibility related to the value chain of fisheries/marine products, with special attention to countries with important spiny lobster, queen conch and/or shrimp exports

Outcome 3.5. Region-wide reduction of ghost fishing and negative habitat impacts from unsustainable spiny lobster fishing gear & practices, enabled

As per the table at the beginning of this Section IV, 1 output will be produced by the PROCARIBE+ Project in support of this Outcome. The output will have 2 distinct, but interrelated elements.

PROCARIBE+ will seek to contribute to this Outcome by delivering the Output 3.5.1, which is described in further detail here below, and which consists of two distinct elements: **(a)** a pilot effort -to be preceded by a more in-depth baseline/gap analysis, and to then be implemented in a single country, Honduras; **(b)** the enabling of replication and up-scaling of the results from the pilot, through dissemination and training , and a revision of existing regional and sub-regional fishery regulations and recommendations relative to spiny lobster fishing gear and practices.

Throughout the project's execution, opportunities for coordination/exchanges, and potential synergies with other parallel initiatives that can also contribute to Outcome 3.5, will continue to be sought.

Output 3.5.1. (a) on-the-ground solutions developed and tested to reduce negative environmental, resource stock and socio-economic impacts from unsustainable fishing gear and practices in industrial spiny lobster fisheries (with special attention to "ghost fishing"/lost and abandoned fishing gear); (b) provisions for the implementation of measures against ghost fishing and negative habitat impacts from spiny lobster fishing gear and practices, covering all countries active in the fishery in the WECAFC region (average regional annual total spiny lobster catch volume = approx. 28.000 ton)

Key baseline elements on which the project interventions will build:

- Politically endorsed regional SAP (2015-2025), with a dedicated Sub-Strategy 4A calling for the advancement of the ecosystem approach for spiny lobster fisheries
- OSPESCA Regulation OSP-02-09 for the Regional Management of the Caribbean Spiny Lobster Fishery, and its different Adenda
- "MARPLESCA Plan" - Caribbean Spiny Lobster Fishery Regional Management Plan
- St. George's Declaration on Conservation, Management and Sustainable use of the Caribbean Spiny Lobster
- The Spiny Lobster Fishery Management Plan (FMP) of Puerto Rico and the U.S. Virgin Islands

Context

With an average annual catch volume of ±28.915 tons/year across the wider WECAFC region over the period 2007-2017 (FAO, Fishstat 2022), and an annual average exports value of approximately USD 402,818 (https://comtrade.un.org/data), Caribbean spiny lobster (Panulirus argus) is one of the most important, if not the most important and valuable fisheries in the wider Caribbean. Spiny lobster fisheries provide employment and

income opportunities for 270.000 fisherfolk, in at least 15 countries in the region - although it is to be noted that a very large share of the total production comes from a limited number of countries: over the cited period, 66% of the total regional catch volume came from 4 countries: Bahamas (26,5%), Honduras (16,4%), Nicaragua (15,5%) and the USA (7,7%).

While Caribbean spiny lobster is being caught using a variety of practices and gears, industrial-scale fishing using lobster traps accounts for at least 60% of the total registered catch volume. According to reporting under the MARPLESCA Plan, the main countries conducting industrial-scale trap fishing are: Honduras, Nicaragua and USA; also according to these reports, in 2017 the industrial trap fishing fleet in the WECAFC region consisted of 620 boats of which 90% were trap-fishing boats and 10% were scuba-fishing boats.

Considering that each boat may hold up to 3,500 traps, an estimated 1,8 million traps may be placed each season in the spiny lobster fishing areas by the industrial fishing float.

Yet, the practice of spiny lobster trap fishing is not without impacts: whereas efforts have been undertaken to control and resolve issues of **bycatch** -e.g. by regulating the minimum size of the escape gap of the traps (see e.g. OSPESCA Regulation OSP-02-09), the loss and/or the deliberate abandonment of fishing gear, and the associated problem of ghost fishing, as well as the potential harm caused by the trap fishing gear and practices to fragile benthic habitats, are real matters of concern due to their negative socio-economic, fish stock, biodiversity and environmental impacts which may ultimately also jeopardize the fishery.

The issue of **Abandoned, Lost or otherwise Discarded Fishing Gear (ALDFG)** is a problem that has become a major global concern. Worldwide, up to **one million tonnes** of fishing gear are left behind in the ocean every year. This has severe impacts on the health of marine ecosystems as current estimates show that over 500 species have been affected by ingestion, entanglement, and ghost fishing. Estimates from the World Animal Protection show that entanglement in ghost gear kills at least 136,000 seals, sea lions and large whales every year. There are also economic impacts as globally, about 90% of species caught in derelict fishing gear are of commercial value (Al-Masroori et al. 2004). This impacts the livelihoods of nearly 40 million people employed in fisheries and threatens long-term sustainability of fisheries (FAO, 2020). Given that, today, more than 3 billion people rely on fish as a major source of protein, this could have significant implications for food security, a major social issue.

Just like many other fisheries in the world, the Caribbean spiny lobster fishery, and in particular the trap fishery, is affected by the issue of ALDFG. Through **ghost fishing** and **benthic habitat impacts**, ALDFG in the spiny lobster fishery in the Caribbean brings with it substantial negative environmental as well as socio-economic consequences, and constitutes a threat to the sustainability of the fishery itself. During major tropical storms and hurricanes, losses of up to 20% of the traps placed on the fishing grounds within the area of influence of these events have been estimated from field observations.

Article 7 of OSPESCA Regulation OSP-02-09 states that each year prior to the seasonal closure of the spiny lobster fishery, fishermen and boat operators are required to recover all traps from the marine environment. Currently used fishing practices and gear make that such recovery efforts constitute a great cost to the operators - generally with a negative end balance for those executing the recovery efforts when the short- and long-term costs for the fishery of ghost fishing and benthic habitat damage are not considered/internalized. In such a context, the existence of a regulation by itself does not provide a sufficient solution to the problem, and the associated issue of unsustainability of the fishery -in its current format- persists.

In practical terms, notwithstanding the existence of the regulation and of associated recovery efforts, a minimum of 2-3% of all traps have been estimated to be lost on an annual basis. With an estimated industrial fleet capacity of up to 1,8 million traps, this could amount to between 36,000 and 54,000 lost traps, on an annual basis, from the industrial fishery alone. Against these estimates, it is worth mentioning that anecdotal evidence speaks of the recovery of 240,000 traps (from both industrial and artisanal fisheries) from the marine environment during the 2020 Closed Season by the Nicaraguan Fisheries and Aquaculture Institute INPESCA in collaboration with the Nicaraguan Army, as part of their Monitoring, Control and Surveillance efforts.

As far as the impacts on sensitive benthic habitats of the industrial-scale Caribbean spiny lobster trap fisheries gear and practices are concerned, limited research has been conducted to date in the region, and the scale and types of impacts of the Caribbean spiny lobster fishery remains largely unknown. Moreover, although ALDFG is a major problem in many countries, the nature and extent of the problem, causal factors and degree of impact may vary widely across regions – due to differences in hydrogeological and climatic conditions, management systems and other contextual factors. Therefore, a place-based analysis and approach is needed to provide a profound understanding of the problem, to help identify region-specific and effective solutions.

In collaboration with relevant stakeholders from government and private sector, and global and regional experts, PROCARIBE+ will seek to review, collect and discuss experiences from other parts of the world, and develop more detailed baseline and impact assessments leading to the development and testing, at the pilot level and in 1 selected country, Honduras, of integrated solutions (technical, socio-economic, regulatory) that will allow to prevent and/or reduce the negative impacts of current gear and practices applied in the industrial-scale Caribbean spiny lobster fisheries in the region, with a view of enhancing the sustainability of the fishery and an increase of associated short and long-term socio-economic returns.

Based on the results from the pilot, the project will seek to disseminate the information generated and develop capacity on innovative methodologies used to determine lost traps during fishing seasons and promote regional-level provisions for enhanced fishing practices, including through a revision of the regional and sub-regional lobster fisheries regulations and recommendations, as feasible and applicable (OSPESCA/CRFM/WECAFC).

A linkage may also be sought with other activities under the project aimed at achieving a better protection of sensitive and important marine benthic habitats.

OSPESCA has been selected as the responsible partner for the execution of output 3.5. to ensure coherence of the project's activities with the regional frameworks adopted for the management of the Caribbean Spiny Lobster Fishery (OSPESCA Regulation OSP-02-09) and with ongoing regional and national priorities.

For all activities described below, the UNDP SES guidelines will be followed. The ESMF (Annex 10) provides guidance on the assessments and measures needed to comply with the SES.

List of Proposed Activities to be supported by the PROCARIBE+ Project:

For the delivery of Output 3.5.1., the following activities will be undertaken:

- creation and periodic gatherings of an ad hoc (i.e. temporary) PROCARIBE+ Spiny Lobster Trap Fishing Working Group/Committee, consisting of representatives from the PROCARIBE+ responsible partner for Output 3.5.1, namely OSPESCA, and the regional fisheries bodies, national fisheries authorities, industrial fleet operators, regional experts including environmental impacts experts, representatives of the artisanal fishery sector and academia (as relevant) etc.; this will include the creation of a Honduran Sub-Group (consisting of the representatives from Honduras in the regional working group) that will focus on the delivery of element (a) - the pilot initiative- of Output 3.5.1.
- baseline study(ies) consisting of (a) a review of the existing global literature on the issue of ALDFG, with a special focus on trap fisheries and the associated problems of bycatch, ghost fishing and benthic habitat impacts, and of existing advances in terms of practical and innovative solutions; (b) a similar review of the existing regional literature, but more specifically focussed on ALDFG in (industrial-scale) Caribbean spiny lobster trap fisheries, the 3 aforementioned issues, and the associated regulatory frameworks and their practical implementation to date; for both (a) and (b) the analyses will give due attention to both the aspects of fishing gear and fishing practices, and the associated socio-economic dimensions
- global exchange on "state of the art": (virtual) "inception" workshop with global experts and regional (selected countries with major lobster trap fisheries) and national (Honduras) authorities and stakeholders,

plus the regional fisheries bodies, to facilitate a “global” discussion and exchange of experiences, lessons learned, on the topic

More specifically, for the delivery of element (a) of Output 3.5.1:

- Honduras country study (gap analysis): identification of the knowledge gaps relative to the environmental, socio-economic, stakeholder, regulatory and management dimensions of the ALDFG, bycatch, ghost fishing and habitat impacts of the industrial spiny lobster trap fishery in the country; identification of awareness raising gaps/priority needs; identification of gaps relative to potential workable* “field solutions”: (a) fishing gear, and (b) fishing practices (*sustainable and feasible, fitting the socio-economic and environmental reality of the Honduran spiny lobster fishing sites and stakeholders, and, where possible, with positive contributions to empowering women and youth (gender balance/gender equity))
- field studies (2 seasons, while the fishery is closed), as required and with due stakeholder engagement, to quantitatively fill key knowledge gaps identified through the aforementioned country study: a more precise evaluation of (a) the magnitude of ALDFG, in its three dimensions (abandonment, loss, discardment) and associated economics, and (b) of current levels of recovery efforts, its key actors, and cost-benefits
- field studies (1-2 seasons, a minimum of 3 representative areas of the fishery), as required and with due stakeholder engagement, to quantitatively fill key knowledge gaps identified through the aforementioned country study: an assessment of the impacts on different types of benthic habitats of trap fishing gear and operations, Identification and development, together with Honduran stakeholders, of a (package of) “pilot” solution, to be tested at selected sites /with selected operators (note that to ensure buy-in and local ownership, the specific sites and operators will be selected by the Spiny Lobster Trap Fishing Working Group, Honduran Sub-Group, once established, during the project inception phase); the following aspects will be considered: (cost of modifications of/to) fishing gear and fishing practices, policy/regulatory frameworks, enabling conditions, feasibility of compliance measures, stakeholder awareness and buy-in, dissemination and training, replicability and up-scaling potential, financial/economic incentives, financial sustainability, net impact, cost recovery and others
- Testing in the field of the identified solutions (1-2 seasons) - the specificalities (location, number of sites, stakeholders/operators to be involved, number of potential solutions to be tested) will be determined during project execution by the Working Group, as a function of the results of the preceding activities, and taking into account the project budget and timeline, any available/newly mobilized co-financing
- Reporting and dissemination of the studies, assessments and results obtained from the activities under element (a) of the output

More specifically, for the delivery of element (b) of Output 3.5.1:

- Evaluation by the Ad Hoc Working Group of the results from the Honduras Pilot Effort, and from the preceding global and regional baseline studies and inception workshop, and formulation - with the assistance of experts- of recommendations for the implementation of element (b) of Output 3.5.1.: provisions for the implementation of measures against ghost fishing and negative habitat impacts from spiny lobster fishing gear and practices, covering all countries active in the fishery in the WECAFC region
- Evaluation of the formulated recommendations by the WECAFC Scientific Advisory Groupe, as appropriate, and the Interim Fisheries Coordination Mechanism (CRFM, OSPESCA, WECAFC) and/or its constituents
- Preparation of the proposed provisions, for adoption by the corresponding fishery governance mechanisms (OSPESCA, CRFM ,WECAFC) and incorporation in the corresponding fishery regulations and/or recommendations, as appropriate
- Preparation and dissemination of practical guidance/training materials and protocols, for the implementation of the approved regulatory provisions
- Preparation and dissemination of regional awareness raising materials

Note: in case of the mobilization of additional co-financing during project execution, consideration may be given to involving a second country in the pilot efforts under element (a) of Output 3.5.1.

COMPONENT 4: Region-wide data/information/knowledge generation, management and sharing mechanisms supporting cooperation, coordination, collaboration and synergistic action

Project activities under Component 4 seek to contribute to 2 distinct outcomes (Outcomes 4.1-4.2):

OUTCOME 4.1 A well-articulated marine data, information and knowledge management infrastructure/network is enabled, (a) providing a science-policy interface; (b) supporting the development/updating, implementation and M&E of regional Action Programmes and Plans; (c) boosting and increasing the impacts of marine & coastal investments

As per the table at the beginning of this Section IV, 3 outputs will be produced by the PROCARIBE+ Project in support of this Outcome.

Note: in line with the project's adaptive management approach, which will seek to address and accommodate for the dynamic nature of formal and informal ocean governance processes in the region (with the aim of maximizing the impact, regional and national-level ownership and sustainability of the project outputs and outcomes), and notwithstanding the fact that the content of this section has been respectively pre-cleared and validated by the ad hoc regional Thematic Groupings and Development Committee created to support the PROCARIBE+ PPG phase, the approach and activities outlined for the different Outputs under this Outcome are considered indicative, and will be subject to further formal validation, following a review and possible revisions and/or further fine-tuning by (a) the corresponding Working Groups and organs (i.e. Steering Group and Executive Group) of the OCM (once these have been made operational with the support of PROCARIBE+; see also Output 1.1.1.) and by (b) key partners that will participate in the activities and in the approval of the resulting deliverables, described for the below Outputs.

Substantial amounts of data, information, technical reports and other knowledge products on the marine environment and the marine natural resources from the wider Caribbean have been created both within the region as well as globally, with and without the explicit aim of supporting management processes, decision-making and investments.

Unfortunately, many of these efforts were project- and/or sector-driven, have been "ad hoc" in nature, and were undertaken in a non-systematic, non-standardized way. They have therefore not been formally or sustainably embedded in regional mechanisms (such as the OCM) that seek to support a more holistic, long-term ecosystem-based approach.

Many initiatives lacked continuity, and/or are insufficiently known. A multitude of strategies and action programmes were developed, but often lacked the data and mechanisms to track their implementation.

Awareness about, and access to existing information is fragmented among the many stakeholders. Frequent reference is made to the *scarcity of financial resources*; nonetheless, efforts are often duplicated while critical knowledge gaps persist in time. Existing platforms and products are not linked together in a unified knowledge infrastructure, and/or remain insufficiently used.

Such lack of awareness about existing data, information and knowledge sources, complemented by insufficient or inadequate (access to) data, information and knowledge, were -together with and linked to the existence of a "science-policy gap"- cited as important root causes of the ongoing degradation of the marine environment in the CLME TDA's.

Resulting from this acknowledgment, several priority actions relating to data, information and knowledge were incorporated across the different strategies of the 10-year CLME+ SAP (see e.g. SAP Actions 1.6, 1.7, 1.10, 1.11, 2.10, 2.11, 2.13, 2.14, 3.7,..).

In order to progressively overcome these challenges and to advance the implementation of the SAP and contribute to Outcome 4.1., PROCARIBE+ will support the continued development of an online Knowledge Management Hub as a central, regional information and knowledge management portal to be co-managed by the OCM Secretariat and its membership, and supported by the widerranging partnership(s).

While central to its design, the Hub will constitute just one element of the comprehensive marine data & knowledge management landscape/infrastructure (MDI) that is needed to enable achievement of the CLME+ Vision.

In recognition of the above, and with the added understanding that the success of not only:

(a) many of the processes and activities planned under PROCARIBE+ Components 1, 2 and 3,

but also:

(b) the many other investments on the marine environment in the region, both GEF and non-GEF

will to a large degree depend on the availability of, and access to good data and information, under its Component 4 the PROCARIBE+ Project will invest in:

- the continued, collaborative development of an **online "OCM Knowledge Management Hub" (Output 4.1.1.)**, made sustainable and regionally-owned by tying it to the new **Ocean Coordination Mechanism (OCM, Output 1.1.1.A)** and associated **partnerships (Output 1.1.1.B)**;
- the collaborative development, and formal adoption by the OCM, of a **"blueprint " for a regional Marine Data/Information/Knowledge Infrastructure (MDI)**, and selected priority actions for its subsequent implementation **(Output 4.1.2.)**

Logically, the OCM Hub will be expected to be integrated into, and to be assigned a well-defined role, within the context of the regional MDI.

Output 4.1.1.: Online Regional Knowledge Management HUB on the Marine Environment of the Caribbean and North Brazil Shelf LME's fully developed and operational, facilitating collaborative knowledge management by the OCM and partnership(s) (with well-articulated linkages to third-party data/information/knowledge sources/products)

The online regional Knowledge Management Hub to be developed under this Component of PROCARIBE+ will be expected to provide data and knowledge directly on-site as well as by serving as a single, convenient gateway to other existing sources (incl. global platforms, among which IW:LEARN). Among its features, the Hub will host "progress tracking portals" for the regional ocean sustainability instruments, and facilitate collaboration by providing key information on the many regional projects and initiatives. The Hub will also be expected to host a dynamic

version of the "SOMEE" State of the Marine Environment and associated socio-Economics regional report (Output 4.1.1).

A prototype regional Knowledge Management Hub, the CLME+ Hub, tied to the CLME+ Interim Coordination Mechanism (ICM), was developed during the CLME+ Project. Development of this Hub included an early trial of a prototype "SAP implementation progress tracking mechanism". As the region now transitions from the interim coordination mechanism to the OCM (See Output 1.1.1A), and as lessons can now be extracted from the CLME+ pilot efforts ("successes and challenges"), the PROCARIBE+ Project will seek to support the continued development, further improvement and consolidation of such a regional Hub that can underpin successful development and implementation of regional Strategies and Action Plans[29], and that is supportive of the OCM mandate.

Whereas the final approach towards the development and consolidation of this Hub is to be strategically decided by the OCM's organs (i.e. Steering Group, SG, and Executive Group, EG), and further fine-tuned by the OCM Secretariat (and relevant working groups), the first option to be suggested in this context will be to transform and "upgrade" the prototype CLME+ Hub, into a more consolidated, formally adopted Knowledge Management HUB, "owned" by the OCM and its membership (see Output 1.1.1.A), and supported by the wider-ranging partnership(s) (see Output 1.1.1.B). To this effect, the Hub's maintenance and ongoing development (as applicable) is expected to be supported by the OCM Secretariat, in partnership with other potential contributors including other GEF-supported projects in the region.

The proposed process to be followed for this purpose is detailed through the (indicative) activities listed here below:

List of Proposed Activities to be supported by the PROCARIBE+ Project *(please note the links with Outputs 1.1.1. and 4.1.2):*

- Scoping of the particular niche of the proposed HUB within the wider range of global, regional, sub-regional and national-level marine data, information and knowledge management platforms; this scoping exercise will take into account the formal mandate and core and complementary functions of the regional Ocean Coordination Mechanism as stipulated in its establishing document (MoU)
- Independent review of the existing CLME+ Hub prototype (its design, structure, content and functioning,...) - strengths and weaknesses
- Based on the outcomes of the aforementioned activities: formulation of recommendations for the transformation of/transition from the CLME+ Hub prototype, into the official "OCM regional Hub" (including sustainability considerations, and the fine-tuning of objectives, functionality, structure,...)
- Development and submission of a proposal, for formal adoption by the OCM SG, of the Regional HUB as the OCM's Official Knowledge Management Platform, and for its subsequent implementation, maintenance and ongoing development
- Ongoing development (through collaborative efforts) and maintenance of the OCM HUB (effort to be led by the OCM Secretariat). The development of content for the hub will include information that promotes gender and cultural inclusiveness.
- Development and submission, for adoption by the OCM SG, of the "OCM HUB Sustainability Strategy/Plan", prior to the PROCARIBE+ Project End

[29] Notably the Regional Nutrients Pollution Reduction Strategy and Action Plan, and the Regional Marine Biodiversity Strategy and Action Plan that were developed with support under the CLME+ Project

Note 1: conditional to the approval of the creation of a Data, Information and Knowledge Management Working Group by the OCM SG (see also the listed activities under Output 4.1.2.), it is expected that the activities under this Output will be supported by such Working Group.

Note 2: the proposed approach breaks away from the more traditional approach followed by GEF projects to develop a "project website" - the latter often being a project investment that may face sustainability challenges following a project's closure; for PROCARIBE+, while a dedicated project website will still be created, the latter will mostly target direct project stakeholders and support project management/governance and project stakeholder engagement activities; the aim will be to link to/embed the PROCARIBE+ project website (and other GEF project websites) within the regional Hub. Meanwhile, by featuring/highlighting key project achievements on the Hub, it will become possible to substantially expand the reach of PROCARIBE+ dissemination activities.

Note 3: linkages to the 2021-2030 United Nations Decade of Ocean Science for Sustainable Development will be explored and promoted.

Output 4.1.2. (a) Formally adopted "blueprint" for a regional Marine Data/Information/Knowledge Infrastructure (MDI); (b) MDI implementation enabled, and key elements put in place, through commitments and collaborative action by the Secretariat and Members of the OCM and partnership(s)

As previously indicated, the OCM HUB is just one element of the comprehensive marine data & knowledge management landscape/infrastructure (MDI) that is needed to advance towards achieving the CLME+ Vision.

In addition to the delivery of Output 4.1.1., PROCARIBE+ will therefore assist the region in developing and progressively putting into place, through the OCM and wider-ranging partnerships, a solid regional MDI that is capable of underpinning the regional and national-level ocean governance, management and decision-making and coordination processes that are needed to advance the regional ocean agenda.

To this effect, PROCARIBE+ will develop and submit, for formal adoption by the OCM, a detailed "blueprint" for such MDI. Through collaborative action among the Secretariat and Members of the OCM and the partnerships, and other GEF Knowledge Management initiatives, the MDI blueprint will seek to **(a)** sustainably harness and connect existing global, regional and national efforts, while **(b)** articulating the means to put in place key missing elements.

List of Proposed Activities to be supported by the PROCARIBE+ Project:

- Creation and operations of a Marine Data/Information/Knowledge Management Working Group by the OCM, to be overseen and supported by the OCM interim Secretariat (i.e. the PROCARIBE+ Project Management and Coordination Unit), and responding to the OCM Steering Group (SG) and Executive Group (EG), while also liaising on thematic matters with the governing bodies of relevant OCM member IGO's (adequate linkages with, and/or participation by representatives from the wider-ranging marine partnership(s) will be sought, to ensure adequate co-ownership and engagement of key non-governmental stakeholders in the SOMEE development process) (link with Outputs 1.1.1.A and 1.1.1.B)
- Baseline inventory of relevant global, regional, subregional and (as relevant) national marine data, information and knowledge generation and management processes and platforms, including basic SWOT and sustainability analyses (link with Output 4.2.1).

- Development of an integrated proposal (blueprint) for an optimized, long-term/sustainable regional Marine Data/Information/Knowledge Infrastructure (MDI)
- Formal adoption by the OCM (SG, EG) and, as applicable, relevant IGO governing bodies, of the regional MDI BluePrint, and development and adoption of a phased implementation/implementation plan, aimed at directing and optimizing future (multi-party) MDI investments
- Development and implementation of selected key, high-priority elements of the Blueprint (to be further informed by the OCM and further developed/specified during project implementation, building on the achievements and findings from the preceding activities, and as financially feasible at such point).

Note 1: for the purpose of the above, collaboration will be sought with a range of projects/initiatives, which may include but would not be limited to: IW:LEARN, CARIGEO, ESA, UNEP WCMC, BIOPAMA, Caribbean BlueFin, BE CLME+, IWECO (legacy), CReW+, NDC Partnership Support Unit,...

Note 2: The exploration of the potential role of remote sensing data sources and products in the context of the MDI, and with a view of strengthening and supporting ocean governance and management processes in the region, is expected to receive particular attention in this context, e.g. through an anticipated collaboration with the European Space Agency (ESA), linked to the Strategic PROCARIBE+ - IW:LEARN alliance referred to under Output 4.2.1.

Output 4.1.3.: Comprehensive, updated regional Transboundary Diagnostic Analysis (TDA): fully developed regional "State of the Marine Environment and associated Economies" (SOMEE), finalized by 2024/mid-25 and informing preparation of the new 2026-2035 regional Strategic Action Programme (SAP)

With the implementation period for the first iteration of the 10-year "CLME+" regional Strategic Action Programme (SAP) expected to come to an end in 2025, the operationalization of the OCM (Output 1.1.1.A) now provides the opportunity to more firmly embed the second iteration of this regional TDA/SAP process within the formal work programme of such regional mechanism and, through the OCM, also promote a stronger integration of the process in the work programmes of the OCM membership (IGO's and national governments).

Development of the new iteration of the 10-year, 2026-2035 regional SAP (see Output 1.1.2) will be informed by the collaborative development under PROCARIBE+ Component 4 of the second iteration of a regional TDA, which will now take the form of a first-ever, full-fledged regional integrated "State of the Marine Environment and associated socio-Economics" ("SOMEE") report.

The "SOMEE" development exercise will be firmly anchored into the work programme of the OCM, and, where relevant and as feasible, into the work programmes of its member IGO's. To the extent allowed by the available funds, and bearing its purpose of "informing the development of the next SAP" in mind, content development and final assembly of this integrated SOMEE report will be supported by the PROCARIBE+ Project, and coordinated through the OCM Secretariat.

A proposed paradigm shift (promoted by the CLME+ PCU and already partially reflected in the "SOMEE narrative" developed under the CLME+ Project), which consists of a shift from the narrower and more reactive "analysis of problems" to a more comprehensive, and forward-looking, proactive "analysis of "opportunities, challenges and risks" will support the development of a SAP that does not just look at means to address environmental problems ("challenges"), but that seeks to protect and harness the coastal and marine natural capital in support of region-wide, oceans-based sustainable and climate-resilient development.

For the regional reporting efforts to achieve the level of maturity (in terms of data access/coverage, accuracy, comprehensiveness and reduction of knowledge gaps) that will be required to optimally inform regional-level ocean governance processes, there will be a critical need for the region to progressively move towards national-level and regional-level reporting efforts that are mutually supportive and that (ideally) follow a harmonized or (at least) compatible approach.

PROCARIBE+ will therefore seek to vertically link the development of the regional SOMEE with national and (sub-) regional level reporting efforts on the marine environment (and vice versa). The creation of such linkages will be piloted through the support that will be provided by PROCARIBE+ for the development of national-level SOMEE's in a number of PROCARIBE+ participating countries (see Project Component 2, Output 2.1.2.; please note that the activity can only be supported in a limited number of countries due to limitations related to the size of the PROCARIBE+ GEF grant; notwithstanding this, results from work to be undertaken through PROCARIBE+ are expected to allow for the extraction of lessons and best practices that can then support a replication and progressive expansion of such efforts through the OCM).

List of Proposed Activities to be supported by the PROCARIBE+ Project:

- Creation and operations of a SOMEE development Working Group by the OCM, to be overseen and supported by the OCM interim Secretariat (i.e. the PROCARIBE+ Project Coordination Unit), and responding to the OCM Steering Group (SG) and Executive Group (EG), while also liaising on thematic matters of relevance with the governing bodies of OCM member IGO's (where relevant, linkages with and/or participation by representatives from the wider-ranging marine partnership(s) will also be sought, to ensure adequate co-ownership and engagement of key non-governmental stakeholders in the SOMEE development process (link with Outputs 1.1.1.A and 1.1.1.B)
- Development and submission for approval by the OCM (and, where relevant, of its Member IGO's), of a fine-tuned approach and work plan/timeline for SOMEE development, to be inspired by the "SOMEE approach" developed and partially tested under the predecessor UNDP/GEF CLME+ Project, and taking into account associated "lessons learned" (including the findings of the independent TDA/SAP review, see also Output 1.1.2.)
- Development of SOMEE content, as per the OCM-approved approach and work plan (including through the integration, and further updating/expansion of the content from the SOMEE "building blocks" delivered with the support of the CLME+ Project)
- Technical clearance of the updated/expanded thematic SOMEE sections ("building blocks") by the Governing Bodies of the relevant regional and sub-regional IGO's (e.g.: State of Fisheries: WECAFC, OSPESCA and CRFM; State of the Convention Area Reports - SOCAR, Cartagena Convention Secretariat, on Marine Pollution and Marine Biodiversity, etc.)
- Integration of SOMEE building blocks into a final consolidated SOMEE document
- Production of a SOMEE Executive Summary, Summary for Decision-makers,...
- Endorsement of the final, integrated SOMEE by the OCM Governing Bodies (SG, EG)
- (Parallel to all other activities): creation of the online, dynamic/interactive version of SOMEE, to be embedded in the OCM HUB (link with Output 4.1.1.)
- Exchanges on approach and best practices with national-level reporting efforts (Output 2.1.2.)

Note on the mainstreaming of considerations relative to gender and social and environmental safeguards:

In line with the objectives of the PROCARIBE+ Gender Plan and ESMF/IPPF, considerations relative to gender, youth, indigenous people and local communities will be mainstreamed into the development of SOMEE, across all sections of the report (as relevant and feasible). The resulting findings from the SOMEE report will then be used to inform the corresponding elements of the new iteration of the 10-year regional 2026-2035 SAP.

To this effect, the PROCARIBE+ Gender/Safeguards Specialist(s) will support the corresponding Working Groups with the integration of the aforementioned considerations in both the report and the new SAP, e.g. by proposing specific indicators/targets and strategic actions.

Lessons learned from the regional SOMEE process, if available on time, can be extracted and used for the purpose of replication by countries in their national SOMEEs, where relevant (see Output 2.1.2).

OUTCOME 4.2. Increased regional and global impacts from GEF IW investments through global dissemination and sharing of experiences, and by forging synergies with other Regional Seas/LME/Regional Fisheries programmes and the wider community of International Waters/Ocean practitioners & stakeholders

Note: At least 1% of the PROCARIBE+ GEF grant will be dedicated to support IW:LEARN-related dissemination, twinning & exchange activities under this Outcome.

As per the table at the beginning of this Section IV, 3 outputs will be produced by the PROCARIBE+ Project in support of this Outcome.

Output 4.2.1. Strategic Alliance with IW:LEARN developed and implemented, piloting innovative approaches within (and beyond) the IW Portfolio and providing means for its replication (e.g. data & information management (DIM), use of Remote Sensing, integrated environmental & socio-economic assessments, TDA paradigm shift and BE, SAP implementation progress tracking, etc. (to be further fine-tuned/prioritized and adaptively managed during Project Inception/implementation phase)

As reflected in several of the outputs under its Results Framework, PROCARIBE+ aims to pilot/advance a number of innovative approaches, e.g. in the fields of (a) Data/Information/Knowledge Management (including the use of Remote Sensing in support of coastal/marine resources management, and the creation of a regionally owned Knowledge Hub) (see Outputs 4.1.1. And 4.1.2.) and (b) integrated environmental & socio-economic reporting (see Output 4.1.3), at the time that it will also (c) pursue and promote a paradigm shift in the GEF-supported TDA/SAP approach.

Due to the wider-ranging relevance of these actions, which extends well beyond the LME's covered by the PROCARIBE+ Project itself, and in addition to the more habitual sharing and dissemination of lessons learned (see Outputs 4.2.2. and 4.2.3), the PROCARIBE+ and IW:LEARN teams will also explore options to specifically work together, possibly involving also the teams of other projects, to prepare for and/or pursue the replication and/or scaling of these approaches within (and possibly beyond) the larger GEF IW/LME projects portfolio.

During the PIF and Project Document/CEO Endorsement Letter (PPG) development stages, conversations were held with the GEF IW:LEARN team, leading to the preliminary identification of possible joint activities, as listed below:

List of Proposed Activities to be supported by the PROCARIBE+ Project:

- Integration of (selected/relevant elements of) the PROCARIBE+ regional knowledge Hub of the Ocean Coordination Mechanism (see also Outputs 1.1.1. and 4.1.1.) and IW:LEARN knowledge management tools (see also PROCARIBE+ Output 4.1.1.)
- Fostering the paradigm shift, proposed by the CLME+ PCU at the Cartagena 2019 LME COP, in the practical implementation of the GEF-supported TDA/SAP approach, globally: from a focus on transboundary "problems" towards "challenges and opportunities" - and as such, better supporting the "Blue Economy"-oriented GEF7 International Waters Strategy (see also PROCARIBE+ Output 4.1.3)
- Development of the global dimension of prototype regional blueprints for transboundary or LME- or regional seas-centered marine data, information and knowledge management landscapes/infrastructure (see also PROCARIBE+ Output 4.1.2.)
- Remote Sensing in support of marine and coastal planning and resources management

Output 4.2.2. Support for and participation in GEF IW:LEARN and other Global Marine/LME community events (e.g. IW:LEARN conferences and workshops, twining events/twinning visits among GEF IW projects), including the 8th "Our Oceans Conference" (Panama, March 2023)

As per the established practice for GEF IW projects, the PROCARIBE+ PMCU and relevant/selected Project Partners/Stakeholders will actively participate in the regular/core GEF IW:LEARN learning exchange events that will take place during the project implementation period. Subject to the availability of adequate funding, participation in other relevant events and activities of the Global Marine Community, including e.g. the LME Community of Practitioners, will also be pursued, with the aim of fostering knowledge exchange and increased/maximized global environmental benefits from the PROCARIBE+ GEF intervention through the dissemination of best practices.

Among the GEF IW:LEARN events where active participation of the PROCARIBE+ Project is anticipated, the following are highlighted: the (usually biennial) GEF International Waters Conferences, tailored IW:LEARN twinning exchanges, regional workshops and (caucus) meetings, etc.

In coordination with the IW:LEARN team and other partners, PROCARIBE+ will exercise a contributor and/or, where requested and feasible, a lead role in supporting, developing and implementing distinct elements of IW:LEARN event programmes/agendas, e.g. in such areas where PROCARIBE+ is seen as exercising a global leadership role, or where the project is acknowledged as fostering innovation and best practice (see also OUTPUT 4.2.1).

Subject to a timely initiation of the PROCARIBE+ Project and associated staffing of its PMCU, PROCARIBE+ will also liaise with the Government of Panama to seek to make optimal use of the unique opportunity provided by the fact that Panama will be hosting the 8th edition of the global "Our Oceans" conference in March 2023. To the extent possible, linkages would be made in this context with activities under Component 1 related to the region's global pioneering role in operationalizing a multi-country, multi-agency ocean coordination mechanism. The conference may also provide an outstanding opportunity to further upscale regional and national ambitions under PROCARIBE+ during the PROCARIBE+ Project inception phase, as well to globally raise the profile of the CLME+ SAP, the PROCARIBE+ Project, and of the GEF support provided to the region.

<u>List of Proposed Activities to be supported by the PROCARIBE+ Project:</u>

Activities under this Output will include (as applicable):

- Participation of the Project in the (biennial) GEF International Waters Conferences (IWC)
- Participation of the Project in the (annual) LME Consultative Group meetings
- Participation of the Project in IW:LEARN twinning exchanges, and regional workshops (*to be coordinated with the IW:LEARN team*)
- Participation of the Project in other relevant global/regional events surrounding the "Oceans & Sustainable Development" themes

Output 4.2.3. At least 6 best/good practice examples in coastal and marine ecosystem management and blue economies showcased/documented, exchanged and promoted through IW:LEARN (e.g. experience notes)

Production of written and audiovisual materials, such as e.g. project videos, IW:LEARN website and newsletter contributions, experience notes and story maps, allows to capture and share best practices and lessons learned from GEF IW Projects as they advance through their execution. In line with this established practice, and while keeping an eye on possible innovations in terms of the formatting and dissemination of content, PROCARIBE+ will seek to capture and disseminate at least 6 best/good practice examples from the work conducted under the different PROCARIBE+ Project Components. Tentatively, the project will seek to identify and disseminate at least one best practice from Project Components 1, 2 and 4, and 3 best practices from Project Component 3.

List of Proposed Activities to be supported by the PROCARIBE+ Project:

Activities under this Output will include (tentatively/subject to review during project execution):

- Production of at least 1 "over-arching" project video
- Production of at least 1 story map
- Production of at least 3 experience notes
- At least 3 IW:LEARN website/newsletter contributions

Due attention will be given to key issues such as: gender mainstreaming and the empowerment of women and youth, and resilience and recovery (climate, COVID19 pandemic).

COMPONENT 5: Project Monitoring & Evaluation (M&E)

The project activities under Component 5 seek to contribute to the following outcome:

OUTCOME 5.1: Project-level monitoring and evaluation, in compliance with UNDP and mandatory GEF-specific M&E requirements

The Component has the following main outputs:

- 5.1.1 Inception Workshop and Report
- 5.1.2 Annual GEF Project Implementation Review (PIR), and M&E of GEF core Indicators, Gender Plan, Safeguards Frameworks and Action Plans
- 5.1.3 Independent Mid-Term Review
- 5.1.4. Independent Final Evaluation

The M&E plan is presented in section IV of this Project Document and detailed **Results Monitoring Plan**, specifying the outcome-level indicators, targets, methods, means of verification and risks and assumptions is included in **ProDoc Annex 5** to this Project Document.

Partnerships

Partnership building efforts from the PROCARIBE+'s predecessor projects, the UNDP/GEF CLME (2009-2014) and CLME+ (2015-2021) Projects allowed the region to become a global pioneer in the now much called for enhanced collaboration between Regional Seas Programmes, LME Programmes and Regional Fisheries Bodies. This was achieved by jointly developing and subsequently collaboratively implementing the first regional (2015-2025) Strategic Action Programme (SAP), and through the creation of regional (interim) coordination mechanisms - *whose memberships extended even beyond the aforementioned parties to also include other key UN partners and sub-regional geopolitical integration mechanisms*. During CLME+, civil society groups also came together to jointly develop their own version of the regional SAP.

The forging of partnerships has indeed been a hallmark of the UNDP/GEF-supported initiatives covering the Caribbean and North Brazil Shelf LME since the first CLME Project. This started with the strong engagement of strategically selected third parties as co-executing partners (responsible parties) for key project activities (*see also Project Document Section VII*). Such "project execution partnerships", especially when they involve partners with a long-term role or formal mandate in the region, or with well-established, solid relationships with project beneficiaries, strongly fosters regional ownership, buy-in, and sustainability and/or continuity of project results beyond the project end date.

The PROCARIBE+ Project will give continuation to and further expand the above approaches, as it will seek to consolidate previously established strategic alliances while involving an even a wider array of societal sectors in the project activities.

Doing so will facilitate the achievement of common/shared and/or complementary objectives and goals, by fostering better coordination, programming and collaboration, by achieving complementarity and/or pooling of resources, through the creation of synergies and economies of scale, by avoiding and/or eradicating antagonistic action among different ocean using sectors or territories, by avoiding the duplication of efforts, by progressively filling remaining action gaps, and helping to ensure sustainability and continuity beyond the project end.

For example, under PROCARIBE+ and without aiming to provide a fully comprehensive overview:

Under Component 1, the project will operationalize the regional Ocean Coordination Mechanism (OCM), whose membership will be expected to consist of a minimum of 17 countries and 6 Intergovernmental Organizations (IGO's) - many of which will bring their own projects, programmes and initiatives to the discussion and coordination table. For the duration of the project, the PROCARIBE+ Project Management and Coordination Unit (PMCU) will act as the Secretariat of the OCM which, in turn, will be at the center of wider-ranging regional ocean partnerships. While the OCM membership will consist of governmental entities, the wider-ranging, multi-stakeholder partnerships will bring together stakeholders from e.g. civil society, private sector and academia. As such, the PROCARIBE+ Project will be optimally positioned to support the creation of strategic alliances among PROCARIBE+ and other related/relevant projects, programmes and initiatives in the region, enhancing mutual awareness and enabling better coordination and collaboration towards the achievement of the regional CLME+ Vision and the objectives of the 10-year SAP and those of the PROCARIBE+ Project.

These strategic alliances will be engaged in, and facilitate the delivery of the different Outputs and expected Outcomes under PROCARIBE+ Components 1 (e.g. the new 10-year SAP), Component 2 (e.g. an upscaled integration of the blue economy/coastal and marine natural capital in the nationally determined contributions, NDC's), Component 3 (e.g. replication and upscaling of blue carbon, marine conservation, marine spatial planning and sustainable fisheries efforts across the region) and Components 4 (e.g. a strengthened and more sustainable regional marine data infrastructure and science-policy interface).

Directly for the delivery of the project activities and outputs described under Section IV of this Project Document, UNOPS as the Implementing Partner for PROCARIBE+, through the PROCARIBE+ PMCU, will engage a variety of regional organizations and partners as (co-)responsible parties for project delivery *(see Section VII on "Governance and Management" of this Project Document for more information on this approach)*. These strategically chosen project partners will foster the post-project sustainability and continuity of project results, and also facilitate synergies, replication and upscaling through the other related initiatives in which these partners may be engaged.

Other stakeholders and initiatives addressing the development challenge

Given the wide geographic scope and array of thematic matters covered by the PROCARIBE+ Project and the over-arching 10-year SAP, the number of third-party projects, programmes and initiatives to which PROCARIBE+ can relate (and vice versa) in terms of shared development challenges is undoubtedly very large. Acknowledging the associated persistent risk of duplication of efforts in the region, under the CLME+ Project the Interim Coordination Mechanism

(ICM) incorporated a prototype interactive, collaborative "Projects, Programmes and Initiatives" online database under the CLME+ Hub. The database aimed to facilitate the exchange of information on the status and scope of different oceans-related projects and initiatives, and in what areas each of these were contributing to the CLME+ SAP. PROCARIBE+ will now seek to consolidate this effort through the OCM Secretariat and OCM and partnerships members' (see Outputs 1.1. and 4.1.). In doing so, it will provide a practical instrument, not only for the PROCARIBE+ Project but for the wider range of ocean practitioners and stakeholders in the region and beyond, to acknowledge and build on existing baselines, and actively seek and create collaborative partnerships.

In acknowledging the existence of this wider range of initiatives, PROCARIBE+, in its aims to achieve its objective, and to contribute to the long-term CLME+ Vision, will clearly not have to start from scratch and/or deliver on the project outcomes in isolation from other related efforts in the region. The project will heavily build on, and harvest important contributions from the existing baseline. Many of these baseline elements and parallel contributions are/will be the results from previous, currently ongoing and newly planned investments, including investments made through the CLME, CLME+ and other GEF and non-GEF funded projects.

A (non-comprehensive) selection of key stakeholders and (prospective) partners, projects and initiatives and their linkage(s) to the different PROCARIBE+ Outputs is presented in the tables[30] here below. Prioritization and/or scoping for additional/newly emerging partnership opportunities, while paying due attention to existing constraints, e.g. in terms of PMCU and responsible parties capacity, will be an ongoing tasks during project implementation under an adaptive project management approach.

Table 7. Partnerships (confirmed and prospective; NON-COMPREHENSIVE)

(*see also references to confirmed partners under the description of activities)*

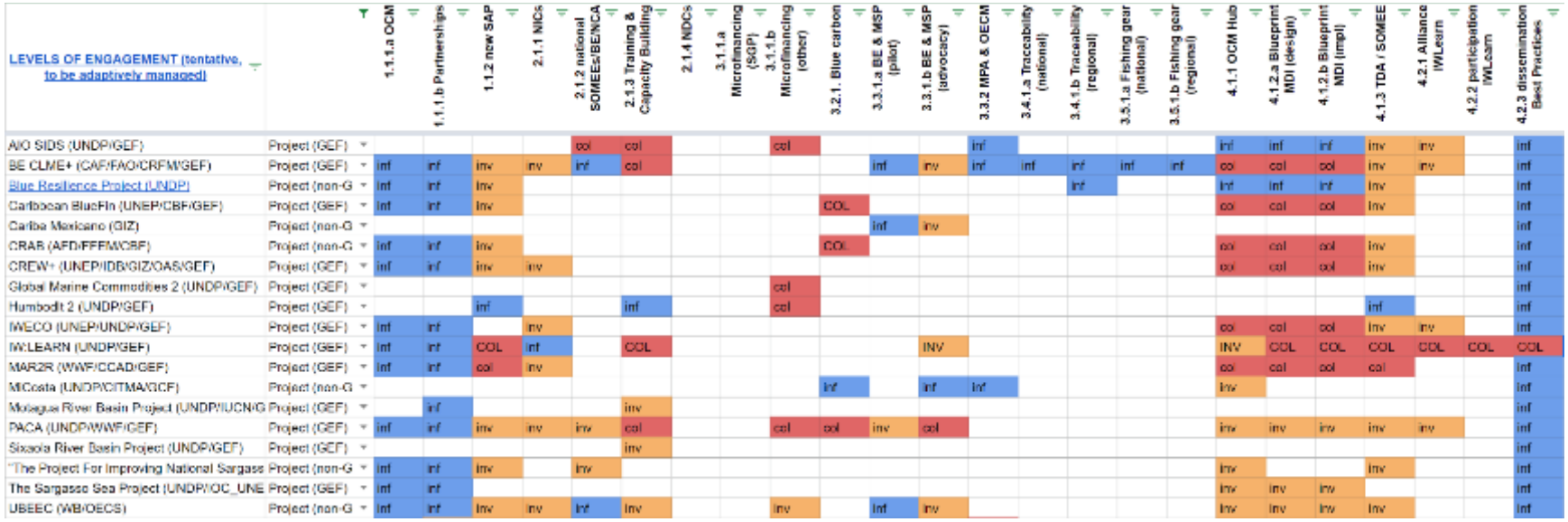
COL = actively collaborate; INV = involve; INF = inform; CON = consult - preliminary assessments, to be adaptively managed

(see also Annex 9. Stakeholder Analysis and Engagement Plan)

LEVELS OF ENGAGEMENT (tentative, to be adaptively managed)		1.1.1.a OCM	1.1.1.b Partnerships	1.1.2 new SAP	2.1.1 NICs	2.1.2 national SOMEEs/BE/NCA	2.1.3 Training & Capacity Building	2.1.4 NDCs	3.1.1.a Microfinancing (SGP)	3.1.1.b Microfinancing (other)	3.2.1. Blue carbon	3.3.1.a BE & MSP (pilot)	3.3.1.b BE & MSP (advocacy)	3.3.2 MPA & OECM	3.4.1.a Traceability (national)	3.4.1.b Traceability (regional)	3.5.1.a Fishing gear (national)	3.5.1.b Fishing gear (regional)	4.1.1 OCM Hub	4.1.2.a Blueprint MDI (design)	4.1.2.b Blueprint MDI (impl)	4.1.3 TDA / SOMEE	4.2.1 Alliance IWLearn	4.2.2 participation IWLearn	4.2.3 dissemination Best Practices
ACS	IGO (regional)	COL	COL	COL	INV	inf	inf	inf			inf		COL	inf		inf		inf	COL	COL	COL	COL	inf	inf	inf
CARICOM Secretariat	IGO (regional)	COL	COL	COL	INV	inf	inf	inf			inf		COL	inf		inf		inf	COL	COL	COL	COL	inf	inf	inf
CCAD	IGO (regional)	COL	COL	COL	COL	inf	inf	inf			inf	COL	COL	COL		inf		inf	COL	COL	COL	COL	inf	inf	inf
CCCCC	IGO (regional)	INV	INV	INV				inf											COL	COL	COL	COL			
CRFM	IGO (regional)	COL	COL	COL	INV	inf	inf	inf			inf	inf	COL	inf	INF	COL	INF	COL	COL	COL	COL	COL	inf	inf	inf
COCATRAM	IGO (regional)	INV	INV	INV								COL		COL								inv			
FAO WECAFC	IGO (regional)	COL	COL	COL	INV	inf	inf	inf			inf		COL	inf	INF	COL	INF	COL	COL	COL	COL	COL	inf	inf	inf
IFCM (Interim Fisheries Coordination Mechar	IGO (regional)	COL	COL	COL											INF	COL	INF	COL	COL	COL	COL	COL	inf	inf	inf
IMO	IGO (global)		CON	CON										col								CON			
OCM Secretariat (Ocean Coordination Mecha	IGO (regional)	COL	COL	COL	COL	inf	inf	inf			inf								COL	COL	COL	COL		COL	
OECS Commission	IGO (regional)	COL	COL	COL	COL	inf	inf	inf			inf	inf	COL	inf					COL	COL	COL	COL	inf	inf	inf
OIRSA	IGO (regional)														COL	COL									
OSPESCA	IGO (regional)	COL	COL	COL	COL	inf	inf	inf			inf	inf	COL	inf	COL	COL	COL	COL	COL	COL	COL	COL	inf	inf	inf
UN DESA	IGO (global)																								
UNDP Climate Promise	IGO (global)		CON	CON				ICON			inf											CON			
UN Global Compact	IGO (global)		ICON	CON																		CON			
UNDP RBLAC	IGO (regional)	COL	COL	COL	INV	inf	inf	inf			inf	COL							COL	COL	COL	COL	inf	inf	inf
UNDP OIC	IGO (global)									COL															col
UNDP SGP	IGO (global)								COL																COL
UN ECLAC	IGO (regional)	COL	COL	COL	INV	inf	inf	inf			inf								COL	COL	COL	COL	inf	inf	inf
UNDP Barbados MCO Blue Lab	IGO (regional)									inv															
UNDP Venezuela CO	IGO (regional)													COL											
UNEP CAR/RCU	IGO (regional)	COL	COL	COL	INV	inf	COL	inf	col	inv	inf	inf	COL	col					COL	COL	COL	COL	COL	inf	inf
UNEP CBD Secretariat/SOI	IGO (global)	INF		inf			col							inv						con	con	inf			COL
UNEP WCMC	IGO (global)			con										inv						inv	inv				
UNESCO - IODE	IGO (global)		inv	con			COL													inv	inv	con			
UNESCO - Ocean Teacher	IGO (global)		inv	con			COL													inv	inv				
UNESCO - IOC	IGO (global)	inf	inf	con			COL					inv	COL						inf	inv	inv	con			
UNESCO - IOC/IOCARIBE	IGO (regional)	COL	COL	COL	INV	inf	COL					inv	COL						COL	COL	COL	COL	inf	inf	inf

[30] screenshot from a database/living document that will be further used, updated and expanded throughout the PROCARIBE+ Project lifespan

LEVELS OF ENGAGEMENT (tentative, to be adaptively managed)		1.1.1.a OCM	1.1.1.b Partnerships	1.1.2 new SAP	2.1.1 NICs	2.1.2 national SOMEEs/BE/NCA	2.1.3 Training & Capacity Building	2.1.4 NDCs	3.1.1.a Microfinancing (SGP)	3.1.1.b Microfinancing (other)	3.2.1. Blue carbon	3.3.1.a BE & MSP (pilot)	3.3.1.b BE & MSP (advocacy)	3.3.2 MPA & OECM	3.4.1.a Traceability (national)	3.4.1.b Traceability (regional)	3.5.1.a Fishing gear (national)	3.5.1.b Fishing gear (regional)	4.1.1 OCM Hub	4.1.2.a Blueprint MDI (design)	4.1.2.b Blueprint MDI (impl)	4.1.3 TDA / SOMEE	4.2.1 Alliance IWLearn	4.2.2 participation IWLearn	4.2.3 dissemination Best Practices	
Blue Nature Alliance	Initiative	inf	inv				inv							COL												inf
CANARI	NGO/CSO (reg	inf		inv			inv		inv	inv									inv			inv				inf
CapNet (UNDP/GWP)	Initiative						col																			inf
Caribbean Biodiversity Fund (CBF)	Fund		col	inv							COL								inv	inv	inv	inv				Int
Caribbean Overseas Territories Regional Nat	governmental (					inv	inv																			Int
CARIGEO	Initiative		inv	inv			inv												inv	inv	inv	inv				Int
Conservation International (CI)	BINGO	inf	inv	inv			inv				inf								inv	inv	inv	inv				inf
European Space Agency (ESA)	academia/scier	inf	inv	inv			COL				inv	inv							inv	inv	inv	inv	COL			inf
Friends of Ocean Action	Initiative	inf		inv									inv													inf
GCFI	academia/scier	inf	col	inv			col		COL	inv				col	inf	inv	inf	inv	col	inv	inv	inv				Int
GIZ	bilateral aid ag	Inf	inv	inv																						Int
Global Ghost Gear Initiative (GGGI)	Initiative																inv	COL								Int
GWP	Initiative						inv																			Int
INVEMAR	governmental (						col				inv	COL		COL												inf
KfW	bilateral aid ag	inf	inv	inv										col												inf
MAR Fund	Fund	inf	inv	inv										COL					inv	inv	inv	inv				inf
MSPGlobal (EC/UNESCO)	Initiative	Int					col					inv	inv													Int
NDC Partnership	Initiative	inf	inv	inv				inv																		Int
OSPAR Commission						inv	inv																			Int
Pew Charitable Trusts	BINGO	inf	COL	COL			COL	COL			COL															inf
SIWI							col																			inf
Smithsonian Institute											inv															inf
Summit Foundation	donor/philanthr			inv										INV												inf
The Nature Conservancy	BINGO	inf	inv	inv															inv	inv	inv	inv				Int
The Source-to-Sea-Platform	Initiative						col																			Int
UK JNCC	governmental (						inv						inv													Int
WAVES Partnership	initiative					inv	inv																			inf
BCIE	multi-lateral de	inf	inv	col																						inf
CAF	multi-lateral de	inf	inv	col																						inf
CDB	multi-lateral de	inf	inv	col																						inf
EBRD	multi-lateral de	Inf	Inv	col																						Int
IDB	multi-lateral de	Inf	Inv	col																						Int
World Bank	multi-lateral de	inf	inv	col																						inf



LEVELS OF ENGAGEMENT (tentative, to be adaptively managed)		1.1.1.a OCM	1.1.1.b Partnerships	1.1.2 new SAP	2.1.1 NICs	2.1.2 national SOMEEs/BE/NCA	2.1.3 Training & Capacity Building	2.1.4 NDCs	3.1.1.a Microfinancing (SGP)	3.1.1.b Microfinancing (other)	3.2.1. Blue carbon	3.3.1.a BE & MSP (pilot)	3.3.1.b BE & MSP (advocacy)	3.3.2 MPA & OECM	3.4.1.a Traceability (national)	3.4.1.b Traceability (regional)	3.5.1.a Fishing gear (national)	3.5.1.b Fishing gear (regional)	4.1.1 OCM Hub	4.1.2.a Blueprint MDI (design)	4.1.2.b Blueprint MDI (impl)	4.1.3 TDA / SOMEE	4.2.1 Alliance IWLearn	4.2.2 participation IWLearn	4.2.3 dissemination Best Practices
AIO SIDS (UNDP/GEF)	Project (GEF)					col	col			col				inf					inf	inf	inf	inv	inv		inf
BE CLME+ (CAF/FAO/CRFM/GEF)	Project (GEF)	inf	inf	inv	inv	inf	col					inf	inv	inf	inf	inf	inf	inf	col	col	col	inv	inv		inf
Blue Resilience Project (UNDP)	Project (non-G	inf	inf	inv												inf			inf	inf	inf	inv			inf
Caribbean BlueFin (UNEP/CBF/GEF)	Project (GEF)	inf	inf	inv							COL								col	col	col	inv			inf
Caribe Mexicano (GIZ)	Project (non-G											inf	inv												inf
CRAB (AFD/FFEM/CBF)	Project (non-G	inf	inf	inv							COL								col	col	col	inv			inf
CREW+ (UNEP/IDB/GIZ/OAS/GEF)	Project (GEF)	inf	inf	inv	inv														col	col	col	inv			inf
Global Marine Commodities 2 (UNDP/GEF)	Project (GEF)									col															inf
Humboldt 2 (UNDP/GEF)	Project (GEF)			inf			inf			col												inf			inf
IWECO (UNEP/UNDP/GEF)	Project (GEF)	inf	inf		inv														col	col	col	inv	inv		inf
IW:LEARN (UNDP/GEF)	Project (GEF)	inf	inf	COL	inf		COL						INV						INV	COL	COL	COL	COL	COL	COL
MAR2R (WWF/CCAD/GEF)	Project (GEF)	inf	inf	col	inv														col	col	col	col			inf
MCosta (UNDP/CITMA/GCF)	Project (non-G										inf		inf	inf					inv						inf
Motagua River Basin Project (UNDP/IUCN/G	Project (GEF)		inf				inv																		inf
PACA (UNDP/WWF/GEF)	Project (GEF)	inf	inf	inv	inv	inv	col			col	col	inv	col						inv	inv	inv	inv	inv		inf
Sixaola River Basin Project (UNDP/GEF)	Project (GEF)						inv																		inf
The Project For Improving National Sargass	Project (non-G	inf	inf	inv		inv													inv			inv			inf
The Sargasso Sea Project (UNDP/OC_UNE	Project (GEF)	inf	inf																inv	inv	inv				inf
UBEEC (WB/OECS)	Project (non-G	inf	inf	inv	inv	inf	inv			inv		inf	inv						inv	inv	inv	inv			inf

COL = actively collaborate; INV = involve; INF = inform; CON = consult - preliminary assessments, to be adaptively managed
(see also Annex 9. Stakeholder Analysis and Engagement Plan)

Private sector engagement

While the public sector can create the enabling conditions and/or set the boundaries which will allow all societal sectors to harmoniously contribute to the achievement of both conservation and sustainable development goals, in the majority of cases the private sector will be the engine for growth, with businesses, driven by profit, creating the jobs that will support socio-economic development and paying the taxes that will (theoretically) enable public financing of services and investments that help preserve, monitor and protect the natural resource base (feedback loop).

So far, while modest levels of engagement of private sector agents -both big and small- have been achieved under the CLME and CLME+ Projects (*e.g through the fisheries sub-projects, and through a limited number of small grants*), these PROCARIBE+ predecessor projects have largely focussed on public sector actions and, more recently, through the C-SAP, actions by civil society and MSME's.

Acknowledging the shortfalls in fully harnessing the power of all sectors of society, PROCARIBE+ will seek to more substantially engage the private sector, across all project components, using a variety of modalities and means.

Under Component 1, PROCARIBE+ will seek to involve non-public agents, including from the private sector, in the ongoing implementation and monitoring & evaluation of the 2015-2025 SAP, e.g. through the mobilization of wider-ranging, multi-stakeholder partnership(s), as well as in the processes leading to the next, 2026-2035 iteration of the regional 10-year SAP (development, financing solutions and implementation).

In Component 2, the efforts to advance national-level blue economy scoping and natural capital accounting, and towards making the connection (in the national-level SOMEE assessments) between the state of marine and coastal natural capital and associated (potential) socio-economic benefits, will stand to gain from engagement/consultation with ocean-using private sector agents.

Component 3 will provide distinct opportunities for small community-based businesses and private innovators to contribute to the project's dual goal of protecting and conserving while enabling the use of marine and coastal capital for business development and livelihoods, through the micro-financing mechanisms under Outcome 3.1. Output 3.2 will seek to create the "blue carbon" baseline information, and disseminate the related best practices that will be required to upscale the mobilization of substantive private sector contributions (funding) towards ocean conservation/restoration and/or sustainable development goals. Coordination and collaboration will be sought for the purpose of enabling blue carbon credits-based solutions with the Blue Carbon Facility to be created by the Caribbean Biodiversity Fund (CBF) through the UNEP/GEF *Caribbean BlueFin* Project, and other CBF activities supported through the AFD/FFEM "*Caribbean Regional Architecture for Biodiversity*" (CRAB) Project. Private sector users of the marine space will be key stakeholders in the processes leading to the development of national Blue Economy and Marine Spatial Plans, and new/enhanced conservation areas and measures under Component 3. Fleet operators, processing plants and other private sector agents along the value chain will be engaged in the efforts to bring higher levels of sustainability into key regional fisheries, through the project's action on traceability of seafood products and on enhanced/modified fishing gear and practices.

Component 4 will seek to harness private sector contributions in the efforts to develop and consolidate the region's marine data/information/knowledge management landscape and associated infrastructure (e.g. data and information products, and IT platforms, created/managed by private sector agents), while the paradigm shift in the approach towards the development of the regional transboundary diagnostic analyses (the "SOMEE reports"), expanding the analyses to look at both ocean-related "challenges" and "opportunities" will aim to trigger larger interest from private ocean-using sector to engage in the new "Blue Economy" SAP development and subsequent implementation efforts.

Overall and across the 4 project components, private sector expertise and/or data/information/knowledge generation capacities will be harnessed, where needed and deemed feasible, beneficial and cost-effective, for the

purpose of delivering on the project outputs and outcomes, through the engagement of private sector consultancy services.

The baseline inventory created under the CLME+ Project of existing and potential sustainable blue finance (private) investors in the wider Caribbean will prove useful in the context of PROCARIBE+ efforts to upscale private sector engagement in the project. Work will continue throughout the PROCARIBE+, and through activities related to the outcomes and outputs listed above, to expand these (potential) contributions by private sector agents and mechanisms to the PROCARIBE+ objective and expected outcomes.

Co-financing contributing to the PROCARIBE+ Objective and Outcomes ("parallel co-financing")

Table 8a. Confirmed sources of PROCARIBE+ co-financing (status: 11 July 2022)

Sources of Co-financing	Co-financing category	Type of Cofinancing	Amount ($)	Included in project results?	If yes, list the relevant outputs
Other	National Oceanic and Atmospheric Administration, USA	In-Kind	24,007,556	N	N/A
Other	Ministry of Agriculture, Nature and Food Quality, the Netherlands	In-Kind	500,000	N	N/A
Other	Ministry of Agriculture, Nature and Food Quality, the Netherlands	Grant	19,500,000	N	N/A
Recipient Country Government	Ministry of Blue Economy and Civil Aviation, Belize	Grant	867,000	N	N/A
Recipient Country Government	Ministry of Blue Economy and Civil Aviation, Belize	In-Kind	750,000	N	N/A
Recipient Country Government	Ministry of Environment and Sustainable Development, Colombia	Grant	6,736,614	N	N/A
Recipient Country Government	Ministry of Environment and Sustainable Development, Colombia	In-Kind	744,235	N	N/A
Recipient Country Government	Ministry of Environment and Energy, Costa Rica	Grant	3,000,000	N	N/A

Recipient Country Government	Ministry of Environment and Natural Resources, Dominican Republic	Grant	3,120,000	N	N/A
Recipient Country Government	Ministry of Environment and Natural Resources, Dominican Republic	In-Kind	780,000	N	N/A
Recipient Country Government	Fisheries and Aquaculture Regulations Directorate, Guatemala	In-Kind	65,000	N	N/A
Recipient Country Government	Ministry of Environment and Natural Resources, Guatemala	In-Kind	1,725,315	N	N/A
Recipient Country Government	Secretariat of Natural Resources, Environment and Mines, Honduras	In-Kind	813,568	N	N/A
Recipient Country Government	National Institute for Forest Conservation and Development, Protected Areas and Wildlife, Honduras	Grant	11,494,505	N	N/A
Recipient Country Government	National Institute for Forest Conservation and Development, Protected Areas and Wildlife, Honduras	In-Kind	437,247	N	N/A
Recipient Country Government	Ministry of Agricultural Development, Panama	In-Kind	274,280	N	N/A
Recipient Country Government	Ministry of Environment, Panama	In-Kind	2,742,117	N	N/A
Recipient Country Government	Ministry of Economy and Finance, Panama	In-Kind	1,200,000	N	N/A
Recipient Country Government	Institute of Marine Affairs, Trinidad and Tobago	Grant	300,000	N	N/A
Recipient Country Government	Institute of Marine Affairs, Trinidad and Tobago	In-Kind	700,000	N	N/A
Recipient Country Government	Environmental Management Authority, Trinidad and Tobago	In-Kind	143,623	N	N/A
Recipient Country Government	Ministry of Agriculture, Land and Fisheries, Trinidad and Tobago	In-Kind	350,980	N	N/A

Recipient Country Government	Ministry of Agriculture, Land and Fisheries, Trinidad and Tobago	Grant	280,840	N	N/A
Other	Central American Fisheries and Aquaculture Organization (OSPESCA)	In-Kind	1,595,955	N	N/A
Other	Central American Fisheries and Aquaculture Organization (OSPESCA)	Grant	1,844,120	N	N/A
GEF Agency	United Nations Development Programme (Climate Promise)	Grant	6,615,460	N	N/A
GEF Agency	United Nations Development Programme (Climate Promise)	In-Kind	85,000	N	N/A
Other	Summit Foundation	Grant	6,500,000	N	N/A
Other	Gulf and Caribbean Fisheries Institute (GCFI)	Grant	3,487,000	N	N/A
Other	Gulf and Caribbean Fisheries Institute (GCFI)	In-Kind	1,800,000	N	N/A
Other	Nationally Determined Contributions (NDC) Partnership	In-Kind	1,930,700	N	N/A
Other	Nationally Determined Contributions (NDC) Partnership	Grant	2,896,052	N	N/A
Other	Meso American Reef (MAR) Fund	Grant	4,100,000	N	N/A
GEF Agency	United Nations Development Program (Barbados Sub-regional Office)	Grant	12,129,479	N	N/A
Other	Central American Commission for Environment and Development (CCAD)	In-Kind	1,500,000	N	N/A
Other	Caribbean Regional Fisheries Mechanism (CRFM)	In-Kind	600,000	N	N/A
Other	European Space Agency (ESA)	In-Kind	400,000	N	N/A
TOTAL			**126,016,646**		

Table 8b. Confirmed sources of PROCARIBE+ "Grant" co-financing (status: 26 June 2022) with a description of activities aligned with the PROCARIBE+ project

Co-financing source	Co-financing category	Co-financing type	Co-financing amount	Description of activities aligned with PROCARIBE+
the Netherlands	Donor Agency, National Government/Ministry of Agriculture, Nature and Food Quality	Grant	19,500,000	● Implementation of the Nature and environment policy plan Caribbean Netherlands 2020-2030 ● Protection and restoration of key marine habitats including through the ridge-to-reef approach (specific actions include erosion control through reforestation, sustainable land use and control of roaming animals, water quality improvement and coral restoration) and the sustainable management of living marine resources in the Caribbean Netherlands and the enhanced coordination and collaboration with our neighbouring countries in the wider Caribbean and the regional instruments established for such purposes (e.g. Regional Seas Programme and Regional Fisheries Bodies, among others) and through strengthening the knowledge and information infrastructure specifically regarding the natural environment in the Caribbean parts of the Kingdom of the Netherlands.
Belize	National Government/Ministry of Blue Economy and Civil Aviation	Grant	600,000	● Green Climate Fund Project PGCP/BZE/002/GCR: Enhancing adaptation planning and increasing climate resilience in the coastal zone and fisheries sector of Belize.
Belize	National Government/Ministry of Blue Economy and Civil Aviation	Grant	267,000	● Belize Protected Areas Conservation Trust Targeted Investment Grant to improve the management of the Marine Reserve Network
Colombia	National Government/Ministerio de Ambiente y Desarrollo Sostenible	Grant	6,736,614	● Work within the framework of the functions of the Department of Marine, Coastal and Aquatic Resources, in the areas of coastal marine environmental planning, management of biodiversity and marine protected areas.
Dominican Republic	National Government/Ministerio de Medio Ambiente y Recursos Naturales	Grant	3,120,000	● Develop and implement policies that allow the regulation for the sustainable use of coastal and marine resources in order to guarantee their protection and conservation ● Activities contained in Program 14, **sustainable management of coastal and marine resources** of the annual operating plan and institutional strategic plan

Honduras	National Government/Instituto Nacional de conservación y desarrollo forestal, áreas protegidas y vida silvestre	Grant	11,494,505	● Work on the Project: Strengthening the national system of protected areas and wildlife (LifeWeb Initiative), financed by the German Development Bank (KfW). ● Work of the Ministry in the forest regions (Atlantio, Noroocidente and Yoro), within the framework of the LifeWeb Initiative Project, in which it is implementing 5 components: 1. Preparation of the project planning and monitoring bases. 2. Implementation of measures for the conservation and management of natural resources in protected areas 3. Institutional support to the ICF and co-managers 4. Project management 5. International technical advice
Trinidad and Tobago	National Government/ Ministry of Agriculture, Land and Fisheries	Grant	280,840	● Work on implementation of an ecosystem approach to fisheries management, incorporating a participatory approach engaging all stakeholders, and including the continued development of a marine geospatial database; participation in the programmes/initiatives/projects of regional fisheries bodies such as the Caribbean Regional Fisheries Mechanism, the Western Central Atlantic Fisheries Commission (WECAFC), and the International Commissions for the Conservation of Atlantic Tuna (ICCAT); and the implementation of an action plan to address illegal, unreported and unregulated fishing in the ports and waters under the jurisdiction of Trinidad and Tobago, which includes the development of a traceability system for fish and fish products.
Trinidad and Tobago	National Government/ Institute of Marine Affairs	Grant	300,00	● Work on Integrated Coastal Zone Management, the Blue Economy, Marine Spatial Planning and Coastal Monitoring
OSPESCA	IGO	Grant	1,844,120	● Work in the areas of fishing and sustainable aquaculture, the blue economy, marine spatial planning and sectoral and integrated ocean governance.
UNDP (Climate Promise)	GEF Agency	Grant	6,615,460	● work on the NDC Support Programme, Stockholm+50 Consultations, NDC implementation and enhancement under our Climate Promise portfolio and; Forest Land and Nature work through the DEFRA initiative

Summit Foundation	Philanthropy	Grant	6,500,000	● Work on restoring and protecting the health and resilience of the Mesoamerican Reef, which includes priorities of establishing and strengthening marine protected areas, improving fisheries management including through increased protection of fish spawning aggregations, and reducing nutrient pollution and other land-based impacts on the ecosystem.
GCFI	NGO	Grant	3,487,000	● Work on regional ocean partnerships through the management of 1) the MPAConnect marine protected areas network and 2) co-host of the Caribbean Node of the Global Partnership on Marine litter, the strengthening of the science-policy interface through our annual conferences, capacity building and training for MPA practitioners and artisanal fishers, support of blue-economy efforts through our partnerships with the tourism sector and within our fisheries for fishers initiative, and other activities focused on SDG14 such as sustainability and alternative livelihoods for marine resource stakeholders.
NDC Partnership	Facility	Grant	2,896,052	● Work on country engagement that focus on NDC enhancement and implementation, Long Term Low Emission Development and capacity building support.
MAR Fund	Facility	Grant	4,100,000	● Work in support of best practices of protected marine and coastal areas management, as well as with our Reef Rescue Program.
UNDP (Barbados Multi-Country Office)	GEF Agency	Grant	12,129,479	● The Project to Improve Sargassum Management Capacities in the Eastern Caribbean: ○ Output 1: Increased capacity of the Governments of participating countries to effectively remove, transport and dispose of sargassum invasions. ○ Output 2: Enabled national environments for managing protection, restoration and sustainable use of coastal and marine resources. ○ Output 3: Catalyzing actions across all sectors for the movement, protection, storage and restoration of coastal and marine natural resources.

Risks

Preliminary analysis and screening conducted during the project development phase via UNDP's Social and Environment Screening Procedure (SESP) (Annex 6) identified potential social and environmental risks associated with project activities (see also Annex 7 for a table of risks). The screening procedure established that the project has an overall risk categorization of Substantial.

Under the SESP, six social and environmental risks were identified with different categories and levels of significance (likelihood by impact), including:

- Risk of not engaging stakeholders inclusively during the design and implementation of the activities
- Economic displacement risk resulting from the creation of new Marine Protected Areas and other effective conservation measures, including risks of impacts to the livelihoods of indigenous peoples
- Social and environmental risks derived from the implementation of the grant proposal schemes for advancing blue socio-economic development
- Vulnerability of the project's outputs or outcomes to the impacts of climate change
- Discrimination against vulnerable groups for some of the benefits derived from the project.

For those risks rated as Moderate and Substantial, assessment and management measures were included in the Environmental and Social management Framework (Annex 10). The ESMF explains the procedures for screening, assessing, and managing social and environmental impacts and risks of activities to be financed under the Project. These procedures include:

- Use of a Strategic Environmental and Social Assessment approach for the development of the new Strategic Action Programme 2025-2034 under Component 1
- SESP screening for certain activities under Component 2
- SESP screening of grant proposals under Component 3 to identify the need for further assessment/management measures
- SESP screening of the traceability systems & fishing practices pilots under Component 3, to identify the need for further assessment/management measures
- SESP screening of the implementation of Marine Spatial Planning and Marine Protected areas interventions under Component 3, in order to determine the need for SESA and strategic ESMPs, including Indigenous Peoples Plans.

The ESMF also provides a Project Grievance Redress Mechanism and an implementation action plan and a monitoring and evaluation plan.

In addition to the SESP and ESMF, the UNDP Quantum Risk Register, presented in Annex 7, identified ten potential additional risks, mostly of an operational, financial and political nature.

<u>The risks include:</u>

1. Operating the OCM is not financially sustainable in the long-term
2. Participating countries and IGOs fail to commit to or implement the agreed coordination mechanism as per the agreed MOU.
3. Fragmentation of efforts and lack of coordination among projects and initiatives resulting in low return on investment and failure to achieve GEB
4. Changes in political priorities of participating countries leading to a reduction in Project support and changes in country contributions
5. Limited, unreliable internet access and/or lack of capacity to use online tools.

6. Project Management and Coordination Unit incapable of effectively managing the implementation of the Project.
7. Project implementation delays caused by several situations like travel restrictions, increased risk of infection by the emergence of new COVID-19 variants, and increased cost of goods and services.
8. Delays with setting-up co-executing agreements with project partners
9. Lack of involvement of UNDP Country Offices due to the Project having a regional scope.
10. Appointment of country representatives to the Project Steering Committee (PSC) biased towards one particular sector

For those risks, the potential impacts to project activities were described and suggested management measures were included with a view to mitigate any potential effects to the implementation of the project.

Finally, as a complement to the Theory of Change Diagram for the Project, some underlying assumptions, risks that the assumptions may not hold, and associated preventive, remedial and/or mitigative actions have been developed for each Project Component (see Annex 13).

Stakeholder involvement supporting the development of PROCARIBE+ (PIF and PPG)

The PIF and PPG Phases were conducted in full consultation and with the close engagement of governments, inter-governmental organizations, CSOs and other relevant stakeholders – in particular those who will benefit from and be directly involved in the implementation of the project activities (i.e. direct project beneficiaries), those who may be impacted (positively or negatively) by the project, and those running or planning for parallel or complementary activities. A lot of attention was given to the latter, this in order to maximize synergies and complementarity, and to avoid potential overlaps and duplication of efforts.

More detailed documentation of the PPG stakeholder engagement activities are contained in the document "***Memoirs of engagement processes held during the UNDP/GEF PROCARIBE+ Project Preparation Phase (PPG phase)***, which is added as Annex 12 to the PROCARIBE+ Submission Package.

The table below provides a summary of the engagement activities organized during the PPG phase along with the number of participating countries and organizations.

Summary of the engagement activities organized during the PPG phase

Stakeholder Engagement Activity	**# of Countries**	**# of Organizations**
PPG Preparatory Meeting	24	7
Nominations for PPG Thematic Groupings and PPG Development Committee	21	15
Meeting for the final negotiations and adoption of the text of the MoU for the establishment of the Ocean Coordination Mechanism (OCM)	25	15
Questionnaires on baseline and plans for MSP/BE/MPA	8	6
Regional Dialogue on MSP/BE (co-organized with IW:LEARN/IOC of UNESCO)	18	16

Bilateral Engagements (Meetings, Calls, written dialogue)	17	>20
2021 UNDP Regional Climate Week	presentation on CLME+ SAP, OCM, PROCARIBE+ by PPG CU	
OSPESCA 1st Blue Economy Forum	presentation on CLME+ SAP, OCM, PROCARIBE+ by PPG CU	
ECLAC LAC Forum on SD - Oceans Side Event	presentation on CLME+ SAP, OCM, PROCARIBE+ by PPG CU	
CBD Workshop on Other Effective area-based Conservation Measures (OECMs)	presentation on CLME+ SAP, OCM, PROCARIBE+ by PPG CU	
NDC Partnership Informal Dialogue on Blue Carbon	active participation by PPG CU, identification of potential partnerships	
Initiation of the Validation Process - Workshop	50 registered participants (14 countries)	
Online technical pre-clearance and pre-validation process (Loomio Digital Platform)	93 members in PPG Thematic Groupings, 12 Thematic Groups created, 26 Threads posted to Thematic Groupings on Loomio platform	
Online final validation (Loomio Digital Platform)	30 Members in PPG Development Committee, 46 Threads posted to PPG Development Committee on Loomio Platform.	

PPG Preparatory Meeting

To kick-start the PPG Phase, a PPG **Preparatory Meeting** was organized on 14-15 July 2021 with more than 110 participants representing countries and prospective partners. The meeting aimed at informing and, where relevant, obtaining initial feedback on:

- The proposed project objective, results framework and budget
- The proposed process, timeline and milestones towards project operationalization
- The proposed approach to Project Governance and Project Management (enabling country ownership and mainstreaming of the project in ongoing regional processes)
- The proposed approach to regional and country-level stakeholder mapping and engagement, for the different project components and outputs
- The proposed approach towards the development of the detailed project proposal, including the proposed approach for selecting the project's intervention sites
- Overview of what is needed from countries and prospective partners during PPG

One of the main outcomes of the meeting was the agreement to establish a **PPG Development Committee** and several **Thematic Groupings** to assist the PPG team with the development of the PROCARIBE+ Project Document ("ProDoc") and all associated documentation.

The role of the PPG Development Committee was defined as:

- Oversee, guide and advise on the project development process
- Review (as applicable) and validate/endorse the GEF PPG deliverables

- Ensure criteria and deadlines for successful submission to the GEF, and GEF/UNDP/UNOPS and country/relevant project partner requirements are met

The prospective PPG Development Committee members were defined as:

- A Governmental Representative from each participating State/Territory
- A representative from: the GEF Agency (UNDP), Executing Agency (UNOPS), the PPG Coordination Unit, the Members of the CLME+ Interim Coordination Mechanism
- Observers: UNDP Country Offices and other relevant Intergovernmental Organizations.

Considering the wide-ranging thematic scope of the PROCARIBE+ Project, the following Thematic Groupings were also created:

1. Operationalization/enhancement of National Inter-sectoral Coordination mechanisms; operationalization of the regional Ocean Coordination Mechanism and wider-ranging partnerships.
2. Reporting on the State of the Marine Environment and associated Socio-Economics/Natural Capital Accounting.
3. Marine Data/Knowledge Management; Marine Data Infrastructure.
4. Blue Economy.
5. Integrated Coastal Zone Management / Marine Spatial Planning.
6. Ridge-to-reef/Source-to-Sea approach; Integrated Water Resources/River Basin Management; Land-Based Sources of Pollution.
7. Marine Conservation (Marine Protected Areas, Marine Managed Areas and Other Effective Conservation Measures).
8. Blue Carbon, Nationally Determined Contributions (Oceans and Climate).
9. Adaptation/Resilience Building to Climate Change / Disaster Risk Response (marine/coastal environment).
10. Fisheries Traceability (spiny lobster, queen conch, shrimp).
11. Spiny lobster fisheries: Sustainable Fishing Practices/Gear.

The role of the Thematic Groupings was defined as:

- Support/work with the PPG CU on specific elements of the Project Proposal (e.g. help develop the baseline, identify possible intervention sites and specific activities, assist with the definition of realistic but ambitious SMART targets for each project output, help with the identification of co-financing, and with pursuing synergies/complementarity among projects/initiatives, etc)
- Liaise with the PPG consultant working on gender and social and environmental safeguards
- Review and issue advice on (thematic) GEF PPG deliverables
- Adhere to the PPG timeline with a view of meeting all deadlines
- Help ensure that UNDP and GEF requirements for thematic project components are met

The proposed participants for the Thematic Groupings were: UNDP RTA, PPG Coordination Unit, IGO's/ICM members, national experts/governmental representatives, representatives from existing regional Working Groups, international experts, co-executing/co-financing partners, among others.

Following the PPG Preparatory Meeting, communications were sent to GEF Operational Focal Points, UNDP country offices, countries and territories of the CLME+ / Wider Caribbean region, and prospective project partners from non-governmental organizations to nominate representatives for the PPG Development Committee and Thematic Groupings. All nominations received were made available on the PROCARIBE+ project webpage at: https://clmeplus.org/procaribe-plus-project-meetings-and-documents/.

Questionnaires on thematic matters

To collect relevant information on the different components of the PROCARIBE+ Project, a series of questionnaires were developed and sent for responses by the members of the Thematic Groupings and, where relevant, the members of the PPG Development Committee. In total, questionnaires were developed on Marine Spatial Planning, Blue Economy and Marine Protected Areas/Other Effective (Area-Based) Conservation Measures (OECM) . The information received from the questionnaires helped the PPG Coordination Unit with:

- Developing baseline information
- Identifying possible intervention sites and specific activities
- Assisting with the definition of realistic but ambitious SMART targets for each project output
- Identifying potential co-financing and technical support opportunities, and
- Pursuing synergies/complementarity among projects/initiatives.

Regional Dialogue on MSP/BE

Considering that one of the main outputs of the PROCARIBE+ Project relates to the implementation of MSP and BE, a regional dialogue on **"Current status and opportunities for advancing Marine Spatial Planning and the Blue Economy through the UNDP/GEF PROCARIBE+ and IW:LEARN projects" was organized by IOC-UNESCO and the UNDP/GEF PROCARIBE+ Project PPG Coordination Unit on 13 December 2021**. The 54 participants exchanged information regarding MSP-related activities and plans in their countries, including its links to the Blue Economy, aimed to improve regional sustainable development and identify criteria and interest for active participation in the PROCARIBE+ Project.

The dialogue provided an opportunity to engage the members of the Marine Spatial Planning Thematic Grouping to assess the status of MSP in the region and determine where country interventions on MSP and BE may be best suited under the PROCARIBE+ Project

Pre-validation Regional Workshop

As part of the overall Project Validation effort under the PPG Phase, a **pre-validation workshop was held on 15-16 March 2022** to provide an opportunity to accelerate and advance the overall project preparation and validation process. The workshop kick-started the review and (pre-)validation of substantial/key elements of the Project draft. The participants also agreed on an approach and timeline for further advancing and finalizing the full project proposal package.

Consultation on Loomio Platform

The Loomio platform, a collaborative online workspace, was used during the PPG to support the review and validation process of the draft text of the Project proposal, as agreed during the pre-validation workshop. Loomio Discussion Threads containing links to the draft sections of the ProDoc were created to engage members of the Thematic Groupings and the PPG Development Committee. The members of the groups were invited to request clarifications, comment on, make suggestions, and engage in discussions on the draft text(s). Comments and suggestions received were then integrated into a consolidated version of the ProDoc for final validation by the PPG Development Committee.

Bilateral Consultations

During the development of the PIF and throughout the PPG phase, a very substantive amount of bilateral consultations were conducted with country representatives and other prospective project partners, stakeholders and representatives from other relevant projects (both GEF and non-GEF), initiatives and organizations, to gather information on baseline, potential synergies and complementarities, needs for coordination and opportunities for collaboration, and information key for the avoidance of duplication of efforts, and to identify potential intervention sites and activities. In total, representatives from at least 17 countries and more than 20 organizations were engaged.

Note on how gender was addressed during the PPG

A dedicated gender specialist was engaged during the PPG to assist with the development of a gender analysis and a gender action plan. The approach towards the development of gender aspects for the project was presented during the PPG consultation meetings that included the participation of regional actors involved in the promotion of gender issues in the CLME+ region.

As part of the overall project validation process, countries and project partners were invited to provide feedback on the gender analysis and action plan, and a specific discussion thread was created for this purpose on the virtual Loomio platform used for online PPG consultations.

In line with the UNOPS gender policy, a specific gender action plan was developed for the PPG which provided some guidelines for gender integration during PPG. This included promoting gender balance in the PPG team, ensuring that all team members completed the mandatory courses on gender and ensuring women empowerment during the project development phase. All meetings conducted during the PPG collected sex disaggregated data.

Stakeholder Engagement and South-South Cooperation

PROCARIBE+ acknowledges that effective stakeholder engagement improves project ownership and acceptance and strengthens the social and environmental sustainability and benefits of supported interventions.

As such, PROCARIBE+ will deploy a range of differentiated measures allowing for inclusion in the project activities of a wide variety of groups of interest at various scales, including under-represented and vulnerable groups.

In support of such efforts, a dedicated Stakeholder Analysis and Engagement Plan has been developed (Annex 9) and will be revised after the Project inception workshop to ensure that the document is adjusted for any changes that could potentially affect stakeholder engagement efforts. A detailed timeline of the proposed activities of the engagement plan will be included at that time. With a view to increase the project's visibility and raise the awareness of the project with key target audiences, the Project will develop a comprehensive communication strategy and plan, building on the experience from the CLME and CLME+ Projects, in collaboration with the Project's main stakeholders.

It is noted that the Stakeholder Analysis and Engagement must be seen in association with the Gender Analysis and Action Plan (Annex 11) and the Indigenous People's Planning Framework (IPPF) (ESMF Annex 10), for consideration of the cross-cutting goals of gender equality and the empowerment of marginalized stakeholder groups, including youth, as well as ensuring an effective approach for the involvement of Indigenous Peoples where relevant.

In short, the approach to be followed by PROCARIBE+ builds on the experiences, good practices, lessons learned and pre-established networks from the predecessor CLME and CLME+ Projects, but will now further expand its reach to more substantially include additional stakeholders groups that may have been less engaged in the aforementioned projects.

Given the vast thematic and geographic scope of the PROCARIBE+ Project, and far-ranging potential consequences of project activities and outcomes some of which may extend well beyond the limits of the region itself, and in specific cases can even be global in nature, a wide diversity of stakeholders will influence and/or can be potentially affected, positively or negatively, by the project activities, outputs and outcomes.

This also means that a very large number of stakeholders will need to be engaged, in a variety of ways, and with varying levels of intensity, in or through the project activities in order to ensure the successful implementation of the project, and in order to maximize the project's return on investment. The capacity constraints of project agents including the Project Management and Coordination Unit (PMCU), and Project Responsible Parties, inherent to the project grant and timeline, will need to be considered in this context, and a periodic re-evaluation of priorities,

throughout the project's implementation timeline, will be required. The forging of strategic alliances and partnerships, also alluded to higher up under this section, can however alleviate the burden on the project's agents up to a certain extent.

The table below provides a characterization of the main stakeholder groups, and their anticipated role in the project.

Table 9. Major stakeholder groups and their typology, and short description of role (including examples/non-comprehensive listing)[31]

Stakeholder group/category	**Examples**	**Typology and Brief Description**
National governments	Ministries responsible for food security (fisheries, agriculture, forestry, aquaculture); Environment / Sustainable Development / Blue Economy / Climate Change ministries; Tourism ministries; Finance and planning ministries; Foreign Affairs ministries; Energy and mining ministries; Meteorological services; Coast Guards; statistics departments	**Type: active agents & direct beneficiaries** The active participation of, and coordination across all relevant national government stakeholders is essential to develop/strengthen and implement national inter-sectoral mechanisms that can relate to the regional Ocean Coordination Mechanism (OCM) and associated processes (in particular Project Components 1 and 4), and as the basis for the delivery of the variety of national-level PROCARIBE+ outputs (in particular the Project Components 2 and 3), and to achieve PROCARIBE+ goals in a participative and coherent way integrating multiple initiatives, programmes and policies each country is involved in; for the latter: see also the role of national governments in the Project Governance Arrangements including their role as Project Beneficiary Representatives on the Project Board, Project Document Section VII). Selected national-level governmental entities may be engaged as responsible parties in PROCARIBE+ project implementation. National Focal Points to regional IGO's may have an important role in supporting the delivery/endorsement/adoption of key project outputs relevant to the mandate(s)/work programmes of such IGO's, and, consequently, in ensuring the regional ownership, continuity and sustainability of project achievements.
Inter-governmental organisations (IGOs)	This includes both IGO's with a global as well as those with a regional and sub-regional action range/mandate *(examples of global: e.g. IOC of UNESCO, IODE, UNEP WCMC, UN Global Compact; examples of regional: e.g. UNEP CEP, CARICOM Secretariat, OSPESCA)* United Nations Development Programme (UNDP); Food and Agriculture Organisation of the United Nations (FAO) and the	**Type: active agents & direct beneficiaries** IGO's functioning at multiple scales and in multiple aspects provide support for up-scaling implementation being conducted at national level and secure coordinated responses to common national challenges and impacts. They are key in bringing resources needed for data compilation and analysis and subsequent monitoring, evaluation, and reporting, and for providing better linkages with regional governments and global programmes and policies. Regional IGO's will be represented on the Executive Group of the Ocean Coordination Mechanism and as such participate in the OCM-related deliverables, including the development of the new SAP.

[31] Adapted from "Stakeholder inventory and involvement plan for the Caribbean and North Brazil Shelf Large Marine Ecosystems Project (CLME+)" Developed by the Caribbean Natural Resources Institute (CANARI), May 2015.

	Western Central Atlantic Fisheries Commission (WECAFC); Caribbean Environment Programme of the United Nations Environment Programme (UNEP-CEP); Association of Caribbean States (ACS); Caribbean Public Health Agency (CARPHA); IOC of UNESCO; UNEP ROLAC; UN ECLAC; UN DESA; CCAD; CARICOM; SICA; Organisation of Eastern Caribbean States (OECS); Caribbean Regional Fisheries Mechanism (CRFM) ; Organización del Sector Pesquero y Acuícola de Centroamerica (OSPESCA) Caribbean Climate Change Centre (CCCCC); Caribbean Tourism Organisation (CTO), etc.	Selected IGO's may be engaged as responsible parties in PROCARIBE+ project implementation. National Focal Points to regional IGO's may have an important role in supporting the delivery/endorsement/adoption of key project outputs relevant to the mandate(s)/work programmes of such IGO's, and, consequently, in ensuring the regional ownership, continuity and sustainability of project achievements.
Civil Society and Civil Society Organizations (CSO's), and regional NGO's	national and local level civil society groups and associations (e.g. the 50+ CSO groups that developed and endorsed the "People Managing Oceans" civil society SAP population of the coastal environments, individual coastal and marine resource users regional NGO's such as e.g. the Caribbean Natural Resources Institute (CANARI) the wider public, within the region; the wider public, globally	**<u>Type: mix of passive and active agents, direct and indirect beneficiaries</u>** Civil Society Organizations drove the development of the "People Managing Oceans" action programme, which complements the CLME+ SAP and identifies priority contributions from a civil society perspective. PROCARIBE+ will support implementation of actions under the plan through the Small Grants Output. Civil Society should also be engaged/taken into account in the development under PROCARIBE+ of the new iteration of the regional SAP. For many of the activities and outputs under Component 3, civil society engagement and/or access to information will be key, as members of civil society located within the geographic reach of project activities/outputs will in many cases be directly impacted by these activities. Special reference is made e.g. to the issues of power relations and potential alliances and conflicts, and of under-represented and vulnerable groups, in the context of project activities related to Marine Spatial Planning (MSP) and Marine Protected Areas (MPA's)/Other Effective area-based Conservation Measures (OEMC's). This category also includes the wider public which, in terms of the project's planned activities, may generally constitute a (currently still) more passive agent that should be kept informed and for which increased awareness should be pursued; while the project's capacity constraints need to be considered and prioritization in terms of the engagement of different stakeholder groups needs to be ensured, turning (elements of) the wider public into active agents can provide an enhanced support base for specific purposes, including

		political processes (e.g. consumer demand for traceability in the seafood sector)
Big International NGO's (BINGO's) and Philantrophic organizations	Examples include The Nature Conservancy (TNC), Conservation International (CI), World Wildlife Fund (WWF), the Pew Charitable Trusts, Summit Foundation, The Ocean Foundation, and many more	**Type: active agents, can also be beneficiaries** *(e.g. when the project provides an enhanced baseline on which they can then build)* BINGO's and Philanthropic organizations support many of the same causes PROCARIBE+ will be working on and many of these organizations have parallel projects and activities that can/will contribute to several of the project outcomes. Sound coordination, and the screening of opportunities for collaborative action will be key to avoiding overlap, harvesting existing knowledge, experience and networks, and avoiding overlap, to ensure the region can maximize the benefits to be obtained from all ocean-positive action in the region. Selected BINGO's may be considered as responsible parties in PROCARIBE+ project implementation.
National, regional and, where relevant, global private sector companies and associations, including associations of marine resource users	Regional and national private sector associations: e.g. Caribbean Hotel and Tourism Association (CHTA), national chambers of commerce, Caribbean Network of Fisherfolk Organisations (CNFO), Confederation of Fishermen of Central America (CONFEPESCA), national sport fishing and dive associations Individual large and medium-sized companies (e.g. fishing companies; hotels, restaurants, oil and gas companies[32]; shipping companies, banks, insurance companies) Small and micro enterprises and their associations; tour operators and associations) World Ocean Council (WOC)	**Type: mix of passive and active agents, direct and indirect beneficiaries** A diverse group of stakeholders with varied and often competing interests, roles and responsibilities are relevant for opening opportunities to advance in the Blue Economy and in sustainable use of coastal and marine resources. For many of the activities and outputs under Component 3, private sector engagement and/or access to information will be key, as members of the private sector located within the geographic reach of project activities/outputs will in many cases be directly impacted by these activities. Special reference is made e.g. to the issues of power relations and potential alliances and conflicts, and of under-represented and vulnerable groups, in the context of project activities related to Marine Spatial Planning (MSP) and Marine Protected Areas (MPA's)/Other Effective area-based Conservation Measures (OEMC's). Private sector can also provide a diversified source of financing resources for improving ocean health and human wellbeing, in the context of the blue economy. Private sector engagement in the development of the new SAP is to be pursued. See also the sub-section dedicated to private sector under Section IV of the PROCARIBE+ Project Document

[32] While oil and gas companies are mentioned as potential stakeholders of the project, it has yet to be determined whether those companies will in fact be engaged in any project activities. If an oil and gas company were to participate in the project, due diligence will be applied to avoid any risks.

National, regional and global academia and research institutes	A large number of such entities exist in the region; to name just a few: University of the West Indies - Centre for Resource Management and Environmental Studies (CERMES); IFREMER; INVEMAR; Smithsonian, CATHALAC; CATIE; NOAA; WRI Annual meetings such as those organized by the Gulf and Caribbean Fisheries Institute (GCFI) provide a platform to bring together many institutes and researchers from the region	**Type: mix of passive and active agents** The participation of researchers and academic/research institutions and science-based initiatives is critical for the generation of updated information to address transboundary issues, understanding of connectivity patterns and likelihood of climate change impacts. In addition, they provide technical advice to IGOs and national governments on environmental and socio-economic issues, on evaluation of policies at the regional and national levels, and on analysing the degree of the Blue Economy, conservation, habitat restoration and other PROCARIBE+ technical results. Their involvement in the new iteration of the TDA (SOMEE) will be key, among many other activities. Given the large number of entities, not all will be actively involved in PROCARIBE+. Means may be sought to keep those not actively involved informed about project activities and achievements.
Multi and bilateral development aid community, environmental funds, partnerships	Multi-lateral Development Banks: e.g. World Bank, Inter-American Development Bank, Latin-American Development Bank (CAF), Caribbean Development Bank,...) Multilateral Donors: Global Environment Facility (GEF), Green Climate Fund (GCF) Bilateral Aid Agencies: e.g. USAID; Department for International Development (DFID), GIZ, AFD, FFEM, KfW NDC Partnership Caribbean Biodiversity Fund (CBF), MAR Fund,..	**Type: mix of passive and active agents** Their inclusion is essential in providing technical and funding support all across the range of activities, outputs and outcomes of the PROCARIBE+ Project. Many of these organizations have parallel activities in the region which contribute to the PROCARIBE+ objectives, and as such their involvement can range, depending on the case and the specific element of PROCARIBE+ envisaged, across all 4 levels of engagement: informed - consulted - involved - active collaboration Active engagement in the development of the new SAP will be pursued, with the aspiration of advancing, upfront, the identification of potential funding options for subsequent SAP implementation.
Vulnerable communities, including indigenous peoples, women and youth, local communities	Indigenous communities, racial and ethnic communities, women and youth, fisherfolks, small tourism operators, rural coastal communities….	**Type: mix of passive and active agents, direct and indirect beneficiaries** An active and meaningful participation of vulnerable communities will be pursued during the project, notably for the country interventions planned under Components 2 and 3. The Gender Analysis (Annex 11 of the ProDoc) and the Indigenous Peoples Planning Framework (Section 9.3 of the Environmental and Social Management Framework (ESMF), Annex 10 of the ProDoc) will serve as guidance for engaging those actors during implementation. In addition, for the country interventions, detailed stakeholder analyses will be completed together with local partners to ensure that all

		relevant stakeholders are considered during the design/implementation of the activities. For the development of the SAP, an inclusive approach will be designed to ensure that the needs of vulnerable communities are considered in the process. A Strategic Environmental and Social Assessment (SESA) will be developed to identify and help assess whether the new SAP could lead to new policies, plans and programmes that may give rise to adverse social and environmental effects.

For the purposes of analysing and determining the different levels of engagement needed for many the individual stakeholders/stakeholder entities during the implementation of PROCARIBE+, the BiodivERsA[33] methodology is being proposed. Based on this methodology, four main levels of stakeholder engagement are being considered:

At the highest level, "Collaboration" is used where stakeholders have an active commitment in the project and where actors are considered as partners, providing technical and/or other kinds of support. At the lowest level, "Information" is used for passive actors with whom information about the project or the delivery of the results should be shared. For this category, information is a one-way flow, but it should be included as a form of project engagement tailored to the actor or stakeholder. Intermediate levels of participation are designed to meet the needs of stakeholders who are "Consulted" (e.g. asked for opinions or information); and those with whom "Involvement" occurs (e.g., more committed and can also provide resources or data).

PROCARIBE+ will also make a clear distinction, and separation, between stakeholder and target group engagement for project governance and project management-related oversight and decision-making processes (*for these matters, we refer to Project Document Section VII on (project) "Governance and Management Arrangements" and the Project Board*), versus the very substantial efforts that will be needed to engage and coordinate the much wider range of project stakeholders and (development) partners in the activities leading to the delivery of the large set of project outputs.

In light of the above, given the nature of the project and its broad geographic and thematic scope, it is acknowledged and stressed that sound stakeholder engagement will require a very strong Project Management and Coordination Unit (PMCU) capable of supporting such efforts, combined with and supported through the maintenance by the PMCU of strong working relationships and alliances with key regional partners and platforms (e.g. the many regional IGO's with an oceans-related mandate) that can provide meaningful access to key stakeholder groups. It is noted in this context that many such working relationships have indeed already been progressively built, consolidated and successfully maintained by the Project Coordination Unit of the predecessor CLME and CLME+ Projects.

For the outputs and outcomes under especially (but not only) the Project Components 1 and 4, the operationalization through Output 1.1.1 of the regional Ocean Coordination Mechanism, which aims to bring together a minimum of 17 countries and 6 IGO's, and for which the PROCARIBE+ PMCU will act as the (interim) Secretariat, as well as the mobilization of wider-ranging multi-stakeholder ocean partnerships, will provide critical opportunities and dedicated fora for the engagement of a wide range of stakeholders in key project activities such as support for the continued implementation of the 2015-2025 Strategic Action Programme (SAP), the development of the regional SOMEE and the new 10-year, 2026-2035 multi-stakeholder SAP, the development of a regional Knowledge Management Hub,

[33] *The BiodivERsA* it is a network of national funding organizations promoting an-European research that offers innovative opportunities for the conservation and sustainable management of biodiversity and ecosystem services

and the consolidation of a regional Marine Data and Information Management Landscape and associated Infrastructure.

Achieving stronger and more wide-spread participation, buy-in and ownership, and sustainability and continuity of project outputs and outcomes, as well as enhanced cost-effectiveness will further also be achieved by using pre-existing regional technical and political decision-making platforms and mechanisms, and engaging other regional organizations with well-established stakeholder networks. An important caveat, however, is that this approach will require strong coordination of project timelines with those of the ongoing regional governance processes, which in turn will require solid relationships between senior staff at the PROCARIBE+ PMCU and senior leadership positions at the level of the regional IGO's, in addition to flexibility and adaptive project management. The *regional Ocean Coordination Mechanism, and the PMCU's role as Secretariat to this OCM, will be an important additional enabler in this context*.

Engagement of Indigenous Peoples: Participation, Consultation, and Free Prior Informed Consent (FPIC)

Based on the preliminary assessment of the project activities conducted as part of the development of the Indigenous Peoples Planning Framework (IPPF, part of Annex 10 ESMF) in relation to the foreseen participation of indigenous peoples in the Project, it was found that the PROCARIBE+ Project comprises a series of measures and actions that could potentially affect the collective rights of the indigenous peoples located in the coastal areas of the CLME+ region. As a result, depending on the nature and intensity of their impacts and the rights affected, they may involve the obligation to carry out participation processes, consultations and/or the obtention of Free Prior Informed Consent (FPIC). The assessment of whether engagement with/of indigenous communities is necessary and what level of participation may be needed for specific activities would be carried-out prior to the initiation of any activity where indigenous peoples may be affected. The IPPF and the ESMF (Annex 10) provide guidance on the measures needed to mitigate any risks related to the involvement of indigenous peoples in the Project.

The points below outline the Project activities where the participation and/or consultation of indigenous peoples is expected:

- The elaboration of the new 10-year Strategic Action Programme (SAP) and the operationalization of the OCM need to give consideration to and be reflective of the interests/stakes of the indigenous peoples from the CLME+ region, and of their (potential) role in achieving the CLME+ Vision through the new SAP and operations of the OCM.
- In the case of capacity building activities, an affirmative action approach should be taken so as to encourage the participation of indigenous peoples from the project area. Likewise, within these actions, it is necessary to promote the participation of young people and women.
- The territories where the small grants output would be implemented and the type of activities to be financed could possibly affect, or not, the collective rights of indigenous peoples. Determining this can only be done by analyzing the activities that would be financed and the eventual impact they may have. If the collective rights of the identified peoples are affected, a consultation process followed by the potential need to obtain their FPIC would be the appropriate way of proceeding. However, determining the type of participation that corresponds to each case can only be done by knowing the projects that would benefit from the small grants output.
- The implementation of the "blue carbon" activities under Output 2.2.1 aimed at enabling the subsequent development and deployment of a sustainable financial instrument based on carbon credits in Panama may affect the indigenous peoples' collective rights, which could range from the simple access to said areas through to the exploitation of their resources. In this event and depending on the scope of the financial instrument's actions, should these entail affecting or restricting the traditional lands and resources of the

indigenous peoples, it is expected that the State would carry out consultation processes and, as appropriate, obtain the FPIC of the peoples affected by its implementation.

- Marine Spatial Planning and the establishment of Marine Protected Areas may affect the indigenous peoples' collective rights, which could range from the simple access to said areas through to the exploitation of their resources. In this case, in the countries where these activities will be implemented, it will be expected that consultation processes are conducted and/or FPICs obtained, as appropriate, from the indigenous peoples that might be (negatively) impacted by these activities.
- Activities to be conducted, and measures to be adopted and subsequently implemented under PROCARIBE+ Outputs 3.4.1 and 3.5.1 on traceability and fishing gear and practices may potentially, either directly or indirectly, impact indigenous peoples participating in these fisheries, or making use of the same marine space where these fisheries take place; such impacts could be both positive and/or negative. A screening process will be applied prior to the start of these activities to identify/anticipate any potential effects on indigenous peoples. If it is determined that indigenous peoples may be negatively impacted, management measures will be applied as specified in the ESMF (Annex 10).

South-south and triangular cooperation

Opportunities for south-south and triangular cooperation that can present avenues for replication and for the dissemination of lessons learned and good/best practice will be very broad under the PROCARIBE+ Strategy, and several of these have already been explicitly referred to under Section IV's description of Project Components, Outputs and activities. It is e.g. to be noted how several outputs (e.g. Outputs 3.3.1.b, 3.4.1.b and 1.4 and 3.1.5.b) have a dedicated "upscaling and/or "replication"-enabling element.

Such opportunities further include but are not limited to those that will be provided through:

- Outputs 1.1.1.a (the multi-member Ocean Coordination Mechanism), 1.1.1.b (the wide-ranging multi-stakeholder partnerships), 1.1.2 (the collaborative development of the new SAP, to be preceded by an extraction and dissemination of lessons learned from an independent review of the first iteration of the TDA/SAP process in the region, in coordination con IW:LEARN);
- the regional training and capacity building activities under Component 2, and the (prospective) engagement of global initiatives in these efforts such as SIWI, CapNet, IW:LEARN, the European Space Agency, etc., (each of these having associated global programming), the work on the 2025 updates of the Nationally Determined Contributions (NDC's), including the sharing of best practice;
- the knowledge exchange under the small grants output from Component 3, including through the GEF Small Grants Programme, and prospective joint activities between the UNDP Ocean Innovation Challenge with PROCARIBE+ and other projects from the UNDP IW portfolio, the exchanges with other global programmes such as MSPGlobal, IW:LEARN and the Convention on Biological Diversity's (CBD) Sustainable Ocean Initiative (SOI), on Marine Spatial Planning (MSP), Marine Protected Areas (MPA) and Other Effective area-based Conservation Measures (OECM's), and PROCARIBE+ sister GEF and non-GEF projects working on similar topics in the region (PACA, BE CLME+, MAR2R, Caribbean Bluefin, CRAB,...), global exchanges in the context of preparatory work on the outputs on traceability and ghost fishing;
- the dissemination and exchange opportunities to be offered through the regional OCM Knowledge Management Hub, the engagement of global players in the development of the blueprint for the regional landscape for marine data and information management, and very importantly, the strategic alliance that will be pursued under Component 4 with IW:LEARN.

Other avenues include learning exchange meetings of the UNDP LAC IW portfolio and project manager, UNEP's Regional Seas Programme, the LME Community of Practitioners, and other global fora.

Special mention is finally made in this context of the important opportunity to be provided, subject to the timely initiation of the PROCARIBE+ Project, through the forthcoming 8th Our Oceans Conference, to be held in Panama in 2023.

Gender equality and empowering women

The gender analysis and the gender action plan are in Annex 11. The Gender and Safeguards Specialists[34] (GSS) will provide technical guidance for the implementation of the gender action plan, will monitor and assess its progress during project execution.

It was determined through the gender analysis that the CLME+ region has appropriate international and (sub-)regional policy frameworks for the promotion of gender equality . International Agreements such as the UN 2030 Agenda for Sustainable Development, Sustainable Development Goals, and the FAO Voluntary Guidelines for Securing Sustainable Small- Scale Fisheries are internationally agreed instruments and provide guidance on how to promote gender equality in the context of achieving environmental sustainability. In addition, all CLME+ countries have ratified the Convention on the Elimination of All Forms of Discrimination against Women (CEDAW), except for Cuba, and the Inter-American Convention on the Prevention, Punishment, and Eradication of Violence against Women Convention (Belém do Pará, 1994). In addition, SICA´s Regional Policy on Equity and Gender Equality is mandatory to its parties (COMMCA, 2013), and the Organisation of Eastern Caribbean States (OECS) has a Gender Policy developed to support the commitment to advance in gender equality (OECS, 2021).

At the national level, all the countries participating in the PROCARIBE+ project recognize gender equality in their political constitutions and many of them have national gender plans or strategies.

The Gender Inequality Index (GII) measures inequality in three aspects of Human Development: reproductive health, empowerment, and economic status, among 189 countries. Regarding women empowerment, it appears that access to education is similar between men and women in the CLME+ region; in most countries, women have even better access to secondary education than men, with the exception of Haiti. This progress in access to education for women contrasts to the indices of access to the labour workforce, where many of the PROCARIBE+ participating countries, show significant challenges for women to access the workforce in equal terms as men; Belize, Guatemala, Honduras, and Venezuela showing a greater inequity between men and women (see Table 1 of Annex 11).,.

Costa Rica, Cuba, Dominican Republic, Guatemala, Colombia, Panama and Honduras have a similar index of time-use allocation which shows that women work approximately 5 hours more per day than men in unpaid domestic chores. Enabling conditions for diversifying income and economic autonomy requires special support and distribution of household chores, but mainly to have access to working capital and training processes. In blue economy related activities, women need to have access to working capital, even a minimal amount, as they face several barriers for accessing credit and loans, making them appropriate recipients of microfinance.

Representation at Ministerial level, according to UN Women, is relatively similar in countries participating in the PROCARIBE+ project (except for Colombia and Costa Rica), where the majority of the countries range from 33,3% to 23,5% of women as Ministers. However, The Bahamas, Guatemala, Brazil, St. Kitts and Nevis, Antigua and Barbuda, and the Dominican Republic have very few women in Ministerial positions with their scores ranging from 15% and at the lowest 6,7%.

The conditions of gender inequality are diverse in the 19 countries participating in PROCARIBE+ project. In some indices, the trends are similar between countries with a few countries showing better gender parity. However, it is important to note that the levels of inequity in terms of access to employment and economic opportunity is high in several countries of the region, such as in Guatemala, Honduras, Belize, Venezuela and Brazil. In several aspects, Haiti is evidenced as a country for priority attention when it comes to gender equality.

The gender analysis found that:

[34] The GSS may be filled as one position or two separate positions as specified in Annex 8, based on e.g. the qualifications of available candidates for the position(s).

1. In the context of the CLME+ region, in several countries such as Costa Rica, Guatemala, and Panama, women earn more than men in the tourism sector, however, women entrepreneurs running small-scale tourism operations, often conduct unpaid work in family tourism businesses and are often underrepresented in senior management positions in the sector in general. A lack of education or formal technical training, as well as lack of information and communication technologies, particularly digital tourism platforms, jeopardizes women's active participation and representation.
2. Fishing is a productive family activity where the various associated tasks are considered an extension of household activities and are therefore often unremunerated which makes women economically dependent and renders them in a more vulnerable situation compared to men. Women also face challenges in achieving their autonomy due to barriers related to time constraints for participating in and accessing specialisation on productive activities that would help diversify their income.
3. There is an evident lack of gender-specific information with regards to women's participation in the fisheries value chains, tourism and other economic activities. This gap of information creates challenges when trying to tackle inequality as it hinders the possibility of making informed decisions. At the same time, lack of data and information is coupled with the lack of systematization of projects efforts regarding gender aspects.
4. Likewise, the strategic planning instruments for GEF projects such as the TDA/SAP, generally do not integrate technical information on gender issues due to a lack of proper integration of gender aspects since the beginning.
5. The CLME+ region does not appear to have gender-focus institutions that would address gender issues for the entire context of the PROCARIBE+ project. However, several institutions from the region such as SICA-COMMCA, OSPESCA WG-IEG, OECS, CARICOM and the CRFM have institutionalized gender equality and count with specific gender plans to be implemented. Despite these existing initiatives, greater articulation on a regional scale is required to achieve a broader impact and ensure collaborative results that could influence existing governance processes.

The Gender Action Plan (Annex 11) defines 15 affirmative actions to be executed during project implementation to promote women participation and empowerment, among which are the following:

- Establishment of a **Project Gender Working Group (PGWG)** (*potentially to be merged into a wider-ranging "Gender and Youth in Oceans Governance" Working Group under the OCM, subject to related decisions by the OCM EG/SG - see Output 1.1.1*). The GSS will lead this activity and will invite the different institutions working under the scope of the PROCARIBE+ Project and/or the OCM to nominate gender-focal points as part of the PGWG. This group will aim to coordinate gender-related actions between the various participating institutions and would explore developing a strategic gender action plan for the Ocean Coordination Mechanism to institutionalize and operationalize gender priorities and activities.

  It is proposed that the PGWG build a work plan that articulates the existing gender plans of the relevant institutions participating in the PROCARIBE+ project (e.g., CFRM Gender Plan, SICA-OSPESCA Regional Working Group on Gender Equality and Equity, others); identify gaps and opportunities for increasing gender participation and representation in the PROCARIBE+ governance mechanisms, such as the Ocean Coordination Mechanism, and propose specific actions for advocacy. It is suggested that the PGWG develop a proposal for the establishment of a specific gender working group as part of the OCM. In addition, the PGWG should support the elaboration of indicators for gender equality and generational equity for inclusion, where relevant, in the reporting schemes supported under the PROCARIBE+ project, such as the regional and national SOMEE reports and others and identify other areas where gender actions could be developed. The inclusion of indicators on gender and youth in these reports will generate useful information that can inform the next TDA/SAP and support the integration of these issues in the strategic actions to be developed.

- **Affirmative actions for promoting women participation and representation in all project activities**. The PGWG shall propose specific areas to increase women participation in the project under its work plan. For

example, a specific gender line of work will be proposed under at least one of the marine spatial planning initiatives to be supported or as part of the work on marine protected areas/OECM. The project Coordination Unit with the support of the GSS shall take affirmative actions to ensure that a minimum of 30% of the participants that attend the different meetings and consultations organised by the project are women. The GSS will be responsible to ensure that sex disaggregated data is collected and reported.

- **Integration of gender equality and youth equity into the Regional SOMEE Report to inform the new Strategic Action Programme (2025-2034).** (Output 4.1.3)
    - The GSS will follow-up on this activity and will support the PGWG with the integration of gender in the SOMEE report and propose gender-specific indicators for more inclusive and gender-sensitive reporting to be used in the update of the next SAP. The integration of gender aspects is proposed to be cross-cutting in sections 2, 3 and 4 of the SOMEE. This activity will include a short consultancy assignment that will propose a series of indicators to be included in the reporting (SOMEEs, NICS others). Whenever possible, the development of National SOMEEs (Output 2.1.3) should also mainstream gender. Lessons learned from the integration of gender in the regional SOMEE could be extracted and used for replication by countries in their national SOMEEs.

- **Capacity Building will Promote women's interest, participation and empowerment in technical issues.** (Output 2.1.3)
    - As an affirmative action, **capacity building trainings** must be gender-sensitive and promote equitable participation of women and youth. For capacity-building activities organised under the project, the aim will be to ensure that at least 30% of the participants are women and 30% are young people. It is important that these training processes be promoted focusing on attracting women's and youth organizations, so that over time an adequate representation in the trainings can be achieved.

    - As well as an affirmative action for mainstreaming gender in the project activities, in the **training-of-trainers** integrated in Output 2.1.3, it is proposed to establish a minimum number of women (9 trainers out of 30 (30%), and a minimum number of youth participants (3 out of 30 (10%)), which will allow women and youth to become active within the activities of the project. The follow-up and the promotion of these activities must have the support of the GSS Specialist.

    - To attract and involve the interest of women and youth to be part of the training processes, the design of capacity-building activities in the project should use **inclusive language and ensure gender and generational equity as a cross-cutting approach**, including examples, data, and information. For this action, the GSS in coordination with the person that will design the trainings and the person that will oversee communication of the project, will identify information, data and examples derived from the reports that are generated in the other components of the project (Output 2.1.2) and to integrate and use them for this purpose.

- **Affirmative actions will be taken to integrate gender and youth participation in the selection of initiatives to receive financial support under the small grants/micro-finance scheme.**
    - This activity will set a target of financing, as an affirmative action, a minimum of 30% of the funds for small grants/micro finance to women-led projects, and a 10% to youth-led projects. With this affirmative action, the participation, access to benefits and economic empowerment of women and young people will be facilitated.

    - In order to effectively attract the submission of women and youth-led project proposals, the call for proposals, guidelines and specific information related to the small grants programme should be tailored to the needs and interests of women and youth. To this end, specific guidelines must be developed and aligned with the financing principles of the SGP. The GSS will actively participate and support these affirmative actions.

- **Integration of gender aspects into a national MSP process** (Output 3.3.1).
    - This activity will aim to support the mainstreaming of gender into at least one national MSP process to be pursued under the project. A consultancy work will support the integration of gender in the design and implementation of the planning process, including aspects of inclusive-consultations, production of sex-disaggregated data, analysis of socio-economic outcomes, and will make recommendations on opportunities for the engagement of women in the process, as well as supporting their integration in decision making processes related to MSP. This work will take place at the national level, in one of the beneficiary countries that will pursue MSP, and whenever possible, be replicated in other countries. The GSS will actively participate and support this process.

- **Learnings from mainstreaming gender in ocean governance mechanisms in the CLME+ region** (Outputs 4.2.2 and 4.2.3).
    - The project will generate **learnings from mainstreaming gender** into the project and the regional ocean governance mechanism and will document and share the results in the GEF IW Learn (Gender Hub) platform. It is proposed that a consultancy supports the systemization of the experiences gained and helps with the development of outreach materials. To disseminate the learnings, a **Webinar on gender and ocean management** (suggested title) to reflect on the processes that have been carried-out under the Project will be organised. It is suggested that the development of the webinar, including the production of content, design and associated communication materials also be supported by a consultant.In addition, one of the Experience Notes to be developed under the PROCARIBE+ project, using the IW-Learn methodology and template, will be on the experience of mainstreaming women participation in the project (Output 4.2.3).. This experience note will document the process of gender integration throughout the activities of the project, the challenges, the learnings and the achievements. These activities will be guided by the SGG in coordination with the person in charge of communication and supported through a consultancy.

Project implementation

- **Staffing efforts for** the **Project Management and Coordination Unit will** aim to achieve a **gender-balanced team**. The project team will hire a **Gender Equality and Safeguards Specialist** (GSS) which will provide technical support for the implementation of the gender action plan and all safeguards related actions (SESP, IPPF, ESMF and others as required). At the beginning of the project, the **Project Management and Coordination Unit staff will be trained** on how to ensure gender equality in the activities of the project.

Wherever possible, project activities will integrate affirmative actions in order to integrate gender equality and youth as a cross-cutting issue. It will record **sex and age disaggregated data** in participation, include gender considerations in **procurement processes, and in reporting**. There will be special attention given to **gender-inclusive language** in all the documents and communications under the project.

Innovativeness, Sustainability and Potential for Scaling Up

Innovativeness

The PROCARIBE+ Project will continue to build upon the approach developed under both its predecessor UNDP/GEF Projects, namely the “CLME” Project (Phase 1, 2009-2014: SAP development) and the “CLME+” Project (Phase 2, 2015-2021: catalyzing implementation of the 10-year SAP). Already through these projects, the region pioneered the collaboration among LME Programmes, Regional Seas Programmes and Regional Fisheries Bodies which is now increasingly being called for also through multiple international fora, and which has been included among the GEF IW7 Programming Directions.

Such collaboration was achieved through the creation, during the CLME+ Project, of the CLME+ SAP Interim Coordination Mechanism (ICM) which consists today of 9 Intergovernmental Organizations (IGO's) each of which has an oceans-related mandate and several of which operate at different geographic scales. The ICM allowed to trial an innovative scientific proposal for enhanced shared living marine resources governance, tailored to the reality of the region and consisting of a multi-level network of nested marine resources governance/management arrangements actively advocating and facilitating EBM/EAF.

The innovative coordination mechanisms trialled under the CLME+ Project will now be upscaled and transformed into long-term arrangements at both the regional and national levels (the regional Ocean Coordination Mechanism, OCM, and wider-ranging ocean partnerships - see Project Outcome 1.1, linked to the national NICs - see Project Outcome 2.1). Lessons learnt from their practical implementation will be of relevance to the global LME community.

Acknowledging the shortcomings in the development of the first iteration of the regional SAP (CLME+ SAP, 2015-2024), the CLME+ Project provided the opportunity for a complementary SAP, the "People Managing Oceans" action programme, to be developed by and for civil society. To date (June 2022) , this "C-SAP" has been endorsed by 51 Civil Society Organizations from across the region. The development of this dedicated C-SAP constitutes an important innovation, globally, and its continued implementation will now be supported by the PROCARIBE+ Project, under Component 3.

Simultaneously, the OCM will now lead the development of the second iteration of the 10-year regional SAP, further consolidating regional ownership of the process. To proactively address the shortcomings mentioned above, the different sectors of society will be better represented in the SAP development effort, through the upfront engagement of the wider-ranging ocean partnerships, while the project will also aim to directly engage development banks, the donor community and other potential financing agents, both public and private, in the SAP development process with the aim of providing short- and medium-term financing solutions for SAP implementation.

Likewise, and building upon these experiences and lessons learned, several other important innovations will be introduced by the Project:

- the introduction of the innovative concept of a "Project Management and (technical support and) Coordination Unit" will allow to provide project governance and management in a more cost-efficient way, more clearly differentiated from but still easily interlinked with the Unit's technical coordination and advisory services, which can then in turn be more cost-effectively channeled to a wider range of regional stakeholders through regional ocean governance platforms others than the temporary Project Board, that will survive the project's lifespan - hence further contributing to regional ownership, sustainability, and continuity of project outcomes
- as per the PROCARIBE+ OCM establishing document, the TDA/SAP approach will become embedded in the operations of the OCM, ensuring the long-term continuity and sustainability of the approach in the region
- the regional long-term adoption of the TDA approach is expected to take the format of the periodic, collaborative development of integrated "State of the Marine Environment and associated socio-Economics" (SOMEE) reports, which will be facilitated by the OCM; the project will seek to embed natural capital accounting approaches in the SOMEE development process
- through SOMEE, a paradigm shift will be introduced in the TDA approach, moving away from the traditionally predominant focus on "problems", towards a wider-ranging analysis of "opportunities and challenges"
- the focus on "opportunities" will allow to enhance the perception of "relevance" of marine and coastal natural capital across productive sectors, and as such help multi-sector collaboration and the development of sustainable blue economies
- the periodically developed SOMEE's, following a formally adopted, standardized approach, will allow to compare status across the different iterations and as such enable the tracking of progress and measurement of "return-on-investment" from ocean-positive actions, and inform each new iteration of the SAP; production of these new iterations will now be supported by a wider array of societal stakeholders, including civil society and private sector

- progress tracking of SAP implementation and other Regional Action Plans will be facilitated through innovative, online collaborative tracking mechanism, inspired on the prototype CLME+ SAP Progress tracking portal, and hosted on a central "Knowledge Hub" maintained by the OCM Secretariat and collectively owned by its membership
- the project's expanded knowledge management approach, moving the focus away from a project website to the support for the continued development of a regional Knowledge Management Hub (which will still have an -albeit likely somewhat simpler- project website embedded in it) will allow a more widespread sharing and exchange of experiences and lessons learned, not only from PROCARIBE+, but also from other projects, programmes and initiatives
- a comprehensive marine data/information/knowledge infrastructure (MDI), underpinning the work of the OCM, will be progressively built, based on a blueprint to be developed by the PROCARIBE+ Project with inputs from the OCM and partnerships, departing from the baseline inventory conducted by the CLME+ Project; the infrastructure will seek to harness existing global data sources and platforms
- in collaboration with ESA, the potential for remote sensing to support the MDI, SOMEE reporting, MSP and other regional and national-level marine resources management efforts will be explored, documented and disseminated
- better integration of marine protection and conservation, and the blue economy, and climate action under the Paris Agreement through the 2025 updates of the Nationally Determined Contributions (NDCs')
- better integration of IWRM/RBM, ICZM/MSP, MPA and NDC efforts will be tested and promoted
- blue carbon and tropical coastal peatland carbon assessments will enable, in collaboration with efforts under the UNEP/GEF Caribbean Bluefin Project and/or other carbon credit initiative in the region, the deployment of innovative financing for ocean conservation
- traceability and technological innovation to reduce IUU, ghost fishing and habitat impacts will be tested and applied/upscaled for key fisheries
- the 3-tiered approach (MPAs-OECMs-MSP) promoted by "Friends of Ocean Action" in their World Economic Forum Impact Report "The Business Case for Marine Protection and Conservation" will be trialed and promoted by the project through Component 3 as an enabler for the development of resilient blue economies

Sustainability

PROCARIBE+ has been built and structured with the sustainability of its outputs and outcomes in mind. To achieve such sustainability, the project has embedded the following general principles in its design:

a. fully aligned with, and supportive of the continued implementation of the cyclical TDA/SAP approach, and of the implementation of the 2015-2024 politically endorsed CLME+ SAP and associated action programmes and plans developed through the CLME+ Project;
b. establishment of a long-term coordination mechanism (OCM), that improves coordination among the various regional marine management organizations with a long-term/permanent mandate in the region, and with national-level ownership; the coordination mechanism is key to sustaining the momentum achieved through SAP implementation once the project is completed and will give long-term continuity to the TDA/SAP approach, as per its mandate (OCM core functions under the establishing MOU-Annex 22);
c. making the SOMEE reports formal products of the OCM, enabling a systematic approach to its periodic updates which will allow for the measurement of progress and trends; making the SOMEE reporting effort supportive of the existing reporting obligations of the OCM members; tying the development of the regional Marine Data Infrastructure and of the regional Knowledge Hub to the OCM; linking the project activities to existing national, regional and global environmental and sustainable development commitments;
d. building capacity of state and non-state actors through Components 2 and 3;
e. building awareness among all stakeholders of the socio-economic and environmental value and importance of the CLME+ region to the future wellbeing and development of the region and its citizens;

f. greater engagement of civil society, private sector, women, and indigenous/local people in marine planning and decision making and creating the right enabling environment to attract private sector investment to support the future sustainable development of the region's Blue Economy; and
g. improving the knowledge base to better understand the impact of human activities and monitor the health of the marine environment thereby supporting improved decision making
h. securing, through conservation measures, the resource base that underpins the blue economy
i. mainstreaming climate change considerations throughout the project activities, ensuring enhanced robustness of delivered solutions, and increased resilience of the region's socio-ecological systems
j. support for uses of the marine environment that don't over-exploit the renewable resource base.
k. inclusion of specific activities under project outputs dedicated to securing post-project sustainability and continued up-scaling of project outputs and outcomes

The development of the next iteration of the SAP will allow project partners and participants to further refine the existing interventions and to target future interventions on those areas seen as most critical and most effective to achieving the regional 20-year Vision of a healthy marine environment, allowing also to integrate newly emerging topics. In this way, a process of adaptive management will continue throughout and beyond the timeframe of the project.

From its beginning, PROCARIBE+ will work on and adaptively manage/improve, and document its sustainability strategy, involving the actors and stakeholders associated with the aforementioned points (and beyond), to ensure the continuity of project outcomes and achievements, and related actions, once the project ends.

Potential for scaling up

Scaling of efforts and results through the PROCARIBE+ Project will occur (a) both within the region, through regional mechanisms and platforms - both pre-existing ones as well as those to be newly created and/or supported by the project - as described under Section IV, as well as (b) at global levels, through a strong association between the project and IW:LEARN, and other global mechanisms.

As with the transition from the CLME to the CLME+ Projects, the transition from the CLME+ to the PROCARIBE+ Project offers indeed considerable opportunity for upscaling of activities. Chief among these, under Component 1, is the transition from the existing "pilot" Interim Coordination Mechanism (ICM) and its somewhat more limited scope of work, to the more substantial, long-term ocean coordination mechanism (OCM), initially under the PROCARIBE+ Project, but eventually as a stand-alone governance mechanism with sustainable funding arrangements to ensure its long term viability and with enhanced country ownership.

By promoting and achieving synergies and major coherence among actions, and by reducing the duplication of efforts, the OCM members, together with the regional ocean partnerships, will optimize limited available resources towards the achievement of more substantial, larger-scale impacts.

Through the OCM, its organs, membership and associated Working Groups, and the regional OCM Hub, and in association with IW:LEARN best practices and lessons learned from local, sub-regional and global (pilot) initiatives, from both the PROCARIBE+ Project as well as other GEF and non-GEF projects, will be more easily disseminated and replicated, facilitating the region-wide and even global scaling of their impacts.

Similarly, national-level efforts, such as e.g. the assessments of the state of the marine environment (SOMEE) under Component 2 and the blue carbon assessments under Component 3, will provide a model for more wide-spread national-level knowledge-based decision making, and will support progressive improvements in the techniques and approaches tested through PROCARIBE+; training and capacity building on a variety of issues, and the development of a "best practice" NDC, will also allow to replicate and upscale related actions across the region.

Another key focus will be to upscale the actions seeking to implement the C-SAP and other Regional Action Plans, both through the direct provision of microfinance from the GEF grant, as well as by providing support for the

mobilization of additional financial resources. Likewise, the testing of blue carbon/peat carbon assessment approaches, and the collaboration and coordination with other initiatives such as the UNEP/GEF Caribbean Bluefin Project, the NDC Partnership, the UNDP Climate Promise and others will seek to more widely spread the lessons learned enabling its more wide-spread, larger-scale application.

Similarly, a focus on improving the enabling environment to support blue growth, through enhanced information and knowledge generation and management, MSP, and further actions to secure the natural resource base in alignment with the three-tiered approach documented under Component 3, will make it possible to upscale progress towards conservation targets as well as the project's contributions to the development of thriving, resilient ocean-based economies. It is to be noted in this sense that several of the outputs under component 3 consist of 2 elements: (a) a pilot element, to be implemented in one or a limited number of countries, and (b) a scaling element, which seeks to create the enabling conditions for wide-spread scaling and replication (see e.g. the outputs on traceability, and fishing gear and practices).

The four inter-linked and complementary PROCARIBE+ Project components are thus specifically designed to facilitate replication/scaling-up of actions and outcomes, towards achieving the long-term Vision for the region.

Substantial potential will also exist to scale up, through e.g IW:LEARN, UNEP Regional Seas and other global platforms, positive and innovative actions piloted in the CLME+ region, to other parts of the world (and to bring such experiences from other parts of the world to the region)

Strong engagement as PROCARIBE+ responsible parties in project implementation of regional partners with long-term roles and/or formal mandates in the region will make it possible for actions initiated/catalyzed through PROCARIBE+ to be continued and upscaled beyond the project timeline.

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V. PROJECT RESULTS FRAMEWORK

This project will contribute to the following Sustainable Development Goal (s): SDG 2, 5, 7, 8, 13, 14, 16 and 17				
This project will contribute to the following country outcome (UNDAF/CPD, RPD, GPD): UNDP Strategic Plans Outputs 4.1 and 4.2 UNDP RPD for LAC 2022-2025 Outcome 3: Green recovery based on principles of sustainable development reflected by integrated, equitable, gender-responsive and risk and resilient informed policies, financing and governance frameworks, and Outcome 4: Structural transformations underpinned by effective governance to shape resilient and sustainable societies.				
	Objective and Outcome Indicators	**Baseline**	**Mid-term (MT) Target** *Expected level of progress before MTR process starts*	**End of Project (PE) Target** *Expected level when terminal evaluation undertaken*
Project Objective:	Protecting, restoring and harnessing the natural coastal and marine capital of the Caribbean and North Brazil Shelf Large Marine Ecosystems to catalyze investments in a climate-resilient, sustainable post-covid Blue Economy, through strengthened regional coordination and collaboration, and wide-ranging partnerships			
	GEF Core Indicator 11: *Number of direct beneficiaries disaggregated by gender as co-benefit of GEF investment*	*0*	*Total: 105,413* *Males: 64,832* *Females: 40,581* *Approx. 25% of PE target values*	*Total: 421,655* *Males: 259,328* *Females: 162,327*
	GEF Core Indicator 2*: Marine protected areas created or under improved management for conservation and sustainable use (hectares)* ***GEF Sub-Indicator 2.1.:*** *Marine protected areas newly created*	*Core Indicator 2: 0*	*Aggregate value: 3,312,547 ha*	*Aggregate value: 4,368,052 ha*

	GEF Sub-Indicator 2.2.: *Marine protected areas under improved management effectiveness*	*Sub-Indicator 2.1.: 0* *Sub-Indicator 2.2.: 0*	*Sub-Indicator 2.1: 0 ha* *Sub-Indicator 2.2: 3,312,547 ha*	*Sub-Indicator 2.1: 1,055,505 ha* *Sub-Indicator 2.2: 3,312,547 ha* *Note: 1 additional MPA/OECM effort will be selected during project inception, the target area to be included in the MPA/OECM will be added to the corresponding Core Indicator targets at that point*
	GEF Core Indicator 5: *Area of marine habitat under improved practices to benefit biodiversity (hectares)* ***GEF Sub-Indicator 5.2.****: Number of Large Marine Ecosystems with reduced pollution and hypoxia*	*Core Indicator 5: 0 attributable to PROCARIBE+* *Sub-Indicator 5.2.: 0 attributable to PROCARIBE+*	*Core indicator 5: 440 million ha (combined area of the Caribbean and North Brazil Shelf LME's)* *Sub-Indicator 5.2: 1 LME*	*Core indicator 5: 440 million ha (combined area of the Caribbean and North Brazil Shelf LME's)* *Sub-Indicator 5.2: 1 LME*
	GEF Core Indicator 7*: Number of shared water ecosystems (fresh or marine) under new or improved cooperative management* ` ***GEF Sub-Indicator 7.1.****: Level of (a) Transboundary Diagnostic Analysis and (b) Strategic Action Program formulation and implementation* 1 = No TDA/SAP developed 2 = TDA finalized 3 = SAP ministerially endorsed 4 = SAP under implementation.	*Core Indicator 7: 0* *Sub-Indicator 7.1.: 4 (2015-2025 SAP)*	*Core Indicator 7: 2* *Sub-Indicator 7.1.: 4 (2015-2025 SAP) / 2 (new TDA ("SOMEE")*	*Core Indicator: 2* *(Caribbean and North Brazil Shelf LME's)* *Sub-Indicator 7.1.: 4 (new, 2026-2035 SAP)*

	GEF Sub-Indicator 7.2*.: Level of Regional Legal Agreements and Regional Management Institution(s) to support its implementation* 1 = No regional legal agreement, or neither institutional framework nor RMI in place 2 = Regional legal agreement under development 3 = Regional legal agreement signed and RMI in place 4 = Regional legal agreement ratified and RMI functional ***GEF Sub-Indicator 7.3****.: Level of national/local reforms and active participation of Inter-Ministerial Committees* 1 = Neither national/local reforms nor IMCs 2 = National/local reforms in preparation, IMCs functional 3 = National/local reforms and IMCs in place Guidelines on Indicators (ME/GN/01) 19 4 = National/local reforms/policies implemented, supported by IMCs. ***GEF Sub-Indicator 7.4.:*** *Level of engagement in IW: Learn through participation and delivery of key product* 1 = No participation 2 = Website in line with IW:LEARN guidance active 3 = As above, plus strong participation in training/twinning events and production of at least one experience note and one results note 4 = As above, plus active participation of project staff and country representatives at International Waters conferences and the provision of spatial data and other data points via project website.	*Sub-Indicator 7.2.: 2* *Sub-Indicator 7.3.: 1* *Sub-Indicator 7.4.: 1*	*Sub-Indicator 7.2..: 4* *This refers to the regional Ocean Coordination Mechanism -which is non-legally binding but is anticipated to contain a member organization that implements a legally binding framework (Cartagena Convention)* *Sub-Indicator 7.3.: 2*	*Sub-Indicator 7.2..: 4* *This refers to the regional Ocean Coordination Mechanism -which is non-legally binding but is anticipated to contain a member organization that implements a legally binding framework (Cartagena Convention)* *Sub-Indicator 7.3.: 4*

			Sub-Indicator 7.4.: 4	*Sub-Indicator 7.4.: 4*
	GEF Core Indicator 8: *Globally over-exploited fisheries moved to more sustainable levels (metric tons)*	*0*	*0*	*The over-exploited queen conch fishery is brought to more sustainable levels through application of traceability to annual exports corresponding to* ***515 metric tons/yr*** *(important note: the export volume of shrimp to be brought under traceability by PE was added to this target in the PIF; however, current data do not allow to separate between wild-caught shrimp and shrimp originating from aquaculture - for this reason and until a clear split in the origin of exports can be obtained, the volume of shrimp exports have been removed from the target)*
Project component 1	Region-wide multi-stakeholder cooperation, coordination, collaboration and communication for the protection, restoration and sustainable use of marine and coastal ecosystems in the Caribbean and North Brazil Shelf Large Marine Ecosystems (EBM approach)			
Project Outcome[35] 1.1 Coordinated, collaborative and synergistic implementation of regional, sub-regional and national (Strategic) Action Programmes and Plans in support of the CLME+ Vision,	*Indicator 1.1: proof of coordination and collaborative and synergistic action consisting of:* *(a) OCM Operationalization +*	*(a) OCM not operational* *(b) 0 partnership(s) fora* *(c) first SAP iteration still under implementation, development of new SAP not initiated yet*	*(a) OCM operational* *(b) 1 partnership forum held* *(c) advanced draft for the new SAP* *(d) at least 50 new SAP progress tracking records*	*(a) OCM operational and with sustainability strategy* *(b) 2 partnership fora held* *(c) new SAP, endorsed;*

[35]*Outcomes are medium term results that the project makes a contribution towards, and that are designed to help achieve the longer-term objective. Achievement of outcomes will be influenced both by project outputs and additional factors that may be outside the direct control of the project.*

enabled through a regional Ocean Coordination Mechanism (OCM) and complementary, (thematic) partnership(s), and a regional programmatic approach	*(b) Number of Partnership Forum/a held +* *(c) development progress of the new SAP +* *(d) total number of progress tracking records for the current and/or new SAP(s) (as applicable), in the online SAP/Action Plan Progress Tracking Tool(s) +* *(e) total number of organizations that registered progress tracking records in the joint tool(s) +* *(f) total number of projects listed as supporting action progress in the online tracking tool(s)*	*(d) 0** *(e) 0** *(f) 0** **Values set as zero as the project will measure contributions from the project start date onwards*	*(e) SAP progress tracking records from at least 10 different organizations* *(f) SAP progress tracking records indicative of progress support from at least 10 different projects/programmes/initiatives (proof of advances with programmatic approach)*	*(d) at least 100 new SAP progress tracking records since project start* *(e) SAP progress tracking records from at least 20 different organizations* *(f) SAP progress tracking records indicative of progress support from at least 20 different projects/programmes/initiatives (proof of advances with programmatic approach)*
Outputs to achieve Outcome 1.1	1.1.1.a. A regional **Ocean Coordination Mechanism (OCM),** with operations commencing by latest 2023 and ongoing throughout (and beyond) the PROCARIBE+ Project lifespan 1.1.1.b. Wide-ranging multi-stakeholder partnership(s) operational by latest end of 2023 1.1.2. New **10-year (2026-2035), broadly supported multi-stakeholder regional Strategic Action Programme** (including ministerial-level endorsements)			
Project component 2	**Enabling national environments for the protection, restoration and sustainable use of coastal and marine resources (EBM/EAF)**			
Outcome 2.1 National-level capacity, enabling conditions and commitments for EBM/EAF and marine-based, climate and disaster-resilient "green-blue" socio-economic development	*Indicator 2.1.1: proof of enhanced capacity, enabling conditions and commitments, consisting of:* *(a) operational NICs connected to the OCM* *(b) national SOMEE's, BE scoping studies and NCA pilots/enhancements* *(c)* *(d) marine and coastal natural capital integrated in 2025 NDC's*	(a) 0 (b) 0 attributable to PROCARIBE+ (c) training in/for 0 countries attributable to PROCARIBE+ (d) 0 attributable to PROCARIBE+	(a) in at least 40% of OCM member *countries* (b) at least 2 SOMEE, 2 BE scoping studies, and 1 NCA pilot/enhancement efforts well underway and on track to be (largely) completed by end of 2025 (c) Training delivered and/or made permanently accessible for at least half of the OCM member states	*(a) in at least 75% of OCM member countries* *(b) at least 2 SOMEE, 2 BE scoping studies, and 1 NCA pilot/enhancement; completed* *(c) Training delivered and/or made permanently accessible for all 44 CLME+ States and Territories* *(d) min 5 2025 NDC updates with strong/upscaled "blue" component(s)*

			(d) 1 early draft "best practice" NDC widely disseminated and inspiring regional 2025 updates	
Outputs to achieve Outcome 2.1	2.1.1. **National Intersectoral Coordination Mechanisms (NICs)** operational in at *least 75% of OCM member countries, connected to the OCM (supporting national-level BE and MSP efforts)* 2.1.2. **2 National integrated "State of the Marine Environment" (SOMEE) reports**, **2 Blue Economy (BE) Scoping Studies and 1 Marine and Coastal Natural Capital Accounting pilot/enhancement**, delivered by end of 2025; extraction and dissemination of lessons learned and recommended way forward 2.1.3. **Training delivered and/or made permanently accessible for all 44 CLME+ OCM States & Territories**, supporting the integration of **IWRM/IRBM, ICZM/MSP** and **Natural Capital Accounting,** and underpinning the implementation of the LBS and SPAW Protocols, the source-to-sea approach, NDCs, 30x30 conservation targets, and related Regional and National Action Plans (incl. min. 30 trainers-of-trainers, targeting key stakeholders engaged in: MSP, SOMEE and NDC development, and IRBM; with special attention to gender balance and including practitioners from min. 10 of the 23 transboundary river basins draining into the CLME and NBSLME) 2.1.4. **Marine and coastal natural capital/Blue Carbon** integrated in national-level **climate change mitigation and adaptation** commitments/efforts: *(a) verifiable (initial or upscaled) integration of coastal and marine natural capital/blue carbon in a minimum of five 2025 NDC updates from OCM member/PROCARIBE+ participating countries, enabled;* *(b) 1 early draft "best practice" NDC with strong marine component, regionally disseminated (by 2024) through the OCM and/or partnership(s), to promote upscaling and replication;* *(c) integration of NDC, MSP/MPA and/or BE development efforts in at least 1 country, demonstrated.*			
Project component 3	**Catalyzing actions by all sectors of society, at different spatial scales, for the protection, restoration and sustainable use of marine and coastal natural capital ("*blue economies*")**			
Outcome 3.1 Civil Society and MSME contributions to ocean conservation and ocean-based sustainable development & livelihoods/blue economies, upscaled	*Indicator 3.1.1: number of CS/MSME initiatives that advance actions under the CLME+ SAP (1 and 2), C-SAP and/or associated/compatible Strategies and Action Plans, newly initiated or upscaled during the PROCARIBE+ timeframe*	*0*	*Min. 10*	*Min. 30*
	Indicator 3.1.2: Percentage of women-led projects and youth-led projects financed under micro-financing scheme	0	*At least 15% of the small grants given to women projects / 5% of the small grants given to youth projects.*	*At least >30% of the small grants given to women projects / >10% of the small grants given to youth projects*
Outputs to achieve Outcome 3.1	3.1.1. **Micro-financing schemes**, supporting the implementation of key regional/national ocean instruments (SAPs, RSAPs, marine/coastal component of NDCs,...) **through Civil Society and MSME action**:			

	(a) min. USD 2.5 million (of which USD 1 million from UNDP/GEF SGP) *invested in (replicable) small grants/micro-finance initiatives supportive of the PROCARIBE+/SAP/RSAP objectives (incl. associated gender objectives)* ***(b) on-the-ground stress reduction/restoration and/or enhanced management practices at min. 30 coastal/marine sites, in min 5 countries.*** *Priorities: nature-based solutions, ecosystem conservation/restoration, sustainable harvesting of ecosystem goods (incl. small-scale fisheries), development of sustainable "blue" businesses (incl. technological innovation), post-covid and post-hurricane, post-earthquake recovery, climate change mitigation and adaptation/resilience, and enhanced/alternative livelihoods; with special attention to gender, youth and households.*			
Outcome 3.2 Increased mobilization of private capital supporting environmental stress reduction and sustainable climate-smart blue economy initiatives, supporting CLME+ SAP implementation and post COVID-19 recovery, enabled	*Indicator 3.2: enabling conditions established to implement a carbon credits-based sustainable financing instrument for seagrasses and tropical peatlands in Panama*	*No new enabling conditions attributable to the project*	*Training, mapping and DPSIR analysis completed*	*(Pre-)feasibility studies including carbon stocks assessments* *for 3 pilot sites, best practices for replication and upscaling documented and disseminated*
Outputs to achieve Outcome 3.2	3.2.1. Enabling conditions to implement carbon credits-based sustainable financing instruments for seagrasses and tropical peatlands: (pre-)feasibility studies including carbon stock assessments developed in 1 country (Panama, 3 pilot sites); methodologies tested and fine-tuned for blue carbon project development and regional replication/up-scaling			
Outcome 3.3 Expansion and integration of "Blue Economy", Marine Spatial Planning and MPA/OECM efforts across the region (ecosystem approach), supporting ocean-based socio-economic development, recovery and resilience (covid19, hurricanes) and progressive delivery on international targets in the fields of: marine conservation and climate change mitigation and adaptation	*Indicator 3.3.1: see GEF Core Indicator 2 and associated sub-indicators described under the Project Objective*			
	Indicator 3.3.2: area in km² covered by marine spatial planning efforts, attributable to/supported by the PROCARIBE+ Project	*0 ha attributable to the project*	*Development of plans (MSP, PSSA) underway for an area > 150,000 km²*	*Plans finalized, covering an area > 200,000 km²*
Outputs to achieve Outcome 3.3	3.3.1.a. BE and MSP planning in at least 8 countries, **integrating blue economy** (incl. sustainable fisheries and post-covid19 recovery)**, climate change mitigation and adaptation and ocean conservation objectives**, and source-to-sea considerations 3.3.1.b. exchange of experiences + advocacy for accelerated progress towards regional target of 10% of CLME under MSP			

	3.3.2. **Enhanced area-based ocean conservation (MPA/OECM) in 5-6 countries**, targeting at least ***4,000,000 ha* (*safe force majeure*) *of coastal/marine space, through:*** *expansion of, or newly created MPA's, and/or MPA's with increased protection levels/demonstrated enhanced management effectiveness, and/or equivalent amounts of marine space under Other Effective area-based Conservation Measures (OECMs)*			
Outcome 3.4 Generalized implementation across the Wider Caribbean/WECAFC region of traceability systems is enabled for key fisheries and seafood products, as a key measure for sustainability and against IUU fishing	*Indicator 3.4: proof of progress towards generalized implementation of traceability, consisting of:* *(a) number of fishery/seafood products with traceability schemes applied + (b) total volume of fishery/seafood products under traceability + (c) enabling conditions (traceability standards) to replicate/expand the traceability systems across the WECAFC countries*	*(a) + (b) + (c): no results attributable to PROCARIBE+ yet*	*(a) + (b) Regulations/Agreements/Protocols for the implementation of national traceability systems, required to achieve the end-of-project targets under (a) and (b), developed/adopted in at least 75% of participating pilot countries* *(c) N/A (related activities as per chronological planning to be conducted during second project half)*	*(a) traceability systems cover min. 3 fisheries + 1 aquaculture products; (b) 55,900 metric tons of fishery/seafood products from the region with traceability applied.* *(c) regional/sub-regional traceability standards developed enabling region-wide application of traceability for fisheries/seafood products*
Outputs to achieve Outcome 3.4	3.4.1. **(a) traceability systems in place for 3 selected key fisheries and 1 aquaculture products in min. 8 countries;** by Project End *% of exports (and equivalent approx. volume) from WECAFC region commercialized under regional traceability standard: min. 30% of regional spiny lobster exports (approx. 5.200 tons/yr) + min 39% of queen conch exports (approx. 400 tons/yr) + min 31% of shrimp (fisheries & aquaculture) exports (approx. 50.300 tons/yr); total = 55.900 tons/yr.* **(b) enabling conditions to replicate/expand the traceability systems across the wider WECAFC countries,** with the aim of achieving a total *export volume of 94,800 tons/yr traceable by 2030 (i.e. 52% of all regional spiny lobster+queen conch+shrimp exports)*			
Outcome 3.5. Region-wide reduction of ghost fishing and negative habitat impacts from unsustainable spiny lobster fishing gear & practices, enabled	*Indicator 3.5: a) solution(s) to reduce negative impacts from unsustainable fishing gear and practices in industrial spiny lobster fisheries developed and tested, and available for replication and/or up-scaling + (b) provisions for the implementation of measures against ghost fishing and negative habitat impacts from spiny lobster fishing gear and practices adopted/endorsed by corresponding entities for region-wide application*	a) *No solution in place* b) *No provisions in place*	*at least 1 season of field tests completed, most results needed from pilot available for decision-making*	*pilot successfully concluded with proof of reduced impacts from revised gear/practices, and recommendations available for up-scaling/replication in other countries; provisions adopted/endorsed by at least 2 of the 3 regional fisheries bodies to implement the improved gear/practices*
Outputs to achieve Outcome 3.5	3.5.1. **(a) on-the-ground solutions** developed and tested to reduce negative environmental, resource stock and socio-economic **impacts** from unsustainable **fishing gear and practices in industrial spiny lobster** fisheries (with special attention to "ghost fishing"/lost and abandoned fishing gear).			

	(b) provisions for the implementation of **measures against ghost fishing** and negative habitat impacts from spiny lobster fishing gear and practices, covering **all countries** active in the fishery in the WECAFC region *(average regional annual total spiny lobster catch volume = approx. **28.000 tons**)*			
Project component 4	**Region-wide data/knowledge generation, management and sharing mechanisms supporting cooperation, coordination, collaboration and synergistic action**			
Outcome 4.1 ***A well-articulated marine data, information and knowledge management infrastructure/network is enabled, (a) providing a science-policy interface; (b) supporting the development/updating, implementation and M&E of regional Action Programmes and Plans; (c) boosting and increasing the impacts of marine & coastal investments***	*Indicator 4.1.1: strengthened marine data/information/knowledge management network manifested through, a.o.: (a) operational OCM Hub+ (b) Marine Data & Information (MDI) Landscape/Infrastructure Blueprint for the region + (c) MDI Blueprint implementation with demonstrable progress + (d) new TDA ("SOMEE")*	a) *Prototype CLME+ Hub tied to the ICM, may be used as basis for the development of the OCM Hub (pending related OCM decision)* b) *No existing Blueprint* c) *Blueprint not implemented* d) *No new TDA*	*(a) Hub operational, including SAP/Action Programme tracking tool(s) ; (b) advanced draft MDI blueprint (at least 70% advanced); (c) no MT target, activities planned for second project half; (d) SOMEE (new TDA) finalized or at least 80% advanced;*	*(a) Hub operational, with post-project sustainability strategy; (b) MDI blueprint adopted/endorsed by OCM; (c) at least 2 key elements of MDI Blueprint sustainably implemented; (d) OCM-endorsed SOMEE that has been used in development of new SAP;*
	Indicator 4.1.2. Number of SOMEE sub-sections with gender (and youth) information and statistics.	*0*	*Gender (and youth) related information and statistics identified by Project Gender Working Group (PGWG) and agreed to be used in the SOMEE report.*	*At least 3 sub-sections of the SOMEE include information and statistics related to gender and youth.*
Outputs to achieve Outcome 4.1	4.1.1. Online **Regional Knowledge Management HUB** on the Marine Environment of the Caribbean and North Brazil Shelf LME's fully developed and operational, facilitating collaborative knowledge management by the OCM and partnership(s) *(with well-articulated linkages to third-party data/information/knowledge sources/products)* 4.1.2. **(a)** Formally adopted **"blueprint"** for a regional **Marine Data/Information/Knowledge Infrastructure (MDI); (b) MDI implementation enabled, and key elements put in place**, through commitments and collaborative action by the Secretariat and Members of the OCM and partnership(s) 4.1.3. Comprehensive, updated regional **Transboundary Diagnostic Analysis (TDA):** fully developed regional **"State of the Marine Environment and associated Economies"** (SOMEE), finalized by 2024/mid-25 and informing preparation of the new **2026-2035 regional Strategic Action Programme (SAP)**			
Outcome 4.2 Increased regional and global impacts from GEF IW investments through global dissemination and sharing of experiences, and by forging synergies with other Regional Seas/LME/Regional Fisheries programmes and the wider	*Indicator 4.2: potential for regional and global impacts increased through: (a) number of innovative approaches & best practices piloted by PROCARIBE+ are adopted/assimilated by other GEF IW/LME and/or non-GEF marine initiatives (incl. IW:LEARN) + (b) number of events with active participation and*	a) *counter at zero for FSP project start* b) *counter at zero for FSP project start* c) *counter at zero for FSP project start*	*(a) at least 2 cases of adoption/integration of PROCARIBE+ good/best practices by other IW marine initiatives; (b) PROCARIBE+ participation in at least 1 IWLEARN events and at least 1 other global ocean event; (c) at least 2 good/best PROCARIBE+ practices disseminated*	*(a) at least 5 cases of adoption/integration of PROCARIBE+ good/best practices by other IW marine initiatives; (b) PROCARIBE+ participation in at least 4 IWLEARN events and resp. at least 3 other global ocean events; (c) at least 6 good/best PROCARIBE+ practices*

community of International Waters/Ocean practitioners & stakeholders	*support in IW:LEARN and other relevant oceans events + (c) number of good/best practices from PROCARIBE+ globally disseminated through IW:LEARN.* *(Note: this is in part a proxy indicator as it would not be possible for the PMCU to fully measure the global impacts from the PROCARIBE+ GEF IW investments as a consequence of advocacy and synergistic action, and the exchange of experiences and best practices with the global marine community undertaken by the project.)*		*globally; aspirational: potential for high impact through PROCARIBE+ collaboration with the 8th Our Oceans Conference, Panama 2023 - to be linked with Output 1.1.1 - the OCM (*see risks)*	*disseminated globally; aspirational: potential for high impact through PROCARIBE+ collaboration with the 8th Our Oceans Conference, Panama 2023 - to be linked with Output 1.1.1 - the OCM (*see risks in M&E table)*
Outputs to achieve Outcome 4.2	4.2.1. **Strategic Alliance with IW:LEARN** developed and implemented, **piloting innovative approaches** within (and beyond) the IW Portfolio and providing means for its replication (e.g. data & information management (DIM), use of Remote Sensing, integrated environmental & socio-economic assessments, TDA paradigm shift and BE, SAP implementation progress tracking, etc. (to be further fine-tuned/prioritized and adaptively managed during Project Inception/implementation phase) 4.2.2 Support for and participation in **GEF IW:LEARN** and other Global Marine/LME community **events** (e.g. IW:LEARN conferences and workshops, twining events/twinning visits among GEF IW projects), including the 8th "Our Oceans Conference" (Panama, March 2023) 4.2.3. At least **6 best/good practice examples** in coastal and marine ecosystem management and blue economies showcased/**documented, exchanged** and promoted through **IW:LEARN** (e.g. experience notes)			
Project component 5	Project Monitoring & Evaluation (M&E)			
Outcome 5.1 Project-level monitoring and evaluation, in compliance with UNDP and mandatory GEF-specific M&E requirements	**Indicator OC5.1.:** Project-level monitoring and evaluation completed through documentation from Inception Workshop, Annual GEF Project Implementation Reviews (PIR), M&E of GEF core Indicators, Gender Plan, Safeguards Frameworks and Action Plans, Independent Mid-Term Review, and Independent Final Evaluation	No information on project M&E exists at project initiation	Project-level monitoring and evaluation meets the requirements of UNDP and GEF at project mid-point	All project-level monitoring and evaluation is complete and meets the requirements of UNDP and GEF
Outputs to achieve Outcome 5.1	5.1.1 Inception Workshop and Report 5.1.2 Annual GEF Project Implementation Review (PIR), and M&E of GEF core Indicators, Gender Plan, Safeguards Frameworks and Action Plans 5.1.3 Independent Mid-Term Review			

	5.1.4. Independent Final Evaluation

VI. MONITORING AND EVALUATION (M&E) PLAN

Project-level monitoring and evaluation will be undertaken in compliance with UNDP requirements as outlined in the UNDP POPP (including guidance on GEF project revisions) and UNDP Evaluation Policy. **The UNDP Regional Office is responsible for ensuring full compliance with all UNDP project M&E requirements including project monitoring, UNDP quality assurance requirements, quarterly risk management, and evaluation requirements.**

Additional mandatory GEF-specific M&E requirements will be undertaken in accordance with the GEF Monitoring Policy and the GEF Evaluation Policy and other relevant GEF policies[36]. The M&E plan and budget included below will guide the GEF-specific M&E activities to be undertaken by this project.

In addition to these mandatory UNDP and GEF M&E requirements, other M&E activities deemed necessary to support project-level adaptive management will be agreed – including during the Project Inception Workshop - and will be detailed in the Inception Report.

Minimum project monitoring and reporting requirements as required by the GEF:

Inception Workshop and Report:

A project inception workshop will be held within 2 months from the First disbursement date, with the aim to:

a. Familiarize key stakeholders with the detailed project strategy and discuss any changes that may have taken place in the overall context since the project idea was initially conceptualized that may influence its strategy and implementation.
b. Discuss the roles and responsibilities of the project team, including reporting lines, stakeholder engagement strategies and conflict resolution mechanisms.
c. Review the results framework and monitoring plan.
d. Discuss reporting, monitoring and evaluation roles and responsibilities and finalize the M&E budget; identify national/regional institutes to be involved in project-level M&E; discuss the role of the GEF OFP and other stakeholders in project-level M&E.
e. Update and review responsibilities for monitoring project strategies, including the risk log; SESP report, Social and Environmental Management Framework (where relevant) and other safeguard requirements; project grievance mechanisms; gender strategy; knowledge management strategy, and other relevant management strategies.
f. Review financial reporting procedures and budget monitoring and other mandatory requirements and agree on the arrangements for the annual audit.
g. Plan and schedule Project Board meetings and finalize the first-year annual work plan. Finalize the TOR of the Project Board.
h. Formally launch the Project.

GEF Project Implementation Report (PIR):

The annual GEF PIR covering the reporting period July (previous year) to June (current year) will be completed for each year of project implementation. UNDP will undertake quality assurance of the PIR before submission to the GEF. The PIR submitted to the GEF will be shared with the Project Board. UNDP will conduct a quality review of the PIR, and this quality review and feedback will be used to inform the preparation of the subsequent annual PIR.

GEF Core Indicators:

[36] See https://www.thegef.org/gef/policies_guidelines

The GEF Core indicators included as Annex will be used to monitor global environmental benefits and will be updated for reporting to the GEF prior to MTR and TE. Note that the project team is responsible for updating the indicator status. The updated monitoring data should be shared with MTR/TE consultants prior to required evaluation missions, so these can be used for subsequent groundtruthing. The methodologies to be used in data collection have been defined by the GEF and are available on the GEF website.

Independent Mid-term Review (MTR):

With an anticipated project start date of 1 May 2023, the MTR is expected to be completed by November 1, 2025.

The terms of reference, the review process and the final MTR report will follow the standard UNDP templates and UNDP guidance for GEF-financed projects available on the UNDP Evaluation Resource Center (ERC).

The evaluation will be 'independent, impartial and rigorous. The evaluators that UNDP will hire to undertake the assignment will be independent from organizations that were involved in designing, executing or advising on the project to be evaluated. Equally, the evaluators should not be in a position where there may be the possibility of future contracts regarding the project under review.

The GEF Operational Focal Points and other stakeholders will be actively involved and consulted during the evaluation process. Additional quality assurance support is available from the BPPS/NCE-VF Directorate.

The final MTR report and MTR TOR will be publicly available in English and will be posted on the UNDP ERC by 1 November 2025. A management response to MTR recommendations will be posted in the ERC within six weeks of the MTR report's completion.

Terminal Evaluation (TE):

An independent terminal evaluation (TE) will take place upon completion of all major project outputs and activities. The terms of reference, the evaluation process and the final TE report will follow the standard templates and guidance for GEF-financed projects available on the UNDP Evaluation Resource Center. TE should be completed 3 months before the estimated operational closure date, set from the signature of the ProDoc and according to the duration of the project. Provisions should be taken to complete the TE in due time to avoid delay in project closure. Therefore, TE must start no later than 6 months to the expected date of completion of the TE (or 9 months prior to the estimated operational closure date).

The evaluation will be 'independent, impartial and rigorous'. The evaluators that UNDP will hire to undertake the assignment will be independent from organizations that were involved in designing, executing or advising on the project to be evaluated. Equally, the evaluators should not be in a position where there may be the possibility of future contracts regarding the project being evaluated.

The GEF Operational Focal Points and other stakeholders will be actively involved and consulted during the terminal evaluation process. Additional quality assurance support is available from the BPPS/NCE-VF Directorate.

The final TE report and TE TOR will be publicly available in English and posted on the UNDP ERC by 1 February 2028. A management response to the TE recommendations will be posted to the ERC within six weeks of the TE report's completion.

Final Report:

The project's terminal GEF PIR along with the terminal evaluation (TE) report and corresponding management response will serve as the final project report package. The final project report package shall be discussed with the Project Board during an end-of-project review meeting to discuss lesson learned and opportunities for scaling up.

Agreement on intellectual property rights and use of logo on the project's deliverables and disclosure of information**:**

To accord proper acknowledgement to the GEF for providing grant funding, the GEF logo will appear together with the UNDP logo on all promotional materials, other written materials like publications developed by the project, and project hardware. Any citation on publications regarding projects funded by the GEF will also accord proper acknowledgement to the GEF. Information will be disclosed in accordance with relevant policies notably the UNDP Disclosure Policy[37] and the GEF policy on public involvement[38].

[37] See http://www.undp.org/content/undp/en/home/operations/transparency/information_disclosurepolicy/
[38] See https://www.thegef.org/gef/policies_guidelines

Monitoring Plan: The project results, corresponding indicators and mid-term and end-of-project targets in the project results framework will be monitored by the Project Management Unit annually, and will be reported in the GEF PIR every year, and will be evaluated periodically during project implementation. If baseline data for some of the results indicators is not yet available, it will be collected during the first year of project implementation. Project risks, as outlined in the risk register, will be monitored quarterly.

A detailed **Results Monitoring Plan**, specifying the outcome-level indicators, targets, methods, means of verification and risks and assumptions is included in **Annex 5** to this Project Document

Monitoring and Evaluation Budget for project execution: *This M&E budget provides a breakdown of costs for M&E activities to be led by the Project Management Unit during project implementation.*		
GEF M&E requirements to be undertaken by Project Management Unit (PMU)	**Indicative costs (US$)**	**Time frame**
Inception Workshop and Report	*USD 135,000.00*	Inception Workshop within 2 months of the First Disbursement
M&E required to report on progress made in reaching GEF core indicators and project results included in the project results framework	*USD 21,600.00*	Annually and at mid-point and closure.
Preparation of the annual GEF Project Implementation Report (PIR)	*USD 10,800.00*	Annually typically between June-August
Monitoring of gender action plan	*USD 17,555.00*	On-going
Monitoring of safeguards management frameworks/action plans	*USD 35,100.00*	On-going
Supervision missions	*USD 10,800.00*	As needed
Learning missions	*USD 10,800.00*	As needed
Independent Mid-term Review (MTR):	*USD 27,000.00*	*By 31 July 2025*

Independent Terminal Evaluation (TE):	*USD 37,800.00*	*By 30 September 2027*
TOTAL indicative COST	***USD 306,455***	

VII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

Section 1: General roles and responsibilities in the projects' governance mechanism

Implementing Partner (IP)

The Implementing Partner for this project is the United Nations Office for Project Services, further also referred to as UNOPS. The Implementing Partner is the entity to which the UNDP Administrator has entrusted the implementation of UNDP assistance specified in this signed project document along with the assumption of full responsibility and accountability for the effective use of UNDP resources and the delivery of outputs, as set forth in this document.

The Implementing Partner is responsible for executing this project in full application of its administrative framework, and with full respect to its rules and regulations. Specific tasks include:

- Project planning, coordination, management, monitoring, evaluation and reporting. This includes providing all required information and data necessary for timely, comprehensive and evidence-based project reporting, including results and financial data, as necessary. The Implementing Partner will strive to ensure project-level M&E counts with the participation of national institutions and is aligned with national systems so that the data used and generated by the project supports national systems.
- Overseeing the management of project risks as included in this project document and new risks that may emerge during project implementation.
- Procurement of goods and services, including human resources.
- Financial management, including overseeing financial expenditures against project budgets.
- Approving and signing the multiyear workplan.
- Approving and signing the combined delivery report at the end of the year; and,
- Signing the financial report or the funding authorization and certificate of expenditures.

Responsible Parties

UNOPS will seek to select and engage responsible parties in such a way as to, a.o., take advantage of widely acknowledged/demonstrated, existing capacity **(criterion #1)** and/or specialized skills **(#2),** pre-existing connections and networks with key beneficiaries and stakeholders in the project region **(#3)**, pre-existing experience **(#4)** (*e.g. from preceding work conducted by the same entity, as responsible partner under PROCARIBE+'s predecessor: the UNDP/GEF CLME+ Project*) and/or comparative advantages **(#5)** (*e.g. when widely acknowledged by beneficiaries and stakeholders in the region*), and/or any relevant formal mandate(s) they may hold relative to the project matters for which they are being engaged **(#6)** (*such as e.g. in the case of Inter-Governmental Organizations or IGO's*).

The engagement of responsible parties may also be done with a view of mitigating risk **(#7)**, to relieve administrative burdens **(#8)**, to achieve cost-effectiveness in project implement **(#9)**, to facilitate national and region-wide ownership and buy-in for project outputs **(#10)** (*e.g. through the project's engagement with the governing bodies of regional IGO's or environmental funds, in cases where such entities maybe be engaged as responsible partners*) and/or to pursue sustainability and continuity **(#11)** of project outputs and achievements/outcomes beyond the project end date (*e.g. through the engagement of responsible parties with a long-term role or mandate in the region*).

In the engagement of responsible parties UNOPS will pursue "value for money" **(#12)** and positively consider potential baseline, parallel and/or aligned or supportive activities being planned or undertaken in the region (or, where relevant, globally) by the prospective partner **(#13)**, and any co-financing commitments they can provide for the project outcomes and objective **(#14)**.

Positive attention may also be given in this context to prior successful experiences as responsible party under the predecessor UNDP/GEF CLME and CLME+ Projects implemented by UNOPS, and/or other UNDP/GEF Projects **(#15)**.

UNOPS will enter into a separate written agreement with each of the responsible parties that will provide goods and services to the project, carry out project activities and/or produce project outputs using the project budget.

For the above purposes, the relevant legal instrument available to UNOPS will be used. These potentially include but are not necessarily limited to: "UN-Agency to UN-Agency Contribution Agreement" (*"UN2UN Agreement", to be used to engage other UN Agencies*), the "Project Cooperation Agreement" (*"PCA", to be used to engage governments and related organizations*), the "Grant Support Agreement" (*"GSA", to be used for Grantees other than national governments or UN entities*), UNOPS' "Contracts for Services" (*procurement*), and consultancy contracts for individual contractors (e.g lump sum, retainers).

In selecting and engaging responsible parties, UNOPS will apply its corresponding internal rules and procedures (*e.g. in the case of commercial procurements: the formal UNOPS procurement instructions, procedures and processes as specified in the UNOPS Procurement Manual*).

Responsible parties are directly accountable to the implementing partner in accordance with the terms of their agreement or contract with the implementing partner.

Given that responsible parties play an execution role and are directly accountable to the implementing partner, it is to be noted that responsible parties should not serve on the Project Board, this to avoid a conflict of interest.

During the PROCARIBE+ PPG Phase, a number of (prospective) responsible parties have been pre-identified. Pre-identified responsible parties are listed in the table below, together with the outputs/outcomes for which they will be engaged.

Responsible parties will be further identified/selected and engaged by UNOPS using the modalities and procedures as described above.

Prospective responsible parties include but are not necessarily limited to: the (prospective) IGO members of the regional Ocean Coordination Mechanism with a formal long-term mandate on the marine environment, the MAR Fund, Pew Charitable Trusts, the Gulf and Caribbean Fisheries Institute (GCFI), the Caribbean Natural Resources Institute (CANARI), the Center for Resource Management and Environmental Studies (CERMES) of the University of the West Indies, the European Space Agency (ESA), the Global Water Partnership (GWP/CapNet), WWF Guianas, etc.

Table 11. Prospective PROCARIBE+ responsible parties pre-identified during the PPG Phase

Entity	Type	Agreement	Responsibility
"Organizacion del Sector Pesquero y Acuicola del Istmo Centroamericano (OSPESCA)", through the "Sistema de Integracion Centroamericana (SICA)"	Regional Inter-Governmental Organization (IGO)	Project Cooperation Agreement	Fisheries Traceability, Spiny Lobster fishing gear (Outputs 3.4.1 and 3.5.1)
Comisión Centroamericana de Ambiente y Desarrollo (CCAD), of the "Sistema de Integracion Centroamericana (SICA)"	regional Inter-Governmental Organization (IGO)	Project Cooperation Agreement	OECM/PSSA under IMO for the MAR region (Output 3.3.2)
Institute of Maritime Affairs (IMA), Trinidad and Tobago	national governmental entity	Project Cooperation Agreement	MSP in Gulf of Paria, Trinidad (Output 3.3.1)
UNDP Venezuela Country Office	UN Agency	UN2UN Agreement	MSP in Gulf of Paria, Venezuela (Output 3.3.1)

Arrangement for project execution of activities in Venezuela

The UNDP-GEF PROCARIBE+ Project is aiming to support Venezuela with advancing marine planning and conservation efforts in cooperation with the Ministerio del Poder Popular para el Ecosocialismo (MINEC). For this output, in consultation with MINEC, the project has pre-identified the UNDP Venezuela Country Office as the most viable option in comparison to other potential execution modalities examined.

Firstly, a national implementation (NIM) modality with the Government of Venezuela is not possible due to the restrictions caused by international sanctions imposed on the Government. Secondly, in examining the Venezuela Marine Spatial Planning activity during the current project design, it was initially proposed that the PROCARIBE+ Implementing Agency, UNOPS, transfer responsibilities for the execution of the activities in countries to one of the PROCARIBE+ Responsible Parties, as UNOPS does not have presence in all of the countries covered by PROCARIBE+. However, none of the tentative Responsible Parties have a local presence in Venezuela. Finally, while reviewing the options for possible third-party implementation, it was confirmed that there is limited on-the-ground capacity in terms of existing development partners working in Venezuela, and in the revision of other potential UN agencies or international organisations or even national NGOs that could also support execution, the UNDP Venezuela Country Office stood-out as the most viable option for executing the resources. The country office's added value stands with having a long track record of successful project implementation, in collaboration with MINEC, on topics directly related to PROCARIBE+'s thematic components, and with supporting other UN Agencies in executing projects. By engaging UNDP-Venezuela as the UNOPS Responsible Party, the Project will be building on years of experience gained in the UNDP Country Office and will give continuity to ongoing initiatives of strategic importance to the Government of Venezuela.

It is important to emphasise the fact that Venezuela's Country Office will receive funds from UNOPS as the Responsible Party for PROCARIBE+, for executing the resources in the country. UNOPS will be in charge of providing direct oversight to the UNDP's Venezuela Country Office. The UNDP's oversight functions for this project will lay with the Regional and HQ Offices through the Regional Technical Advisor and Principal Technical Advisor with no involvement in the execution portion in Venezuela.

Project stakeholders and target groups

Following best practice successfully trialed during the UNDP/GEF CLME and CLME+ Projects, PROCARIBE+ will seek to apply and further expand and consolidate a multi-pronged approach towards the engagement of stakeholders and target groups in project-related decision-making processes.

For this purpose, the project will make a clear distinction, and separation, between decision-making that relates to project management and project governance matters (this Section 1- General roles and responsibilities in the projects' governance mechanism), versus the much wider-ranging participation and decision-making processes that relate to the *often highly technical/specialized, and/or political* activities required to deliver specific project outputs/outcomes.

This distinction will also include a clear separation between "project governance" decisions versus "regional ocean governance" decisions, with project governance decisions corresponding to national representatives to the Project Board, versus regional ocean governance decisions corresponding to national representatives to the organs of the Ocean Coordination Mechanism organs (e.g. the OCM Steering Group) and/or those of the Inter-Governmental Organizations with (a) relevant oceans mandate(s).

In doing so, the project will be able to narrow down the scope of work of the Project Board, in line with the Board's formal mandate and optimized towards the Board's composition and (more compact) membership *(see also Sections 2 and 4 further below)*. This approach will enable **(a)** more cost-efficient project governance and management (*within the limits of the GEF-imposed cap on Project Management Costs*), while **(b)** simultaneously achieving stronger and more wide-spread participation, buy-in and ownership, and sustainability and continuity of project outputs and outcomes, as well as enhanced cost-effectiveness, by using pre-existing regional technical and political decision-making platforms and mechanisms. An important caveat, however, is that this approach will require strong coordination of project timelines with those of regional governance processes, which in turn will require solid relationships between senior staff at the PROCARIBE+ PMCU and senior leadership positions at the level of the regional IGO's (*the regional Ocean Coordination Mechanism, and the PMCU's role as Secretariat to this OCM, will be an important additional enabler in this context*).

In line with the above and for the purpose of project governance and management, the main project stakeholders/target groups will be: UNDP as the GEF Agency, UNOPS as the Implementing Partner, the responsible parties, and the participating GEF-eligible and/or co-financing countries and entities. Differential roles and positions of the aformentioned parties on or vis-a-vis the Project Board are explained further below.

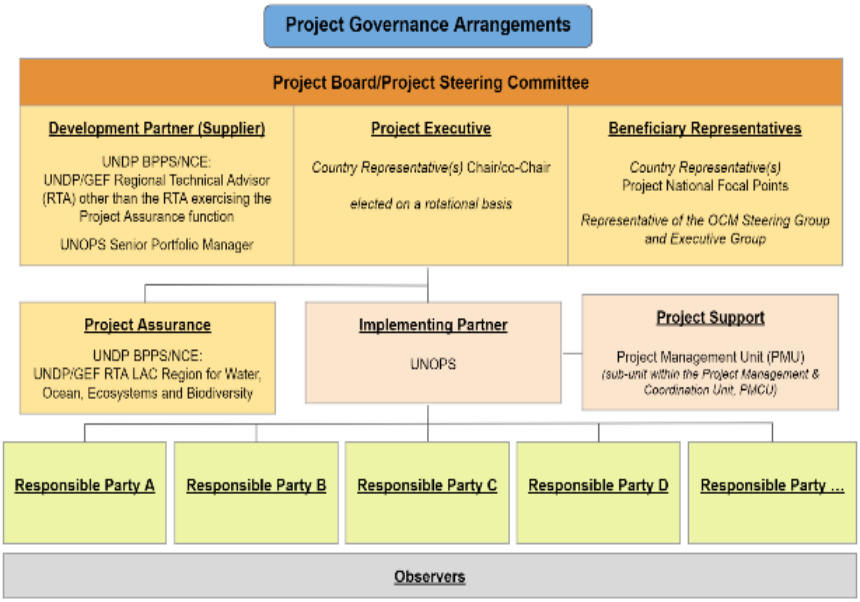
For all other aspects, such as e.g. regional ocean governance processes supported by the Project, and technical project activities, a variety of participation, deliberation and decision-making processes and mechanisms will be used to engage the much wider range of project stakeholders and target *groups, which extend far beyond the stakeholder groups listed in the previous paragraph, and which are described/referred to in more detail throughout this Project Document and in the Project Stakeholder Engagement Plan (Annex 9), the Gender Action Plan (Annex 11) and the Indigenous People Planning Framework (as part of the ESMF Annex 10).*

These mechanisms will include, but are not necessarily limited to: the organs of/Working Groups under the regional Ocean Coordination Mechanism (OCM), and the wider-ranging ocean partnerships (see Outcomes 1.1 and 4.1), the interim Fisheries Coordination Mechanism (bringing together the 3 Regional Fisheries Bodies, OSPESCA, CRFM and FAO-WECAFC), the governing/decision-making bodies of individual IGO's with an oceans-related mandate (e.g. the prospective OCM member IGO's listed in Annex 1 to the OCM MOU), National Inter-Sectoral Committees (NIC's), and other mechanisms and platforms created and/or already pre-enabled for such purposes, e.g. those listed or referred to under the description of activities in Section IV of the Project Document.

UNDP: UNDP is accountable to the GEF for the implementation of this project. This includes overseeing project execution undertaken by UNOPS to ensure that the project is being carried out in accordance with UNDP and GEF policies and procedures and the standards and provisions outlined in the Delegation of Authority (DOA) letter for this project. **The UNDP GEF Executive Coordinator, in consultation with UNDP Bureaus and the Implementing Partner, retains the right to revoke the project DOA, suspend or cancel this GEF project.**

UNDP is responsible for the Project Assurance function in the project governance structure and presents to the Project Board and attends Project Board meetings as a non-voting member.

Section 2: Project governance structure



First line of defense

- If PTA on Project Board, RTA providing project assurance must be from different technical team not reporting to PTA on Project Board
- UNDP function on Project Board must be BPPS NCE not Regional Hub.

Second line of defense

- UNDP GEF Executive Coordinator and BPPS Director can revoke DOA/cancel/suspend project or provide enhanced oversight

UNDP BPPS NCE assumes full responsibility and accountability for oversight and quality assurance of this Project and ensures its timely implementation in compliance with the GEF-specific requirements and UNDP's Programme and Operations Policies and Procedures (POPP), its Financial Regulations and Rules and Internal Control Framework. A UNDP BPPS NCE representative will assume the assurance role and will present assurance findings to the Project Board, and therefore attends Project Board meetings as a non-voting member.

Section 3: Segregation of duties and firewalls vis-à-vis UNDP representation on the project board

As noted in the Minimum Fiduciary Standards for GEF Partner Agencies, in cases where a GEF Partner Agency (i.e. UNDP) carries out both implementation oversight and execution of a project, the GEF Partner Agency (i.e. UNDP) must separate its project implementation oversight and execution duties, and describe in the relevant project document a: 1) Satisfactory institutional arrangement for the separation of implementation oversight and executing functions in different departments of the GEF Partner Agency; and 2) Clear lines of responsibility, reporting and accountability within the GEF Partner Agency between the project implementation oversight and execution functions.

In this case, UNDP is only performing an implementation oversight role in the project vis-à-vis our role in the project board and in the project assurance function and therefore a full separation of project implementation oversight and execution duties has been assured.

Section 4: Roles and Responsibilities of the Project Organization Structure

a) **Project Board:** All UNDP projects must be governed by a multi-stakeholder board or committee established to review performance based on monitoring and evaluation, and implementation issues, to ensure that the project's delivery of results is aligned with the Project Document and the Results Framework, the associated Work Plans and Budgets, and any revisions thereof that may have been approved by the board The Project Board (also called the Project Steering Committee) is the most senior, dedicated oversight body for a project.

The two main (mandatory) roles of the project board are as follows:

1) **High-level oversight of the execution of the project by the Implementing Partner** (as explained in the "Provide Oversight" section of the POPP). This is the primary function of the project board and includes annual (and as-needed) assessments of any major risks to the project, and decisions/agreements on any management actions or remedial measures to address them effectively. The Project Board reviews evidence of project performance based on monitoring, evaluation and reporting, including progress reports, evaluations, risk logs and the combined delivery report. The Project Board is responsible for taking corrective action as needed to ensure the project achieves the desired results.
2) **Approval of strategic project execution decisions of the Implementing Partner** with a view to assess and manage risks, monitor and ensure the overall achievement of projected results and impacts and ensure long term sustainability of project execution decisions of the Implementing Partner (as explained in the "Manage Change" section of the POPP).

Requirements to serve on the Project Board:

- Agree to the Terms of Reference of the Board and the rules on protocols, quorum and minuting.
- Commitment to participate in the Project Board's core activities, including the mandatory annual (as per UNDP policies) Project Board Meeting
- Disclose any conflict of interest in performing the functions of a Project Board member and take all measures to avoid any real or perceived conflicts of interest. This disclosure must be documented and kept on record by UNDP.
- Discharge the functions of the Project Board in accordance with UNDP policies and procedures.
- Ensure highest levels of transparency and ensure Project Board meeting minutes are recorded and shared with project stakeholders.

Responsibilities of the Project Board:

- Consensus decision making:
    - The project board provides overall management and strategic guidance and direction to the project, ensuring it remains within any specified constraints, and providing overall oversight of the project implementation.
    - Review project performance based on monitoring, evaluation and reporting, including progress reports, risk logs and the combined delivery report;
    - The project board is responsible for making management decisions by consensus.
    - In order to ensure UNDP's ultimate accountability, Project Board decisions should be made in accordance with standards that shall ensure management for development results, best value money, fairness, integrity, transparency and effective international competition.
    - In case consensus cannot be reached within the Board, the UNDP representative on the board will mediate to find consensus and, if this cannot be found, will take the final decision to ensure project implementation is not unduly delayed.
- Oversee project execution:
    - Agree on project manager's tolerances as required, within the parameters outlined in the project document, and provide direction and advice for exceptional situations when the project manager's tolerances are exceeded.
    - Appraise annual work plans prepared by the Implementing Partner for the Project; review combined delivery reports prior to certification by the implementing partner.
    - Address any high-level project issues as raised by the project manager and project assurance;
    - Advise on major and minor amendments to the project within the parameters set by UNDP and the donor and refer such proposed major and minor amendments to the UNDP BPPS Nature, Climate and Energy Executive Coordinator (and the GEF, as required by GEF policies);
    - Provide high-level direction and recommendations to the project management unit to ensure that the agreed deliverables are produced satisfactorily and according to plans.
    - Track and monitor co-financed activities and realisation of co-financing amounts of this project.
    - Approve the Inception Report, GEF annual project implementation reports, mid-term review and terminal evaluation reports.

- Ensure commitment of human resources to support project implementation, arbitrating any issues within the project.

- Risk Management:
  - Provide guidance on evolving or materialized project risks and agree on possible mitigation and management actions to address specific risks.
  - Review and update the project risk register and associated management plans based on the information prepared by the Implementing Partner. This includes risks related that can be directly managed by this project, as well as contextual risks that may affect project delivery or continued UNDP compliance and reputation but are outside of the control of the project. For example, social and environmental risks associated with co-financed activities or activities taking place in the project's area of influence that have implications for the project.
  - Address project-level grievances.
- Coordination:
  - Ensure coordination[39] between various donor and government-funded projects and programmes.
  - Ensure coordination with various government agencies and their participation in project activities.

Composition of the Project Board: The composition of the Project Board must include individuals assigned to the following three roles:

1. **Project Executive:** This is an individual who represents ownership of the project and chairs (or co-chairs) the Project Board. The Executive will be a national representative from the relevant entity from a participating country that provides the project focal point for that country (PROCARIBE+ National Focal Point, NFP). Alternatively, two national representatives from relevant entities from 2 different countries can share this role and/or co chair the Project Board. The Project Executive will be selected on a rotational basis by the Beneficiary Representatives.

2. **Beneficiary Representatives:**

   Representatives from the GEF-eligible countries that have signed the UNDP/GEF PROCARIBE+ Project Document, representatives from the regional Ocean Coordination Mechanism, and representatives from additional countries and entities that have endorsed the 2015-2025 CLME+ SAP and/or provided a co-financing commitment for PROCARIBE+.

   Their primary function within the board is to ensure the realization of project results as per the specifications of the Project Document and the Project Results Framework, the associated work plans, budgets and timelines, and any possible Project Board-approved revisions thereof.

   The PROCARIBE+ Project Board Beneficiary Representatives will be expected to consist of:

   - a main representative (and alternate representative) for the national government of each GEF-eligible country that has signed the UNDP/GEF PROCARIBE+ Project Document (i.e. "PROCARIBE+ main and alternate National Focal Points", "PROCARIBE+ NFP's")
   - a main representative (and alternate representative) for the national government of each non-GEF-eligible country that has signed the 10-year CLME+ SAP and/or committed co-financing for PROCARIBE+
   - a representative for the regional Ocean Coordination Mechanism (OCM) Steering Group
   - a representative for the regional Ocean Coordination Mechanism (OCM) Executive Group

[39] Active day-to-day technical coordination of activities with other projects, programmes and initiatives is a responsibility of the Implementing Partner (UNOPS) together with the Responsible Parties; however, as described under "Responsibilities of the Project Board " under this section, the Board membership will have a supporting/enabling role in identifying and facilitating key opportunities for coordination that will be conducive to successful project implementation and optimal use of the GEF PROCARIBE+ grant.

In selecting and nominating PROCARIBE+ National Focal Points/Project Board Representatives, due consideration should be given to the Boards' specific functions and objectives ("Responsibilities of the Board", as described under this section), noting the focus of the Board on supporting project governance and project management oversight. Familiarity of nominees with project management processes and best practice would therefore constitute an asset, in addition to a broad, higher-level (rather than sector-specific) understanding of national/organizational actions and priorities relative to the marine environment and its linkages with sustainable development.

During the project inception phase and throughout the project's implementation, the Project Board may decide to add additional Beneficiary Representatives, either through the Board's Terms of Reference (ToRs) and the approval of any possible revisions thereof, or by means of other board decisions.

For those countries where a government entity acts as a PROCARIBE+ responsible party, a national representative from an entity other than the national entity engaged as responsible party should be appointed as Beneficiary representative, this in order to avoid potential conflicts of interest in project board decision-making processes.

3. **Development Partner(s):** Individuals or groups representing the interests of the parties concerned that provide the project's core funding, strategic guidance and/or technical expertise to the project. The Development Partner(s) for PROCARIBE+ are: **(1)** a UNDP/GEF Regional Regional Technical Advisor (RTA) other than the RTA that will exercise the Project Assurance role; and **(2)** a UNOPS Senior Portfolio Manager.

   As previously noted, PROCARIBE+ responsible parties cannot [directly] serve on the PROCARIBE+ Project Board.

Observers and Exponents:

PROCARIBE+ responsible parties, and PROCARIBE+ co-financing entities that are not already represented on the Project Board as Beneficiary Representatives, will be automatically invited to participate in the discussions and activities of the Project Board as Observer, throughout the duration of the project, but without decision-making power.

Individual experts and/or representatives from countries, entities, sectors, projects or initiatives deemed to pertain to the wider, expanded range of project stakeholders/beneficiaries, and/or with similar or related goals and objectives, **(a)** can be invited, and/or **(b)** can request to be admitted to participate as exponents and/or observers in the activities of the PROCARIBE+ Project Board, subject to agreement (no objection) from the Project Board Members.

Observers and Exponents may further be invited to take part in the discussions of the Board, but without decision-making powers, as deemed beneficial/useful for the objectives of the project and for the purposes of the Board activity(s) under consideration. On a case by case basis, permanent observer status can be requested/issued (i.e. for the duration of the project), or for (a) selected Project Board activity(s) only.

Project Executive Group (PEG):

A PROCARIBE+ Project Executive Group (PEG) will be created by UNOPS to promote technical coordination among the different PROCARIBE+ responsible parties. The PROCARIBE+ PMCU will be a member of the PEG. Note: activities of the PEG will have a technical character and are not considered project governance and management oversight activities -the latter being the responsibility of the PMU and the Project Board.

b) **Project Assurance:** Project assurance is the responsibility of each project board member; however, UNDP has a distinct assurance role for all UNDP projects in carrying out objective and independent project oversight and monitoring functions. UNDP performs quality assurance and supports the Project Board (and Project Management Unit) by carrying out objective and independent project oversight and monitoring functions, including compliance with the risk management and social and environmental standards of UNDP. The Project Board cannot delegate any of its quality assurance responsibilities to the Project Manager. Project assurance is totally independent of project execution.

A designated representative of UNDP playing the project assurance role is expected to attend all board meetings and support board processes as a non-voting representative. It should be noted that while in certain cases UNDP's project assurance role across the project may encompass activities happening at several levels (e.g. global, regional), at least one UNDP representative playing that function must, as part of their duties, specifically attend board meeting and provide board members with the required documentation required to perform their duties. The UNDP representative playing the main project assurance function is/are: the UNDP BPPS/NCE Regional Technical Advisor (RTA) for the Latin America and Caribbean (LAC) region, responsible for the LAC portfolio of Water and Oceans.

c) **Project Management – Execution of the Project:** The UNOPS **Project Manager (PM)** is the senior most representative of the **Project Management Unit (PMU)** and is responsible for the overall day-to-day management of the project on behalf of the Implementing Partner, including the mobilization of all project inputs, supervision over project staff, responsible parties, consultants and sub-contractors. The project manager typically presents key deliverables and documents to the board for their review and approval, including progress reports, annual work plans, adjustments to tolerance levels and risk registers.

A designated representative of the PMU is expected to attend all board meetings and support board processes as a non-voting representative.

The primary PMU representative attending board meetings is: the **UNOPS PROCARIBE+ Project Manager (PM)**.

The PROCARIBE+ Project Management Unit (PMU) is embedded within and a part of the "**PROCARIBE+ Project Management and Coordination Unit" ("PROCARIBE+ PMCU" or "PMCU")**, both of which are to be created and operated by the Implementing Partner (UNOPS), for the duration of the project.

The PROCARIBE+ Project introduces the concept of the Project Management and Coordination Unit (PMCU) to clarify and more clearly separate between the project management and project management support functions of the Unit and its staff, and the very substantive role of the PMCU and its staff in providing solid advocacy and technical advisory and coordination services for the project.

Ensuring high levels of such advocacy, advisory and technical coordination support will be critical for the Project's successful delivery on the variety of outcomes and outputs under its results framework, given: **(a)** the large number and wide variety of beneficiaries and stakeholders across the full range of project outputs and outcomes; **(b)** the multiple geographic scales that range from the local to the national to the (sub-)regional and extending to the global, and the large variety of topics covered by the project which, while often inter-linked, cut across a wide range of thematic fields and marine (and coastal/terrestrial) sectors; **(c)** the role of the PMCU as (interim) Secretariat of the regional Ocean Coordination Mechanism (OCM) that will be operationalized and supported by the project through its Component 1 and 4, in fulfilment of one of the highest priority actions included in the politically endorsed 10-year CLME+ Strategic Action Programme (SAP).

The PMCU will deploy an adaptive management approach, supported by regular stock-taking and early risk detection based on solid (online, collaborative) progress monitoring & evaluation approaches, following

established best practice from the predecessor CLME and CLME+ Projects, commended on by the independent Terminal Evaluations of both projects.

As this Section VII of the UNDP Project Document focusses on project governance and management arrangements, Table 12 here below limits itself to sketching the composition of the project management element of the PMCU. Several of the positions mentioned in the table are full-time positions, however, dedication levels listed in the table only refer to (anticipated) time dedicated to project management and/or monitoring & evaluation. For additional information on the technical coordination and technical advisory roles of the PMCU, and of its expanded staffing, we refer to Annex 8.

Table 12. PROCARIBE+ Project Management Unit (PMU) Staffing and Functions
(for more details see Project Document Annex 8)

Position	**Description**	**Levels of the PMCU Position specifically dedicated to Project Management and/or M&E tasks**
Project Manager (PM)	Lead and oversee the overall management of the project, pursuing cost-efficiency and effectiveness in project management by making optimal use of available support staff and consultants through advanced levels of delegation, while ensuring compliance with UNOPS' project management standards (UNOPS Project Management Manual) and all applicable GEF, UNDP and UNOPS rules and regulations, and Project Board decisions.	± 5 person-months *(PMC budget)*
Deputy Project Manager (Senior Project Officer)		± 5 person-months *(PMC budget)*
Operations and Liaisons Support & Finance Manager (OLSM)	The OSLM will directly support the PM, especially on operational and financial matters. The OSLM is expected to bring in substantive, (certified) project management/people leadership experience, ideally supported by strong language and relations management skills.	± 20 person-months *(PMC budget)*
Operations and Liaisons Support & Finance Assistant (OLSA)	The OSLA will have a major role in the day-to-day management of the project and directly support the PM and OSLM, especially on operational and financial matters, and record-keeping	± 24 person-months *(PMC budget)*
M&E Specialist	Monitoring & evaluation required to report on progress made in reaching GEF core indicators and project results included in the project results framework + preparation of the annual GEF Project Implementation Report (PIR)	± 7.5 person-months (M&E budget)
Gender Specialist*	Monitoring & evaluation of the Project Gender Action Plan, as per the project M&E requirements.	± 2.5 person-months *(M&E budget)*
Safeguards Specialist*	Monitoring & evaluation of the Project Safeguards Management Framework/Action Plans, as per the project M&E requirements.	± 5 person-months *(M&E budget)*
*these 2 functions may be configured either as a single, or as 2 separate positions		

Planned coordination with other relevant GEF-financed projects and other initiatives

During the PROCARIBE+ PPG phase, consultations with other relevant GEF-financed projects took place to identify options for synergies and complementarity, and to avoid potential overlaps with other regional initiatives. Information on the engagement activities undertaken during the PPG is available in the Stakeholder Engagement Plan (Annex 9 of the project package).

While collaboration with relevant regional GEF-funded projects is expected in several PROCARIBE+ outputs, the following activities where specific collaborative activities are foreseen are worth mentioning:

For Output 3.2.1, the project will support Panama -as a pilot initiative- in the efforts to quantify their carbon stocks in both seagrass beds (blue carbon) as well as in coastal tropical peatlands; lessons learned from this effort would then be used to support replication and up-scaling. For this output, complementary actions are expected with the Caribbean Biodiversity Fund, through its "Caribbean BlueFin Project" and the AFD/FFEM "Caribbean Regional Architecture for Biodiversity" (CRAB) Project, in light of its objective to setup a Blue Carbon Facility in the region with the aim of mobilizing potential financing for marine and coastal ecosystem conservation through this facility. Such facility could help secure future financing for blue carbon pilot projects, including the pilot to be implemented under PROCARIBE+ in Panama. Coordination with Pew Charitable Trusts, who will be working on supporting several countries with blue carbon projects in the upcoming years, is also expected under this output.

Initial discussions with Pew charitable Trust has also been held to collaborate under Output 2.1.4 on the integration of coastal and marine components in NDC updates, considering their plans to help countries increase their ambitions in their renewed NDCs by integrating climate contributions from marine and coastal environments.

For output 3.3.1 and 3.3.2, the project is seeking to collaborate with a number of initiatives in the region supporting blue economy, marine spatial planning and area-based conservation efforts. Notably, synergies will be sought with the BE-CLME+ project and Blue Nature Alliance. For the intervention pertaining to increasing the protection of the Dominican Republic portion of the Beata Ridge, efforts will be coordinated, as appropriate, with a possible project of the Blue Nature Alliance initiative. Communications with the Blue Nature Alliance team were held throughout the PROCARIBE+ PPG phase and will be continued to further clarify the scope of potential collaboration.

VIII. FINANCIAL PLANNING AND MANAGEMENT

The total cost of the project is USD 141,446,463. This is financed through a GEF grant of USD 15,429,817 administered by UNDP, and additional support of USD 126,016,646. UNDP, as the GEF Implementing Agency, is responsible for the oversight of the GEF resources and the cash co-financing transferred to UNDP bank account only.

Co-financing: The actual realization of project co-financing amounts will be monitored by the UNDP Regional Office and the PMCU on an annual basis in the GEF PIR and will be reported to the GEF during the *mid-term review* and terminal evaluation process as follows:

Table 13. PROCARIBE+ Co-financing

Co-financing source	Co-financing type	Co-financing amount
United States of America	In-Kind	24,007,556
the Netherlands	In-Kind	500,000
the Netherlands	Grant	19,500,000
Belize	Grant	867,000
Belize	In-kind	750,000
Colombia	Grant	6,736,614
Colombia	In-Kind	744,235
Costa Rica	Grant	3,000,000
Dominican Republic	Grant	3,120,000
Dominican Republic	In-Kind	780,000
Guatemala	In-Kind	1,790,315
Honduras	In-Kind	1,250,815
Honduras	Grant	11,494,505
Panama	In-Kind	4,216,397
Trinidad and Tobago	Grant	580,840
Trinidad and Tobago	In-Kind	1,194,603
CCAD	In-Kind	1,500,000
CRFM	In-Kind	600,000
OSPESCA	In-Kind	1,595,955

OSPESCA	Grant	1,844,120
UNDP (Climate Promise)	Grant	6,615,460
UNDP (Climate Promise)	In-Kind	85,000
ESA (European Space Agency)	In-Kind	400,000
Summit Foundation	Grant	6,500,000
GCFI	Grant	3,487,000
GCFI	In-Kind	1,800,000
NDC Partnership	In-Kind	1,930,700
NDC Partnership	Grant	2,896,052
MAR Fund	Grant	4,100,000
UNDP (Barbados Multi-Country Office)	Grant	12,129,479
TOTAL		**126,016,646**

Budget Revision and Tolerance: As per UNDP POPP, the project board may agree with the project manager on a tolerance level for each detailed plan under the overall multi-year workplan. The agreed tolerance and any potential subsequent revisions thereof should be written in the approved inception workshop and/or project board meeting minutes. It should normally not exceed 10 percent of the agreed annual budget at the activity level, but within the overall approved multi-year workplan at the activity level. Within the agreed tolerances, the project manager can operate without intervention from the project board. Restrictions apply as follows:

Should the following deviations occur, the Project Manager/IP through UNDP HQ will seek the approval of the BPPS/NCE-VF team to ensure accurate reporting to the GEF. It is **strongly encouraged** to maintain the expenditures within the approved budget at the budgetary account and at the component level:

a) Budget reallocations must prove that the suggested changes in the budget will not lead to material changes in the results to be achieved by the project. A strong justification is required and will be approved on an exceptional basis. Budget re-allocations among the components (including PMC) of the approved Total Budget and Work Plans (TBWP) that represent a value greater than 10% of the total GEF grant.
b) Introduction of new outputs/activities (i.e. budget items) that were not part of the agreed project document and TBWP that represent a value greater than 5% of the total GEF grant. The new budget items must be eligible as per the GEF and UNDP policies.
c) Project management cost (PMC): budget under PMC component is capped and cannot be increased.

Any over expenditure incurred beyond the available GEF grant amount must be absorbed by non-GEF resources (e.g. UNDP TRAC or cash co-financing).

Project extensions: The UNDP Principal Technical Advisor (PTA) and the UNDP-GEF Executive Coordinator must approve all project extension requests. Note that all extensions incur costs and the GEF project budget cannot be increased. A single extension may be granted on an exceptional basis and subject to the conditions and maximum

durations set out in the UNDP POPP; the project management costs during the extension period must remain within the originally approved amount, and any increase in PMC costs will be covered by non-GEF resources; the additional UNDP oversight costs during the extension period must be covered by non-GEF resources, in accordance with UNDP's guidance set out in UNDP POPP.

Audit: The project will be audited as per UNDP Financial Regulations and Rules and applicable audit policies. Audit cycle and process must be discussed during the Inception workshop. If the Implementing Partner is an UN Agency, the project will be audited according to that Agency's applicable audit policies.

Project Closure: Project closure will be conducted as per UNDP requirements outlined in the UNDP POPP. All costs incurred to close the project must be included in the project closure budget and reported as final project commitments presented to the Project Board during the final project review. The only costs a project may incur following the final project review are those included in the project closure budget.

Operational completion: The project will be operationally completed when the last UNDP-financed inputs have been provided and the related activities have been completed. This includes the final clearance of the Terminal Evaluation Report (that will be available in English) and the corresponding management response, and the end-of-project review Project Board meeting. **Operational closure must happen at the end date calculated by the approved duration after the Project Document signature or at the revised operational closure date as approved in the project extension. Any expected activity after the operational date requires project extension approval.** The Implementing Partner through a Project Board decision will notify the UNDP Regional Office when operational closure has been completed. At this time, the project should have completed the transfer or disposal of any equipment that is still the property of UNDP.

Transfer or disposal of assets: In consultation with the Implementing Partner and other parties of the project, UNDP is responsible for deciding on the transfer or other disposal of assets. Transfer or disposal of assets is recommended to be reviewed and endorsed by the project board following UNDP rules and regulations. Assets may be transferred to the government for project activities managed by a national institution at any time during the life of a project (it is strongly encouraged to be done before the operational closure date). In all cases of transfer, a transfer document must be prepared and kept on file[40]. The transfer should be done before the Project Management Unit completes its assignments.

Financial completion (closure): The project will be financially closed when the following conditions have been met: a) the project is operationally completed or has been cancelled; b) the Implementing Partner has reported all financial transactions to UNDP; c) UNDP has closed the accounts for the project; d) UNDP and the Implementing Partner have certified a final Combined Delivery Report (which serves as final budget revision).

The project will be financially completed **within 6 months of operational closure or after the date of cancellation**. If Operational Closure is delayed for any justified and approved reason, the Regional Office should do all efforts to Financially Close the project within 9 months after TE is completed. Between operational and financial closure, the implementing partner will identify and settle all financial obligations and prepare a final expenditure report. The UNDP Regional Office will send the final signed closure documents including confirmation of final cumulative expenditure and unspent balance to the BPPS/NCE-VF Unit for confirmation before the project will be financially closed in Quantum by the UNDP Regional Office.

Refund to GEF: Should a refund of unspent funds to the GEF be necessary, this will be managed directly by the BPPS/NCE-VF Directorate in New York. No action is required by the UNDP Regional Office on the actual refund from UNDP project to the GEF Trustee.

[40] See https://popp.undp.org/_layouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/PPM_Project%20Management_Closing.docx&action=default.

IX. TOTAL BUDGET AND WORK PLAN

REGIONAL

TOTAL BUDGET AND WORK PLAN			
Quantum[1] Proposal or Award ID:	00143903	Quantum Primary Output Project ID:	00131836
Quantum Award Title as in Quantum:	*PROCARIBE+ FSP*		
Quantum Business Unit	UNDP1		
Quantum Primary Output Project Title as in Quantum:	PROCARIBE+ FSP		
UNDP-GEF PIMS No.	6290		
Implementing Partner	UNOPS		

Quantum activity (GEF component)	**Quantum implementing agent**	**Quantum fund ID**	**Donor Name**	**Quantum budgetary account code**	**Quantum budget account description**	**Amount Year 1 (USD)**	**Amount Year 2 (USD)**	**Amount Year 3 (USD)**	**Amount Year 4 (USD)**	**Amount Year 5 (USD)**	**Total (USD)**	**Budget Notes**
Component 1. Region-wide multi-stakeholder cooperation, coordination, collaboration and communication for the protection, restoration and sustainable use of marine and	UNOPS	62000	GEF	71200	International Consultants	94,372	40,371	61,971	51,171	41,441	**289,326**	1
				71300	Local Consultants	3,009	3,009	3,009	3,009	3,009	**15,045**	2
				71600	Travel	155,158	111,088	169,211	65,727	118,875	**620,059**	3
				71800	Contractual Services – Imp Part	7,025	7,024	7,025	7,025	7,025	**35,124**	4
				72100	Contractual Services - Companies	158,547	158,546	158,546	147,746	158,547	**781,932**	5
				72500	Supplies	933	2,047	1,570	2,047	2,047	**8,644**	6

coastal ecosystems in the Caribbean and North Brazil Shelf Large Marine Ecosystems (EBM approach)				72400	Communic & Audio Visual Equip	1,890	0	810	0	0	**2,700**	7
				73100	Rental & Maintenance - Premises	4,187	3,242	3,646	3,241	3,241	**17,557**	8
				74200	Audio Visual&Print Prod Costs	20,493	14,013	19,411	9,693	15,093	**78,703**	9
				75700	Training, Workshops and Confer	58,004	39,644	60,164	24,523	45,044	**227,379**	10
TOTAL COMPONENT 1						**503,618**	**378,984**	**485,363**	**314,182**	**394,322**	**2,076,469**	
Component 2. Enabling national environments for the protection, restoration and sustainable use of coastal and marine resources (EBM/EAF)	UNOPS	62000	GEF	71200	International Consultants	41,590	33,490	33,490	25,390	25,390	**159,350**	11
				71300	Local Consultants	6,665	7,971	9,277	7,971	6,665	**38,549**	12
				71600	Travel	11,236	6,173	11,250	6,173	6,396	**41,228**	13
				71800	Contractual Services – Imp Part	61,918	61,916	61,918	61,918	61,918	**309,588**	14
				72100	Contractual Services - Companies	463,394	504,976	308,951	71,168	9,067	**1,357,556**	15
				72500	Supplies	910	1,998	1,531	1,998	1,998	**8,435**	16
				72400	Communic & Audio Visual Equip	1,845	0	791	0	0	**2,636**	17
				73100	Rental & Maintenance - Premises	4,085	3,163	3,558	3,163	3,163	**17,132**	18
				74200	Audio Visual&Print Prod Costs	4,241	17,201	12,881	6,401	2,081	**42,805**	19
				75700	Training, Workshops and Confer	4,118	4,118	4,118	4,118	4,118	**20,590**	20
TOTAL COMPONENT 2						**600,002**	**641,006**	**447,765**	**188,300**	**120,796**	**1,997,869**	
Component 3. Catalyzing actions by all sectors of society, at	UNOPS	62000	GEF	71200	International Consultants	75,022	75,023	75,023	75,025	75,023	**375,116**	21
				71300	Local Consultants	20,139	23,344	26,550	23,342	20,138	**113,513**	22
				71600	Travel	56,949	56,127	71,059	45,327	32,409	**261,871**	23

different spatial scales, for the protection, restoration and sustainable use of marine and coastal natural capital ("blue economies")				71800	Contractual Services – Imp Part	265,562	265,560	265,562	265,562	265,562	**1,327,808**	24
				72100	Contractual Services - Companies	1,375,263	1,625,469	1,557,966	1,444,923	198,946	**6,202,567**	25
				72500	Supplies	4,612	10,124	7,762	10,124	10,125	**42,747**	26
				72400	Communic & Audio Visual Equip	9,351	0	4,007	0	0	**13,358**	27
				73100	Rental & Maintenance - Premises	20,705	16,030	18,034	16,030	16,029	**86,828**	28
				74200	Audio Visual&Print Prod Costs	14,596	23,236	14,596	25,396	10,546	**88,370**	29
				75700	Training, Workshops and Confer	79,132	52,132	19,732	48,892	19,732	**219,620**	30
TOTAL COMPONENT 3						**1,921,331**	**2,147,045**	**2,060,291**	**1,954,621**	**648,510**	**8,731,798**	
Component 4. Region-wide data/knowledge generation, management and sharing mechanisms supporting cooperation, coordination, collaboration and synergistic action	UNOPS	62000	GEF	71200	International Consultants	114,047	76,787	52,486	38,986	17,386	**299,692**	31
				71300	Local Consultants	5,135	5,135	5,135	5,135	5,135	**25,675**	32
				71600	Travel	42,342	25,336	42,352	25,336	38,989	**174,355**	33
				71800	Contractual Services – Imp Part	30,746	30,746	30,745	30,745	30,745	**153,727**	34
				72100	Contractual Services - Companies	266,688	271,008	172,404	81,718	81,718	**873,536**	35
				72500	Supplies	631	1,383	1,060	1,383	1,383	**5,840**	36
				72400	Communic & Audio Visual Equip	1,278	0	548	0	0	**1,826**	37
				73100	Rental & Maintenance - Premises	2,829	2,190	2,464	2,190	2,190	**11,863**	38
				74200	Audio Visual&Print Prod Costs	1,441	3,601	1,441	3,601	3,601	**13,685**	39
				75700	Training, Workshops and Confer	4,836	4,836	4,836	4,837	4,837	**24,182**	40

TOTAL COMPONENT 4						**469,973**	**421,022**	**313,471**	**193,931**	**185,984**	**1,584,381**	
Component 5. Monitoring & Evaluation	UNOPS	62000	GEF	71200	International Consultants	15,776	15,776	45,862	15,776	56,662	**149,852**	41
				71600	Travel	90,002	2,700	8,100	2,700	8,100	**111,602**	42
				75700	Training, Workshops and Confer	45,001	0	0	0	0	**45,001**	43
TOTAL COMPONENT 5						**150,779**	**18,476**	**53,962**	**18,476**	**64,762**	**306,455**	
PROJECT MANAGEMENT	UNOPS	62000	GEF	71600	Travel	0	0	82,513	0	82,513	165,026	44
				71800	Contractual Services – Imp Part	94,410	62,940	94,410	62,940	94,410	409,110	45
				72500	Supplies	11,491	0	4,925	0	0	16,416	46
				72400	Communic & Audio Visual Equip	378	0	162	0	0	540	47
				73100	Rental & Maintenance - Premises	2,052	1,296	1,620	1,296	1,296	7,560	48
				74100	Professional services	0	0	21,600	0	0	21,600	49
				75700	Training, Workshops and Confer	3,973	23,105	31,205	23,105	31,205	112,593	50
TOTAL PMC						**112,304**	**87,341**	**236,435**	**87,341**	**209,424**	**732,845**	
GRAND TOTAL						**3,758,007**	**3,693,874**	**3,597,287**	**2,756,851**	**1,623,798**	**15,429,817**	

Number		**Budget Note**
1	30,857.00	Knowledge Management Specialist. Time allocated to this Component/outcome
	30,857.00	Communication Specialist. Time allocated to this Component/outcome
	43,201.00	Consultant to support the participatory, ongoing/periodic SAP Implementation Progress M&E and final evaluation (includes TOR development & approval) (see also Output 1.1.2)

	118,807.00	Consultants for the review of the draft proposal for a wide-ranging CLME+ Partnership, inventory and analysis/mapping of existing thematic partnerships, extraction of best practices and lessons learned from other existing partnerships and partnership models, engagement of the Partnership(s) in SOMEE (see also Output 4.1.3.) and SAP development (see also Output 1.1.2), and SAP M&E - including upfront identification of financing modalities for the new 10-year regional SAP, engagement of the Partnership(s) in the development and subsequent progressive implementation and sustainable management of the regional data/information/knowledge management infrastructure blueprint (see also Output 4.1.2.), including the regional OCM Knowledge Management Hub (see also Output 4.1.1.)
	21,600.00	Consultant for the support for the high-level political endorsement process of the new SAP and support for the wider-ranging societal endorsement process
	2,844.00	Training facilitator. Time allocated to this Component/outcome
	8,585.00	Gender Specialist. Time allocated to this Component/outcome
	4,629.00	Health, Safety and Security (HSS) Specialist. Time allocated to this Component/outcome
	15,044.00	Safeguards Specialist. Time allocated to this Component/outcome
	12,902.00	Meeting Facilitator. Time allocated to this Component/outcome
2	6,248.00	3 Interns. Time allocated to this Component/outcome
	8,797.00	IT and Graphic Design support. Time allocated to this Component/outcome
3	1,734.00	DSAs and Tickets for Steering Committee Meetings (presential: 2, mid-project & end). Approx 45 participants per meeting. Share allocated to C1.
	78,841.00	Travel cost 3 meetings OCM Executive Group (20 participants per meeting)

	259,204.00	Travel cost 3 meetings OCM steering Group (60 participants per meeting)
	118,802.00	2 Regional Partnership(s) Fora towards the CLME+ Vision (40 participant per meeting)
	90,721.00	3 Working Groups creation & operations OCM & SAP development (25 participants per meeting)
	30,242.00	Travel missions to achieve technical review, revision & clearance of the new SAP
	30,564.00	Technical Project staff attendance at meetings, conferences (including meetings described under the activities list for Component 1 (C1) outputs as well as attendance at meetings of regional IGO's for advocacy purposes and/or international events to mobilize support for complementary action for C1 outcomes). Cost allocated to this Component/outcome
	9,951.00	2 presential meetings Project Executive Group (PEG). Cost allocated to this Component/outcome
4	35,124.00	Senior Project Officer # 1 (SPO1). Time allocated to this Component/outcome
5	59,401.00	Contract for development, adoption and implementation of long-term sustainable financing strategy and Secretariat solution for the OCM
	580,099.00	Ocean Coordination Mechanism (OCM) Secretariat
	37,801.00	Contract to support the work of the Gender and Youth in Oceans Governance Working Group

	37,801.00	Contract for Independent review of first CLME TDA/SAP process
	66,830.00	Contract for Development & adoption of M&E approach for the new SAP
6	8,644.00	Office supplies in support of the delivery of Component 1 outputs, including operations of the OCM
7	2,700.00	IT Equipment costs. Cost allocated to this Component/outcome
8	17,557.00	Share of local offices to support technical activities. Cost allocated to this Component/outcome
9	14,040.00	Supporting materials and resources 3 OCM Executive Group meetings
	32,400.00	Supporting materials and resources 3 OCM Steering Group meetings
	10,800.00	Supporting materials and resources 2 Regional Partnerships Fora
	6,480.00	Supporting materials and resources 3 Working Groups Meetings OCM SAP development
	4,320.00	Supporting materials and resources 3 Meetings for technical review, revision & clearance of the new SAP
	10,663.00	Written translations. Cost allocated to this outcome
10	36,721.00	Contract logistics and organization of 3 OCM executing group meeting
	104,159.00	Contract logistics and organization of 3 OCM Steering Committee meeting
	32,400.00	Contract logistics and organization of 2 Regional Partnership Fora
	32,400.00	Contract logistics and organization of 3 Working Groups Meetings OCM SAP development

	8,640.00	Contract logistics and organization of 3 Meetings for technical review, revision & clearance of the new SAP
	5,333.00	Support Project Executive Group (PEG) meeting platform & logistics (5 meetings, 2 presential). Cost allocated to this Component/outcome
	7,726.00	Logistics and venue technical trainings and team building retreats. Cost allocated to this Component/outcome
11	42,575.00	Communication Specialist. Time allocated to this Component/outcome
	8,210.00	Meeting Facilitator. Time allocated to this Component/outcome
	7,521.00	Gender Specialist. Time allocated to this Component/outcome
	4,629.00	HSS Specialist. Time allocated to this Component/outcome
	42,575.00	Knowledge Management Specialist. Time allocated to this Component/outcome
	18,665.00	Safeguards Specialist. Time allocated to this Component/outcome
	2,775.00	Training facilitator. Time allocated to this Component/outcome
	16,200.00	Consultant for the production of a status report on NICs in the wider Caribbean/CLME+ countries
	16,200.00	Consultant fo the review of preliminary SOMEE work conducted under the CLME+ Project
12	23,887.00	3 Interns. Time allocated to this Component/outcome
	14,662.00	IT and Graphic Design support. Time allocated to this Component/outcome

13	1,693.00	DSAs and Tickets for Steering Committee Meetings (presential: 2, mid-project & end). Approx 45 participants per meeting. Share allocated to C2.
	27,744.00	Technical project staff attendance at meetings, conferences (including meetings described under the activities list for Component 2 (C2) outputs as well as attendance at meetings of regional IGO's for advocacy purposes and/or international events to mobilize support for complementary action for C2 outcomes). Cost allocated to this Component/outcome
	2,081.00	Technical project staff and partners trainings (e.g. on gender, climate change, safeguards mainstreaming etc.). Cost allocated to this Component/outcome
	9,710.00	Support PEG meeting platform & logistics (5 meetings, 2 presential). Cost allocated to this Component/outcome
14	19,085.00	OLSA. Time allocated to this Component/outcome
	19,006.00	OLSM Time allocated to this Component/outcome
	142,264.00	RC/LTA. Time allocated to this Component/outcome
	51,585.00	SPO1. Time allocated to this Component/outcome
	77,648.00	SPO2. Time allocated to this Component/outcome
15	70,201.00	Contract for development of Regional Workshop(s)/Stocktaking Seminar(s), analyzing and discussing "Status, Approaches, regional and global Best Practices/Lessons Learned, Way Forward" and covering the following 3 topics: (a) national-level (Marine & Coastal) Natural Capital Accounting (NCA); (b) national-level Blue Economy Scoping & Strategies; (c) national-level marine environmental reporting
	24,676.00	OCM Secretariat contributions to C2
	259,204.00	Co-executing agreement (PROCARIBE+ responsible party) to develop 2 prototype national SOMEE reports

	259,204.00	Co-executing agreement (PROCARIBE+ responsible party) to develop min 2 Blue Economy scoping studies (Costa Rica + 1 OECS/CARICOM country)
	259,204.00	Co-executing agreement (PROCARIBE+ responsible party) for the implementation/enhancement of (min.) 1 national Marine and Coastal Natural Capital Accounting effort
	25,920.00	Contract for desk review of existing capacity building opportunities and training courses and materials and engagement with other providers/facilitators of capacity building and training services to develop and map a collaborative approach for the delivery of Output 2.1.3
	200,883.00	Contract for organization of min. 3 dedicated regional training events, or, alternatively online courses. Includes selection and implementation of an online solution(s) to provide permanent access to the training/course and capacity building materials
	25,969.00	Contract for consolidate an updated baseline and status of integration of marine and coastal natural capital/blue carbon in the NDC's from OCM member countries/PROCARIBE+ participating countries
	64,801.00	Contract for organization of a regional workshop in support of the activities of Output 2.1.4
	105,842.00	Agreement to financially support the (early) development of one 2025 NDC update, in one PROCARIBE+ participating country (Panama),
	27,000.00	Co-executing agreement (PROCARIBE+ responsible party) to support the 2025 NDC development support activities in Costa Rica for blue economy scoping and strategy development in the country
	34,561.00	Co-executing agreement (PROCARIBE+ responsible party) to enable minimum of five 2025 NDC's for the region
16	8,435.00	Office supplies in support of the delivery of Component 2 outputs
17	2,636.00	IT Equipment costs. Cost allocated to this Component/outcome
18	17,132.00	Share of local offices to support technical activities. Cost allocated to this Component/outcome

19	32,400.00	Materials for 2.1.1. Advocacy, through the OCM Secretariat, Executive Group and Steering Group (see Output 1.1.1.a), and through the PROCARIBE+ Project Board/Steering Committee and Project Coordination Unit, for strengthened and consolidated national intersectoral coordination mechanisms in the OCM member/PROCARIBE+-participating countries. 2.1.4. Awareness-raising (e.g. through the OCM, the OCM Hub and OCM membership) on: (a) the linkages between, on one hand, ocean conservation and the blue economy, and on the other hand, actions supporting climate mitigation and adaptation, and: (b) the region's current baseline, and further potential, for dual-purpose synergistic action aiming at protecting coastal and marine natural capital and developing the blue economies while simultaneously setting/increasing national-level climate change mitigation and adaptation ambitions. 2.1.4. Advocacy for (a) the (upscaled) integration of marine/coastal natural capital and blue carbon in the 2025 NDCs for the countries from the wider Caribbean (e.g. through the OCM and partnership(s), and other fora as appropriate), and for (b) the incorporation of related, post-2025 action, in the next iteration of the regional SAP
	10,405.00	Written translations. Cost allocated to this Component/outcome
20	12,150.00	Logistics and venue technical trainings and team building . Cost allocated to this outcome
	8,440.00	Support PEG meeting platform & logistics (5 meetings, 2 presential). Cost allocated to this Component/outcome
21	111,715.00	Communication Specialist. Time allocated to this C3 outcomes
	17,417.00	Meeting Facilitator. Time allocated to C3 outcomes
	30,086.00	Gender Specialist. Time allocated to C3 outcomes
	18,515.00	HSS Specialist. Time allocated to C3 outcomes
	111,715.00	Knowledge Management Specialist. Time allocated to C3 outcomes
	71,608.00	Safeguards Specialist. Time allocated to C3 outcomes
	14,060.00	Training facilitator. Time allocated to C3 outcomes
22	75,395.00	3 Interns. Time allocated to C3 outcomes

	38,118.00	IT and Graphic Design support. Time allocated to C3 outcomes
23	8,577.00	DSAs and Tickets for Steering Committee Meetings (presential: 2, mid-project & end). Approx 45 participants per meeting. Share allocated to C3.
	42,121.00	Site visits, min. 10, to support Microfinancing (small grants) Output
	10,800.00	Exchange visit(s) between MSP sites
	140,613.00	Technical project staff attendance at meetings, conferences (including meetings described under the activities list for Component 3 (C3) outputs as well as attendance at meetings of regional IGO's for advocacy purposes and/or international events to mobilize support for complementary action for C3 outcomes). Cost allocated to C3 outcomes
	10,546.00	2 presential meetings Project Executive Group. Cost allocated to C3 outcomes
	49,214.00	Technical project staff and partners trainings. Cost allocated to C3 outcomes
24	41,489.00	OLSA Time allocated to C3 outcomes
	91,794.00	OLSM. Time allocated to C3 outcomes
	401,708.00	RC/LTA Time allocated to C3 outcomes
	341,262.00	SPO1. Time allocated to C3 outcomes
	451,555.00	SPO2. Time allocated to C3 outcomes
25	6,480.00	Contract for development and dissemination of specific guidelines on the achievement of gender and youth targets through Output 3.1.1.
	48,601.00	Contracts for screening of proposals, and grants issuance and management (Microfinancing Output)

	810,012.00	Agreements for a total of min. 34 grants, benefiting civil society groups in min. [5] [6] countries, and targeting a minimum of 30 coastal/marine sites
	12,960.00	Contract for evaluation of the PROCARIBE+ SGP investment
	24,840.00	Contract for Monitoring & Evaluation (incl. in terms of contributions to the aforementioned C-SAP and Regional Strategies and Action Plans) of interim progress, and final achievements
	270,004.00	Co-executing agreement (PROCARIBE+ responsible party) BLUE CARBON PANAMA
	183,601.00	Co-executing agreement (PROCARIBE+ responsible party) BE STRATEGY COSTA RICA
	388,784.00	Co-executing agreement (PROCARIBE+ responsible party) MSP COLOMBIA
	442,807.00	Co-executing agreement (PROCARIBE+ responsible party) MSP DOMINICAN REPUBLIC
	421,206.00	Co-executing agreement (PROCARIBE+ responsible party) MSP MAR REGION
	421,206.00	Co-executing agreement (PROCARIBE+ responsible party) MSP TRINIDAD & TOBAGO
	433,087.00	Co-executing agreement (PROCARIBE+ responsible party) MSP VENEZUELA
	40,717.00	Agreement to promote collaboration between the ongoing MSP processes in the CLME+ region
	106,221.00	OCM Secretariat contributions to C3
	432,007.00	Agreement MPA COLOMBIA
	324,005.00	Co-executing agreement (PROCARIBE+ responsible party) MPA DOMINICAN REPUBLIC
	432,007.00	Co-executing agreement (PROCARIBE+ responsible party) MPA country TBD

	378,006.00	Co-executing agreement (PROCARIBE+ responsible party) MPA MAR REGION
	577,809.00	Co-executing agreement (PROCARIBE+ responsible party) Traceability Co-executing agreement (PROCARIBE+ responsible party) (national)
	86,401.00	Agreement Traceability Co-executing agreement (PROCARIBE+ responsible party) (regional)
	302,405.00	Co-executing agreement (PROCARIBE+ responsible party) Fishing gear (national)
	59,401.00	Co-executing agreement (PROCARIBE+ responsible party) Fishing gear (regional)
26	42,747.00	Office supplies in support of the delivery of Component 3 outputs
27	13,358.00	IT Equipment costs. Cost allocated to C3 outcomes
28	86,828.00	Share of local offices to support technical activities. Cost allocated to C3 outcomes
29	8,640.00	Supporting materials and resources for Issuance of calls for proposals, in the [5] [6] target countries, clarification of priorities and selection criteria
	16,200.00	Materials for outreach and communication activities; incl. through SGP and PROCARIBE+ websites, and through OCM (HUB, OCM membership - as relevant)
	10,800.00	Materials for production of a publication highlighting the achievements, best practices and lessons learnt from the grant support provided under output 3.1.1
	52,730.00	Written translations. Cost allocated to C3 outcomes
30	36,655.00	Logistics and venue technical trainings and team building retreats. Cost allocated to C3 outcomes
	26,365.00	Support PEG meeting platform & logistics (5 meetings, 2 presential). Cost allocated to C3 outcomes

	43,200.00	Contract logistics and organization of Regional Training Workshop for the National SGP Coordinators on the "People Managing Oceans" Civil Society SAP and other relevant Regional Strategies and Action Plan, and that the Small Grants funding to be provided under Output 3.1.1 will seek to support.
	37,800.00	Contract logistics and organization of National launching events
	37,800.00	Contract logistics and organization of Regional Learning and Experience Exchange: Closing Workshop
	37,800.00	Contract logistics and organization of (Virtual) Workshop/materials to (a) share the experiences from selected OIC grantees to extract lessons learned and identify possible opportunities for replication and/or upscaling in the region; and (b) stimulate and enhance the ability of regional entrepreneurs/innovators to successfully prepare and submit proposals to the OIC
31	30,857.00	Communication Specialist. Time allocated to C4 outcomes
	11,143.00	Meeting Facilitator. Time allocated to C4 outcomes
	7,521.00	Gender Specialist. Time allocated to C4 outcomes
	4,629.00	Safeguards Specialist. Time allocated to C4 outcomes
	30,857.00	Knowledge Management Specialist. Time allocated to C4 outcomes
	1,921.00	Training facilitator. Time allocated to C4 outcomes
	21,600.00	Consultant for Scoping of the particular niche of the proposed HUB within the wider range of global, regional, sub-regional and national-level marine data, information and knowledge management platforms

	23,760.00	Consultant for the Independent review of the existing CLME+ Hub prototype, formulation of recommendations for the transformation of/transition from the CLME+ Hub prototype, into the official "OCM regional Hub" (including sustainability considerations, and the fine-tuning of objectives, functionality, structure,...)
	32,400.00	Consultant for the development of a proposal of the Regional HUB as the OCM's Official Knowledge Management Platform, and for its subsequent implementation, maintenance and ongoing development, including the "OCM HUB Sustainability Strategy/Plan".
	16,200.00	Consultant for the development of a fine-tuned approach and work plan/timeline for SOMEE development, taking into account associated "lessons learned" (including the findings of the independent TDA/SAP review, see also Output 1.1.2.)
	16,200.00	Consultant for exchanges on approach and best practices with national-level reporting efforts (Output 2.1.2.)
	64,802.00	Consultant for the creation and operations of a Marine Data/Information/Knowledge Management Working Group by the OCM to ensure adequate co-ownership and engagement of key non-governmental stakeholders in the SOMEE development process (link with Outputs 1.1.1.A and 1.1.1.B)
	37,802.00	Creation and operations of a SOMEE development Working Group by the OCM to ensure adequate co-ownership and engagement of key non-governmental stakeholders in the SOMEE development process (link with Outputs 1.1.1.A and 1.1.1.B)
32	6,250.00	3 Interns. Time allocated to C4 outcomes
	19,425.00	IT and Graphic Design support. Time allocated to C4 outcomes
33	1,172.00	DSAs and Tickets for Steering Committee Meetings (presential: 2, mid-project & end). Approx 45 participants per meeting. Share allocated to C4.
	64,801.00	Participation of the Project in the (biennial) GEF International Waters Conferences (IWC)
	64,801.00	Participation of the Project in the (annual) LME Consultative Group meetings

	16,200.00	Participation of the Project in IW:LEARN twinning exchanges, and regional workshops (to be coordinated with the IW:LEARN team)
	19,215.00	Technical staff attendance at other meetings, conferences (including meetings described under the activities list for Component 4 (C4) outputs as well as attendance at meetings of regional IGO's for advocacy purposes and/or international events to mobilize support for complementary action for C4 outcomes). Cost allocated to C4 outcomes
	6,725.00	2 presential meetings Project Executive Group. Cost allocated to C4 outcomes
	1,441.00	Team Building. Cost allocated to C4 outcomes
34	10,962.00	OLSM. Time allocated to C4 outcomes
	26,627.00	OLSA Time allocated to C4 outcomes
	37,565.00	RC/LTA. Time allocated to C4 outcomes
	78,573.00	SPO1. Time allocated to C4 outcomes
35	135,002.00	Contract to ensure ongoing development (through collaborative efforts) and maintenance of the OCM HUB
	339,023.00	OCM Secretariat contributions to C4
	37,801.00	Contract for the creation of a baseline inventory of relevant global, regional, subregional and national marine data, information and knowledge generation and management processes and platforms, including basic SWOT and sustainability analyses (link with Output 4.2.1)
	37,802.00	Contract for the development of an integrated proposal (blueprint) for an optimized, long-term/sustainable regional Marine Data/Information/Knowledge Infrastructure (MDI)

	216,004.00	Contract for the development of SOMEE content (including through the integration, and further updating/expansion of the content from the SOMEE "building blocks" delivered with the support of the CLME+ Project)
	21,600.00	Contract for the integration of SOMEE building blocks into a final consolidated SOMEE document
	16,200.00	Contract for the production of a SOMEE Executive Summary, Summary for Decision-makers
	38,784.00	Contract for the creation of the online, dynamic/interactive version of SOMEE, to be embedded in the OCM HUB (link with Output 4.1.1.)
	27,000.00	Contract for the production of at least 1 "over-arching" project video
	4,320.00	Contract for the production of at least 1 story map
36	5,840.00	Office supplies in support of the delivery of Component 4 outputs
37	1,826.00	IT Equipment costs. Cost allocated to C4 outcomes
38	11,863.00	Share of local offices to support technical activities. Cost allocated to C4 outcomes
39	6,480.00	Supporting materials and resources for the production of at least 3 experience notes
	7,205.00	Written translations. Cost allocated to C4 outcomes
40	10,260.00	Logistics and venue technical trainings and team building retreats. Cost allocated to this C4 outcomes
	13,922.00	Support PEG meeting platform & logistics (5 meetings, 2 presential). Cost allocated to this C4 outcomes
41	17,550.00	Gender Specialist. Time allocated to M&E
	27,000.00	MTR Consultant for Mid-term Evaluation work

	35,101.00	Safeguards Specialist. Time allocated to M&E
	37,801.00	TE Consultant for Terminal Evaluation work
	10,800.00	M&E Specialist supporting annual PIR reporting
	21,600.00	M&E Specialist supporting M&E of GEF Core Indicators
42	90,002.00	Participants travel to Inception Workshop (approx 40 participants)
	5,400.00	M&E Supervision Mission, Field visit, verification
	5,400.00	M&E Learning Mission
	5,400.00	Travel costs for Mid-Term evaluation
	5,400.00	Travel costs for Terminal evaluation.
43	45,001.00	Logistics, meeting venue, catering, translation services for Inception Workshop
44	165,026.00	DSAs and Tickets for Steering Committee Meetings (presential: 2, mid-project & end). Approx 45 participants per meeting
45	108,002.00	PM/RC/LTA. Time allocated to Project Management
	151,202.00	OLSM. Time allocated to Project Management
	95,905.00	OLSA Time allocated to Project Management
	54,001.00	SPO1. Time allocated to Project Management
46	16,416.00	Office Consumables in support of project management. Cost allocated to PMC

47	540.00	IT Equipment costs. Cost allocated to PMC
48	7,560.00	Local offices. Cost allocated to PMC
49	21,600.00	Professional services for Mandatory Project Audits
50	43,202.00	Contract logistics and organization of Steering Committee Meetings (virtual: 2, year 2 and year 4). Includes virtual platform and Technical support cost
	59,401.00	Contract logistics and organization of Steering Committee Meetings (presential: 2, mid-project & end)
	8,640.00	Contract for participatory platform/progress dashboard for Steering Committee Meeting
	1,350.00	Training PMCU on PM

X. LEGAL CONTEXT

This project forms part of an overall programmatic framework under which several separate associated country level activities will be implemented. When assistance and support services are provided from this Project to the associated country level activities, this document shall be the "Project Document" instrument referred to in: (i) the respective signed SBAAs for the specific countries; or (ii) in the Supplemental Provisions to the Project Document attached to the Project Document in cases where the recipient country has not signed an SBAA with UNDP, attached hereto and forming an integral part hereof. All references in the SBAA to "Executing Agency" shall be deemed to refer to "Implementing Partner."

This project will be implemented by the United Nations Office for Project Services (UNOPS) ("Implementing Partner") in accordance with its financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply**.**

The designations employed and the presentation of material on any map included in this Project Document ad/or its annexes do not imply the expression of any opinion whatsoever on the part of the Secretariat of the United Nations or UNDP or any other Signatory to this Project Document concerning the legal status of any country, territory, city or area or its authorities, or concerning the delimitation of its frontiers or boundaries.

XI. RISK MANAGEMENT

1. UNOPS as the Implementing Partner will comply with the policies, procedures and practices of the United Nations Security Management System (UNSMS).

2. In the implementation of the activities under this Project Document, UNOPS as the Implementing Partner will handle any sexual exploitation and abuse ("SEA") and sexual harassment ("SH") allegations in accordance with its regulations, rules, policies and procedures. Notwithstanding the foregoing, UNOPS as the Implementing Partner, will notify UNDP of any such allegations and investigations it may conduct further to such allegations.

3. UNOPS as the Implementing Partner will ensure that the following obligations are binding on each responsible party, subcontractor and sub-recipient that is not a UN entity:

    a. Consistent with the Article III of the SBAA, the responsibility for the safety and security of each responsible party, subcontractor and sub-recipient and its personnel and property, and of UNOPS's property in such responsible party's, subcontractor's and sub-recipient's custody, rests with such responsible party, subcontractor and sub-recipient. To this end, each responsible party, subcontractor and sub-recipient shall:

        i. put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
        ii. assume all risks and liabilities related to such responsible party's, subcontractor's and sub-recipient's security, and the full implementation of the security plan.

    b. UNOPS reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the responsible party's, subcontractor's and sub-recipient's obligations under this Project Document.

    c. In the performance of the activities under this Project, UNOPS as the Implementing Partner shall ensure, with respect to the activities of any of its responsible parties, sub-recipients and other entities engaged under the Project, either as contractors or subcontractors, their personnel and any individuals performing services for them, that those entities have in place adequate and proper procedures, processes and policies to prevent and/or handle SEA and SH.

4. UNOPS agrees to undertake all reasonable efforts to ensure that none of the UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml.

5. Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (http://www.undp.org/ses) and related Accountability Mechanism (http://www.undp.org/secu-srm).

6. The Implementing Partner shall: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.

7. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.

8. The Implementing Partner will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, responsible parties, subcontractors and sub-recipients in implementing the project or programme or using the UNDP funds. The Implementing Partner will ensure that its financial management, anti-corruption and anti-fraud policies are in place and enforced for all funding received from or through UNDP.

9. Not applicable

10. Not applicable

11. The Implementing Partner and UNDP will promptly inform one another in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

    Where the Implementing Partner becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, the Implementing Partner will inform the UNDP Principal Technical Advisor (PTA), who will promptly inform UNDP's Office of Audit and Investigations (OAI). The Implementing Partner shall provide regular updates to the UNDP PTA and OAI of the status of, and actions relating to, such investigation.

12. UNDP shall be entitled to a refund from the Implementing Partner of any funds provided that have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of this Project Document. Such amount may be deducted by UNDP from any payment due to the Implementing Partner under this or any other agreement. Recovery of such amount by UNDP shall not diminish or curtail the Implementing Partner's obligations under this Project Document.

    Where such funds have not been refunded to UNDP, the Implementing Partner agrees that donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities under this Project Document, may seek recourse to the Implementing Partner for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

    Note: The term "Project Document" as used in this clause shall be deemed to include any relevant subsidiary agreement further to the Project Document, including those with responsible parties, subcontractors and sub-recipients.

13. Each contract issued by the Implementing Partner in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract execution, and that the recipient of funds from the Implementing Partner shall cooperate with any and all investigations and post-payment audits.

14. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.

15. The Implementing Partner shall ensure that all of its obligations set forth under this section entitled "Risk Management Standard Clauses" are passed on to each responsible party, subcontractor and sub-recipient and that all the clauses under this section entitled "Risk Management" are included, *mutatis mutandis*, in all sub-contracts or sub-agreements entered into further to this Project Document.

XII. MANDATORY ANNEXES

Annex 1: GEF Budget Template (see separate file)

Expenditure Category	Detailed Description	Component (USDeq.)										
		Component 1	*Component 2*	*Component 3*					*Component 4*		*Sub-total*	M
				Sub-component 3.1	*Sub-component 3.2*	*Sub-component 3.3*	*Sub-component 3.4*	*Sub-component 3.5*	*Sub-component 4.1*	*Sub-component 4.2*		
Equipment	1,826.00 IT Equipment costs.								1,826		1,826	
Equipment	13,358.00 IT Equipment costs.							13,358			13,358	
Equipment	2,636.00 IT Equipment costs.		2,636								2,636	
Equipment	2,700.00 IT Equipment costs.	2,700									2,700	
Equipment	540 IT Equipment costs.										-	
Contractual Services - Individual	Project Manager/Regional Coordinator/Lead Technical Advisor (PM/RC/LTA)		142,264	19,665	29,353	275,219	38,013	39,458	27,843	9,722	581,537	

Contractual Services - Individual	Operations and Liaisons Support Assistant (OLSA)		19,085	2,031	3,032	28,424	3,927	4,075	18,571	8,056	87,201	
Contractual Services - Individual	Operations and Liaisons Support Manager (OLSM)		19,006	4,494	6,707	62,890	8,686	9,017	8,369	2,593	121,762	
Contractual Services - Individual	Senior Project Officer #1 (SPO1)	35,124	51,585	16,706	24,936	233,806	32,293	33,521	58,691	19,882	506,544	
Contractual Services - Individual	Senior Project Officer #1 (SPO2)		77,648	22,105	32,995	309,370	42,730	44,355			529,203	

Contractual services-Company	135,002.00 Contract to ensure ongoing development (through collaborative efforts) and maintenance of the OCM HUB; 37,801.00 Contract for the creation of a baseline inventory of relevant global, regional, subregional and national marine data, information and knowledge generation and management processes and platforms, including basic SWOT and sustainability analyses (link with Output 4.2.1); 37,802.00 Contract for the development of an integrated proposal								503,193		503,193

	(blueprint) for an optimized, long-term/sustainable regional Marine Data/Information/Knowledge Infrastructure (MDI); 216,004.00 Contract for the development of SOMEE content (including through the integration, and further updating/expansion of the content from the SOMEE "building blocks" delivered with the support of the CLME+ Project); 21,600.00 Contract for the integration of SOMEE building blocks into a final consolidated SOMEE document; 16,200.00 Contract for the											

	production of a SOMEE Executive Summary, Summary for Decision-makers; 38,784.00 Contract for the creation of the online, dynamic/interact ive version of SOMEE, to be embedded in the OCM HUB (link with Output 4.1.1.); 27,000.00 Contract for the production of at least 1 “over-arching” project video;4,320.00 Contract for the production of at least 1 story map37,802.00 Contract for the development of an integrated proposal (blueprint) for an optimized, long-term/sustainable regional Marine											

	Data/Information/Knowledge Infrastructure (MDI); 216,004.00 Contract for the development of SOMEE content (including through the integration, and further updating/expansion of the content from the SOMEE “building blocks” delivered with the support of the CLME+ Project); 21,600.00 Contract for the integration of SOMEE building blocks into a final consolidated SOMEE document; 16,200.00 Contract for the production of a SOMEE Executive Summary,											

	Summary for Decision-makers; 38,784.00 Contract for the creation of the online, dynamic/interactive version of SOMEE, to be embedded in the OCM HUB (link with Output 4.1.1.); 27,000.00 Contract for the production of at least 1 “over-arching” project video; 4,320.00 Contract for the production of at least 1 story map											

Contractual services-Company	1,050,110 Ocean Coordination Mechanism (OCM) Secretariat	580,099	24,767	5,198	7,762	72,776	10,051	10,434	235,078	103,945	1,050,110
	135,002.00 Contract to ensure ongoing development (through collaborative efforts) and maintenance of the OCM HUB; 37,801.00 Contract for the creation of a baseline inventory of relevant global, regional, subregional and national marine data, information and									31,320	31,320

knowledge generation and management processes and platforms, including basic SWOT and sustainability analyses (link with Output 4.2.1); 37,802.00 Contract for the development of an integrated proposal (blueprint) for an optimized, long-term/sustainable regional Marine Data/Information/Knowledge Infrastructure (MDI); 216,004.00 Contract for the development of SOMEE content (including through the integration, and further updating/expansion of the content from the SOMEE “building											

blocks" delivered with the support of the CLME+ Project); 21,600.00 Contract for the integration of SOMEE building blocks into a final consolidated SOMEE document; 16,200.00 Contract for the production of a SOMEE Executive Summary, Summary for Decision-makers; 38,784.00 Contract for the creation of the online, dynamic/interact ive version of SOMEE, to be embedded in the OCM HUB (link with Output 4.1.1.); 27,000.00 Contract for the production of at											

	least 1 “over-arching” project video;4,320.00 Contract for the production of at least 1 story map											
Contractual services-Company	59,401.00 Contract for development, adoption and implementation of long-term sustainable financing strategy and Secretariat solution for the OCM; 37,801.00 Contract to support the work of the Gender and Youth in Oceans Governance Working Group 37,801.00 Contract for Independent review of first CLME TDA/SAP process; 66,830.00 Contract for Development &	201,833									201,833	

	adoption of M&E approach for the new SAP											
Contractual services-Company	6,480.00 Contract for development and dissemination of specific guidelines on the achievement of gender and youth targets through Output 3.1.1.; 48,601.00 Contracts for screening of proposals, and grants issuance and management (Microfinancing Output) 810,012.00 Agreements for a total of min. 34 grants, benefiting civil society groups in min. [5] [6] countries, and targeting a minimum of 30 coastal/marine			919,348							919,348	

	sites; 12,960.00 Contract for evaluation of the PROCARIBE+ SGP investment; 24,840.00 Contract for Monitoring & Evaluation (incl. in terms of contributions to the aforementioned C-SAP and Regional Strategies and Action Plans) of interim progress, and final achievements; 270,004.00 Co-executing agreement (PROCARIBE+ responsible party) BLUE CARBON PANAMA; 183,601.00 Co-executing agreement (PROCARIBE+ responsible party) BE STRATEGY											

	COSTA RICA; 388,784.00 Co-executing agreement (PROCARIBE+ responsible party) MSP COLOMBIA; 442,807.00 Co-executing agreement (PROCARIBE+ responsible party) MSP DOMINICAN REPUBLIC; 421,206.00 Co-executing agreement (PROCARIBE+ responsible party) MSP MAR REGION; 421,206.00 Co-executing agreement (PROCARIBE+ responsible party) MSP TRINIDAD & TOBAGO; 433,087.00 Co-executing agreement (PROCARIBE+											

	responsible party) MSP VENEZUELA; 40,717.00 Agreement to promote collaboration between the ongoing MSP processes in the CLME+ region; 432,007.00 Agreement MPA COLOMBIA; 324,005.00 Co-executing agreement (PROCARIBE+ responsible party) MPA DOMINICAN REPUBLIC 432,007.00 Co-executing agreement (PROCARIBE+ responsible party) MPA country TBD; 378,006.00 Co-executing agreement (PROCARIBE+ responsible party) MPA MAR											

	REGION; 577,809.00 Co-executing agreement (PROCARIBE+ responsible party) Traceability Co-executing agreement (PROCARIBE+ responsible party) (national); 86,401.00 Agreement Traceability Co-executing agreement (PROCARIBE+ responsible party) (regional); 302,405.00 Co-executing agreement (PROCARIBE+ responsible party) Fishing gear (national) 59,401.00 Co-executing agreement (PROCARIBE+ responsible party) Fishing gear (regional)											

Contractual services-Company	6,480.00 Contract for development and dissemination of specific guidelines on the achievement of gender and youth targets through Output 3.1.1.; 48,601.00 Contracts for screening of proposals, and grants issuance and management (Microfinancing Output) 810,012.00 Agreements for a total of min. 34 grants, benefiting civil society groups in min. [5] [6] countries, and targeting a minimum of 30 coastal/marine sites; 12,960.00 Contract for evaluation of the PROCARIBE+ SGP				274,038						274,038	

	investment; 24,840.00 Contract for Monitoring & Evaluation (incl. in terms of contributions to the aforementioned C-SAP and Regional Strategies and Action Plans) of interim progress, and final achievements; 270,004.00 Co-executing agreement (PROCARIBE+ responsible party) BLUE CARBON PANAMA; 183,601.00 Co-executing agreement (PROCARIBE+ responsible party) BE STRATEGY COSTA RICA; 388,784.00 Co-executing agreement											

	(PROCARIBE+ responsible party) MSP COLOMBIA; 442,807.00 Co-executing agreement (PROCARIBE+ responsible party) MSP DOMINICAN REPUBLIC; 421,206.00 Co-executing agreement (PROCARIBE+ responsible party) MSP MAR REGION; 421,206.00 Co-executing agreement (PROCARIBE+ responsible party) MSP TRINIDAD & TOBAGO; 433,087.00 Co-executing agreement (PROCARIBE+ responsible party) MSP VENEZUELA; 40,717.00											

	Agreement to promote collaboration between the ongoing MSP processes in the CLME+ region; 432,007.00 Agreement MPA COLOMBIA; 324,005.00 Co-executing agreement (PROCARIBE+ responsible party) MPA DOMINICAN REPUBLIC 432,007.00 Co-executing agreement (PROCARIBE+ responsible party) MPA country TBD; 378,006.00 Co-executing agreement (PROCARIBE+ responsible party) MPA MAR REGION; 577,809.00 Co-executing agreement											

	(PROCARIBE+ responsible party) Traceability Co-executing agreement (PROCARIBE+ responsible party) (national); 86,401.00 Agreement Traceability Co-executing agreement (PROCARIBE+ responsible party) (regional); 302,405.00 Co-executing agreement (PROCARIBE+ responsible party) Fishing gear (national) 59,401.00 Co-executing agreement (PROCARIBE+ responsible party) Fishing gear (regional)											
Contractual services-Company	6,480.00 Contract for development					3,894,502					3,894,502	

	and dissemination of specific guidelines on the achievement of gender and youth targets through Output 3.1.1.; 48,601.00 Contracts for screening of proposals, and grants issuance and management (Microfinancing Output) 810,012.00 Agreements for a total of min. 34 grants, benefiting civil society groups in min. [5] [6] countries, and targeting a minimum of 30 coastal/marine sites; 12,960.00 Contract for evaluation of the PROCARIBE+ SGP investment; 24,840.00 Contract for											

	Monitoring & Evaluation (incl. in terms of contributions to the aforementioned C-SAP and Regional Strategies and Action Plans) of interim progress, and final achievements; 270,004.00 Co-executing agreement (PROCARIBE+ responsible party) BLUE CARBON PANAMA 183,601.00 Co-executing agreement (PROCARIBE+ responsible party) BE STRATEGY COSTA RICA; 388,784.00 Co-executing agreement (PROCARIBE+ responsible party) MSP											

	COLOMBIA; 442,807.00 Co-executing agreement (PROCARIBE+ responsible party) MSP DOMINICAN REPUBLIC; 421,206.00 Co-executing agreement (PROCARIBE+ responsible party) MSP MAR REGION; 421,206.00 Co-executing agreement (PROCARIBE+ responsible party) MSP TRINIDAD & TOBAGO; 433,087.00 Co-executing agreement (PROCARIBE+ responsible party) MSP VENEZUELA; 40,717.00 Agreement to promote collaboration											

	between the ongoing MSP processes in the CLME+ region; 432,007.00 Agreement MPA COLOMBIA; 324,005.00 Co-executing agreement (PROCARIBE+ responsible party) MPA DOMINICAN REPUBLIC; 432,007.00 Co-executing agreement (PROCARIBE+ responsible party) MPA country TBD; 378,006.00 Co-executing agreement (PROCARIBE+ responsible party) MPA MAR REGION; 577,809.00 Co-executing agreement (PROCARIBE+ responsible party)											

	Traceability Co-executing agreement (PROCARIBE+ responsible party) (national); 86,401.00 Agreement Traceability Co-executing agreement (PROCARIBE+ responsible party) (regional); 302,405.00 Co-executing agreement (PROCARIBE+ responsible party) Fishing gear (national); 59,401.00 Co-executing agreement (PROCARIBE+ responsible party) Fishing gear (regional)											

Contractual services-Company	6,480.00 Contract for development and dissemination of specific guidelines on the achievement of gender and youth targets through Output 3.1.1.; 48,601.00 Contracts for screening of proposals, and grants issuance and management (Microfinancing Output); 810,012.00 Agreements for a total of min. 34 grants, benefiting civil society groups in min. [5] [6] countries, and targeting a minimum of 30 coastal/marine sites; 12,960.00 Contract for evaluation of the PROCARIBE+ SGP						652,209				652,209	

	investment; 24,840.00 Contract for Monitoring & Evaluation (incl. in terms of contributions to the aforementioned C-SAP and Regional Strategies and Action Plans) of interim progress, and final achievements; 270,004.00 Co-executing agreement (PROCARIBE+ responsible party) BLUE CARBON PANAMA 183,601.00 Co-executing agreement (PROCARIBE+ responsible party) BE STRATEGY COSTA RICA; 388,784.00 Co-executing agreement											

	(PROCARIBE+ responsible party) MSP COLOMBIA; 442,807.00 Co-executing agreement (PROCARIBE+ responsible party) MSP DOMINICAN REPUBLIC; 421,206.00 Co-executing agreement (PROCARIBE+ responsible party) MSP MAR REGION; 421,206.00 Co-executing agreement (PROCARIBE+ responsible party) MSP TRINIDAD & TOBAGO; 433,087.00 Co-executing agreement (PROCARIBE+ responsible party) MSP VENEZUELA; 40,717.00											

	Agreement to promote collaboration between the ongoing MSP processes in the CLME+ region; 432,007.00 Agreement MPA COLOMBIA; 324,005.00 Co-executing agreement (PROCARIBE+ responsible party) MPA DOMINICAN REPUBLIC; 432,007.00 Co-executing agreement (PROCARIBE+ responsible party) MPA country TBD; 378,006.00 Co-executing agreement (PROCARIBE+ responsible party) MPA MAR REGION; 577,809.00 Co-executing agreement											

	(PROCARIBE+ responsible party) Traceability Co-executing agreement (PROCARIBE+ responsible party) (national); 86,401.00 Agreement Traceability Co-executing agreement (PROCARIBE+ responsible party) (regional); 302,405.00 Co-executing agreement (PROCARIBE+ responsible party) Fishing gear (national); 59,401.00 Co-executing agreement (PROCARIBE+ responsible party) Fishing gear (regional)											

Contractual services-Company	6,480.00 Contract for development and dissemination of specific guidelines on the achievement of gender and youth targets through Output 3.1.1.; 48,601.00 Contracts for screening of proposals, and grants issuance and management (Microfinancing Output); 810,012.00 Agreements for a total of min. 34 grants, benefiting civil society groups in min. [5] [6] countries, and targeting a minimum of 30 coastal/marine sites; 12,960.00 Contract for evaluation of the PROCARIBE+ SGP							356,249			356,249	

	investment; 24,840.00 Contract for Monitoring & Evaluation (incl. in terms of contributions to the aforementioned C-SAP and Regional Strategies and Action Plans) of interim progress, and final achievements; 270,004.00 Co-executing agreement (PROCARIBE+ responsible party) BLUE CARBON PANAMA; 183,601.00 Co-executing agreement (PROCARIBE+ responsible party) BE STRATEGY COSTA RICA; 388,784.00 Co-executing agreement											

	(PROCARIBE+ responsible party) MSP COLOMBIA; 442,807.00 Co-executing agreement (PROCARIBE+ responsible party) MSP DOMINICAN REPUBLIC; 421,206.00 Co-executing agreement (PROCARIBE+ responsible party) MSP MAR REGION; 421,206.00 Co-executing agreement (PROCARIBE+ responsible party) MSP TRINIDAD & TOBAGO; 433,087.00 Co-executing agreement (PROCARIBE+ responsible party) MSP VENEZUELA; 40,717.00											

	Agreement to promote collaboration between the ongoing MSP processes in the CLME+ region; 432,007.00 Agreement MPA COLOMBIA; 324,005.00 Co-executing agreement (PROCARIBE+ responsible party) MPA DOMINICAN REPUBLIC; 432,007.00 Co-executing agreement (PROCARIBE+ responsible party) MPA country TBD; 378,006.00 Co-executing agreement (PROCARIBE+ responsible party) MPA MAR REGION; 577,809.00 Co-executing agreement											

	(PROCARIBE+ responsible party) Traceability Co-executing agreement (PROCARIBE+ responsible party) (national); 86,401.00 Agreement Traceability Co-executing agreement (PROCARIBE+ responsible party) (regional); 302,405.00 Co-executing agreement (PROCARIBE+ responsible party) Fishing gear (national) 59,401.00 Co-executing agreement (PROCARIBE+ responsible party) Fishing gear (regional)											

Contractual services-Company	70,201.00 Contract for development of Regional Workshop(s)/Stocktaking Seminar(s), analyzing and discussing "Status, Approaches, regional and global Best Practices/Lessons Learned, Way Forward" and covering the following 3 topics: (a) national-level (Marine & Coastal) Natural Capital Accounting (NCA); (b) national-level Blue Economy Scoping & Strategies; (c) national-level marine environmental reporting; 259,204.00 Co-executing		1,332,789								1,332,789	

	agreement (PROCARIBE+ responsible party) to develop 2 prototype national SOMEE reports; 259,204.00 Co-executing agreement (PROCARIBE+ responsible party) to develop min 2 Blue Economy scoping studies (Costa Rica + 1 OECS/CARICOM country); 259,204.00 Co-executing agreement (PROCARIBE+ responsible party) for the implementation/ enhancement of (min.) 1 national Marine and Coastal Natural Capital Accounting effort; 25,920.00 Contract for desk review of											

	existing capacity building opportunities and training courses and materials and engagement with other providers/facilitators of capacity building and training services to develop and map a collaborative approach for the delivery of Output 2.1.3; 200,883.00 Contract for organization of min. 3 dedicated regional training events, or, alternatively online courses. Includes selection and implementation of an online solution(s) to provide permanent access to the training/course											

	and capacity building materials; 25,969.00 Contract for consolidate an updated baseline and status of integration of marine and coastal natural capital/blue carbon in the NDC's from OCM member countries/PROCARIBE+ participating countries; 64,801.00 Contract for organization of a regional workshop in support of the activities of Output 2.1.4; 105,842.00 Agreement to financially support the (early) development of one 2025 NDC update, in one											

	PROCARIBE+ participating country (Panama); 27,000.00 Co-executing agreement (PROCARIBE+ responsible party) to support the 2025 NDC development support activities in Costa Rica for blue economy scoping and strategy development in the country; 34,561.00 Co-executing agreement (PROCARIBE+ responsible party) to enable minimum of five 2025 NDC's for the region											
International Consultants	Knowledge Management Specialist	30,857	42,575	15,067	15,751	44,891	18,902	17,104	27,463	3,394	216,004	

International Consultants	Communication Specialist	30,857	42,575	15,066	15,753	44,890	18,903	17,103	27,463	3,394	216,004	
International Consultants	Health, Safety and Security (HSS) specialist	4,629	4,629	2,497	2,610	7,440	3,133	2,835			27,773	
International Consultants	Safeguard Specialist	15,044	18,665	9,658	10,096	28,775	12,116	10,963	4,120	509	109,946	35
International Consultants	Gender Specialist	8,585	7,521	4,058	4,242	12,090	5,090	4,606	6,694	827	53,713	17
International Consultants	MTR Consultant for Mid-term Evaluation work											27
International Consultants	TE Consultant for Terminal Evaluation work											37
International Consultants	M&E Specialist supporting annual PIR reporting and M&E of GEF Core Indicators.											32
International Consultants	Consultant to support the participatory, ongoing/periodic SAP Implementation Progress M&E and final evaluation (includes TOR development & approval) (see	43,201									43,201	

	also Output 1.1.2)											
International Consultants	Consultants for the review of the draft proposal for a wide-ranging CLME+ Partnership, inventory and analysis/mapping of existing thematic partnerships, extraction of best practices and lessons learned from other existing partnerships and partnership models, engagement of the Partnership(s) in SOMEE	118,807									118,807	
International Consultants	Consultant for the support for the high-level political endorsement process of the new SAP and support for the wider-ranging	21,600									21,600	

	societal endorsement process											
International Consultants	Training facilitator	2,844	2,775	1,896	1,982	5,650	2,379	2,153	1,710	211	21,600	
International Consultants	Meeting facilitator	12,902	8,210	2,349	2,456	6,999	2,947	2,666	9,917	1,226	49,672	
International Consultants	Consultant for the production of a status report on NICs in the wider Caribbean/CLME + countries		16,200								16,200	
International Consultants	Consultant fo the review of preliminary SOMEE work conducted under the CLME+ Project		16,200								16,200	
International Consultants	Consultant for Scoping of the particular niche of the proposed HUB within the wider range of global, regional, sub-regional and national-level marine data, information and knowledge								4,272	17,328	21,600	

	management platforms											
International Consultants	Consultant for the Independent review of the existing CLME+ Hub prototype, formulation of recommendations for the transformation of/transition from the CLME+ Hub prototype, into the official "OCM regional Hub" (including sustainability considerations, and the fine-tuning of objectives, functionality, structure,...)								23,760		23,760	
International Consultants	Consultant for the development of a proposal of the Regional HUB as the OCM's Official Knowledge Management Platform, and for its subsequent								32,400		32,400	

	implementation, maintenance and ongoing development, including the "OCM HUB Sustainability Strategy/Plan".										
International Consultants	Consultant for the development of a fine-tuned approach and work plan/timeline for SOMEE development, taking into account associated "lessons learned" (including the findings of the independent TDA/SAP review, see also Output 1.1.2.)								14,418	1,782	16,200
International Consultants	Consultant for exchanges on approach and best practices with national-level reporting efforts								16,200		16,200

International Consultants	Consultant for the creation and operations of a Marine Data/Information/Knowledge Management Working Group by the OCM to ensure adequate co-ownership and engagement of key non-governmental stakeholders in the SOMEE development process (link with Outputs 1.1.1.A and 1.1.1.B)								64,802		64,802
International Consultants	Creation and operations of a SOMEE development Working Group by the OCM to ensure adequate co-ownership and engagement of key non-governmental stakeholders in the SOMEE								33,643	4,159	37,802

	development process (link with Outputs 1.1.1.A and 1.1.1.B)											
Local Consultants	3 Interns	6,248	23,887	9,982	8,356	24,795	16,131	16,131	3,750	2,500	111,780	
Local Consultants	IT and graphic design support	8,797	14,662	5,046	4,225	12,535	8,156	8,156	11,655	7,770	81,002	
Training, Workshops, Meetings	10,260.00 Logistics and venue technical trainings and team building retreats; 13,922.00 Support PEG meeting platform & logistics (5 meetings, 2 presential)								17,452		17,452	
Training, Workshops, Meetings	10,260.00 Logistics and venue technical trainings and team building retreats; 13,922.00 Support PEG meeting platform & logistics (5									6,730	6,730	

	meetings, 2 presential).											
Training, Workshops, Meetings	12,150.00 Logistics and venue technical trainings and team building; 8,440.00 Support PEG meeting platform & logistics (5 meetings, 2 presential).		20,590								20,590	
Training, Workshops, Meetings	36,655.00 Logistics and venue technical trainings and team building retreats; 26,365.00 Support PEG meeting platform & logistics (5 meetings, 2 presential); 43,200.00 Contract logistics and organization of Regional Training Workshop for the National SGP Coordinators on			127,240							127,240	

	the “People Managing Oceans” Civil Society SAP and other relevant Regional Strategies and Action Plan, and that the Small Grants funding to be provided under Output 3.1.1 will seek to support; 37,800.00 Contract logistics and organization of National launching events; 37,800.00 Contract logistics and organization of Regional Learning and Experience Exchange: Closing Workshop; 37,800.00 Contract logistics and organization of (Virtual) Workshop/materials to (a) share											

	the experiences from selected OIC grantees to extract lessons learned and identify possible opportunities for replication and/or upscaling in the region; and (b) stimulate and enhance the ability of regional entrepreneurs/innovators to successfully prepare and submit proposals to the OIC											

Training, Workshops, Meetings	36,655.00 Logistics and venue technical trainings and team building retreats; 26,365.00 Support PEG meeting platform & logistics (5 meetings, 2 presential); 43,200.00 Contract logistics and organization of Regional Training Workshop for the National SGP Coordinators on the “People Managing Oceans” Civil Society SAP and other relevant Regional Strategies and Action Plan, and that the Small Grants funding to be provided under Output 3.1.1 will seek to support;				49,420						49,420	

	37,800.00 Contract logistics and organization of National launching events; 37,800.00 Contract logistics and organization of Regional Learning and Experience Exchange: Closing Workshop; 37,800.00 Contract logistics and organization of (Virtual) Workshop/materials to (a) share the experiences from selected OIC grantees to extract lessons learned and identify possible opportunities for replication and/or upscaling in the region; and (b) stimulate and enhance the ability of regional											

	entrepreneurs/innovators to successfully prepare and submit proposals to the OIC											

Training, Workshops, Meetings	36,655.00 Logistics and venue technical trainings and team building retreats; 26,365.00 Support PEG meeting platform & logistics (5 meetings, 2 presential); 43,200.00 Contract logistics and organization of Regional Training Workshop for the National SGP Coordinators on the “People Managing Oceans” Civil Society SAP and other relevant Regional Strategies and Action Plan, and that the Small Grants funding to be provided under Output 3.1.1 will seek to support;					20,595					20,595	

	37,800.00 Contract logistics and organization of National launching events; 37,800.00 Contract logistics and organization of Regional Learning and Experience Exchange: Closing Workshop; 37,800.00 Contract logistics and organization of (Virtual) Workshop/materials to (a) share the experiences from selected OIC grantees to extract lessons learned and identify possible opportunities for replication and/or upscaling in the region; and (b) stimulate and enhance the ability of regional											

	entrepreneurs/innovators to successfully prepare and submit proposals to the OIC											

Training, Workshops, Meetings	36,655.00 Logistics and venue technical trainings and team building retreats; 26,365.00 Support PEG meeting platform & logistics (5 meetings, 2 presential); 43,200.00 Contract logistics and organization of Regional Training Workshop for the National SGP Coordinators on the “People Managing Oceans” Civil Society SAP and other relevant Regional Strategies and Action Plan, and that the Small Grants funding to be provided under Output 3.1.1 will seek to support;						3,665				3,665	

	37,800.00 Contract logistics and organization of National launching events; 37,800.00 Contract logistics and organization of Regional Learning and Experience Exchange: Closing Workshop; 37,800.00 Contract logistics and organization of (Virtual) Workshop/materials to (a) share the experiences from selected OIC grantees to extract lessons learned and identify possible opportunities for replication and/or upscaling in the region; and (b) stimulate and enhance the ability of regional											

	entrepreneurs/innovators to successfully prepare and submit proposals to the OIC											

Training, Workshops, Meetings	36,655.00 Logistics and venue technical trainings and team building retreats; 26,365.00 Support PEG meeting platform & logistics (5 meetings, 2 presential); 43,200.00 Contract logistics and organization of Regional Training Workshop for the National SGP Coordinators on the “People Managing Oceans” Civil Society SAP and other relevant Regional Strategies and Action Plan, and that the Small Grants funding to be provided under Output 3.1.1 will seek to support.;							18,700			18,700	

	37,800.00 Contract logistics and organization of National launching events; 37,800.00 Contract logistics and organization of Regional Learning and Experience Exchange: Closing Workshop; 37,800.00 Contract logistics and organization of (Virtual) Workshop/materials to (a) share the experiences from selected OIC grantees to extract lessons learned and identify possible opportunities for replication and/or upscaling in the region; and (b) stimulate and enhance the ability of regional											

	entrepreneurs/innovators to successfully prepare and submit proposals to the OIC											
Training, Workshops, Meetings	36,721.00 Contract logistics and organization of 3 OCM executing group meeting; 104,159.00 Contract logistics and organization of 3 OCM Steering Committee meeting; 32,400.00	227,379									227,379	

	Contract logistics and organization of 2 Regional Partnership Fora; 32,400.00 Contract logistics and organization of 3 Working Groups Meetings OCM SAP development; 8,640.00 Contract logistics and organization of 3 Meetings for technical review, revision & clearance of the new SAP 5,333.00 Support Project Executive Group (PEG) meeting platform & logistics (5 meetings, 2 presential); 7,726.00 Logistics and venue technical trainings and team building retreats.											

Training, Workshops, Meetings	43,202.00 Contract logistics and organization of Steering Committee Meetings (virtual: 2, year 2 and year 4). Includes virtual platform and Technical support cost; 59,401.00 Contract logistics and organization of Steering Committee Meetings (presential: 2, mid-project & end); 8,640.00 Contract for participatory platform/progress dashboard for Steering Committee Meeting; 1,350.00 Training PMCU on PM										-	
Training, Workshops, Meetings	45,001.00 Logistics, meeting venue,										-	45

	catering, translation services for Inception Workshop											
Travel	165,026.00 DSAs and Tickets for Steering Committee Meetings (presential: 2, mid-project & end). Approx 45 participants per meeting										-	
Travel	1,693.00 DSAs and Tickets for Steering Committee Meetings (presential: 2, mid-project & end). Approx 45 participants per meeting; 27,744.00 Technical project staff attendance at meetings, conferences (including meetings described under the activities list		41,228								41,228	

	for Component 2 (C2) outputs as well as attendance at meetings of regional IGO's for advocacy purposes and/or international events to mobilize support for complementary action for C2 outcomes); 2,081.00 Technical project staff and partners trainings (e.g. on gender, climate change, safeguards mainstreaming etc.); 9,710.00 Support PEG meeting platform & logistics (5 meetings, 2 presential); 1,693.00 DSAs and Tickets for Steering Committee											

	Meetings (presential: 2, mid-project & end). Approx 45 participants per meeting.											
Travel	8,577.00 DSAs and Tickets for Steering Committee Meetings (presential: 2, mid-project & end). Approx 45 participants per meeting; 42,121.00 Site visits, min. 10, to support Microfinancing (small grants) Output; 10,800.00 Exchange visit(s)			93,479							93,479	

	between MSP sites; 140,613.00 Technical project staff attendance at meetings, conferences (including meetings described under the activities list for Component 3 (C3) outputs as well as attendance at meetings of regional IGO's for advocacy purposes and/or international events to mobilize support for complementary action for C3 outcomes).; 10,546.00 2 presential meetings Project Executive Group; 49,214.00 Technical project staff and partners trainings.											

Travel	8,577.00 DSAs and Tickets for Steering Committee Meetings (presential: 2, mid-project & end). Approx 45 participants per meeting; 42,121.00 Site visits, min. 10, to support Microfinancing (small grants) Output; 10,800.00 Exchange visit(s) between MSP sites 140,613.00 Technical project staff attendance at meetings, conferences (including meetings described under the activities list for Component 3 (C3) outputs as well as attendance at meetings of regional IGO's					157,846					157,846	

	for advocacy purposes and/or international events to mobilize support for complementary action for C3 outcomes). 10,546.00 2 presential meetings Project Executive Group. 49,214.00 Technical project staff and partners trainings.											
Travel	8,577.00 DSAs and Tickets for Steering Committee Meetings (presential: 2, mid-project & end). Approx 45 participants per meeting; 42,121.00 Site visits, min. 10, to support Microfinancing (small grants) Output;							10,546			10,546	

	10,800.00 Exchange visit(s) between MSP sites; 140,613.00 Technical project staff attendance at meetings, conferences (including meetings described under the activities list for Component 3 (C3) outputs as well as attendance at meetings of regional IGO's for advocacy purposes and/or international events to mobilize support for complementary action for C3 outcomes); 10,546.00 2 presential meetings Project Executive Group; 49,214.00 Technical project staff and											

	partners trainings.											
Travel	1,172.00 DSAs and Tickets for Steering Committee Meetings (presential: 2, mid-project & end). Approx 45 participants per meeting; 64,801.00 Participation of the Project in the (biennial) GEF International Waters Conferences (IWC); 64,801.00 Participation of the Project in the (annual) LME Consultative Group meetings; 16,200.00 Participation of the Project in IW:LEARN twinning exchanges, and regional workshops (to be coordinated with								20,386		20,386	

	the IW:LEARN team); 19,215.00 Technical staff attendance at other meetings, conferences (including meetings described under the activities list for Component 4 (C4) outputs as well as attendance at meetings of regional IGO's for advocacy purposes and/or international events to mobilize support for complementary action for C4 outcomes); 6,725.00 2 presential meetings Project Executive Group; 1,441.00 Team Building.											

Travel	64,801.00 Participation of the Project in the (biennial) GEF International Waters Conferences (IWC); 64,801.00 Participation of the Project in the (annual) LME Consultative Group meetings; 16,200.00 Participation of the Project in IW:LEARN twinning exchanges, and regional workshops (to be coordinated with the IW:LEARN team); 19,215.00 Technical staff attendance at other meetings, conferences (including meetings described under the activities list for Component 4 (C4) outputs as well as									153,969	153,969

	attendance at meetings of regional IGO's for advocacy purposes and/or international events to mobilize support for complementary action for C4 outcomes); 6,725.00 2 presential meetings Project Executive Group; 1,441.00 Team Building.											
Travel	1,734.00 and Tickets for Steering Committee Meetings (presential: 2, mid-project & end). Approx 45 participants per meeting. Share allocated to C1; 78,841.00 Travel cost 3 meetings OCM Executive Group (20 participants per	620,059									620,059	

	meeting); 259,204.00 Travel cost 3 meetings OCM steering Group (60 participants per meeting); 118,802.00 2 Regional Partnership(s) Fora towards the CLME+ Vision (40 participant per meeting); 90,721.00 3 Working Groups creation & operations OCM & SAP development (25 participants per meeting); 30,242.00 Travel missions to achieve technical review, revision & clearance of the new SAP; 30,564.00 Technical Project staff attendance at meetings, conferences (including meetings											

	described under the activities list for Component 1 (C1) outputs as well as attendance at meetings of regional IGO's for advocacy purposes and/or international events to mobilize support for complementary action for C1 outcomes); 9,951.00 2 presential meetings Project Executive Group (PEG)											
Travel	90,002.00 Participants travel to Inception Workshop (approx 40 participants) 5,400.00 M&E Supervision Mission, Field visit, verification 5,400.00 M&E										-	11

	Learning Mission 5,400.00 Travel costs for Mid-Term evaluation 5,400.00 Travel costs for Terminal evaluation.											
Office Supplies	8,435.00 Office supplies in support of the delivery of Component 2 outputs		8,435								8,435	
Office Supplies	8,644.00 Office supplies in support of the delivery of Component 1 outputs, including operations of the OCM	8,644									8,644	
Office Supplies	16,416.00 Office Consumables in support of project management. Cost allocated to PMC										-	
Office Supplies	42,747.00 Office supplies in support of the delivery of				5,271						5,271	

	Component 3 outputs											
Office Supplies	42,747.00 Office supplies in support of the delivery of Component 3 outputs						31,498				31,498	
Office Supplies	42,747.00 Office supplies in support of the delivery of Component 3 outputs							5,978			5,978	
Office Supplies	5,840.00 Office supplies in support of the delivery of Component 4 outputs								4,304		4,304	
Office Supplies	5,840.00 Office supplies in support of the delivery of Component 4 outputs									1,536	1,536	
Other Operating Costs	11,863.00 Share of local offices to support technical activities.								10,844		10,844	
Other Operating Costs	11,863.00 Share of local offices to support									1,019	1,019	

	technical activities.											
Other Operating Costs	14,040.00 Supporting materials and resources 3 OCM Executive Group meetings; 32,400.00 Supporting materials and resources 3 OCM Steering Group meetings; 10,800.00 Supporting materials and resources 2 Regional Partnerships Fora; 6,480.00 Supporting materials and resources 3 Working Groups Meetings OCM SAP development; 4,320.00 Supporting materials and resources 3 Meetings for technical review,	78,703									78,703	

	revision & clearance of the new SAP; 10,663.00 Written translations.											
Other Operating Costs	17,132.00 Share of local offices to support technical activities. Cost allocated to this Component/outcome		17,132								17,132	
Other Operating Costs	17,557.00 Share of local offices to support technical activities. Cost allocated to this Component/outcome	17,557									17,557	
Other Operating Costs	21,600.00 Professional services for Mandatory Project Audits										-	

Other Operating Costs	32,400.00 Materials for 2.1.1. Advocacy, through the OCM Secretariat, Executive Group and Steering Group (see Output 1.1.1.a), and through the PROCARIBE+ Project Board/Steering Committee and Project Coordination Unit, for strengthened and consolidated national intersectoral coordination mechanisms in the OCM member/PROCARIBE+-participating countries. 2.1.4. Awareness-raising (e.g. through the OCM, the OCM Hub and OCM membership) on: (a) the linkages		42,805								42,805	

	between, on one hand, ocean conservation and the blue economy, and on the other hand, actions supporting climate mitigation and adaptation, and: (b) the region's current baseline, and further potential, for dual-purpose synergistic action aiming at protecting coastal and marine natural capital and developing the blue economies while simultaneously setting/increasing national-level climate change mitigation and adaptation ambitions. 2.1.4. Advocacy for (a) the (upscaled) integration of											

	marine/coastal natural capital and blue carbon in the 2025 NDCs for the countries from the wider Caribbean (e.g. through the OCM and partnership(s), and other fora as appropriate), and for (b) the incorporation of related, post-2025 action, in the next iteration of the regional SAP; 10,405.00 Written translations.											
Other Operating Costs	6,480.00 Supporting materials and resources for the production of at least 3 experience notes; 7,205.00 Written translations.									13,685	13,685	

Other Operating Costs	7,560.00 Local offices. Cost allocated to PMC										-	
Other Operating Costs	8,640.00 Supporting materials and resources for Issuance of calls for proposals, in the [5] [6] target countries, clarification of priorities and selection criteria; 16,200.00 Materials for outreach and communication activities; incl. through SGP and PROCARIBE+ websites, and through OCM (HUB, OCM membership - as relevant); 10,800.00 Materials for production of a publication highlighting the achievements, best practices and lessons			35,640							35,640	

	learnt from the grant support provided under output 3.1.1; 52,730.00 Written translations.											
Other Operating Costs	8,640.00 Supporting materials and resources for Issuance of calls for proposals, in the [5] [6] target countries, clarification of priorities and selection criteria; 16,200.00 Materials for outreach and communication activities; incl. through SGP and PROCARIBE+ websites, and through OCM (HUB, OCM membership - as relevant); 10,800.00					52,730					52,730	

	Materials for production of a publication highlighting the achievements, best practices and lessons learnt from the grant support provided under output 3.1.1; 52,730.00 Written translations.											
Other Operating Costs	86,828.00 Share of local offices to support technical activities. Cost allocated to C3 outcomes			80,149							80,149	
Other Operating Costs	86,828.00 Share of local offices to support technical activities. Cost allocated to C3 outcomes				6679						6,679	
Grand Total		**2,076,469**	**1,997,869**	**1,391,674**	**505,664**	**5,296,223**	**910,829**	**627,408**	**1,188,824**	**395,557**	**14,390,517**	**30**

Annex 2: GEF execution support letter

Gobierno Bolivariano de Venezuela | Ministerio del Poder Popular para el Ecosocialismo

Annex 2: GEF execution support letter

June 30, 2022

To:

Mr. Pradeep Kurukulasuriya
Executive Coordinator and Director
UNDP — Global Environmental Facility
United Nations Development Programme (UNDP)

Subject: Letter of Support to request GEF Agency Execution for the Output 3.3.1.a in Bolivarian Republic of Venezuela as part of the UNDP/GEF "Protecting and Restoring the Ocean's natural Capital, building Resilience and supporting region-wide Investments for sustainable Blue socio-Economic development (PROCARIBE+)" Project (GEF ID 10800)

1. In my capacity as GEF Operational Focal Point for the Bolivarian Republic of Venezuela, I hereby request UNDP, the GEF implementing agency for the aforementioned project, to also carry out execution services for the above indicated output as part of the project/program, on an exceptional basis.

2. The execution services provided by UNDP Country Office in Venezuela are expected to include:

- Execution of activities listed in the UNDP PROCARIBE+ Project Document aimed at delivering the national component of Project Output 3.3.1.a - Marine Spatial Planning (Venezuelan part of the Gulf of Paria).

3. Execution activities, including those provided by UNDP will be described in detail in the GEF CEO Endorsement/Approval request and accompanying project/program documents, including the project/program budget.

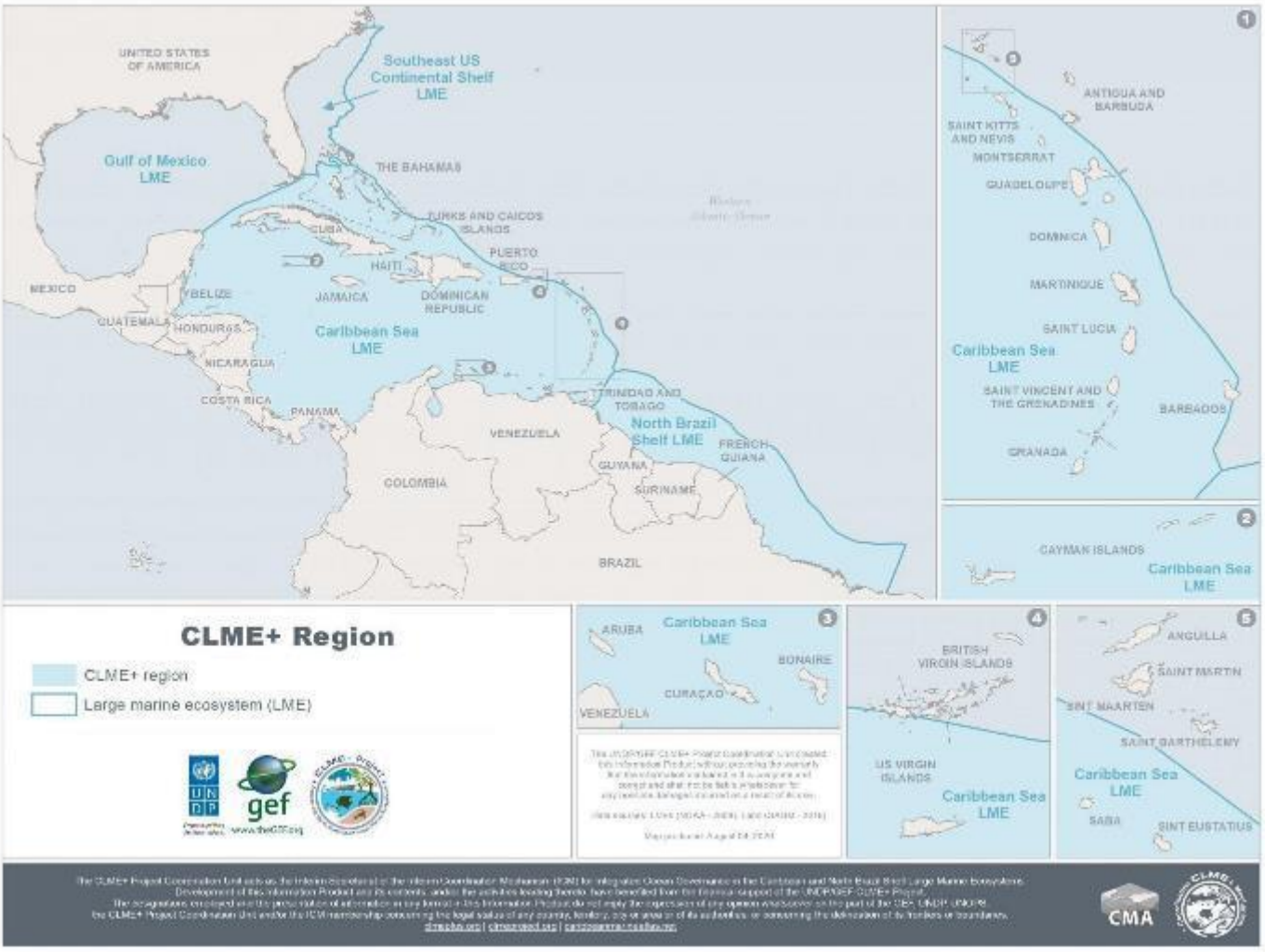
Sincerely,

Mr. Miguel Serrano

GEF Operational Focal Point
Director of Integration and International Affairs
Ministry of Popular Power for Ecosocialism

Annex 3: Project maps

(legend and source(s) incorporated directly in the map images)




Small Island Developing States in the Wider Caribbean
UNITED STATES OF AMERICA
Gulf of Mexico
THE BAHAMAS
CUBA
TURKS AND CAICOS ISLANDS
HAITI
PUERTO RICO
BRITISH VIRGIN ISLANDS
US VIRGIN ISLANDS
MEXICO
BELIZE
JAMAICA
DOMINICAN REPUBLIC
HONDURAS
GUATEMALA
Caribbean Sea
Western Atlantic Ocean
NICARAGUA
COSTA RICA
PANAMA
TRINIDAD AND TOBAGO
VENEZUELA
GUYANA
FRENCH GUIANA
SURINAME
COLOMBIA
BRAZIL
CAYMAN ISLANDS
ANGUILLA
SAINT MARTIN
SINT MAARTEN
SAINT BARTHÉLEMY
SABA
SINT EUSTATIUS
ARUBA
BONAIRE
CURAÇAO
VENEZUELA
ANTIGUA AND BARBUDA
SAINT KITTS AND NEVIS
MONTSERRAT
GUADELOUPE
DOMINICA
MARTINIQUE
SAINT LUCIA
SAINT VINCENT AND THE GRENADINES
BARBADOS
GRENADA
Small Island Developing State (SIDS)
gef
CMA

2015 Population within 100km of the Wider Caribbean Coast by LME Drainage

Country/Territory	Total Population (in thousands)	Total Population w/in 100km of wider Caribbean coast (in thousands)	Population (in thousands) within 100km of the wider Caribbean coast that drains to:			
			Caribbean LME	Gulf of Mexico LME	North Brazil Shelf LME	Southeast US Continental Shelf LME
Belize	359	359	359	-	-	-
Brazil	207,729	9,882	-	-	9,882	-
Colombia	48,230	9,480	9,480	-	-	-
Costa Rica	4,808	3,211	1,091	-	-	-
French Guiana	269	244	-	-	244	-
Guatemala	16,343	806	542	264	-	-
Guyana	767	711	-	-	711	-
Honduras	8,075	3,524	3,524	-	-	-
Island Governments*	39,410	39,410	39,334	-	-	76
Mexico	126,916	18,224	1,672	16,468	-	-
Nicaragua	6,082	889	889	-	-	-
Panama	3,929	3,838	727	-	-	-
Suriname	543	513	-	-	513	-
United States of America**	323,251	42,358	3,784	23,912	-	14,662
Venezuela	31,108	22,213	17,578	-	4,835	-
Total	817,819	155,352	78,760	40,644	16,095	14,737

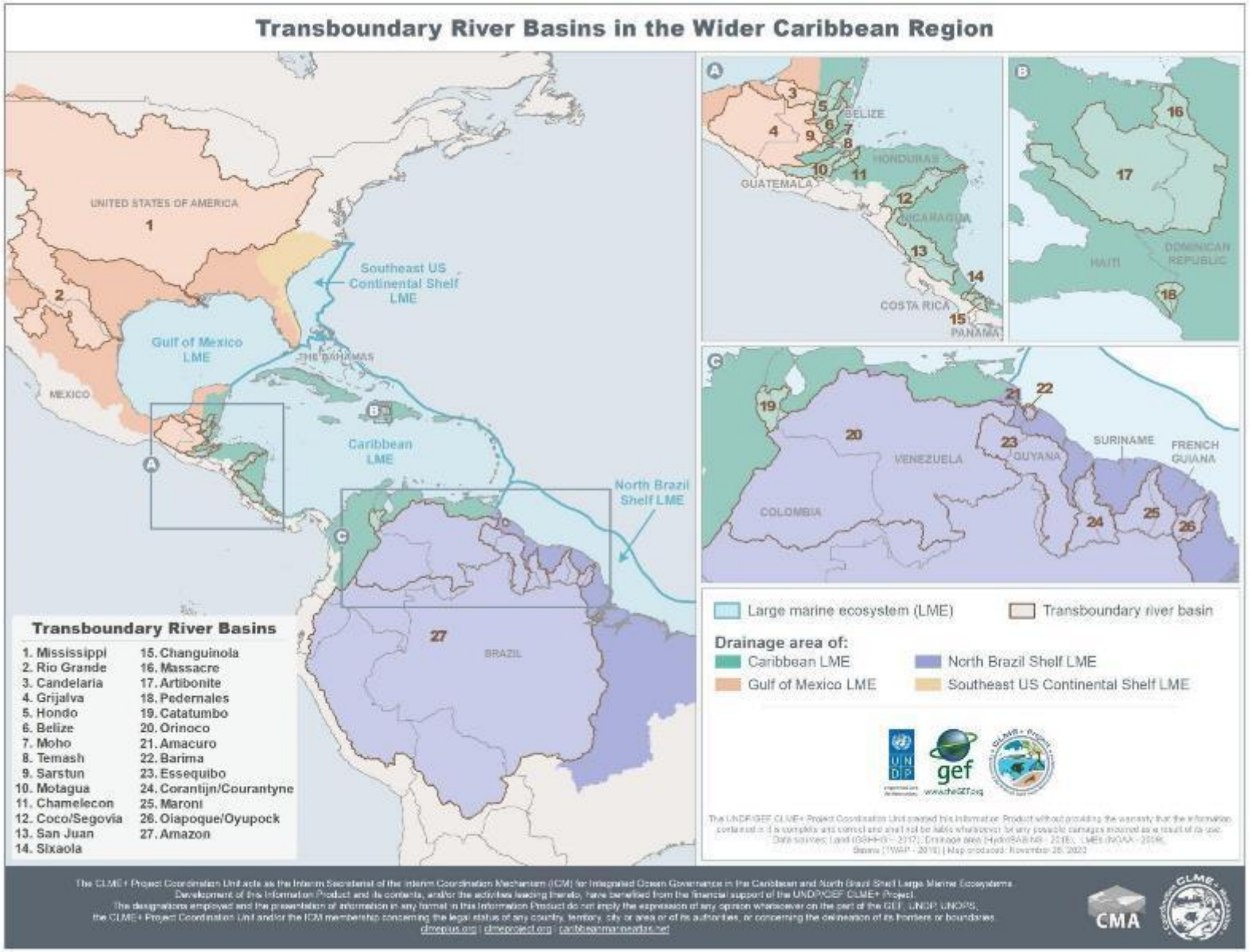
*Includes The Bahamas, Turks and Caicos Islands and the island nations and territories of the Greater and Lesser Antilles, excluding the Puerto Rico and the US Virgin Islands
**Includes the conterminous United States, Puerto Rico and the US Virgin Islands

Large marine ecosystem (LME)

Areas within 100km of the wider Caribbean coast that drain to:

- Caribbean LME
- North Brazil Shelf LME
- Gulf of Mexico LME
- Southeast US Continental Shelf LME
- Pacific Central-American Coastal LME

The CLME+ Project Coordination Unit acts as the Interim Secretariat of the Interim Coordination Mechanism (ICM) for Integrated Ocean Governance in the Caribbean and North Brazil Shelf Large Marine Ecosystems.
Development of this Information Product and its contents, and/or the activities leading thereto, have benefited from the financial support of the UNDP/GEF CLME+ Project.
The designations employed and the presentation of information in any format in this Information Product do not imply the expression of any opinion whatsoever on the part of the GEF, UNDP, UNOPS, the CLME+ Project Coordination Unit and/or the ICM membership concerning the legal status of any country, territory, city or area or of its authorities, or concerning the delineation of its frontiers or boundaries
clmeplus.org | clmeproject.org | caribbeanmarineatlas.net


Transboundary River Basins in the Wider Caribbean Region
UNITED STATES OF AMERICA
MEXICO
THE BAHAMAS
BELIZE
GUATEMALA
HONDURAS
NICARAGUA
COSTA RICA
PANAMA
HAITI
DOMINICAN REPUBLIC
COLOMBIA
VENEZUELA
GUYANA
SURINAME
FRENCH GUIANA
BRAZIL
Southeast US Continental Shelf LME
Gulf of Mexico LME
Caribbean LME
North Brazil Shelf LME
Transboundary River Basins
1. Mississippi
2. Rio Grande
3. Candelaria
4. Grijalva
5. Hondo
6. Belize
7. Moho
8. Temash
9. Sarstun
10. Motagua
11. Chamelecon
12. Coco/Segovia
13. San Juan
14. Sixaola
15. Changuinola
16. Massacre
17. Artibonite
18. Pedernales
19. Catatumbo
20. Orinoco
21. Amacuro
22. Barima
23. Essequibo
24. Corantijn/Courantyne
25. Maroni
26. Oiapoque/Oyupock
27. Amazon
Large marine ecosystem (LME)
Transboundary river basin
Drainage area of:
Caribbean LME
North Brazil Shelf LME
Gulf of Mexico LME
Southeast US Continental Shelf LME
gef
CMA

Annex 4: Multi Year Work Plan

	LEGEND		calendar years *(aspirational & strategic, subject to confirmation of start date)*																			
	A = activities	PM = physical meeting (or mixed)	2023				2024				2025				2026				2027			
	o = ongoing tasks	VM = virtual meeting	project years (5-year projects)																			
	tbd = to be determined		Year 1				Year 2				Year 3				Year 4				Year 5			
	Outputs	Activities (short)	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
C1	1.1.1.a OCM	Establishment & operations of OCM Secretariat	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A
		1st Meeting of OCM EG & appointment of EG Chair		PM																		
		Ordinary meetings of the OCM EG						VM				PM				VM				PM		
		Extraordinary Meetings of the OCM EG			tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd
		1st Meeting of the OCM SG			PM																	
		Ordinary Meetings of the OCM SG											PM								PM	
		Extraordinary Meetings of the OCM SG				tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd
		OCM Work Programme development	A	A	A			A				A	A			A				A	A	
		Ongoing SAP M&E & independent review of TDA/SAP	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A
		Formal adoption of OCM Hub, Blueprint MDI and SOMEE		A	A			A				A	A									
		Develop & adopt OCM post-project solutions: finances & Secretariat														A	A	A	A	A	A	A
		OCM Working Groups			A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A

		Networking in OCM WP for links between OCM and Partnerships	A	A	A						A	A	A						A	A	A	
		SOMEE Working Group (WG)			A	A	A	A	A	A												
		SAP WG			A	A	A	A	A	A	A	A	A	A								
		MDI WG			A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A
		Gender WG			A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A
	1.1.1.b Partnerships	Review CLME+ "Partnership" proposal and received feedback	A	A																		
		Mapping of existing thematic partnerships	A	A	A																	
		SWOT analysis of partnership models	A	A	A																	
		Way forward with partnership(s)		A	A	A																
		Adoption of partnership(s) model			A	A																
		2 Regional Partnership(s) Fora						A							A							
		Engagement of the Partnership(s) in SAP & SOMEE			A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A
		Engagement of the Partnership(s) in MDI and OCM Hub			A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A
	1.1.2 new SAP	Independent review of 1st CLME TDA/SAP	A	A	A																	
		SAP WG (see also 1.1.1)			A	A	A	A	A	A	A	A	A									
		Review & clearance of the new SAP							A	A	A	A	A									
		Develop & adopt M&E approach for the new SAP					A	A	A	A	A	A	A									
		Political SAP endorsement process										A	A	A	A							

		Wider-ranging societal endorsement process										A	A	A	A									
C2	2.1.1 NICs	Advocacy for consolidated NICs		A	A	o	o	A	o	o	o	A	A	o	o	A	o	o	o	A	A	o		
		Engagement of the NICs with OCM		o	o	o	o	o	o	o	o	o	o	o	o	o	o	o	o	o	o	o		
		Engagement of the NICs in relevant Project Outputs		o	o	o	o	o	o	o	o	o	o	o	o	o	o	o	o	o	o	o		
		Status report on NICs							A	A	A													
	2.1.2 national SOMEEs/BE/NCA	Workshop on NCA, Blue Economy Scoping & Strategies, reporting				PM																		
		Workshop/seminar reports				A	A																	
		Review of draft CLME+ SOMEE + recommendations way forward	A	A	A	A																		
		2 Prototype national SOMEE					A	A	A	A	A	A												
		2 Blue Economy scoping studies			A	A	A	A	A	A														
		1 National Marine and Coastal NCA effort				A	A	A	A	A	A													
	2.1.3 Training & Capacity Building	Review of existing capacity building opportunities	A	A	A																			
		Approach for delivery of capacity-building activities		A	A			A	A			A	A			A	A							
		3 Regional training events or online courses							A				A				A							
		Solution for permanent access to capacity building materials			A	A	A	A	o	o	o	o	o	o	o	o	o	o	o	o	o	o	o	o
		Linking capacity-building to other Project Outputs			o	o	o	o	o	o	o	o	o	o	o	o	o	o	o	o	o	o	o	o
	2.1.4 NDCs	Baseline of the integration of NCA/blue carbon in NDC's	A	A	A										A	A	A							

		Awareness-raising on ocean conservation/blue economy, and, actions supporting climate mitigation/adaptation			o	o	o	o	o	o	o	o	o	o	o	o	o	o	o	o	o	o	o	o
		Advocacy for integration of NCA/blue carbon in NDCs			o	o	o	o	o	o	o	o	o	o										
		Encourage requests for support on "marine NCA's"	o	o	o	o	o	o	o	o														
		Regional workshop supporting O.2.1.4			PM																			
		Support development of NDC in 1 country (Panama)		A	A	A	A	A	A	A														
		Link NDC development in Costa Rica with blue economy scoping/strategy			A	A	A	A	A	A														
		Enable the development of 5 NDC with integration of NCA/blue carbon			a	a	a	a	a	a	a	a	a	a										
C3	3.1.1.a Microfinancing (SGP)	Training workshop for SGP Coordinators on C-SAP and other Regional SAPs	A	A	PM																			
		Guidelines on gender and youth		A	A	A																		
		National launching events					A	A																
		Calls for proposals in 5/6 target countries			A	A	A	A																
		Screening of proposals/grants issuance & management					A	A	A	A	A	A	A	A	A	A	A	A	A					
		Min. 34 grants in min. 5]/6 countries, and min. 30 coastal/marine sites					A	A	A	A	A	A	A	A	A	A	A	A						
		Site visits							A	A	A	A	A	A	A	A	A	A						
		Outreach and communication activities			A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A				
		M&E								A			PM	A				A	A					

	Evaluation of PROCARIBE+ SG investments																A	A			
	Regional Exchange: Closing Workshop																PM				
	Publication on achievements etc														A	A	A	A			
3.1.1.b Microfinancing (other)	Raise-awareness on opportunities from OIC and Ocean Innovation Community			A	A	A	A	A	A	A	A	A	A								
	Workshop amongst grantees			VM																	
3.2.1. Blue carbon	Blue Carbon Panama			A	A	A	A	A	A	A	A	A	A								
3.3.1.a BE & MSP (pilot)	Blue Economy Strategy Costa Rica				A	A	A	A	A												
	MSP Colombia		A	A	A	A	A	A	A	A	A	A	A	A	A	A	A				
	MSP Dominican Republic		A	A	A	A	A	A	A	A	A	A	A	A	A	A	A				
	MSP MAR Region		A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A		
	MSP Trinidad and Tobago		A	A	A	A	A	A	A	A	A	A	A	A	A	A	A				
	MSP Venezuela		A	A	A	A	A	A	A	A	A	A	A	A	A	A	A				
3.3.1.b BE & MSP (advocacy)	MSP Regional workshop				PM																
	Exchange visits between MSP sites, advocacy for 10%MSP target							A				A			A						
3.3.2 MPA & OECM	MPA Colombia		A	A	A	A	A	A	A	A	A	A	A	A	A	A	A				
	MPA Dominican Republic		A	A	A	A	A	A	A	A	A	A	A	A	A	A	A				
	MPA country TBD		A	A	A	A	A	A	A	A	A	A	A	A	A	A	A				
	MPA MAR Region		A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A		

	3.4.1.a Traceability (national)	Traceability (national)		A	A	A	A	A	A	A	A	A	A	A	A	A								
	3.4.1.b Traceability (regional)	Traceability (regional)													A	A	A	A						
	3.5.1.a Fishing gear (national)	Fishing gear (national)		A	A	A	A	A	A	A	A	A	A											
	3.5.1.b Fishing gear (regional)	Fishing gear (regional)									A	A	A	A	A	A	A	A						
C4	4.1.1 OCM Hub	Scoping OCM Hub within other platforms	A	A	A	A																		
		Review of CLME+ Hub prototype	A	A	A	A																		
		Recommendations for transition to OCM Hub			A	A	A	A																
		Proposal/implementation of OCM Hub						A	A	A	A	A	A											
		Development of OCM Hub	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A
		OCM HUB Sustainability Strategy															A	A	A	A	A			
	4.1.2.a Blueprint MDI (design)	MDI WG			A	A	A	A	A	A	A	A	A	A	A									
		Inventory of MDI & SWOT analysis				A	A	A	A															
		Proposal for MDI						A	A	A	A	A												
		Adoption of MDI BluePrint										A	A											
	4.1.2.b Blueprint MDI (impl)	Implementation of MDI BluePrint											A	A	A	A	A	A	A	A	A	A	A	A
	4.1.3 TDA / SOMEE	SOMEE WG			A	A	A	A	A	A														

		Approach for SOMEE development	A	A	A	A	A																					
		Development of SOMEE content		a	A	A	A	A	A	A																	
		Technical clearance of SOMEE content by IGOs					A	A	A	A	A	A																
		Integration of SOMEE building blocks into consolidated SOMEE					A	A	A	A	A	A																
		SOMEE Executive Summary, Summary for Decision-makers,...									A	A	A															
		Endorsement integrated SOMEE by the OCM										A	A															
		Creation of online SOMEE		A	A	A	A	A	A	A	A	A	A															
		Exchanges on national-level reporting efforts		A	A	A	A	A	A	A	A	A	A	A	A	A												
	4.2.1 Alliance IWLearn	Integration of OCM Hub and IW:Learn knowledge management tools			tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd
		Shift in implementation of TDA/SAP Approach		tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd
		Prototype regional blueprints for transboundary MDI		tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd
		Remote Sensing in support of marine and coastal planning		tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd
	4.2.2 participation IWLearn	Participation in GEF IW Conferences		PM								PM										PM						
		Participation in the LME Consultative Group meetings			PM				PM				PM				PM						PM					
		Participation in IW:LEARN twinning exchanges and workshops			tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd
		Participation in other relevant events	PM	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd
		1 “over-arching” project video									A	A	A															

	4.2.3 dissemination Best Practices	1 story map					A																	
		3 experience notes							A	A						A	A			A	A	
		3 IW:LEARN website/newsletter contributions		tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd
C5	Inception Workshop	Inception Workshop	PM																					
	Supervision Missions	timing TBD (adaptive management)				tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd
	Learning Missions	timing TBD (adaptive management)				tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd	tbd
	MTE	Independent Mid-Term Project Evaluation										A	A											
	TE	Independent Terminal Project Evaluation																			A	A		
	UNDP annual PIRs	Annual Project Implementation Reviews						A	A			A	A			A	A			A	A			
	GEF Core Indicators	Monitoring & Evaluation						A	A			A	A			A	A			A	A			
	Gender Plan	Monitoring & Evaluation	o	o	o	o	o	o	o	o	o	o	o	o	o	o	o	o	o	o	o	o	o	o
	Safeguards Plan(s)	Monitoring & Evaluation	o	o	o	o	o	o	o	o	o	o	o	o	o	o	o	o	o	o	o	o	o	o
PM	Project Steering Committee	In-person PSC meetings (2)											PM								PM			
	Project Steering Committee	Virtual PSC meetings (2)						VM									VM							
	PMCU	Online monitoring dashboard(s)/PSC engagement platform		A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A
	PMCU	PMCU training	o	o	o	o	o	o	o	o	o	o	o	o	o	o	o	o	o	o	o	o	o	o
	Audit Services	Project audit										A												

Annex 5: Monitoring Plan

Monitoring Plan: The project results, corresponding indicators and mid-term and end-of-project targets in the project results framework will be monitored by the Project Management Unit annually and reported every year in the GEF PIR; they will be evaluated periodically during project implementation in support of the project's adaptive management approach. Project risks, as outlined in the risk register, will be monitored quarterly.

Results Monitoring	**PROJECT OBJECTIVE:** Protecting, restoring and harnessing the natural coastal and marine capital of the Caribbean and North Brazil Shelf Large Marine Ecosystems to catalyze investments in a climate-resilient, sustainable post-covid Blue Economy, through strengthened regional coordination and collaboration, and wide-ranging partnerships
Indicators	**GEF Core Indicator 11:** Number of direct beneficiaries disaggregated by gender as co-benefit of GEF investment
Targets *(MT = project Mid-Term; PE = Project End)*	**PE** = 421,655 (total), of which 259,328 male and 162,327 female; **MT** = 105,413 (total), of which 64,832 male and 40,581 female (i.e. approx. 25% of the initially set PE target values) (*note 1: preliminary values - see comment under column "Data Source/Collection Methods"; note 2: in the CLME+ region, total population within 100km from the coasts is 95 million people; the revision of the number of prospective project beneficiaries to be undertaken during project implementation is expected to lead to a substantial increase of the preliminary target values provided here - but will require the dedicated inputs from an M&E Specialist*)
Description of indicators and targets	use of GEF Guidelines for Core Indicators and Sub-Indicators; *values are determined through a desktop exercise using the data sources/collection methods described under the corresponding column; values are determined at the level of the individual project output and aggregated at the project level (methodology to be fine-tuned by the Project M&E Specialist, once on-boarded).*
Data source/Collection Methods	Data to be logged/ collected and processed by the PROCARIBE+ PMCU (M&E Specialist): **(a)** theoretical deduction based on: project geographic scope and GIS analysis of population/socio-economic statistics (LME's and adjacent coastal zone/contributing terrestrial drainage areas), **(b)** further fine-tuning based on use of results framework (outcomes, outputs and associated targets), and activities list, stakeholder & gender plan/strategy, and project reports and deliverables, and inputs (to be) provided by the PMCU/OCM Secretariat, Project Steering Committee and PROCARIBE+ co-executing partners. **Note:** Methodology, baseline values and targets to be further fine-tuned by the PROCARIBE+ PMCU M&E specialist once on-boarded
Frequency	Annually (PIR) and at mid-point (MTR) and closure (TE)
Responsible for data collection	PROCARIBE+ PMCU (collaborative effort among M&E/stakeholder/gender/safeguards specialists), with support/inputs collected from other PMCU staff, OCM organs and working groups, ocean partnership(s), and Project Executive Group (co-executing partners), PROCARIBE+ Project Steering Committee
Means of verification	report(s) to be prepared by PROCARIBE+ PMCU, GIS Products, official statistics, signed Project Document/Results Framework/Activities List/Stakeholder Strategy/Gender Strategy,...participating countries list, project reports and deliverables, OCM Hub, dedicated data collection documents (logs of electronic exchanges, questionnaires),...with due attention to disaggregation by gender; dedicated data collection records based on a template to be developed by the PROCARIBE+ M&E specialists, and tailored to the specific outcome.

Risks/Assumptions	Assumption: the wide thematic range of PROCARIBE+ activities and its wide geographic scope makes that, in extremis, all users of both LME's (e.g. also international tourists, and global population benefiting from carbon sequestration by CLME+ marine ecosystems) can be considered beneficiaries of the project activities. For the time being, however, only a subset of those have been incorporated in the target, a more detailed analysis can be conducted during project inception, including a differentiation among a number of SMART categories Risks: Main risk for this core indicator under PROCARIBE+ relates to the potential of different interpretations of the meaning/description of "direct beneficiary" provided in the GEF Guidelines for Core Indicators and hence the associated potential for substantial ambiguity/subjectivity in setting and determining progress towards the target values. Mitigation measures: the GEF guidance indicates: "Targeted support is the intentional and direct assistance of a project to individuals or groups of individuals who are aware that they are receiving that support and/**or** who use the specific resources.": whereas the conditional statement "or" indicates that only one of both conditions is to be met, care will be taken by the PROCARIBE+ to create awareness -to the extent possible and taking into account the budgetary constraints- among stakeholders/beneficiaries about the project activities and their intended impact on the marine resource base. The PROCARIBE+ will develop and document the methodology for determining beneficiary levels, this as to remove as much as possible, any potential ambiguity.
Indicators	**GEF Core Indicator 2:** Marine protected areas created or under improved management for conservation and sustainable use (hectares) **Sub-Indicator 2.1.:** Marine protected areas newly created **Sub-Indicator 2.2.:** Marine protected areas under improved management effectiveness
Targets *(MT = project Mid-Term; PE = Project End)*	**Aggregate value:** MT = 3,312,547ha, PE = 4,368,052 ha; **Sub-Indicator 2.1**: MT = 0 ha, PE = 1,055,505 ha; **Sub-Indicator 2.2:** MT = 3,312,547 ha, PE = 3,312,547ha; ***Note:*** *1 additional MPA/OECM effort will be selected during project inception, the target area to be included in the MPA/OECM will be added to the corresponding Core Indicator targets at that point*
Description of indicators and targets	use of GEF Guidelines for Core Indicators and Sub-Indicators; target values were derived from the PROCARIBE+ Work Plan and the cumulative values of the SMART indicators set at the Output level (Output 3.3.2) under the Project Results Framework/Project Document Section IV, for the different intervention sites (Colombia and Dominican Republic - Cordillera Beata, and Colombia: Archipielago de Rosario and San Bernardo)
Data source/Collection Methods	Data to be logged/ collected and processed by the PROCARIBE+ PMCU (M&E Specialist), using the GEF guidance (hyperlinked under the "Description of Indicators and Targets" column), and based on the means of verification listed under the MoV column
Frequency	Annually (PIR) and at mid-point (MTR) and closure (TE) / when change from status-quo/milestone achieved/(sub-)target met
Responsible for data collection	PROCARIBE+ PMCU (M&E specialist), with support from Project Executive Group (co-executing partners), PROCARIBE+ Project Steering Committee/National Focal Points, Cartagena Convention SPAW Protocol/Programme
Means of verification	online World Database on Protected Areas (WCMC-WDPA) and, as applicable, IUCN/BIOPAMA Caribbean Marine Protected Areas Database, Cartagena Convention SPAW Protocol database, national MPA databases, MPA management effectiveness assessment tracking tools (METTs), MPA Management Plans, formal declaratory, SOMEE report, OCM Hub, GIS files...; dedicated data collection records based on a template to be

	developed by the PROCARIBE+ M&E specialists and tailored to the specific outcome.
Risks/Assumptions	Risk(s): Commitments acquired during current national administrations may not be upheld in case of a change in administration during the project timeframe; however, the risk in terms of achieving the outcome-level target (in terms of areas under increased/enhanced protection) is considered low, given the wider range of countries in the region that have (pre-)committed to 30x30 marine conservation targets; Mitigation: given the complexity of the project and the amount of participating countries and stakeholders, key for success (and in line with CLME and CLME+ Project independent evaluations) will be to provide for a strong PMCU that can adequately manage the many government relations that will be essential to maintaining buy-in, and/or to adaptively and expeditiously change the project work plan in case of loss of political momentum/commitment in any given target country
Indicators	**GEF Core Indicator 5:** Area of marine habitat under improved practices to benefit biodiversity **Sub-Indicator 5.2.:** Number of Large Marine Ecosystems with reduced pollution and hypoxia
Targets *(MT = project Mid-Term; PE = Project End)*	**Indicator 5:** MT = 440 million ha *(note: this is the complete area of the Caribbean and North Brazil Shelf LME's, combined);* PE = 440 million ha *(note: this is the complete area of the Caribbean and North Brazil Shelf LME's, combined)* **Sub-Indicator 5.2:** MT = 1 LME, PE = 1 LME (Caribbean LME)
Description of indicators and targets	use of GEF Guidelines for Core Indicators and Sub-Indicators; (main indicator) full area of CLME and NBSLME to be considered under enhanced governance/management practices attributable to the project if: SAP covering the LME's under implementation, with implementation supported by the project, and/or new SAP developed and endorsed and/or (new) ocean governance/management mechanism made operational and supported by the project with geographic mandate covering the full area of the LME's and benefiting biodiversity; (sub-indicator) civil society action under Outcome 3.1 will be expected to deliver contributions to pollution reduction in parts of the Caribbean LME where such civil society action will take place.
Data source/Collection Methods	Data to be logged/ collected and processed by the PROCARIBE+ PMCU (M&E Specialist), using the GEF guidance (hyperlinked under the "Description of Indicators and Targets" column), and based on the means of verification listed under the MoV column
Frequency	Annually (PIR) and at mid-point (MTR) and closure (TE)
Responsible for data collection	PROCARIBE+ PMCU (M&E specialist), with support from the OCM EG/SG/Secretariat and the Project Executive Group (co-executing partners)
Means of verification	**Indicator 5:** signatures of the OCM MOU, OCM Meeting reports, work plans, existing SAP and SAP progress tracking records, new SAP, MSP plans; PSSA plan, etc. **Sub-Indicator 5.2:** report from the Small Grants output, logging any pollution reduction that may be achieved through civil society action under PROCARIBE+; dedicated data collection records based on a template to be developed by the PROCARIBE+ M&E specialists, and tailored to the specific outcome.
Risks/Assumptions	Risk(s): (main indicator) delays in operationalizing the OCM; (sub-indicator) lack of quality proposals from civil society groups focussing on pollution reduction ; Mitigation: (main indicator) continuity of interim coordination mechanism until the OCM is made operational; (sub-indicator) provision of guidance and support for the

	development of grant requests by civil society groups, provision of success stories from existing small grants experiences
Indicators	**GEF Core Indicator 7:** Number of shared water ecosystems (fresh or marine) under new or improved cooperative management **Sub-Indicator 7.1.:** Level of (a) Transboundary Diagnostic Analysis and (b) Strategic Action Program formulation and implementation **Sub-Indicator 7.2.:** Level of Regional Legal Agreements and Regional Management Institution(s) to support its implementation **Sub-Indicator 7.3.:** Level of national/local reforms and active participation of Inter-Ministerial Committees **Sub-Indicator 7.4.:** Level of engagement in IW: Learn through participation and delivery of key product
Targets *(MT = project Mid-Term; PE = Project End)*	**Core Indicator:** MT = 2 PE = 2 (Caribbean and North Brazil Shelf LME's) **Sub-Indicator 7.1.:** MT = 4 (2015-2025 SAP) / 2 (new TDA ("SOMEE") PE = 4 (new, 2026-2035 SAP) **Sub-Indicator 7.2.:** MT = 4* PE = 4* note: this refers to the regional Ocean Coordination Mechanism -which is non-legally binding but is anticipated to contain a member organization that implements a legally binding framework (Cartagena Convention) **Sub-Indicator 7.3.:** MT = 2 PE = 4 **Sub-Indicator 7.4.:** MT = 4 PE = 4
Description of indicators and targets	use of GEF Guidelines for Core Indicators and Sub-Indicators; Notes: for Sub-Indicator 7.1, "target" scores are given for both the first iteration of the TDA/SAP process (initiated under the UNDP/GEF CLME and CLME+ Projects, and with SAP implementation currently still ongoing) as well as for the second TDA/SAP iteration which will be supported by the PROCARIBE+ Project.
Data source/Collection	**Core Indicator and all Sub-Indicators:**

Methods	Data to be logged/ collected and processed by the PROCARIBE+ PMCU (M&E Specialist), using the standardized scales from the GEF guidance (hyperlinked under the "Description of Indicators and Targets" column), and based on the means of verification listed under the MoV column
Frequency	Annually (PIR) and at mid-point (MTR) and closure (TE) / when change from status-quo/milestone achieved/(sub-)target met
Responsible for data collection	OCM Secretariat (PROCARIBE+ PMCU, (M&E specialist), with support from OCM organs and (as applicable) working groups) + ocean partnership(s), and/or Project Executive Group (co-executing partners), PROCARIBE+ Project Steering Committee
Means of verification	**Core Indicator:** politically endorsed CLME+ SAP (2015-2025), Ocean Coordination Mechanism Memorandum of Understanding, signed PROCARIBE+ Project Document incl. Project Map, new TDA (SOMEE), new SAP (2026-2035), OCM meeting reports; **Sub-Indicator 7.1.:** CLME+ Hub (www.clmeplus.org)including SOMEE and SAP sections and SAP progress tracking tool,, the Ocean Coordination Mechanism (OCM), the OCM membership (IGO's and countries), OCM SOMEE and SAP Working Groups, and the reports emanating from the above mechanisms; **Sub-Indicator 7.2.:** CLME+ Hub (www.clmeplus.org) including the Ocean Coordination Mechanism (OCM) MOU signature tracker and signature repository (ICM/OCM Secretariat); OCM Steering Group, OCM Executive Group; ICM/OCM Member IGO's; **Sub-Indicator 7.3.:** PROCARIBE+ outputs relative to NICs (IMCs) (e.g. Output 2.1.1, NIC status report) and Blue Economy policies/strategies, 2025 NDCs,... ; SOMEE section on policy reforms and status of NICs in the region (IMCs); **Sub-Indicator 7.4.:** IW:LEARN activity reports, PROCARIBE+ PMCU BTORs, OCM Hub, PROCARIBE+ Project Website; PROCARIBE+ IW:LEARN advocacy/dissemination materials, online experience/results notes, project video. story map, online map/geospatial and training materials repository PROCARIBE+ (UNOPS) travel authorizations, expenditure logs;...; dedicated data collection records based on a template to be developed by the PROCARIBE+ M&E specialists, and tailored to the specific outcome.
Risks/Assumptions	Assumption(s): **(a)** political momentum and commitment to proceed towards the prompt operationalization of the regional ocean coordination mechanism (OCM), as expressed at the final CLME+ Project Steering Committee (PSC) Meeting in October 2021, will not have been lost and the OCM will have been formally established by or during the initial months of the PROCARIBE+ Project; (**b**) allocated funding is sufficient and OCM Secretariat staffing composition and staff profiles are adequate to allow for an effective functioning of the OCM, its Secretariat, Organs and Working Groups; **(c)** Output 4.13 (i.e. the SOMEE report) will be delivered in time to allow for the timely development of the new regional SAP; Risk(s): **(a)** a lengthy interval between the final CLME+ PSC Meeting (Oct 2021) and the initiation of the PROCARIBE+ Project leads to a loss in momentum and may cause difficulties in operationalizing/a delayed operationalization of the OCM, with substantial associated delays in both Outcome 1.1. and Outcome 4.1. as a result; (b) insufficient funds allocated to Component 1 will jeopardize successful achievement of Outcome 1.1 targets, with likely negative spill-over effects on the achievement of Outcome 4.1; Mitigation: The risks are to be mitigated by **(a)** pursuing an as-fast-as-possible operationalization of the PROCARIBE+ Project by applying pragmatism during the PPG phase (taking into account the limited PPG grant versus the complexity of the region and the project), combined with: expeditiousness in the installation and operationalization of the PMCU during the PROCARIBE+ Project inception phase (the latter also enabling the further fine-tuning of the project approach during this inception phase, beyond what was possible during PPG); **(b)** an increase in the budgetary allocation to Component 1 beyond the indicative allocation from the PIF, based on a more in-depth analysis and description (under ProDoc Section IV) of key activities required for achieving the Outcome 1.1, and a carefully conducted revision of

	associated budget needs, the latter within the approved limits of the GEF grant and without jeopardizing delivery on the other Core Project Targets.
Indicators	**GEF Core Indicator 8:** Globally over-exploited fisheries moved to more sustainable levels (metric tons)
Targets *(MT = project Mid-Term; PE = Project End)*	**PE** = the over-exploited queen conch fishery is brought to more sustainable levels through application of traceability to annual exports corresponding to 515 metric tons/yr *(important note: the export volume of shrimp to be brought under traceability by PE was added to this target in the PIF; however, current data do not allow to separate between wild-caught shrimp and shrimp originating from aquaculture - for this reason and until a clear split in the origin of exports can be obtained, the volume of shrimp exports have been removed from the target)*
Description of indicators and targets	use of GEF Guidelines for Core Indicators and Sub-Indicators; *target value set through collection of official annual catch/production/export statistics for the selected target species and target countries as specified under the Output in the Project Results Framework and Project Document Section IV*
Data source/Collection Methods	Data to be logged/ collected and processed by OIRSA and OSPESCA, in collaboration with processing plants/exporters from participating countries and or export/import authorities; fisheries statistics (FAO,...; catch/production/export volumes) used for the initial setting of target values
Frequency	Annually (PIR) and at mid-point (MTR) and closure (TE)
Responsible for data collection	OIRSA and OSPESCA, with support from CRFM, FAO-WECAFC (Regional Fisheries Bodies)
Means of verification	FAO fisheries statistics, OIRSA export statistics, traceability statistics, OSPESCA progress reports, SOMEE report, OCM Hub, Fisheries Interim Coordination Mechanism meeting decisions/minutes/reports, meeting reports/decisions from the Regional Fisheries Bodies (OSPESCA, CRFM, FAO WECAFC), OIRSA,..; dedicated data collection records based on a template to be developed by the PROCARIBE+ M&E specialists, and tailored to the specific outcome.
Risks/Assumptions	Assumptions: **(a)** the volumetric target values associated with the outcome indicator are assumed to be reasonably accurate - it needs to be noted that they are based on a desk-top analysis of official fishery/seafood statistics -the latter potentially with associated quality issues- conducted by fisheries experts during the PIF and PPG development phases, taking into account the fishery/seafood production/export volumes for the top producing/exporting countries from the region for each of the target species; **(b)** full commitment is maintained/obtained to advance the planned traceability work from the top producing/exporting countries as required to achieve the target volumes - also in the case of changes in administration; Risk(s): **(a)** the cited target volume may not be fully achievable in case the original target setting exercise would indeed have been negatively affected by quality issues; **(b)** lack of or discontinuity in the engagement by a top producing/exporting country might jeopardize the achievement of a (relatively important) fraction of the overall target, even if prompt remediative measures are taken by engaging an additional country; Mitigation actions: **(a)** quality check of the target values during the project's initial phase, and adjustment -as early as possible into project implementation, or as soon as improved/corrected data becomes available- if deemed necessary; **(b)** advocacy actions on the importance of traceability through a strong engagement with the participating countries members of the Interim Fisheries Coordination Mechanism (OSPESCA, CRFM, FAO-WECAFC) and the PROCARIBE+ PMCU, and highlighting the increasingly critical importance of traceability for continued market access

Results Monitoring	**Project Outcome 1.1:** Coordinated, collaborative and synergistic implementation of regional, sub-regional and national (Strategic) Action Programmes and Plans in support of the CLME+ Vision, enabled through a regional Ocean Coordination Mechanism (OCM) and complementary, (thematic) partnership(s), and a regional programmatic approach
Indicators	**Indicator OC1.1.** = proof of coordination and collaborative and synergistic action consisting of: **(a)** OCM operationalization + **(b) Number of P**artnership Forum/a held + **(c)** development progress of the new SAP + **(d)** total number of progress tracking records, for the current and/or new SAP(s) (as applicable), in the online SAP/Action Plan Progress Tracking Tool(s) + **(e)** total number of organizations that registered progress tracking records in the joint tool(s) + **(f)** total number of projects listed as supporting action progress in the online tracking tool(s)
Targets *(MT = project Mid-Term; PE = Project End)*	**MT = (a)** OCM operational ; **(b)** 1 partnership forum held; **(c)** advanced draft for the new SAP; **(d)** at least 50 new SAP progress tracking records; **(e)** SAP progress tracking records from at least 10 different organizations; **(f)** SAP progress tracking records indicative of progress support from at least 10 different projects/programmes/initiatives (proof of advances with programmatic approach); **PE = (a)** OCM operational and with sustainability strategy; **(b)** 2 partnership fora held; **(c)** new SAP endorsed; **(d)** at least 100 new SAP progress tracking records since project start; **(e)** SAP progress tracking records from at least 20 different organizations; **(f)** SAP progress tracking records indicative of progress support from at least 20 different projects/programmes/initiatives (proof of advances with programmatic approach)
Description of indicators and targets	2 (SMART) targets are associated with the 2 Output s under Outcome 1.1. in the Project Results Framework. The combined progress towards achieving the targets will help determine the level of progress under the Outcome-level indicator
Data source/Collection Methods	Data to be systematically collected and logged following protocols/instructions/templates to be developed for this purpose by the PROCARIBE+ M&E Specialist (once onboarded), and to be processed by the M&E Specialist during PIR, MTE and TE reporting periods. Data collection to occur in collaboration with PROCARIBE+ co-executing partners and Project Board members, as relevant, and to be based on the means of verification listed under the MoV column
Frequency	Annually (PIR) and at mid-point (MTR) and closure (TE) / when change from status-quo/milestone achieved/(sub-)target met
Responsible for data collection	OCM Secretariat (PROCARIBE+ PMCU) with support from the M&E Specialist and (as applicable) from Project Executive Group (co-executing partners), OCM membership and ocean partnership(s),...
Means of verification	OCM MOU signatures, online OCM Knowledge Management Hub (incl. SAP progress tracking tool), reports/decision documents/minutes from the meetings of the OCM Steering Group, Executive Group and (as applicable) Work Groups, new SAP document, online SAP, SAP ministerial signatures, formal references to OCM associations with partnerships, regional partnership event participation lists and audiovisuals, IGO/country/partnership member contributions to the SAP progress tracking tools (progress records),...;dedicated data collection records based on a template to be developed by the PROCARIBE+ M&E specialists, and tailored to the specific outcome.
Risks/Assumptions	Assumption(s): **(a)** political momentum and commitment to proceed towards the prompt operationalization of

	the regional ocean coordination mechanism (OCM), as expressed at the final CLME+ Project Steering Committee (PSC) Meeting in October 2021, will not have been lost and the OCM will have been formally established by or during the initial months of the PROCARIBE+ Project; (**b**) allocated funding is sufficient and OCM Secretariat staffing composition and staff profiles are adequate to allow for an effective functioning of the OCM, its Secretariat, Organs and Working Groups; **(c)** Output 4.13 (i.e. the SOMEE report) will be delivered in time to allow for the timely development of the new regional SAP; Risk(s): **(a)** a lengthy interval between the final CLME+ PSC Meeting (Oct 2021) and the initiation of the PROCARIBE+ Project leads to a loss in momentum and may cause difficulties in operationalizing/a delayed operationalization of the OCM, with substantial associated delays in both Outcome 1.1. and Outcome 4.1. as a result; (b) insufficient funds allocated to Component 1 will jeopardize successful achievement of Outcome 1.1 targets, with likely negative spill-over effects on the achievement of Outcome 4.1; Mitigation: The risks are to be mitigated by **(a)** pursuing an as-fast-as-possible operationalization of the PROCARIBE+ Project by applying pragmatism during the PPG phase (taking into account the limited PPG grant versus the complexity of the region and the project), combined with: expeditiousness in the installation and operationalization of the PMCU during the PROCARIBE+ Project inception phase (the latter also enabling the further fine-tuning of the project approach during this inception phase, beyond what was possible during PPG); **(b)** an increase in the budgetary allocation to Component 1 beyond the indicative indication from the PIF, and based on a more in-depth analysis and description (under ProDoc Section IV) of key activities required (and associated budget requirements) for achieving the Outcome 1.1 outputs and targets, and, to the extent possible,

Results Monitoring	**Project Outcome 2.1:** National-level capacity, enabling conditions and commitments for EBM/EAF and marine-based, climate and disaster-resilient "green-blue" socio-economic development
Indicators	**Indicator OC2.1.1.**: proof of enhanced capacity, enabling conditions and commitments, consisting of: (a) operational NICs connected to the OCM (b) national SOMEE's, BE scoping studies and NCA pilots/enhancements(c) (d) marine and coastal natural capital integrated in 2025 NDC's *updates*
Targets *(MT = project Mid-Term; PE = Project End)*	**PE = (a) in at least 75% of OCM member countries; (b) at least 2 SOMEE, 2 BE scoping studies, and 1 NCA pilot/enhancement; completed; (c) Training delivered and/or made permanently accessible for all 44 CLME+ States and Territories; (d) min 5 2025 NDC updates with strong/upscaled "blue" component(s)**
Description of indicators and targets	Each of the 4 Outputs under Outcome 2.1. has an associated (SMART) target in the Project Results Framework. The combined progress towards achieving the targets associated with all 3 Outputs under this Outcome will help determine the level of progress under the Outcome-level indicator
Data source/Collection Methods	Data to be systematically collected and logged following protocols/instructions/templates to be developed for this purpose by the PROCARIBE+ M&E Specialist (once onboarded), and to be processed by the M&E Specialist during PIR, MTE and TE reporting periods. Data collection to occur in collaboration with PROCARIBE+ co-executing partners and Project Board members, as relevant, and to be based on the means of verification listed under the MoV column
Frequency	Annually (PIR) and at mid-point (MTR) and closure (TE) / when change from status-quo/milestone achieved/(sub-)target met

Responsible for data collection	PROCARIBE+ PMCU with support from the M&E specialist and the Project Executive Group (co-executing partners), PROCARIBE+ Project Steering Committee
Means of verification	NIC constituting documents, NIC websites, NIC meeting reports, regional NIC status report, national blue economy scoping reports, national SOMEE reports, national NCA report, online training materials, training participants lists and certificates, training site statistics, 2025 Nationally Determined Contributions (NDC's) from countries from the wider Caribbean (Caribbean and North Brazil Shelf LME) region; dedicated data collection records based on a template to be developed by the PROCARIBE+ M&E specialists, and tailored to the specific outcome.
Risks/Assumptions	Assumptions: **(1)** for national SOMEE reporting/BE scoping/NCA/NDC iteration: sufficient data and information/capacity is available to conduct a meaningful exercise; **(2)** a lot of pre-existing materials and capacity exists globally (course materials, trainers) that can be used to support achievement of the targets related to the capacity building output; Risks: **(1)** not all data/information may exist as would be required for the optimal delivery of any given element of this Outcome, and PROCARIBE+ itself would not have the resources, or the project timeframe would not allow to produce the additional data; **(2)** not fully recognizing the existing resources and capacity may lead to duplication of efforts and hence inefficient use of limited available resources; **(3)** providing a capacity building activity may not lead to the needed lasting capacity and competence at the national level; Mitigation measures: **(1)** pragmatic approach and setting of clear expectations: as in CLME+, the value of the identification, and subsequent explicit reporting of the existence of (persistent) data/information/knowledge gaps in the national SOMEE(s), or by extension the other elements of this Outcome (BE scoping, NDC,...) is not to be seen as a failure on its delivery, but instead, a necessary step to create the awareness and trigger subsequent action for countries to progressively implement measures to fill such knowledge gaps. The approach to the delivery of the different elements under this Outcome is to be seen as a recurrent, periodic exercise, where each iteration progressively resolves prior data/information/knowledge gasp, and as such, increasingly strengthens its value as a "science-policy" interface and decision support tool, the hands-on practice provided through the project will, together with the capacity-building output under this outcome, help increasing the needed national-level capacity:**(2)** among the first activities under this output: inventory of existing training materials/efforts, and harnessing these efforts, where feasible, into the project strategy for this output: **(3)** hands-on experience on the training matters through the different outputs under Component 2, 3 and 4, together with the creation of a permanent online resource base for training/training materials, will ensure more lasting impacts from the PROCARIBE+ investment in the training/capacity building output

Results Monitoring	**Project Outcome 3.1:** Civil Society and MSME contributions to ocean conservation and ocean-based sustainable development & livelihoods/blue economies, upscaled
Indicators	**Indicator OC3.1.1:** number of CS/MSME initiatives that advance actions under the CLME+ SAP (1 and 2), C-SAP and/or associated/compatible Strategies and Action Plans, newly initiated or upscaled during the PROCARIBE+ timeframe
Targets *(MT = project Mid-Term; PE = Project End)*	**MT** = min. 10; **PE** = min. 30
Description of indicators and	2 (SMART) targets are associated with Output 3.1 in the Project Results Framework. The combined progress

targets	towards achieving the targets will help determine the level of progress under the Outcome-level indicator
Data source/Collection Methods	Data to be systematically collected and logged following protocols/instructions/templates to be developed for this purpose by the PROCARIBE+ M&E Specialist (once onboarded), and to be processed by the M&E Specialist during PIR, MTE and TE reporting periods. Data collection to occur in collaboration with PROCARIBE+ co-executing partners and Project Board members, as relevant, and to be based on the means of verification listed under the MoV column
Frequency	Annually (PIR) and at mid-point (MTR) and closure (TE)
Responsible for data collection	PROCARIBE+ PMCU in collaboration with UNOPS Small Grants Support (NY Office) and national coordinators, UNDP OIC, with support from the M&E Specialist
Means of verification	proposal documents (grant requests), field visits, audiovisual materials, progress reports, workshop reports, final reports, UNDP SGP publications, samples of the goods & products derived from the small grants interventions (where applicable), cross-references between proposal documents, progress and final reports and the CLME+ SAP, Civil Society SAP and Regional Strategies and Action Plans; dedicated data collection records based on a template to be developed by the PROCARIBE+ M&E specialists, and tailored to the specific outcome.
Risks/Assumptions	Assumptions: continuity of the GEF SGP as currently known and implemented, and enabling conditions to indeed proceed with the planned coordinated/synergistic implementation of both the PROCARIBE+ and GEF SGP funds; Risk(s): **(a)** limited capacity among civil society groups in the target countries to present proposals of sufficient quality to enable them to successfully and timely mobilize the small grants funding opportunities provided through the project; **(b)** lack of alignment between submitted proposals and the objectives of the CLME+ SAP, civil society action plan, and other relevant regional strategies and action plans; **(c)** lack of oversight and monitoring & evaluation leads to inadequate/insufficient use of small grants resources, **(d)** inability to proceed with the coordinated programming approach between PROCARIBE+ and the GEF SGP as originally planned; Mitigation: **(a)** and **(b)**: under the outcome adequate budget allocations have been made (increase from the original allocation in the PIF for this outcome) to accommodate for the training/capacity building and support needs, as well as to enable direct engagement of PROCARIBE+ PMCU staff, aimed at ensuring sufficient alignment between the small grant-supported projects and the overarching regional strategies; **(c)** funds have been allocated to ensure sufficient oversight and M&E efforts; **(d)** adaptive management and tweaking of collaborative/coordination arrangements to adjust to any new conditions that may prevail at time of PROCARIBE+ implementation + exploration of possible/additional collaboration/coordination with other SG initiatives in the region (the latter also being a valuable objective even in the absence of potential changes in the GEF SGP)

Results Monitoring	**Project Outcome 3.1:** Civil Society and MSME contributions to ocean conservation and ocean-based sustainable development & livelihoods/blue economies, upscaled
Indicators	**Indicator OC3.1.2:** Percentage of women-led projects and youth-led project financed under micro-financing scheme
Targets **(MT = project Mid-Term; PE =**	**MT** = At least 15% of the small grants given to women projects / 5% of the small grants given to youth projects. **PE** = At least >30% of the small grants given to women projects / >10% of the small

Project End)	
Description of indicators and targets	Percentage of women and young persons as beneficiaries of small grants.
Data source/Collection Methods	Data to be collected under the micro-financing scheme. Documentation of the assignation of grants to women-led and youth led projects.
Frequency	Annually (PIR) and at mid-point (MTR) and closure (TE)
Responsible for data collection	PROCARIBE+ PMCU in collaboration with UNOPS Small Grants Support (NY Office) and national coordinators, UNDP OIC, with support from the M&E Specialist
Means of verification	proposal documents (grant requests), field visits, audiovisual materials, progress reports, workshop reports, final reports, UNDP SGP publications, samples of the goods & products derived from the small grants interventions (where applicable), cross-references between proposal documents, progress and final reports and the CLME+ SAP, Civil Society SAP and Regional Strategies and Action Plans; dedicated data collection records based on a template to be developed by the PROCARIBE+ M&E specialists, and tailored to the specific outcome.
Risks/Assumptions	Assumptions: continuity of the GEF SGP as currently known and implemented, and enabling conditions to indeed proceed with the planned coordinated/synergistic implementation of both the PROCARIBE+ and GEF SGP funds; Risk(s): **(a)** limited capacity among civil society groups in the target countries to present proposals of sufficient quality to enable them to successfully and timely mobilize the small grants funding opportunities provided through the project; **(b)** lack of alignment between submitted proposals and the objectives of the CLME+ SAP, civil society action plan, and other relevant regional strategies and action plans; **(c)** lack of oversight and monitoring & evaluation leads to inadequate/insufficient use of small grants resources, **(d)** inability to proceed with the coordinated programming approach between PROCARIBE+ and the GEF SGP as originally planned; Mitigation: **(a)** and **(b)**: under the outcome adequate budget allocations have been made (increase from the original allocation in the PIF for this outcome) to accommodate for the training/capacity building and support needs, as well as to enable direct engagement of PROCARIBE+ PMCU staff, aimed at ensuring sufficient alignment between the small grant-supported projects and the overarching regional strategies; **(c)** funds have been allocated to ensure sufficient oversight and M&E efforts; **(d)** adaptive management and tweaking of collaborative/coordination arrangements to adjust to any new conditions that may prevail at time of PROCARIBE+ implementation + exploration of possible/additional collaboration/coordination with other SG initiatives in the region (the latter also being a valuable objective even in the absence of potential changes in the GEF SGP)

Results Monitoring	**Project Outcome 3.2:** Increased mobilization of private capital supporting environmental stress reduction and sustainable climate-smart blue economy initiatives, supporting CLME+ SAP implementation and post COVID-19 recovery, enabled
Indicators	**Indicator OC3.2:** enabling conditions established to implement a carbon credits-based sustainable financing instrument for seagrasses and tropical peatlands in Panama
Targets	**MT** = training, mapping and DPSIR analysis completed; **PE** = (Pre-)feasibility studies including carbon stocks assessments for 3 pilot sites, best practices for replication and upscaling documented and disseminated

(MT = project Mid-Term; PE = Project End)	
Description of indicators and targets	The cumulative progress towards implementing the activities listed for this Output under Section IV of the Project Document will help in the description of the level of progress under the Outcome-level indicator
Data source/Collection Methods	Data to be systematically collected and logged following protocols/instructions/templates to be developed for this purpose by the PROCARIBE+ M&E Specialist (once onboarded), and to be processed by the M&E Specialist during PIR, MTE and TE reporting periods. Data collection to occur in collaboration with PROCARIBE+ co-executing partners and Project Board members, as relevant, and to be based on the means of verification listed under the MoV column
Frequency	Annually (PIR) and at mid-point (MTR) and closure (TE) / when change from status-quo/milestone achieved/(sub-)target met
Responsible for data collection	PROCARIBE+ PMCU with support from the M&E specialist and the Project Executive Group (co-executing partners), PROCARIBE+ Project Steering Committee
Means of verification	progress reports, final report, workshop report, protocol, GIS layers, maps, training material, methodological standard, 2025 NDC update; dedicated data collection records based on a template to be developed by the PROCARIBE+ M&E specialists, and tailored to the specific outcome.
Risks/Assumptions	Assumptions: field work can indeed be executed as required (we refer also to e.g. what happened during the COVID-19 pandemic). Risk: deemed low as the project spans over a period of 5 years. Mitigation measures: prompt initiation of the co-executing arrangements; plan field work activities as early on as possible during project implementation, to allow for adaptive management

Results Monitoring	**Project Outcome 3.3:** Expansion and integration of "Blue Economy", Marine Spatial Planning and MPA/OECM efforts across the region (ecosystem approach), supporting ocean-based socio-economic development, recovery and resilience (covid19, hurricanes) and progressive delivery on international targets in the fields of: marine conservation and climate change mitigation and adaptation
Indicators	**Indicator OC3.3.1:** see GEF Core Indicator 2 and associated sub-indicators described under the Project Objective

Results Monitoring	**Project Outcome 3.3:** Expansion and integration of "Blue Economy", Marine Spatial Planning and MPA/OECM efforts across the region (ecosystem approach), supporting ocean-based socio-economic development, recovery and resilience (covid19, hurricanes) and progressive delivery on international targets in the fields of: marine conservation and climate change mitigation and adaptation
Indicators	**Indicator OC3.3.2:** *area in km2 covered by marine spatial planning efforts, attributable to/supported by the PROCARIBE+ Project*

Targets *(MT = project Mid-Term; PE = Project End)*	*MT = development of plans (MSP, PSSA) underway for an area > 150,000 km2; PE = plans finalized, covering an area > 200,000 km2*
Description of indicators and targets	Target values were derived from the PROCARIBE+ Work Plan and the cummulative values of the SMART targets set at the Output level (Output 3.3.1 and 3.3.2) under the Project Results Framework/Project Document Section IV, for the different intervention sites (Mesoamerican Reef (MAR) Region and Dominican Republic - Fisheries Replenishment Zones/Marine Management Areas; Venezuela, Colombia, Trinidad and Tobago, Mesoamerican Reef countries: Marine Spatial Planning). **Note 1:** some of the Fisheries Replenishment Zones may be established within MPA's - in those cases, their corresponding area in ha will be registered under GEF Core Indicator 2. **Note 2:** PROCARIBE+ also aims to support the submission by countries from the MAR region of part of the MAR (5,609,700 ha) for designation as a Particularly Sensitive Sea Area (PSSA) under the IMO; while the effective PSSA designation is not set as the PE target, if possible/conditions allowing, the project will still pursue its achievement by Project End and in that case can be declared as a contribution to GEF Core Indicator 5..
Data source/Collection Methods	Data to be logged/ collected and processed by the PROCARIBE+ PMCU (M&E Specialist), using the GEF guidance (hyperlinked under the "Description of Indicators and Targets" column), and based on the means of verification listed under the MoV column
Frequency	Annually (PIR) and at mid-point (MTR) and closure (TE)
Responsible for data collection	PROCARIBE+ PMCU (M&E specialist), with support from Project Executive Group (co-executing partners), PROCARIBE+ Project Steering Committee
Means of verification	**Core Indicator:** online World Database on Other Effective area-based Conservation _Measures. Marine Spatial Plans, management plans for Fisheries Replenishment Zones (FRZ) endorsed or under implementation, formal declaratory, SOMEE report, OCM Hub, GIS files...; dedicated data collection records based on a template to be developed by the PROCARIBE+ M&E specialists, and tailored to the specific outcome.
Risks/Assumptions	Risk(s): Commitments acquired during current national administrations may not be upheld in case of a change in administration during the project timeframe; however, the risk of not achieving the outcome-level target (in terms of level of BE/MSP planning and/or OECM efforts across the region) is considered low, given the wider range of countries in the region that have expressed interest in BE and MSP planning, and OECM's, and the wide-ranging regional (pre-)commitments to 30x30 marine conservation targets; Mitigation: given the complexity of the project and the amount of participating countries and stakeholders, key for success (and in line with CLME and CLME+ Project independent evaluations) will be to provide for a strong PMCU that can adequately manage the many government relations that will be essential to maintaining buy-in, and/or to adaptively and expeditiously change the project work plan in case of loss of political momentum/commitment in any given target country

Results Monitoring	**Project Outcome 3.4:** Generalized implementation across the Wider Caribbean/WECAFC region of traceability systems is enabled for key fisheries and seafood products, as a key measure for sustainability and against IUU fishing
Indicators	**Indicator OC3.4:** proof of progress towards generalized implementation of traceability, consisting of: **(a)**

	number of fishery/seafood products with traceability schemes applied + **(b)** total volume of fishery/seafood products under traceability + **(c)** enabling conditions (traceability standards) to replicate/expand the traceability systems across the WECAFC countries
Targets (MT = project Mid-Term; PE = Project End)	MT = (a) + (b) Regulations/Agreements/Protocols for the implementation of national traceability systems, required to achieve the end-of-project targets under (a) and (b), developed/adopted in at least 75% of participating pilot countries (c) N/A (related activities as per chronological planning to be conducted during second project half); PE = (a) 55,900 metric tons of fishery/seafood products from the region with traceability applied; (b) regional/sub-regional traceability standards developed enabling region-wide application of traceability for fisheries/seafood products
Description of indicators and targets	2 (SMART) targets are associated with Output 3.4 in the Project Results Framework. The combined progress towards achieving the targets will help determine the level of progress under the Outcome-level indicator
Data source/Collection Methods	Data to be systematically collected and logged following protocols/instructions/templates to be developed for this purpose by the PROCARIBE+ M&E Specialist (once onboarded), and to be processed by the M&E Specialist during PIR, MTE and TE reporting periods. Data collection to occur in collaboration with PROCARIBE+ co-executing partners and Project Board members, as relevant, and to be based on the means of verification listed under the MoV column
Frequency	Annually (PIR) and at mid-point (MTR) and closure (TE) / when change from status-quo/milestone achieved/(sub-)target met
Responsible for data collection	OIRSA and OSPESCA, with support from CRFM, FAO-WECAFC (Regional Fisheries Bodies) and the PROCARIBE+ M&E Specialist
Means of verification	Meeting Reports/Decision Documents of the 3 regional Fisheries Bodies: WECAFC, OSPESCA, CRFM; OIRSA/OSPESCA progress reports; regional/national traceability standards, protocols, training materials, traceability records,... ; dedicated data collection records based on a template to be developed by the PROCARIBE+ M&E specialists, and tailored to the specific outcome.
Risks/Assumptions	Assumptions: **(a)** the volumetric target values associated with the outcome indicator are assumed to be reasonably accurate - it needs to be noted that they are based on a desk-top analysis of official fishery/seafood statistics -the latter potentially with associated quality issues- conducted by fisheries experts during the PIF and PPG development phases, taking into account the fishery/seafood production/export volumes for the top producing/exporting countries from the region for each of the target species; **(b)** full commitment is maintained/obtained to advance the planned traceability work from the top producing/exporting countries as required to achieve the target volumes - also in the case of changes in national administrations; Risk(s): **(a)** the cited target volume may not be fully achievable in case the original target setting exercise would indeed have been negatively affected by quality issues; **(b)** lack of or discontinuity in the engagement by a top producing/exporting country might jeopardize the achievement of a (relatively important) fraction of the overall target, even if prompt remediative measures are taken by engaging an additional country; Mitigation actions: **(a)** quality check of the target values during the project's initial phase, and adjustment -as early as possible into project implementation, or as soon as improved/corrected data becomes available- if deemed necessary; **(b)** advocacy actions on the importance of traceability through a strong engagement with the participating countries members of the Interim Fisheries Coordination Mechanism (OSPESCA, CRFM, FAO-WECAFC) and the PROCARIBE+ PMCU, and highlighting the increasingly critical importance of traceability for continued market access. Note: global calls from important countries (based on documented consumer

	demands) make it very unlikely that the region would not progress on this action as it would severely jeopardize their access to export markets.

Results Monitoring	**Project Outcome 3.5:** Region-wide reduction of ghost fishing and negative habitat impacts from unsustainable spiny lobster fishing gear & practices, enabled
Indicators	**Indicator OC3.5:** (**a**) solution(s) to reduce negative impacts from unsustainable fishing gear and practices in industrial spiny lobster fisheries developed and tested, and available for replication and/or up-scaling + **(b)** provisions for the implementation of measures against ghost fishing and negative habitat impacts from spiny lobster fishing gear and practices adopted/endorsed by corresponding entities for region-wide application
Targets *(MT = project Mid-Term; PE = Project End)*	**MT** = at least 1 season of field tests completed, most results needed from pilot available for decision-making; **PE** = pilot successfully concluded with proof of reduced impacts from revised gear/practices, and recommendations available for up-scaling/replication in other countries; provisions adopted/endorsed by at least 2 of the 3 regional fisheries bodies to implement the improved gear/practices
Description of indicators and targets	2 (SMART) targets are associated with Output 3.5 in the Project Results Framework. The combined progress towards achieving the targets will help determine the level of progress under the Outcome-level indicator
Data source/Collection Methods	Data to be systematically collected and logged following protocols/instructions/templates to be developed for this purpose by the PROCARIBE+ M&E Specialist (once onboarded), and to be processed by the M&E Specialist during PIR, MTE and TE reporting periods. Data collection to occur in collaboration with PROCARIBE+ co-executing partners and Project Board members, as relevant, and to be based on the means of verification listed under the MoV column
Frequency	Annually (PIR) and at mid-point (MTR) and closure (TE) / when change from status-quo/milestone achieved/(sub-)target met
Responsible for data collection	OSPESCA, with support from CRFM, FAO-WECAFC (Regional Fisheries Bodies) and the PROCARIBE+ M&E Specialist
Means of verification	Meeting Reports/Decision Documents of the 3 regional Fisheries Bodies: WECAFC, OSPESCA, CRFM; OIRSA/OSPESCA progress reports, prototypes of revised fishing gear, survey results (video/data),...;dedicated data collection records based on a template to be developed by the PROCARIBE+ M&E specialists, and tailored to the specific outcome.
Risks/Assumptions	Assumption(s): enabling conditions to conduct the planned field work during the spiny lobster closed season (weather conditions, we refer also to e.g. what happened during the COVID-19 pandemic). Risks: **(a)** amount of available time and financial resources insufficient to come to conclusive findings from the field work, leading to reluctance among key actors to more widely adopt the proposed improved gear/measures; **(b)** high costs of the proposed mitigation measures lead to limited uptake in practice. Mitigation measures: **(a)** combine field work with collection of existing international experience and proof of best practice; **(b)** socio-economic evaluations included among the planned activities (for more detail see the description of the planned activities under ProDoc Section IV)

Results Monitoring	**Project Outcome 4.1:** A well-articulated marine data, information and knowledge management infrastructure/network is enabled, (a) providing a science-policy interface; (b) supporting the development/updating, implementation and M&E of regional Action Programmes and Plans; (c) boosting and increasing the impacts of marine & coastal investments
Indicators	**Indicator OC4.1.1.:** strengthened marine data/information/knowledge management network manifested through, a.o.: **(a)** operational OCM Hub+ **(b)** Marine Data & Information (MDI) Landscape/Infrastructure Blueprint for the region + **(c)** MDI Blueprint implementation with demonstrable progress + **(d)** new TDA ("SOMEE")
Targets *(MT = project Mid-Term; PE = Project End)*	**MT** = **(a)** Hub operational, including SAP/Action Programme tracking tool(s) ; **(b)** advanced draft MDI blueprint (at least 70% advanced); **(c)** no MT target, activities planned for second project half; (d) SOMEE (new TDA) finalized or at least 80% advanced; **PE** = **(a)** Hub operational, with post-project sustainability strategy; **(b)** MDI blueprint adopted/endorsed by OCM; **(c)** at least 2 key elements of MDI Blueprint sustainably implemented; **(d)** OCM-endorsed SOMEE that has been used in development of new SAP
	Each of the 4 Outputs under Outcome 4.1. has an associated (SMART) target in the Project Results Framework. The combined progress towards achieving the targets associated with all 4 Outputs under this Outcome will help determine the level of progress under the Outcome-level indicator
Data source/Collection Methods	Data to be systematically collected and logged following protocols/instructions/templates to be developed for this purpose by the PROCARIBE+ M&E Specialist (once onboarded), and to be processed by the M&E Specialist during PIR, MTE and TE reporting periods. Data collection to occur in collaboration with PROCARIBE+ co-executing partners and Project Board members, as relevant, and to be based on the means of verification listed under the MoV column
Frequency	Annually (PIR) and at mid-point (MTR) and closure (TE) / when change from status-quo/milestone achieved/(sub-)target met
Responsible for data collection	OCM Secretariat (PROCARIBE+ PMCU) with support from the M&E Specialist and (as applicable) from Project Executive Group (co-executing partners), OCM membership and ocean partnership(s),...
Means of verification	Target 4.1.1.: online OCM Hub, with active hyperlinks to a variety of global, (sub)regional (and, where relevant, national) data/information/knowledge platforms/products; PROCARIBE+ project website embedded in/linked to the Hub, (a) online version of SOMEE, (b) online SAP implementation progress tracking tool, embedded in the Hub; Target 4.1.2: (1) reports/decision documents/minutes from the meetings of the OCM Steering Group, Executive Group and (as applicable) Work Groups; (2) reports/decision documents/minutes/formal work programmes of relevant Inter-Governmental Organizations (IGO's) with an oceans-related mandate covering (part of) the wider Caribbean (Caribbean and North Brazil Shelf LMEs) region; Target 4.1.3: SOMEE report, online SOMEE report (OCM Hub), OCM and IGO decisions on endorsement of (sections/building blocks of) the SOMEE report, SOMEE executive summary document; dedicated data collection records based on a template to be developed by the PROCARIBE+ M&E specialists, and tailored to the specific outcome.
Risks/Assumptions	Assumption(s): **(a)** political momentum and commitment to proceed towards the prompt operationalization of the regional ocean coordination mechanism (OCM), as expressed at the final CLME+ Project Steering Committee (PSC) Meeting in October 2021, will not have been lost and the OCM will have been formally established by or during the initial months of the PROCARIBE+ Project; **(b)** allocated funding is sufficient and OCM Secretariat staffing composition and staff profiles are adequate to allow for an effective functioning of

	the OCM, its Secretariat, Organs and Working Groups, and to support the delivery of OCM-related PROCARIBE+ Project Outcomes and Outputs including Outcome 4.1; Risk(s): **(a)** a lengthy interval between the final CLME+ PSC Meeting (Oct 2021) and the initiation of the PROCARIBE+ Project leads to a loss in momentum and may cause difficulties in operationalizing/a delayed operationalization of the OCM, with substantial associated delays for Outcome 4.1. as a result; **(b)** insufficient funds allocated to Component 4 will jeopardize successful achievement of Outcome 4.1 targets, with likely negative spill-over effects on the achievement of Outcome 1.1, in particular the new 10-year regional SAP; Mitigation: The risks are to be mitigated by **(a)** pursuing an as-fast-as-possible operationalization of the PROCARIBE+ Project by applying pragmatism during the PPG phase (taking into account the limited PPG grant versus the complexity of the region and the project), combined with: expeditiousness in the installation and operationalization of the PMCU during the PROCARIBE+ Project inception phase (the latter also enabling the further fine-tuning of the project approach during this inception phase, beyond what was possible during PPG); **(b)** an increase in the budgetary allocation to Component 4 beyond the indicative allocation from the PIF, based on a more in-depth analysis and description (under ProDoc Section IV) of key activities required for achieving the Outcome 4.1, and a carefully conducted revision of associated budget needs, the latter within the approved limits of the GEF grant and without jeopardizing delivery on the other Core Project Targets.

Results Monitoring	**Project Outcome 4.1:** A well-articulated marine data, information and knowledge management infrastructure/network is enabled, (a) providing a science-policy interface; (b) supporting the development/updating, implementation and M&E of regional Action Programmes and Plans; (c) boosting and increasing the impacts of marine & coastal investments
Indicators	**Indicator OC4.1.2.:** Number of SOMEE sub-sections with gender (and youth) information and statistics.
Targets *(MT = project Mid-Term; PE = Project End)*	**MT =** Gender (and youth) related information and statistics identified by Project Gender Working Group (PGWG) and agreed to be used in the SOMEE report. **PE = At least 3 sub-sections of the** SOMME include information and statistics related to gender and youth.
Description of indicators and targets	Scale: 1. The SOMEE does not include any gender and youth-related information and statistics. 2. Key gender- and youth related information and statistics developed by PGWG and agreed to be used in the SOMEE. 3. At least 3 sub-section of the SOMEE includes gender and youth-related information and statistics.
Data source/Collection Methods	Data to be systematically collected and logged following protocols/instructions/templates to be developed for this purpose by the PROCARIBE+ M&E Specialist (once onboarded), and to be processed by the M&E Specialist during PIR, MTE and TE reporting periods. Data collection to occur in collaboration with PROCARIBE+ co-executing partners and Project Board members, as relevant, and to be based on the means of verification listed under the MoV column
Frequency	Annually (PIR) and at mid-point (MTR) and closure (TE) / when change from status-quo/milestone achieved/(sub-)target met
Responsible for data collection	Annually (PIR) and at mid-point (MTR) and closure (TE) / when change from status-quo/milestone achieved/(sub-)target met

Means of verification	Minutes/reports from meetings of the PGWG and SOMEE Report
Risks/Assumptions	

Results Monitoring	**Project Outcome 4.2:** Increased regional and global impacts from GEF IW investments through global dissemination and sharing of experiences, and by forging synergies with other Regional Seas/LME/Regional Fisheries programmes and the wider community of International Waters/Ocean practitioners & stakeholders
Indicators	**Indicator OC4.2.:** potential for regional and global impacts increased through: **(a) number of** innovative approaches & best practices piloted by PROCARIBE+ are adopted/assimilated by other GEF IW/LME and/or non-GEF marine initiatives (incl. IW:LEARN) + **(b)** number of events with active participation and support in IW:LEARN and other relevant oceans events + **(c) number of** good/best practices from PROCARIBE+ globally disseminated through IW:LEARN. *(Note: this is in part a proxy indicator as it would not be possible for the PMCU to fully measure the global impacts from the PROCARIBE+ GEF IW investments as a consequence of advocacy and synergistic action, and the exchange of experiences and best practices with the global marine community undertaken by the project.)*
Targets *(MT = project Mid-Term; PE = Project End)*	**(a)** resp. at least 2 (**MT**) and 5 (**PE**) cases of adoption/integration of PROCARIBE+ good/best practices by other IW marine initiatives; **(b)** PROCARIBE+ participation in resp. at least 1 (**MT**) and 4 (**PE**) IWLEARN events and resp. at least 1 (**MT**) and 3 (**PE**) other global ocean events; **(c)** resp. at least 2 (**MT**) and 6 (**PE**) good/best PROCARIBE+ practices disseminated globally; aspirational: potential for high impact through PROCARIBE+ collaboration with the 8th Our Oceans Conference, Panama 2023 - to be linked with Output 1.1.1 - the OCM (*see risks)
Description of indicators and targets	Each of the 3 Outputs under Outcome 4.2. has an associated (SMART) target in the Project Results Framework. The combined progress towards achieving the targets associated with all 3 Outputs under this Outcome will help determine the level of progress under the Outcome-level indicator
Data source/Collection Methods	Data to be systematically collected and logged following protocols/instructions/templates to be developed for this purpose by the PROCARIBE+ M&E Specialist (once onboarded), and to be processed by the M&E Specialist during PIR, MTE and TE reporting periods. Data collection to occur in collaboration with PROCARIBE+ co-executing partners and Project Board members, as relevant, and to be based on the means of verification listed under the MoV column
Frequency	Annually (PIR) and at mid-point (MTR) and closure (TE)
Responsible for data collection	PROCARIBE+ PMCU with support from the M&E specialist and the Project Executive Group (co-executing partners), PROCARIBE+ Project Steering Committee
Means of verification	PROCARIBE+ PMCU Back-To-Office-Reports (BTORs), Regional Seas/Regional Fisheries Bodies meeting reports, OCM Hub, PROCARIBE+ website, IW:LEARN website, reports, project partner websites, project deliverables (project video, story map, experience notes,...) PROCARIBE+-produced meeting materials, dedicated data collection records based on a template to be developed by the PROCARIBE+ M&E specialists, and tailored to the specific outcome.
Risks/Assumptions	Assumption: (1) the new phase of IW:LEARN will be active throughout the PROCARIBE+ Project lifespan. IW:LEARN management reconfirms the interest in the joint IW:LEARN-PROCARIBE+ strategic alliance set forward

	under Output 4.2.1, support for (at least some of) the "joint strategic topics" will indeed be pursued by IW:LEARN; (2) for the aspirational* target: swift operationalization of the PROCARIBE+ FSP will be key to achieving this high-impact target; Risk: the risk that PROCARIBE+ would fail to achieve the outcome target is considered low and is further mitigated through adequate budget allocations. It will be further mitigated through dedicated efforts by the PROCARIBE+ PMCU to develop strong working relations with the IW:LEARN coordination unit; for the aspirational target: the risk that the PROCARIBE+ FSP is not operational on time is substantial but not critical

Results Monitoring	**Project Outcome 5.1:** Project-level monitoring and evaluation, in compliance with UNDP and mandatory GEF-specific M&E requirements
Indicators	**Indicator OC5.1.:** Project-level monitoring and evaluation completed through documentation from Inception Workshop, Annual GEF Project Implementation Reviews (PIR), M&E of GEF core Indicators, Gender Plan, Safeguards Frameworks and Action Plans, Independent Mid-Term Review, and Independent Final Evaluation
Targets *(MT = project Mid-Term; PE = Project End)*	**MT** = Project-level monitoring and evaluation meets the requirements of UNDP and GEF at project mid-point **PE=** All project-level monitoring and evaluation is complete and meets the requirements of UNDP and GEF
Description of indicators and targets	The indicator reflects the mandatory elements that need to be conducted throughout project implementation to comply with the M&E requirements of UNDP and the GEF.
Data source/Collection Methods	Information will be systematically collected and logged following protocols/instructions/templates to be developed for this purpose by the PROCARIBE+ M&E Specialist (once onboarded), and to be processed by the M&E Specialist during PIR, MTE and TE reporting periods. Data collection to occur in collaboration with PROCARIBE+ co-executing partners and Project Board members, as relevant, and to be based on the means of verification listed under the MoV column
Frequency	Project Initiation, Annually (PIR), at mid-point (MTR) and closure (TE)
Responsible for data collection	PROCARIBE+ PMCU with support from the M&E specialist and the Project Executive Group (co-executing partners), PROCARIBE+ Project Steering Committee
Means of verification	Report from the Inception Meeting, PIR (will include monitoring of GEF Core indicators and progress with the implementation of Safeguard framework action plans), Independent Mid-term review and Final Evaluation
Risks/Assumptions	Success of the M&E component will be dependent on the quality of data and information collected throughout project implementation for this purpose. Lack of capacity within the PCMU and responsible parties may limit the effectiveness of the M&E framework in fully complying with the M&E requirements of the GEF and UNDP.

Annex 6: UNDP Social and Environmental Screening Procedure (SESP)

Social and Environmental Screening Template (2021 SESP Template, Version 1)

The completed template, which constitutes the Social and Environmental Screening Report, must be included as an annex to the Project Document at the design stage. Note: this template will be converted into an online tool. The online version will guide users through the process and will embed relevant guidance.

Project Information

Project Information	
1. Project Title	Protecting and Restoring the Ocean's Natural Capital, Building Resilience and Supporting Region-wide Investments for Sustainable Blue Socio-Economic Development (PROCARIBE+)
2. Project Number (i.e. Quamtum project ID, PIMS+)	6290
3. Location (Global/Region/Country)	Caribbean and North Brazil Region
4. Project stage (Design or Implementation)	Design (PPG)
5. Date	25 March 2022

Part A. Integrating Programming Principles to Strengthen Social and Environmental Sustainability

QUESTION 1: How Does the Project Integrate the Programming Principles in Order to Strengthen Social and Environmental Sustainability?

Briefly describe in the space below how the project mainstreams the human rights-based approach

The project's final objective is to protect, restore and harness the natural coastal and marine capital of the CLME+ region to catalyze investments in a climate-resilient, sustainable post-covid Blue Economy, through strengthened regional coordination and collaboration, and wide-ranging partnerships.

The project mainstreams the human rights-based approach, through:

- Supporting measures that will promote the **sustainability of marine resources** for the benefit of all inhabitants of the Caribbean and North Brazil Shelf Large Marine Ecosystems (CLME+) contributing to food security for the region (consistent with the right to food and shelter for all).
- **Upscaling ocean-based sustainable development & livelihoods/blue economies**, through the implementation of micro-financing and other activities aimed at improving the health of coastal and marine ecosystems, catalyzing sustainable fisheries management and addressing pollution reduction in marine environments. Through these activities, the project will contribute to poverty alleviation by improving the livelihoods for inhabitants of coastal communities in the region.
- Promoting **interactive and participatory coordination for the conservation and sustainable use of marine living resources** that will support meaningful and inclusive participation of all segments of society, including marginalized individuals and groups, in its design, implementation and monitoring phases. The principle of **inclusiveness and equity** will be applied for all project activities, notably during planning processes to be undertaken such as during the work to expand and integrate "Blue Economy",

Marine Spatial Planning and Marine Protected Areas (MPA)/Other Effective Conservation Measures (OECM) efforts across the region. Any capacity-building activities will be designed to create an **enabling and safe environment** for the active participation of attendees (consistent with the participation and inclusion human rights principle).

- Helping the region **achieve several of the SDGs**, namely SDG-14: Life below water, with contributions also to SDGs 2, 5, 7, 8,13, 14, 16 and 17. For example, PROCARIBE+ will enhance coordination amongst multiple sectors of society for increased protection of the marine environment, through the creation of new or strengthening of existing marine managed areas, improved ecosystem-based management, and sustainable fisheries, including habitat restoration initiatives and address climate change issues.

Briefly describe in the space below how the project is likely to improve gender equality and women's empowerment

From the project gender analysis, it is known that women are key stakeholders in many activities related to the Blue Economy that occur within the CLME+ region. Notably, women play an important role in fisheries and tourism. In fisheries, women represent 47% of the global workforce, but they are often unrecognized (Solano et al., 2021). In tourism, women are estimated to represent 54% of the global workforce, but women are often unremunerated for their work or have the lower paying jobs in the industry. In the CLME+ region, the contributions of women in marine-related sectors are not well understood and data is lacking to better understand gender equity issues. As for women's participation in national and regional decision-making bodies, women do participate but this varies between countries and organizations. In general, however, their interests and needs are underrepresented. A greater articulation at the regional stage on issues related to gender and equity is needed to improve the collection of gender-specific information and to have a greater impact on the integration of gender into regional and national level policies and activities related to the blue economy and ocean sustainability.

The project´s **Gender Action Plan** (Annex 11) integrates the following to encourage women´ participation, equality and empowerment and tackle the identified barriers:

1. A Gender Working Group (PGWG) will be constituted to strengthen gender participation and representation under the PROCARIBE+ project and associated ocean governance mechanisms such as the OCM (Outcome 1.1). This working group aims to coordinate actions on gender in the CLME+ region, identify and address the gaps in this issue and contribute to strengthening the information, participation and representation of women under PROCARIBE+.
2. Affirmative actions will be taken to promote women's interest, participation, and empowerment, and in addition, the project will aim at ensuring that at least 30% of the participants in all project activities are women. This ratio will be followed for capacity-building activities (Outcome 2.1), micro-financing schemes (Outcome 3.1) and for the various meetings and consultations processes to be organized.
3. Integration of gender equality and youth equity into the Regional State of the Marine Environment and Associated Economies (SOMEE) Report (Outcome 4.1) to inform the new Strategic Action Programme (SAP) (2025-2034) (Outcome 1.1). Gender will be mainstreamed in the SOMEE report and gender-specific indicators for more inclusive and gender-sensitive reporting will be used in the update of the next SAP.
4. Affirmative actions will be taken to develop gender and youth-sensitive proposals under the microfinancing scheme, which will facilitate participation, access to benefits, and economic empowerment. With these actions, relevant learnings can be generated and promoted for replication and escalation.
5. Gender aspects will be integrated into national MSP processes (Outcome 3.3) to be financed under the project and guidelines will be developed by a gender consultant to promote the full integration of gender in the design and implementation of the planning processes ensuring that gender is integrated in the design and implementation of the planning processes.
6. Specific learnings of mainstreaming gender in the PROCARIBE+ project and its associated governance mechanisms will be documented and promoted through the IW-Learn Gender Hub (Outcome 4.2).
7. The project team will have a Gender Equality and Safeguards Specialist(s) (GSS) which will provide technical support for the gender action plan and related actions. During the project inception phase, the project team will be trained on how to integrate gender equality approaches in the project activities. A corresponding budget has been assigned to develop the activities of the gender action plan.
8. The implementation of the project will contemplate affirmative actions to integrate gender equality and youth as a cross-cutting issue. It will record sex and age data in participation, include gender considerations in hiring and procurement, as well as in reporting. There will also be special attention given to gender inclusive language.

Briefly describe in the space below how the project mainstreams sustainability and resilience

The project mainstreams sustainability and resilience by supporting:

- **the operations of the Ocean Coordination Mechanism (OCM) (Outcome 1.1)** that is expected to contribute to ocean sustainability and support the transition towards sustainable ocean-based economies. It is anticipated that the OCM will also increase the capacity of governments to make more effective decisions relevant to the ocean and ocean-related sectors through improved regional monitoring and reporting processes.
- **the implementation of ecosystem-based management (EBM) and the ecosystem approach to fisheries (EAF)**, by enhancing the capacity at the national level and enabling conditions for such to take place. Both EBM and EAF promote the sustainability of marine resources and increase the socio-economic resilience of local inhabitants (Outcome 2.1).
- **increasing ocean protection** by enhancing area-based conservation measures using marine protected areas or other effective conservation measures (MPA/OECM) (Outcome 3.3).
- on-the-ground **stress reduction/restoration** and/or **enhanced management practices** for the protection, restoration, and sustainable use of marine and coastal natural capital (Outcome 3.1).
- the expansion and integration of planning efforts on the "Blue Economy" and Marine Spatial Planning (Outcome 3.3) across the region which is expected to assist with **post COVID 19 and post hurricane economic recovery** and contribute to improved measures on **climate change mitigation and adaptation**.
- **the development of capacity in national-level institutions** on topics such as marine spatial planning, integrated coastal zone management, integrated water resources management and natural capital accounting (Outcome 2.1).
- cyclical **Transboundary Diagnostic Analysis/Strategic Action Program ("TDA/SAP") processes**, including the coordination of the periodic assessment of and reporting on the **state of the marine environment and associated economies (SOMEE) (Outcome 1.1 and 4.1)**, and facilitating the development and implementation of regional programs and SAPs by countries, IGOs and other partners. Both the SOMEE and SAP will support regional, national, and local planning/sustainability efforts by providing an enabling environment to make scientifically informed, strategic decisions related to ocean governance and management in an efficient manner.
- interventions that could **increase public and private financial capital** (Outcome 3.1) to support stress reduction and sustainable climate-smart blue economy initiatives, that are aimed at improving livelihoods and reducing the vulnerability of communities to unforeseen and anticipated stressors such as the impacts of climate change and climatic disasters.

Briefly describe in the space below how the project strengthens accountability to stakeholders

Project activities involving on-the-ground interventions will enable the **active engagement and participation of relevant stakeholders** from local communities and affected inhabitants in decision-making processes, whenever project-related actions may impact them. The project will provide support for a **grievance redress mechanism (included in Annex 10)** that will allow them **to raise and voice their concerns and/or grievances** in cases where project interventions may adversely impact them. A **Stakeholder Analysis and Engagement Plan (SEP) (Annex 9) with the corresponding budget** was developed during the preparation of the project, to ensure that all relevant stakeholders are included in project interventions. The SEP provides a detailed list of potential stakeholders that are likely to be engaged in the project, including governmental organizations, civil society actors, private sector, indigenous communities and others. It breaks down the types of stakeholders per project components and provides potential means of engagement. Stakeholder engagement in Procaribe+ will build on and seek to consolidate the alliances and partnerships developed during the predecessor projects (CLME and CLME+) which were successful in enhancing collaboration between regional organizations of the CLME+ with an ocean mandate. The SEP proposes the development of an inclusive approach, including gender and cultural considerations, towards the development of the SAP, trainings and other activities to be financed under the project. It will also ensure that the national MSP processes develop in-depth stakeholder analyses and engagement plans to promote the active participation of the different range of stakeholders that could be affected by the planning processes.

Additionally, the ESMF incorporates an Indigenous People Planning Framework (Section 9.3 of the ESMF) which includes guidelines to ensure adequate participation by indigenous peoples during design and implementation of activities.

At many levels, PROCARIBE+ aims at increasing partnerships between stakeholders involved in ocean governance and management across the CLME+ region. Notably, the proposed **Ocean Coordination Mechanism, and wide-ranging multi-stakeholder partnership(s)** will support a coordinated approach for enhanced regional coordination and

collaboration. This will improve the accountability of decisions taken by participating countries and organizations as well as guaranteeing the long-term sustainability of ocean-related actions in the region.

The countries participating in PROCARIBE+ will be responsible for the implementation of actions endorsed under the new **10-year Strategic Action Program** to be developed. In addition, under Component 2, work will take place on strengthening already existing **national inter-sectoral coordination mechanisms (NICs) and** advocating the establishment of such mechanisms in countries where they do not exist for enhanced coordination on ocean-related matters at the national level. The development of **marine spatial plans, blue economy strategies and marine natural capital accounting** will further enhance the transparency of ocean governance and marine resource management at the national level. Engaging in such mechanisms will ensure effective and meaningful participation of countries in PROCARIBE+.

With a view to enhance decision-making for interactive, participatory, and integrated ocean governance, PROCARIBE+ will **operationalize and strengthen the CLME+ Hub**, a regional, collaborative online platform developed under the CLME+ project. This online platform will provide free and neutral access to data, information and knowledge held by project partners and participating countries to help support ocean-related matters. Through such sharing of information, it is anticipated that all project partners will benefit from **greater transparency and accessibility of information**, strengthening the accountability of project interventions in the region.

Part B. Identifying and Managing Social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks? *Note: Complete SESP Attachment 1 before responding to Question 2.*	**QUESTION 3: What is the level of significance of the potential social and environmental risks?** *Note: Respond to Questions 4 and 5 below before proceeding to Question 5*			**QUESTION 6: Describe the assessment and management measures for each risk rated Moderate, Substantial or High**
Risk Description (broken down by event, cause, impact)	***Impact and Likelihood (1-5)***	***Significance (Low, Moderate Substantial, High)***	***Comments (optional)***	***Description of assessment and management measures for risks rated as Moderate, Substantial or High***
Risk 1: Given the variety of political regimes and regulatory frameworks in the CLME+ region, and constraints with human and financial capacities, there is a risk that the project does not use an inclusive approach towards engaging stakeholders, including indigenous and local communities, which could potentially limit the capacities and opportunities of those stakeholders to	I = 3 L = 3	Substantial		The **Stakeholder Engagement Plan** (Annex 9 of the PRODOC) identifies all potential project stakeholders - including governmental, civil society and private sector stakeholders, with explicit references to women, youth and indigenous people – and outlines a process for its effective inclusion in implementation. The ESMF (Annex 10) outlines procedures of assessing the risk of impacting indigenous peoples for interventions to be financed under the project, including the development of Strategic Environmental and Social Assessments (SESA), when needed. In the case that, during implementation, project activities are identified to have potential impacts on indigenous peoples or indigenous lands, the culturally appropriate consultations will be initiated with the objective of achieving agreement and FPIC, and an Indigenous Peoples Plan will be developed. The Indigenous Peoples Plan will be prepared in accordance with the process outlined in the Indigenous Peoples Planning Framework (IPPF) of the ESMF (Section 9.3 of the ESMF).

exercise their rights and to actively participate in decision-making processes that may affect them. *(Human Rights Principle, P2, P5 and P6)* *(Standard 6: 6.1, 6.2, 6.3, 6.4, 6.5, 6.6, 6.7, 6.9))*				Regarding the update of the Strategic Action Programme, its development will employ a Strategic Environmental and Social Assessment (SESA) approach; participation of indigenous peoples will be ensured through following the guidelines of the Indigenous Peoples Planning Framework (Section 9.3 of the ESMF).
Risk 2: Climate change impacts can cause increasing threats to already vulnerable coastal and marine habitats in the CLME+ region. As such, there is the risk that some of the project outputs or outcomes may be sensitive or vulnerable to the potential impacts of climate change. *(Standard 2: 2.1, 2.2)*	I = 3 L = 2	Moderate		The ESMF (Annex 10) outlines procedures for screening, assessing, and managing the risks for activities associated with the different outputs and outcomes under Component 3. These guidelines will help determine if specific assessments are required, considering available scientific information on climate change at the regional, country and area levels, as well as appropriate management measures.
Risk 3: The initiatives proposed for Component 3, which focus on catalyzing actions for the protection, restoration and sustainable use of marine and coastal natural capital, may take place within or adjacent to critical habitats, sensitive areas, areas important to indigenous or local communities, or areas designated as Cultural Heritage sites. If poorly designed or implemented, those initiatives carry potential risks related to economic and physical displacement, as well as	I = 4 L = 2	Substantial	Component 3 activities	The ESMF (Annex 10) outlines the procedures for assessing environmental and social impacts and risks that may be derived from interventions under Component 3. The eligibility criteria rule out those interventions where significant negative impacts on indigenous peoples are identified. In the case that, during implementation, project activities are identified to have potential impacts on indigenous peoples or indigenous lands, the culturally appropriate consultations will be initiated with the objective of achieving agreement and FPIC, and an Indigenous Peoples Plan will be developed. The Indigenous Peoples Plan will be prepared in accordance with the process outlined in the Indigenous Peoples Planning Framework (IPPF) of the ESMF (Section 9.3). If there is no consent of potentially affected communities in the implementation of activities that may result in restricted access to certain natural resources, these will not be implemented. In addition, while economic displacement is usually avoided (e.g., by allowing small-scale fishermen to continue working in newly designated Marine Protected Areas, due to the low intensity of the activity), where economic displacement cannot be avoided, the required assessments and management plans (Livelihood Action Plan, as part of the Environmental and Social Management Plan) will be prepared during project implementation.

risks of limiting access to natural resources. New activities in the marine/coastal space may also compete with more established sectors and potentially affect livelihoods. *(Standard 1:.1.1, 1.2, 1.3. Standard 4: 4.1, 4.3; Standard 5: 5.2; Standard 6: 6.1, 6.2, 6.3, 6.4, 6.5, 6.6, 6.7, 6.9)*				The project will not support activities that involve or lead to forced evictions. These activities are not eligible for financing under the Project, as per the eligibility criteria in the ESMF. The ESMF also identifies the need to develop management measures to be implemented in those interventions where low-magnitude negative impacts to natural or cultural sites cannot be avoided, including the development of Environmental and Social Management Plans (ESMPs).
Risk 4: There is a risk that some of the activities to be developed under the micro-financing scheme could cause adverse impacts to habitats and/or ecosystems. The potential improper design of nature-based solutions may inadvertently release untreated pollutants into the environment. *(Standard 1: 1.10; Standard 3: 3.6; Standard 8: 8.1, 8.2)*	I = 3 L = 2	Moderate	Component 3 activities	The project will provide micro financing to civil society and MSME's that support actions advancing blue socio-economic development. The initiatives to be financed under this scheme will be determined during the project implementation phase - but could include activities with a variety of social and environmental risks. For example, there is a possibility of the inclusion of mariculture as one of the activities. In this case, there is a risk that bacterial infections could result from mishandling of aquaculture products. Any proposed activity will be conducted using established international best practices and in adherence to the UNDP SES. The ESMF (Annex 10) identifies the need to develop management measures to be implemented in those interventions, taking into consideration consultation processes, in cases where indigenous peoples are involved.
Risk 5: There is a risk that some of the activities defined under the project could result in discrimination against women, marginalized youth and vulnerable communities, including indigenous communities, and limit their active participation in project design and implementation, as well as in the distribution of benefits derived from the Project.	I = 3 L = 2	Substantial		A Gender Analysis and Action Plan and budget has been developed to ensure the adequate integration of women and youth in the implementation of the project. The Gender Action Plan (Annex 11 of the ProDoc) determines the measures that will be undertaken to address this risk. The project results framework has explicitly mainstreamed gender dimensions with the corresponding budget; confirming that the gender action plan can be implemented during the project's lifetime. Management measures include: ▪ Implementation of a gender action plan and monitoring the project's gender-related indicators. ▪ A Project Gender Working Group (PGWG) will be established to strengthen gender participation and representation in the project. It will aim at articulating the different gender plans from relevant institutions participating in the PROCARIBE+ Project, identify gaps

Also, affected stakeholders might voice grievances or objections to the project which, if not properly managed, could lead to resistance to the project and implementation delays. *(Sustainability and Resilience Accountability P.13, P.14; Gender Equality and Women's Empowerment P.10; Standard 6)*				and opportunities for increasing gender participation and representation in the PROCARIBE+ governance mechanisms, such as the Ocean Coordination Mechanism, and propose specific actions for advocacy. It will also support the reporting of technical information on gender, address the technical needs on the subject, and support other gender-related actions whenever possible that are required to mainstream gender under the project. ▪ The project team will have a Gender Equality and Safeguards Specialist (GSS) for technical implementation of the project and to support the implementation of the gender action plan . ▪ All the activities will incorporate affirmative actions in order to integrate gender equality and youth as a cross cutting issue. It will record sex and age data in participation, with at least 30% of women participation. The project will include gender considerations in hiring and procurement, and in reporting. Special attention will be given to gender inclusive language in all the documents and communications. The Project has also developed an IPPF (Section 9.3 of the ESMF) with a view to ensure the perspective, and where relevant, the participation of indigenous peoples in the project activities. In terms of grievances, the ESMF (Annex 10) includes guidelines for the implementation of a Grievance Redress Mechanism (GRM). The GRM will operate during project implementation and will be used to manage and resolve potential grievances and dissatisfaction raised by any affected stakeholder of the project. The guidelines for the GRM will include the mechanisms for registration and response to complaints, timing, mechanisms of appeal, and provisions for recourse to civil courts if other options are unsuccessful.
Risk 6: Under the micro-financing scheme (Component 3), it is possible that the pilot initiatives do not respect established labour laws and standards, and do not provide adequate working conditions for hired personnel. (*Standard 7: 7.1, 7.5, 7.6)*	I = 3 L = 2	Moderate	Component 3 activities	The ESMF (Annex 10) outlines procedures for identifying potential adverse environmental and social impacts of the pilot projects to be financed and puts in place any required mitigating actions needed during project implementation. The required health and safety measures, and related labor laws will be assessed as part of the specific assessments, with mitigation measures included in the required ESMPs.
	QUESTION 4: What is the overall project risk categorization?			
	Low Risk	☐		
	Moderate Risk	☐		

	Substantial Risk	☒	This screening assessment has identified six risks, 3 were rated as Moderate and 3 as Substantial due to the potential risks to indigenous peoples. Due to the complexity of the interventions and the possible impacts on indigenous peoples, the overall categorization of the Project is **Substantial Risk.**		
	High Risk	☐			
	QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are triggered? (check all that apply)				
	Question only required for Moderate, Substantial and High Risk projects				
	Is assessment required? (check if "yes")	☒			***Status? (completed, planned)***
	if yes, indicate overall type and status		☒	Targeted assessment(s)	Completed ● Stakeholder Analysis ● Gender analysis
			☒	ESIA (Environmental and Social Impact Assessment)	Planned for implementation.
			☒	SESA (Strategic Environmental and Social Assessment)	Planned for implementation.
	Are management plans required? (check if "yes)	☒			
	If yes, indicate overall type		☒	Targeted management plans (e.g., Gender Action Plan, Emergency Response Plan, Waste Management Plan, others)	Completed ● Stakeholder Engagement Plan ● Gender Action Plan
			☒	ESMP (Environmental and Social Management Plan which may include range of targeted plans)	Planned for implementation.
			☒	ESMF (Environmental and Social Management Framework)	Completed ● Environmental and Social Management Framework, including Indigenous Peoples Planning Framework
	Based on identified risks, which Principles/Project-level Standards triggered?		**Comments (not required)**		
	Overarching Principle: Leave No One Behind				
	Human Rights	☒			
	Gender Equality and Women's Empowerment	☒			

	Accountability	☒	
	1. Biodiversity Conservation and Sustainable Natural Resource Management	☒	
	2. Climate Change and Disaster Risks	☒	
	3. Community Health, Safety and Security	☒	
	4. Cultural Heritage	☒	
	5. Displacement and Resettlement	☒	
	6. Indigenous Peoples	☒	
	7. Labour and Working Conditions	☒	
	8. Pollution Prevention and Resource Efficiency	☒	

Final Sign Off

Final Screening at the design-stage is not complete until the following signatures are included

Signature	***Date***	***Description***
QA Assessor		UNDP staff member responsible for the project, typically a UNDP Programme Officer. Final signature confirms they have "checked" to ensure that the SESP is adequately conducted.
QA Approver		UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have "cleared" the SESP prior to submittal to the PAC.
PAC Chair		UNDP chair of the PAC. In some cases PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.

Attachment 1. Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental Risks	
INSTRUCTIONS: The risk screening checklist will assist in answering Questions 2-6 of the Screening Template. Answers to the checklist questions help to (1) identify potential risks, (2) determine the overall risk categorization of the project, and (3) determine required level of assessment and management measures. Refer to the SES toolkit for further guidance on addressing screening questions.	
Overarching Principle: Leave No One Behind **Human Rights**	**Answer (Yes/No)**
P.1 Have local communities or individuals raised human rights concerns regarding the project (e.g. during the stakeholder engagement process, grievance processes, public statements)?	No
P.2 Is there a risk that duty-bearers (e.g. government agencies) do not have the capacity to meet their obligations in the project?	Yes
P.3 Is there a risk that rights-holders (e.g. project-affected persons) do not have the capacity to claim their rights?	No
Would the project potentially involve or lead to:	
P.4 adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	No
P.5 inequitable or discriminatory impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups, including persons with disabilities? [41]	Yes
P.6 restrictions in availability, quality of and/or access to resources or basic services, in particular to marginalized individuals or groups, including persons with disabilities?	Yes
P.7 exacerbation of conflicts among and/or the risk of violence to project-affected communities and individuals?	No
Gender Equality and Women's Empowerment	
P.8 Have women's groups/leaders raised gender equality concerns regarding the project, (e.g. during the stakeholder engagement process, grievance processes, public statements)?	No
Would the project potentially involve or lead to:	
P.9 adverse impacts on gender equality and/or the situation of women and girls?	No
P.10 reproducing discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	Yes

[41] Prohibited grounds of discrimination include race, ethnicity, sex, age, language, disability, sexual orientation, gender identity, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender and transsexual people.

P.11 limitations on women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? *For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being*	No
P.12 exacerbation of risks of gender-based violence? *For example, through the influx of workers to a community, changes in community and household power dynamics, increased exposure to unsafe public places and/or transport, etc*.	No
Sustainability and Resilience: Screening questions regarding risks associated with sustainability and resilience are encompassed by the Standard-specific questions below	
Accountability	
Would the project potentially involve or lead to:	
P.13 exclusion of any potentially affected stakeholders, in particular marginalized groups and excluded individuals (including persons with disabilities), from fully participating in decisions that may affect them?	Yes
P.14 grievances or objections from potentially affected stakeholders?	Yes
P.15 risks of retaliation or reprisals against stakeholders who express concerns or grievances, or who seek to participate in or to obtain information on the project?	No
Project-Level Standards	
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management	
Would the project potentially involve or lead to:	
1.1 adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? *For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes*	Yes
1.2 activities within or adjacent to critical habitats and/or environmentally sensitive areas, including (but not limited to) legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	Yes
1.3 changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	Yes
1.4 risks to endangered species (e.g. reduction, encroachment on habitat)?	No
1.5 exacerbation of illegal wildlife trade?	No
1.6 introduction of invasive alien species?	No
1.7 adverse impacts on soils?	No
1.8 harvesting of natural forests, plantation development, or reforestation?	No

1.9 significant agricultural production?	No
1.10 animal husbandry or harvesting of fish populations or other aquatic species?	Yes
1.11 significant extraction, diversion or containment of surface or ground water? *For example, construction of dams, reservoirs, river basin developments, groundwater extraction*	No
1.12 handling or utilization of genetically modified organisms/living modified organisms?[42]	No
1.13 utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)[43]	No
1.14 adverse transboundary or global environmental concerns?	No
Standard 2: Climate Change and Disaster Risks	
Would the project potentially involve or lead to:	
2.1 areas subject to hazards such as earthquakes, floods, landslides, severe winds, storm surges, tsunami or volcanic eruptions?	Yes
2.2 outputs and outcomes sensitive or vulnerable to potential impacts of climate change or disasters? *For example, through increased precipitation, drought, temperature, salinity, extreme events, earthquakes*	Yes
2.3 increases in vulnerability to climate change impacts or disaster risks now or in the future (also known as maladaptive or negative coping practices)? *For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding*	No
2.4 increases of greenhouse gas emissions, black carbon emissions or other drivers of climate change?	No
Standard 3: Community Health, Safety and Security	
Would the project potentially involve or lead to:	
3.1 construction and/or infrastructure development (e.g. roads, buildings, dams)? (Note: the GEF does not finance projects that would involve the construction or rehabilitation of large or complex dams)	No
3.2 air pollution, noise, vibration, traffic, injuries, physical hazards, poor surface water quality due to runoff, erosion, sanitation?	No
3.3 harm or losses due to failure of structural elements of the project (e.g. collapse of buildings or infrastructure)?	No
3.4 risks of water-borne or other vector-borne diseases (e.g. temporary breeding habitats), communicable and noncommunicable diseases, nutritional disorders, mental health?	No
3.5 transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	No
3.6 adverse impacts on ecosystems and ecosystem services relevant to communities' health (e.g. food, surface water purification, natural buffers from flooding)?	Yes

[42] See the Convention on Biological Diversity and its Cartagena Protocol on Biosafety.N

[43] See the Convention on Biological Diversity and its Nagoya Protocol on access and benefit sharing from use of genetic resources.

3.7 influx of project workers to project areas?	No
3.8 engagement of security personnel to protect facilities and property or to support project activities?	No
Standard 4: Cultural Heritage	
Would the project potentially involve or lead to:	
4.1 activities adjacent to or within a Cultural Heritage site?	Yes
4.2 significant excavations, demolitions, movement of earth, flooding or other environmental changes?	No
4.3 adverse impacts to sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	Yes
4.4 alterations to landscapes and natural features with cultural significance?	No
4.5 utilization of tangible and/or intangible forms (e.g. practices, traditional knowledge) of Cultural Heritage for commercial or other purposes?	No
Standard 5: Displacement and Resettlement	
Would the project potentially involve or lead to:	
5.1 temporary or permanent and full or partial physical displacement (including people without legally recognizable claims to land)?	No
5.2 economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	Yes
5.3 risk of forced evictions?[44]	No
5.4 impacts on or changes to land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	No
Standard 6: Indigenous Peoples	
Would the project potentially involve or lead to:	
6.1 areas where indigenous peoples are present (including project area of influence)?	Yes
6.2 activities located on lands and territories claimed by indigenous peoples?	Yes
6.3 impacts (positive or negative) to the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)? *If the answer to screening question 6.3 is "yes", then the potential risk impacts are considered significant and the project would be categorized as either Substantial Risk or High Risk*	Yes
6.4 the absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	Yes

[44] Forced eviction is defined here as the permanent or temporary removal against their will of individuals, families or communities from the homes and/or land which they occupy, without the provision of, and access to, appropriate forms of legal or other protection. Forced evictions constitute gross violations of a range of internationally recognized human rights.

6.5 the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	Yes
6.6 forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources? *Consider, and where appropriate ensure, consistency with the answers under Standard 5 above*	Yes
6.7 adverse impacts on the development priorities of indigenous peoples as defined by them?	Yes
6.8 risks to the physical and cultural survival of indigenous peoples?	No
6.9 impacts on the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices? *Consider, and where appropriate ensure, consistency with the answers under Standard 4 above.*	Yes
Standard 7: Labour and Working Conditions	
Would the project potentially involve or lead to: (note: applies to project and contractor workers)	
7.1 working conditions that do not meet national labour laws and international commitments?	Yes
7.2 working conditions that may deny freedom of association and collective bargaining?	No
7.3 use of child labour?	No
7.4 use of forced labour?	No
7.5 discriminatory working conditions and/or lack of equal opportunity?	Yes
7.6 occupational health and safety risks due to physical, chemical, biological and psychosocial hazards (including violence and harassment) throughout the project life-cycle?	Yes
Standard 8: Pollution Prevention and Resource Efficiency	
Would the project potentially involve or lead to:	
8.1 the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	Yes
8.2 the generation of waste (both hazardous and non-hazardous)?	Yes
8.3 the manufacture, trade, release, and/or use of hazardous materials and/or chemicals?	No
8.4 the use of chemicals or materials subject to international bans or phase-outs? *For example, DDT, PCBs and other chemicals listed in international conventions such as the Montreal Protocol, Minamata Convention, Basel Convention, Rotterdam Convention, Stockholm Conventionhttp://chm.pops.int/*	No
8.5 the application of pesticides that may have a negative effect on the environment or human health?	No
8.6 significant consumption of raw materials, energy, and/or water?	No

Annex 7: UNDP Risk Register

RISK REGISTER TEMPLATE

Project Title: Protecting and Restoring the Ocean's natural Capital, building Resilience and supporting region-wide Investments for sustainable Blue socio-Economic development (PROCARIBE+)	**Project Number: 6290**	**Date: 10-Feb-23**

#	Event	Cause	Impact(s)	Risk Category and Sub-category *(including Risk Appetite)*	Impact, Likelihood & Risk Level *(see Annex 3 Risk Matrix)*	Risk Valid From/To	Risk Owner *(individual accountable for managing the risk)*	Risk Treatment and Treatment Owner
1	There is a risk that operating the OCM is not financially sustainable in the long-term	As a result of not reaching agreement on an effective sustainability plan for the OCM.	This could impact many of the achievements attained to establish a regional governance framework so far under the previous GEF-funded projects and the PROCARIBE+ Project. Under such a scenario, the region will revert to Business as usual.	**3. OPERATIONAL (3.6. Transition and exit strategy) - UNDP Risk Appetite: EXPLORATORY TO OPEN**	Likelihood: **3 - Moderately likely** Impact: **5 - Extreme** Risk level: **SUBSTANTIAL (equates to a risk appetite of OPEN)**	From: 01-Mar-23 To: 29-Feb-28	PROCARIBE+ PMCU The OCM	Risk Treatment 1.1: The PROCARIBE+ Project will develop a long-term sustainable financing strategy and long-term solution for the OCM Secretariat to be adopted by the OCM Governing bodies. Risk Treatment Owner: PROCARIBE+ PMCU Risk Treatment 1.2: The establishment of the Partnerships linked to the OCM may also provide new opportunities to finance the activities of the OCM after the PROCARIBE+ Project. Risk Treatment Owner: PROCARIBE+ PMCU The OCM Risk Treatment 1.3: SAP actions will gradually reduce donor dependency by enhancing region-wide capacity. With increased cooperation amongst countries and organizations through the OCM, the use of available

#	Event	Cause	Impact(s)	Risk Category and Sub-category *(including Risk Appetite)*	Impact, Likelihood & Risk Level *(see Annex 3 Risk Matrix)*	Risk Valid From/To	Risk Owner *(individual accountable for managing the risk)*	Risk Treatment and Treatment Owner
								financial resources will be enhanced. Risk Treatment Owner: PROCARIBE+ PMCU The OCM
2	There is a risk of delays with the operationalization of the OCM	As a result of countries and eligible regional inter-governmental organizations may take some time to sign the OCM MoU which could lead to delays with the commencement of the OCM.	Which will impact in the implementation of associated project activities.	**3. OPERATIONAL (3.5. Partners' engagement) - UNDP Risk Appetite: EXPLORATORY TO OPEN**	Likelihood: **3 - Moderately likely** Impact: **4 - Extensive** Risk level: **MODERATE (equates to a risk appetite of EXPLORATORY)**	From: 01-Mar-23 To: 29-Feb-28	PROCARIBE+ PMCU PROCARIBE+ Project Partners	Risk Treatment 2.1: The project will remain in communication with the potential signatories to promote the signature of the MoU. Risk Treatment Owner: PROCARIBE+ PMCU PROCARIBE+ Project Partners
								Risk Treatment 2.2: The benefits of joining the OCM will be highlighted where possible. Risk Treatment Owner PROCARIBE+ PMCU PROCARIBE+ Project Partners
3	There is a risk of Fragmentation of efforts and lack of coordination among projects and initiatives resulting in low return on investment and failure to achieve GEB	As a result of Fragmentation of efforts and lack of coordination among projects and initiatives being implemented in the region	Which will impact on what the PROCARIBE+ Project seeks to undertake within the region, which includes operationalizing the OCM and ensuring a cyclical approach for the development of the TDA (SOMEE)/SAP.	**3. OPERATIONAL (3.2. Leadership and management) - UNDP Risk Appetite: EXPLORATORY TO OPEN**	Likelihood: **3 - Moderately likely** Impact: **3 - Intermediate** Risk level: **MODERATE (equates to a risk appetite of**	From: 01-Mar-23 To: 29-Feb-28	PROCARIBE+ PMCU PROCARIBE+ Project Partners	Risk Treatment 3.1: The OCM design includes the full and active participation of countries from the CLME+ Region and key inter-governmental organizations that lead other regional and national projects and initiatives in the region. Their active participation in the OCM should

#	Event	Cause	Impact(s)	Risk Category and Sub-category *(including Risk Appetite)*	Impact, Likelihood & Risk Level *(see Annex 3 Risk Matrix)*	Risk Valid From/To	Risk Owner *(individual accountable for managing the risk)*	Risk Treatment and Treatment Owner
			Continued fragmentation and lack of coordination could result in duplication of efforts instead of building on the outputs and results from tested and tried approaches that have had successful results in the CLME+.		**EXPLORATORY)**			increase coordination efforts and avoid duplication. Risk Treatment Owner: PROCARIBE+ PMCU PROCARIBE+ Project Partners Risk Treatment 3.2: The PROCARIBE+ project will also continue to build on tools and approaches initiated under CLME and CLME+, including the continued development of the CLME+ Hub which serves as a regional platform for access to information, knowledge, resources and tools for those working towards the implementation of the CLME+ Vision. Risk Treatment Owner: PROCARIBE+ PMCU PROCARIBE+ Project Partners
4	There is a risk that changes in political priorities of participating countries leads to a reduction in Project support and changes in country contributions	As a result of changes in national priorities	Which will impact in the activities of the project by causing delays in providing required feedback on project design and implementation, especially in lower-capacity countries.	**7. STRATEGIC (7.7. Alignment with national priorities) - UNDP Risk Appetite: OPEN TO SEEKING**	Likelihood: **3 - Moderately likely** Impact: **4 - Extensive** Risk level: **MODERATE (equates to a risk appetite of EXPLORATORY)**	From: 01-Mar-23 To: 29-Feb-28	Project coordinator with support of UNDP country offices (as needed)	Risk Treatment 4.1: The project unit will maintain ongoing fluid communication with participating countries, particularly in the countries where specific country interventions will take place. Risk Treatment Owner: Project coordinator with support of UNDP country offices (as needed)

#	Event	Cause	Impact(s)	Risk Category and Sub-category *(including Risk Appetite)*	Impact, Likelihood & Risk Level *(see Annex 3 Risk Matrix)*	Risk Valid From/To	Risk Owner *(individual accountable for managing the risk)*	Risk Treatment and Treatment Owner
								Risk Treatment 4.2: The project will also seek to make a formal presentation of the project when new authorities assume office. Risk Treatment Owner: Project coordinator with support of UNDP country offices (as needed)
5	There is a risk that limited, unreliable internet access and/or lack of capacity to use online tools, and/or resistance to change, may limit the possibility of collaborative work for certain actors.	As a result of the use of online tools and platforms to increase the participation of stakeholders.	Which will impact in certain groups of stakeholders would not be able to participate due to barriers with the use of online technologies or lack of internet connexion.	**3. OPERATIONAL (3.8. Capacities of the partners) - UNDP Risk Appetite: EXPLORATORY TO OPEN**	Likelihood: **2 - Low likelihood** Impact: **2 - Minor** Risk level: **LOW (equates to a risk appetite of CAUTIOUS)**	From: 01-Mar-23 To: 29-Feb-28	PROCARIBE+ PMCU PROCARIBE+ Project Partners	Risk Treatment 5.1: The project will aim to work with local organisations for on-the-ground actions where it is anticipated that capacities to use online tools will be limited. This will limit the use of virtual platforms that may not be easily accessible or effective for certain target groups. Risk Treatment Owner: PROCARIBE+ PMCU PROCARIBE+ Project Partners
								Risk Treatment 5.2: Advocacy for, and demonstration of the potential of innovative tools and approaches will be conducted in order to promote an incremental up-scaling of their use (including through the engagement of local champions); additional benefits such as reduction of costs and environmental impacts will be highlighted.

#	Event	Cause	Impact(s)	Risk Category and Sub-category *(including Risk Appetite)*	Impact, Likelihood & Risk Level *(see Annex 3 Risk Matrix)*	Risk Valid From/To	Risk Owner *(individual accountable for managing the risk)*	Risk Treatment and Treatment Owner
								Risk Treatment Owner: PROCARIBE+ PMCU PROCARIBE+ Project Partners
								Risk Treatment 5.3: Where it is deemed that physical presence (meetings, in the field,) is deemed essential to reach certain objectives, the project will aim at organizing face-to-face meetings. Risk Treatment Owner: PROCARIBE+ PMCU PROCARIBE+ Project Partners
6	There is a risk that Project Management and Coordination Unit are incapable of effectively managing the implementation of the Project.	As a result of hiring personnel without the required capacity, experience and institutional memory to implement such kind of project.	Which will impact in overall project implementation and would result in a delay or in some cases inability to successfully complete or even begin to implement a number of the proposed activities. In the extreme case it could mean that the project is unable to achieve its objective.	**4. ORGANIZATIONAL (4.7. Human Resources) - UNDP Risk Appetite: EXPLORATORY TO OPEN**	Likelihood: **2 - Low likelihood** Impact: **4 - Extensive** Risk level: **MODERATE (equates to a risk appetite of EXPLORATORY)**	From: 01-Mar-23 To: 29-Feb-28	UNDP UNOPS	Risk Treatment 6.1: Emphasis will be placed on developing strong Terms of References to support the recruitment of staff for the PROCARIBE+ Project Coordination and Management Unit. Risk Treatment Owner: UNDP UNOPS
								Risk Treatment 6.2: It is anticipated that candidates will go through a robust screening process during the selection phase. Risk Treatment Owner: UNDP UNOPS
								Risk Treatment 6.3: Attractive remuneration and benefits packages

#	Event	Cause	Impact(s)	Risk Category and Sub-category *(including Risk Appetite)*	Impact, Likelihood & Risk Level *(see Annex 3 Risk Matrix)*	Risk Valid From/To	Risk Owner *(individual accountable for managing the risk)*	Risk Treatment and Treatment Owner
								aligned with ICSC scales and with due consideration of working conditions will be provided. Risk Treatment Owner: UNDP, UNOPS
7	There is a risk that Project implementation faces delays.	As a result of several situations like travel restrictions, increased risk of infection by the emergence of new COVID-19 variants, and increased cost of goods and services.	Which will impact on project implementation since it could limit the possibility of organizing face-to-face meetings, limit travels and compromise the execution of field activities. It would likely cause delays in implementation and if the restrictions were to extend for long periods may compromise meeting certain project objectives, notably under the components with specific country interventions, where work on the ground is anticipated.	**1. SOCIAL AND ENVIRONMENTAL (1.6. Community health, safety and security) - UNDP Risk Appetite: CAUTIOUS**	Likelihood: **3 - Moderately likely** Impact: **3 - Intermediate** Risk level: **MODERATE (equates to a risk appetite of EXPLORATORY)**	From: 01-Mar-23 To: 29-Feb-28	PROCARIBE+ PMCU PROCARIBE+ Project Partners	Risk Treatment 7.1: The Project will monitor status reports on the post-pandemic situation and apply mitigation measures in the case of the emergence of new COVID variants. These include, among others, the application of biosecurity protocols, using virtual communication means and budget reviews. The Project will also seek to work with national organizations to avoid the effects of possible restrictions on international travel due to resurgences of COVID-19. Risk Treatment Owner: PROCARIBE+ PMCU PROCARIBE+ Project Partners
8	There is a risk of delays with setting-up co-executing agreements with project partners	As a result of not engaging in a timely manner with project partners.	Which will impact with some serious delays during the project inception phase and in the worst case scenario could cause the inability to start	**3. OPERATIONAL (3.2. Leadership and management) - UNDP Risk Appetite:**	Likelihood: **3 - Moderately likely** Impact: **4 - Extensive** Risk level:	From: 01-Mar-23 To: 29-Feb-28	PROCARIBE+ PMCU UNDP UNOPS	Risk Treatment 8.1: The PCMU will engage early with potential co-executing partners, UNOPS and UNDP to ensure that the contractual procedures

#	Event	Cause	Impact(s)	Risk Category and Sub-category *(including Risk Appetite)*	Impact, Likelihood & Risk Level *(see Annex 3 Risk Matrix)*	Risk Valid From/To	Risk Owner *(individual accountable for managing the risk)*	Risk Treatment and Treatment Owner
			certain key project activities.	**EXPLORATORY TO OPEN**	**MODERATE (equates to a risk appetite of EXPLORATORY)**			can start as early as possible. Risk treatment owner: PROCARIBE+ PMCU UNDP UNOPS Risk treatment 8.2: Where possible, those procedures will start during the PPG to ensure a smooth transition towards project implementation. Risk treatment owner: PROCARIBE+ PMCU UNDP UNOPS Risk Treatment 8.3: The PCMU will ensure to use the experiences gained during the CLME and CLME+ projects to process the arrangements as quickly as possible. Risk treatment owner: PROCARIBE+ PMCU UNDP UNOPS
9	There is a risk of lack of involvement of UNDP Country Offices due to the Project having a regional scope.	As a result of UNDP Country Offices not being engaged in the Project	Which will impact in misalignments with project partners, notably national governments, and potential duplication of efforts if other UNDP-led projects are working to achieve similar objectives as the Procaribe+ Project in the same countries.	**3. OPERATIONAL (3.2. Leadership and management) - UNDP Risk Appetite: EXPLORATORY TO OPEN**	Likelihood: **3 - Moderately likely** Impact: **3 - Intermediate** Risk level: **MODERATE (equates to a risk appetite of EXPLORATORY)**	From: 01-Mar-23 To: 29-Feb-28	PROCARIBE+ PMCU UNDP	Risk Treatment 9.1: The UNDP Regional Office for Latin America and the Caribbean and the PMCU will take affirmative actions to promote the participation of the UNDP country offices. For example, newsletters or quarterly reports on the results achieved in the Project could be disseminated to the country offices to keep

#	Event	Cause	Impact(s)	Risk Category and Sub-category *(including Risk Appetite)*	Impact, Likelihood & Risk Level *(see Annex 3 Risk Matrix)*	Risk Valid From/To	Risk Owner *(individual accountable for managing the risk)*	Risk Treatment and Treatment Owner
								them informed. Regular dialogue with the government counterparts in coherence with the project interventions may also support their effective integration. Risk treatment owner: PROCARIBE+ PMCU UNDP
10	There is a risk that the appointment of country representatives to the Project Steering Committee (PSC) is biased towards one particular sector	As a result of appointment of country representatives from one particular sector (fisheries or environment).	Which will impact the PSC not being able to properly cover the wide-ranging scope of the Procaribe+ Project. This could lead to a lack of interest by certain PSC members for certain topics and other consequences during implementation.	**7. STRATEGIC (7.5. Government commitment) - UNDP Risk Appetite: OPEN TO SEEKING**	Likelihood: **3 - Moderately likely** Impact: **3 - Intermediate** Risk level: **MODERATE (equates to a risk appetite of EXPLORATORY)**	From: 01-Mar-23 To: 29-Feb-28	PROCARIBE+ PMCU PROCARIBE+ Project Partners	Risk Treatment 10.1: The Project will build on the experiences gained in this regard from the CLME and CLME+ projects with a view to improve the sectoral representation in the PSC. The Project will also consider using the approach tested during the PPG of using Thematic Groupings to address specific thematic issues of the Project. Risk Owner: PROCARIBE+ PMCU PROCARIBE+ Project Partners
11	There is a risk that the project does not use an inclusive approach towards engaging stakeholders, including indigenous and local communities, which could potentially limit the capacities and opportunities of	As a result of the variety of political regimes and regulatory frameworks in the CLME+ region, and constraints with human and financial capacities.	Which will impact the full buy-in for the activities of the project which may compromise the project outcomes and reduce the project's sustainability.	**1. SOCIAL AND ENVIRONMENTAL (1.1. Human rights) - UNDP Risk Appetite: CAUTIOUS**	Likelihood: **2 - Low likelihood** Impact: **4 - Extensive** Risk level: **SUBSTANTIAL (equates to a risk appetite of OPEN)**	From: 01-Mar-23 To: 29-Feb-28	PROCARIBE+ PMCU PROCARIBE+ Project Partners	Risk Treatment 11.1: During the Project PPG Phase, a detailed stakeholder analysis and engagement plan was undertaken to assist with the identification of the major stakeholder groups that would have an interest in the project outputs. A Gender Analysis and Action Plan,

#	Event	Cause	Impact(s)	Risk Category and Sub-category *(including Risk Appetite)*	Impact, Likelihood & Risk Level *(see Annex 3 Risk Matrix)*	Risk Valid From/To	Risk Owner *(individual accountable for managing the risk)*	Risk Treatment and Treatment Owner
	those stakeholders to exercise their rights and to actively participate in decision-making processes that may affect them							as well as an Indigenous Peoples Planning Framework were also developed to provide guidance on the integration of those stakeholders in project activities. Further fine-tuning of these documents will be done during the project inception phase and on a continuous basis during project implementation. The project will also develop a Communications Strategy to ensure that the project has a strategy towards the dissemination of information on the project. At the national level, country interventions on MSP and MPA will require the active and full involvement of country-specific stakeholders to ensure the sustainability of the actions implemented on the ground. Risk Treatment Owner: PROCARIBE+ PMCU PROCARIBE+ Project Partners
12	There is a risk that some of the project outputs or outcomes may be sensitive or vulnerable to the	As a result of Climate change impacts which can cause increasing threats to already	Which will impact and cause delays and/or to the inability to fully implement	**1. SOCIAL AND ENVIRONMENTAL (1.5. Climate change and disaster risks) -**	Likelihood: **2 - Low likelihood** Impact:	From: 01-Mar-23 To: 29-Feb-28	PROCARIBE+ PMCU PROCARIBE+ Project Partners	Risk Treatment 12.1: A climate change risk screening was conducted (Annex 14) to identify

#	Event	Cause	Impact(s)	Risk Category and Sub-category *(including Risk Appetite)*	Impact, Likelihood & Risk Level *(see Annex 3 Risk Matrix)*	Risk Valid From/To	Risk Owner *(individual accountable for managing the risk)*	Risk Treatment and Treatment Owner
	potential impacts of climate change.	vulnerable coastal and marine habitats in the CLME+ region	certain project outputs.	**UNDP Risk Appetite: CAUTIOUS**	**3 - Intermediate** Risk level: **MODERATE (equates to a risk appetite of EXPLORATORY)**			potential risks of project activities to climate change. The ESMF also provides information on potential management measures to mitigate the risks of climatic events. The project will avoid the selection of intervention sites that are vulnerable to climate risks. Risk Treatment Owner: PROCARIBE+ PMCU PROCARIBE+ Project Partners
13	There is a risk related to economic and physical displacement, as well as risks of limiting access to natural resources. New activities in the marine/coastal space may also compete with more established sectors and potentially affect livelihoods.	As a result of a inadequate design, planning and implementation of the initiatives proposed for Component 3, which focus on catalyzing actions for the protection, restoration and sustainable use of marine and coastal natural capital, may take place within or adjacent to critical habitats, sensitive areas, areas important to indigenous or local communities, or areas designated as Cultural Heritage sites.	Which will impact the successful implementation of the outputs under this component.	**1. SOCIAL AND ENVIRONMENTAL (1.8. Displacement and resettlement) - UNDP Risk Appetite: CAUTIOUS**	Likelihood: **2 - Low likelihood** Impact: **4 - Extensive** Risk level: **MODERATE (equates to a risk appetite of EXPLORATORY)**	From: 01-Mar-23 To: 29-Feb-28	PROCARIBE+ PMCU PROCARIBE+ Project Partners UNDP	Risk Treatment 13.1: The Project will ensure that each intervention is screened for potential risks prior to starting execution and that the UNDP SES procedures are followed. Any activity that may cause significant negative impacts will be ruled out. The Project will work closely with national government entities and other relevant stakeholders to ensure that risks related to potential negative impacts on livelihoods are minimized or avoided. The ESMF (Annex 10) provides some guidance on the assessments and measures needed to

#	Event	Cause	Impact(s)	Risk Category and Sub-category *(including Risk Appetite)*	Impact, Likelihood & Risk Level *(see Annex 3 Risk Matrix)*	Risk Valid From/To	Risk Owner *(individual accountable for managing the risk)*	Risk Treatment and Treatment Owner
								ensure compliance with the SES requirements. Risk Treatment Owner: PROCARIBE+ PMCU PROCARIBE+ Project Partners UNDP
14	There is a risk that some of the activities to be developed under the micro-financing scheme could cause adverse impacts to habitats and/or ecosystems.	As a result of the potential improper design of nature-based solutions may inadvertently release untreated pollutants into the environment.	Which will impact the project sustainability in time.	**1. SOCIAL AND ENVIRONMENTAL (1.4. Biodiversity conservation and sustainable natural resource management) - UNDP Risk Appetite: CAUTIOUS**	Likelihood: **2 - Low likelihood** Impact: **3 - Intermediate** Risk level: **MODERATE (equates to a risk appetite of EXPLORATORY)**	From: 01-Mar-23 To: 29-Feb-28	PROCARIBE+ PMCU PROCARIBE+ Project Partners UNDP	Risk Treatment 14.1: Any proposed activity will be conducted using established international best practices and in adherence to the UNDP SES. The project will thoroughly screen and periodically monitor all activities to be implemented under the microfinancing scheme to reduce potential risks. Risk Treatment owner: PROCARIBE+ PMCU PROCARIBE+ Project Partners UNDP Risk Treatment 14.2: The ESMF (Annex 10) identifies the need to develop management measures to be implemented in those interventions, taking into consideration consultation processes, in cases where indigenous peoples are involved. Risk Treatment owner: PROCARIBE+ PMCU PROCARIBE+ Project Partners UNDP

#	Event	Cause	Impact(s)	Risk Category and Sub-category *(including Risk Appetite)*	Impact, Likelihood & Risk Level *(see Annex 3 Risk Matrix)*	Risk Valid From/To	Risk Owner *(individual accountable for managing the risk)*	Risk Treatment and Treatment Owner
15	There is a risk that some of the activities defined under the project could result in discrimination against women, marginalized youth and vulnerable communities, including indigenous communities, and limit their active participation in project design and implementation, as well as in the distribution of benefits derived from the Project. Also, affected stakeholders might voice grievances or objections to the project which, if not properly managed, could lead to resistance to the project and implementation delays.	As a result of the wide-ranging geographic and thematic scope and complexity of the Project, certain groups, including indigenous, women, youth and other vulnerable groups, may not receive an equitable amount of the benefits to be derived from the project.	Which will impact certain groups, including indigenous, women, youth and other vulnerable groups, may not receive an equitable amount of the benefits to be derived from the project. This could lead to potential grievances or objections to the project and cause delays with implementation	**1. SOCIAL AND ENVIRONMENTAL (1.2. Gender equality and women's empowerment) - UNDP Risk Appetite: CAUTIOUS**	Likelihood: **2 - Low likelihood** Impact: **3 - Intermediate** Risk level: **SUBSTANTIAL (equates to a risk appetite of OPEN)**	From: 01-Mar-23 To: 29-Feb-28	PROCARIBE+ PMCU PROCARIBE+ Project Partners UNDP	Risk Treatment 15.1: A Gender Analysis and Action Plan and budget has been developed to ensure the adequate integration of women and youth in the implementation of the project. The Gender Action Plan (Annex 11 of the ProDoc) determines the measures that will be undertaken to address this risk. Risk Treatment owner: PROCARIBE+ PMCU PROCARIBE+ Project Partners UNDP Risk Treatment 15.2: The project results framework has explicitly mainstreamed gender dimensions with the corresponding budget; confirming that the gender action plan can be implemented during the project's lifetime. Risk Treatment owner: PROCARIBE+ PMCU PROCARIBE+ Project Partners UNDP Risk Treatment 15.3: The Project has also developed an IPPF (Section 9.3 of the ESMF (Annex 10)) with a view to ensure the perspective, and where relevant, the participation of indigenous

#	Event	Cause	Impact(s)	Risk Category and Sub-category *(including Risk Appetite)*	Impact, Likelihood & Risk Level *(see Annex 3 Risk Matrix)*	Risk Valid From/To	Risk Owner *(individual accountable for managing the risk)*	Risk Treatment and Treatment Owner
								peoples in the project activities. Risk Treatment owner: PROCARIBE+ PMCU PROCARIBE+ Project Partners UNDP Risk Treatment 15.4: In terms of grievances, the ESMF includes guidelines for the implementation of a Grievance Redress Mechanism (GRM) that will be used to manage and resolve potential grievances and dissatisfaction raised by any affected stakeholder of the project. Risk Treatment owner: PROCARIBE+ PMCU PROCARIBE+ Project Partners UNDP
16	There is a risk of pilot initiatives not respecting established labour laws and standards, and do not provide adequate working conditions for hired personnel.	As a result of pilot initiatives under the micro-financing (Component 3) scheme badly managed	Which will impact in potential breaches of established labour laws and/or standards and cause serious delays with the implementation of some of the pilot initiatives.	**1. SOCIAL AND ENVIRONMENTAL (1.10. Labour and working conditions) - UNDP Risk Appetite: CAUTIOUS**	Likelihood: **2 - Low likelihood** Impact: **4 - Extensive** Risk level: **MODERATE (equates to a risk appetite of EXPLORATORY)**	From: 01-Mar-23 To: 29-Feb-28	PROCARIBE+ PMCU PROCARIBE+ Project Partners UNDP	Risk Treatment 16.1: The Project will ensure that the relevant policies related to the selection of Responsible Parties are strictly followed with a view to minimize risks related to inadequate labour conditions for project collaborator. The Project Responsible Parties will be monitored throughout the project implementation.

#	Event	Cause	Impact(s)	Risk Category and Sub-category *(including Risk Appetite)*	Impact, Likelihood & Risk Level *(see Annex 3 Risk Matrix)*	Risk Valid From/To	Risk Owner *(individual accountable for managing the risk)*	Risk Treatment and Treatment Owner
								The ESMF (Annex 10) outlines procedures for identifying potential adverse environmental and social impacts of the pilot projects to be financed and puts in place any required mitigating actions needed during project implementation. The required health and safety measures, and related labor laws will be assessed as part of the specific assessments, with mitigation measures included in the required ESMPs. Risk Treatment Owner: PROCARIBE+ PMCU PROCARIBE+ Project Partners UNDP

Annex 8: Overview of Project Staff and Technical Consultancies

The PROCARIBE+ Project, as a "double-LME", regional multi (20+)-country, multi-party project aiming to give continuity to prior GEF-supported efforts, covering several linguistic and geopolitical subregions and thematically cutting across all ocean-using sectors, introduces the requirements for, and concept of a strong regional **project management and technical coordination/support unit**". It is noted in this context how the critical role of a strong PMCU in overall project adaptive management and success has been highlighted in the independent evaluations of the predecessor CLME and CLME+ Projects.

The term "**Project Management and Coordination Unit**" **(PMCU)** combines and at the same time differentiates between, on one hand, the project management activities (charged to the PMC budget), and, on the other hand, the substantive project technical support and geographic and thematic coordination activities that will be required from this Unit - both of which being strongly inter-linked.

Taking this into account, the staffing for the PROCARIBE+ PMCU is described in the following table:

Project Management and Coordination Unit (PMCU) staff, and associated consultancies		**Duties & Responsibilities**
For Project Management *(cumulative investment: ± 54 person-months, strategically split between lead & support roles)*		
International / Regional and global contracting		
Project Manager (PM) *Level ICSC: P5*		*The **Project Manager (PM)** and **Lead Technical Advisor/Regional Coordinator (LTA/RC)** functions (for the latter, see the corresponding entry in this table under the "Technical Assistance" section) are thematically separated (and hence separately covered in this table) but operationally strongly inter-linked. They are expected to bring in both the top-level, substantive, (certified) project management/people leadership experience as well as the solid and wide-ranging technical knowledge, institutional memory and established networks from the UNDP/GEF CLME and CLME+ Projects, supported by strong language management (English, Spanish, other regional languages) and diplomacy/relations management skills, all of which will be critical to the overall success of this highly complex project.* *Combined, the PM and LTA/RC functions will be responsible for the overall strategic planning and day-to-day management and implementation of the project. This includes the mobilization of project inputs, supervision over project staff, consultants, responsible partners and sub-contractors/service providers, high-level interactions with the Project Board ("Project Steering Committee") and its members, the wider stakeholder community, lead technical advice and support, and coordinating and ensuring coherence and synergies among all project responsible partners and beneficiaries, and among all project components, outcomes, outputs and activities.* *Within the aforementioned wider range of responsibilities, specifically, **the Project Manager (PM) function occupies the following, narrow(er) niche**:*

		<u>Duties and Responsibilities of the PM function:</u> ● *Lead and oversee the overall management of the project, pursuing cost-efficiency and effectiveness in project management by making optimal use of available support staff and consultants through advanced levels of delegation, while ensuring compliance with UNOPS' project management standards (UNOPS Project Management Manual) and all applicable GEF, UNDP and UNOPS rules and regulations, and Project Board decisions.* *More specifically, the PM will **<u>lead, oversee and execute, participate in, or, whenever considered cost-efficient and cost-effective, delegate/assign (part of) the following tasks to other PMCU staff and/or consultants</u>** (see also the description of tasks for other PMCU staff positions in this table) :* ● *Lead, delegate (part of) and oversee the planning of project activities and the monitoring of progress against the approved Work Plan (budgets & timelines), including the identification of plan deviations and the formulation and/or (pre-)approval of proposals to make course corrections when needed to achieve results, in alignment with Project Board decisions and/or within Project Board-agreed tolerances.* ● *Assess proposals for major and minor amendments to the project, against their costs/budgetary implications versus expected benefits, and against the parameters set by UNDP-GEF, UNOPS and/or the Project Board.* ● *Lead, delegate (part of) and oversee the preparation of revisions to the multi-year workplan, as needed, as well as annual and quarterly plans if required.* ● *Lead, delegate (part of) and oversee the process(es) of regular (and extraordinary, when required) progress reporting to the Project Board as agreed with the Board, including measures to address challenges and opportunities.* ● *Ensure that changes are controlled and problems addressed.* ● *Ensure sound stewardship of project human and financial resources, and other project assets; act as the project budget owner (within the limits set by UNOPS (as Executing Agency) for the position.* ● *Pursue the timely execution of project activities, and achievement of project objectives and outcomes, through the implementation of an adaptive (within allowable limits) management approach for the project work plan, budgets, human resources, provision of goods and services, and risks.* ● *Lead, delegate (part of) and oversee the monitoring of events, milestones and achievements as determined in the project monitoring plan, and the review and revision/updating (as required) of the plan.* ● *Oversee the preparation of (quarterly) financial reports for UNDP.* ● *Lead, delegate (part of) and oversee: (a) the management and monitoring of the project risks (including the initially identified social and environmental risks, and submit new risks to the Project Board, UNOPS and UNDP for consideration and decision-making on possible actions if required), and (b) the updating of the status of these risks by maintaining the appropriate project risks logs.* ● *Lead, delegate (part of) and oversee the capturing of lessons learned (relative to PM practices) during project implementation.* ● *Oversee the preparation of the Project Board meeting reports.*

		● *Ensure that the indicators included in the project results framework are monitored annually in advance of the GEF PIR submission deadline so that progress can be reported in the GEF PIR.* ● *Oversee and support the annual GEF PIR preparation.* ● *Oversee the monitoring of implementation plans including the gender action plan, stakeholder engagement plan, and any environmental and social management plans.* ● *Oversee the monitoring and tracking of progress against the GEF Core indicators.* ● *Support the Mid-term review and Terminal Evaluation process.* ● *Provide support for the completion of assessments required by UNDP, spot checks and audits.*
Deputy Project Manager (dPM) *Level ICSC-10*		*<u>Duties and Responsibilities of the dPM function</u>* *The **deputy Project Manager (dPM)** will directly support the PM in the execution of the PM's functions and responsibilities, as requested by the PM. To this effect, and in order to avoid unnecessary duplication of content in this table, in terms of the specific (potential) duties and responsibilities of the dPM, reference is made to the duties and responsibilities under the PM function as listed here above.* *In addition, when requested by the PM and/or when needed (e.g. whenever the PM is absent or incapacitated) the deputy Project Manager will act as the PROCARIBE+ Project Manager.* *The dPM is expected to bring in substantive, practical project management/people leadership experience, ideally supported by strong language management (English, Spanish, other regional languages) and relations management skills.*
Operations and Liaisons Support & Finance Manager (OLSM) *Level ICSC-9*		*<u>Duties and Responsibilities of the OLSM position relative to Project Management</u>* *The OLSM is expected to bring in substantive, (certified) project management/people leadership experience, ideally supported by strong language management (English, Spanish, other regional languages) and relations management skills.* *The **OLSM is a key senior position within the PMCU, with a mix of leadership and supporting functions**: the OLSM will have a major role in project management and directly support the PM - including through the exercise of leadership- in the execution of functions and responsibilities for which the PM has been listed as having an oversight function under the PM section of this table.* *This includes:* ● *Monitoring of progress against the approved multi-year, and derived from these, annual/biennial Project Work Plans (budgets & timelines), including the identification of plan deviations and the formulation of possible/proposed options to make course corrections when needed to achieve results, in alignment with Project Board decisions and/or within Project Board-agreed tolerances.*

		● *Initiate and/or contribute to the preparation of revisions to the Work Plan(s), as needed, as well as annual and quarterly plans if required, for pre-approval by the PM and subsequently the Project Board.* ● *Support/contribute to the process(es) of regular (and extraordinary, when required) progress reporting to the Project Board as agreed with the Board, including the identification and proposal of possible measures to address challenges and opportunities.* ● *Support/contribute to the development and implementation of adaptive management approaches for the project work plan, budgets, human resources, provision of goods and services, and risks.* ● *Support the overall management of project human resources, and lead the management of selected project human resources, as and when requested by/agreed with the PM.* ● *Lead/oversee the sound management of all other project assets (including PMCU infrastructure/offices).* ● *Lead/oversee the planning and timely implementation of project logistical affairs related to project management activities (e.g. organization of Project Board/Project Steering Committee Meetings).* ● *Lead (when/where applicable) the development of the administrative/procedural elements of human resources and procurement activities, including the drafting of non-technical (i.e. administrative/procedural) elements of terms of reference and work specifications, and overseeing all administrative//procedural aspects of a contractors' work.* ● *Support the monitoring of events, milestones and achievements as determined in the project monitoring plan, and the review and revision/updating (as required) of the plan, including through the development and deployment of monitoring and evaluation/tracking tools and dashboards.* ● *Plan, manage and monitor financial resources, in coordination/consultation with the PM and, where applicable, other PMCU staff, and lead/oversee the project's accounting efforts (including quality control), to ensure the accuracy and reliability of financial reports.* ● *Develop/Lead the development of, and ensure the systematic implementation of financial planning and tracking (M&E) tools and protocols.* ● *Consolidate financial progress reports submitted by the responsible parties for implementation of project activities.* ● *Liaise and follow up with the responsible parties and consultants/contractors/service providers for implementation of project activities in matters related to project funds and financial progress reports; ensure the adequate and timely application of the developed financial planning and tracking tools and protocols by responsible parties (as applicable).* ● *Review/support the review of project expenditures, and ensure that project funds are used in compliance with the Project Document and/or any revisions thereof approved by the Project Board, and all applicable financial rules and procedures.* ● *Provide necessary financial information as and when required for project management decisions, and during project audit(s).* ● *Review annual budgets and project expenditure reports, and notify the PM if there are any discrepancies or issues.* ● *Quality control of the project records on project funds, expenditures and all other project management, procedural and administrative records, managed by the OLSA.* ● *Lead/oversee the preparation of (quarterly) financial reports for UNDP.*

		● *Management and monitoring of project risks related to project management and operational/financial project aspects, and the updating of the status of these risks by maintaining the appropriate project risks logs.* ● *Capture lessons learned (relative to PM practices and operational/financial project aspects) during project implementation.* ● *Contribute to the preparation of Project Board meeting reports (managerial/financial aspects).* ● *Contribute to the annual GEF PIR reporting efforts, on related PM/operational/financial aspects.* ● *Support the Mid-term review and Terminal Evaluation process (aspects related to project management/project operations & finances).* ● *Support the completion of relevant elements of assessments required by UNDP, spot checks and audits.* ● *Liaise with the client, UNOPS headquarters and the Project Board/Steering Committee members, on matters relating to project management and oversight, logistical and administrative matters, as requested by/agreed upon with the PM.* ● *Other project management tasks, when and as requested by the PM.* *<u>Note:</u> the OLSM will dedicate: 20 person-months to Project Management (with duties and responsibilities as described here above), and 18 person-months to support technical project activities, across especially project components 2-4 (with duties and responsibilities as described under the "Technical Assistance" section).*
Local / National contracting		
Operations and Liaisons Support & Finance Assistant (OLSA) *Level ICSC-6*		*The OLSA is another key position within the PMCU. It is conceived as a substantial support position, essential to the PMCU functioning and the project's overall success. The OSLA will have a major role in the day-to-day management of the project and directly support the PM and OLSM, including with (but not limited to) the execution of functions and responsibilities for which the PM and OLSM have respectively been listed as having an oversight function under the PM and OLSM sections of this table.* *<u>Duties and Responsibilities</u>* *Under the guidance and supervision of the PM and/or OSLM, the OSLA will carry out the following tasks:* ● *Assist the PM and OSLM in all aspects of their day-to-day project management and oversight activities, as requested.* ● *Support the PM and OSLM (as requested) by executing administrative and operational functions over which the PM and OSLM have lead/oversight responsibility.* ● *Support the planning and timely implementation of project logistical affairs related to project management activities (e.g. organization of Project Board/Project Steering Committee Meetings).* ● *Support the sound management of all project assets (including PMCU infrastructure/offices).*

		● *Liaise and follow up with the responsible parties and consultants/contractors/service providers for implementation of project activities in matters related to project funds and financial progress reports; support the adequate and timely application of the developed financial planning and tracking tools and protocols by responsible parties (as applicable).* ● *Ensure all project documentation related to project management and related administrative, operational and financial matters (including materials relating to HR and procurement processes) progress reports, consulting and other technical reports, minutes of meetings, etc.) are properly maintained in an efficient and readily accessible filing system, and in full compliance with applicable GEF, UNDP and UNOPS requirements, for when required by the Project Board, UNOPS, UNDP, project consultants and service providers, and other PMCU staff.* ● *Keep records of project funds and expenditures, and ensure all project-related financial documentation are well maintained and readily available when required by the PM, OSLM, HQ, auditors,…* ● *Liaise with the client, UNOPS HQ and the Project Board/Steering Committee members, on matters relating to project management and oversight, logistical and administrative matters, as requested by/agreed upon with the PM and/or OSLM.* ● *Other project management tasks, when and as requested by the PM.* *Ideally, the OLSA will bring in strong language (English, Spanish, other regional languages) and relations management skills.* *<u>Note:</u> the OLSA position will dedicate: 24 person-months to Project Management (with duties and responsibilities as described here above), and 18 person-months to support technical project activities, across especially project components 2-4 (with duties and responsibilities as described under the "Technical Assistance" section).*
Monitoring & Evaluation Specialist (M&E) *Level ICSC-6*		*Duties and Responsibilities* *This is a consultancy position that will support monitoring & evaluation activities related to periodic assessment processes, in particular the annual Project Implementation Reviews (PIRs) and the independent Mid-Term Review (MTR) and Terminal Evaluation (TE).* *Under the guidance and supervision of the PM, and in collaboration with the Gender and Safeguards Specialist(s), the M&E Specialist will carry out the following tasks:* ● *implementation of the PROCARIBE+ Monitoring Plan (see Annex 5), including the introduction of initial and subsequently periodic improvements, and the periodic fine-tuning and updating of the plan, as applicable* ● *monitoring & evaluation of the GEF Core Indicators* ● *monitoring & evaluation of progress under the PROCARIBE+ Results Framework*
For Technical Assistance		
International / Regional and global contracting		

Lead Technical Advisor/Regional Coordinator (LTA/RC) *Level P5*		*As indicated under the "Project Management" section of this table, the **Lead Technical Advisor/Regional Coordinator (LTA/RC) and Project Manager (PM)** functions, while distinct in focus, require strong operational linkages, with the project management function being an enabler for the more substantive coordination and technical support function.* *More specifically with regard to the LTA/RC "technical assistance" function at the PMCU, and given the wide-ranging geographic and thematic scope of the project, and the need for strong thematic and geographic integration and coordination, this function is expected to bring in strong leadership experience, and diplomatic and advocacy skills, as well as solid and wide-ranging technical knowledge, institutional memory and established networks from the UNDP/GEF CLME and CLME+ Projects, supported by strong language management (English, Spanish, other regional languages) and relations management skills, all of which will be critical to the successful delivery on the project objective, outcomes and outputs.* *The function will combine a high-level representative and advocacy element with leadership in terms of strategy and technical advice and support, and a strong coordination role across multiple geographic scales -from local to (sub-)regional to global- and across thematic/sectoral boundaries, to ensure coherence and synergies among all project components, outcomes, outputs and activities, due collaboration and complementarity among the work of project responsible partners, and with a keen eye for fair benefit distribution among project stakeholders with a view of securing and maintaining critically needed region-wide and national-level buy-in.* *Duties and Responsibilities of the **LTA/RC function:*** ● *As Senior/Lead Technical Advisor and Regional Coordinator, develop/sustain and nurture the project vision and overall strategic approach, and its (adaptative) alignment with (potential shifts in) regional and national-level programmatic priorities and newly emerging issues (in coordination with the Ocean Coordination Mechanism and its Membership, i.e. IGO's and countries); LTA/RC function to liaise for this purpose with the PM functions to enable practical/logistical/financial implementation.* ● *Exercise a high-level representative function and active advocacy role, relative to the project's objective, outcome and outputs.* ● *Active advocacy for the replication and upscaling of global best practices developed, trialed and implemented through the PROCARIBE+ Project, within and beyond the global GEF IW/LME, and global ocean communities, and strategically support such knowledge exchange and best practices beyond the regional level, with a view of maximizing the global benefits from the GEF support provided through the PROCARIBE+ Project* ● *Remain abreast of recent developments and innovations in the field of ocean governance, marine resources management, and their linkages to sustainable and climate-resilient socio-economic development ("blue economies").* ● *The Lead Technical Adviser/Regional Coordinator (LTA/RC) will be responsible for exercising visionary and transformational leadership, and advocacy, and for providing **overall, substantive technical backstopping support to the project, across all its components, outputs and activities**. As Regional Coordinator, the LTA/RC will ensure a coherent, coordinated and synergistic approach to the implementation of the project's different spatial and thematic components, and for enabling synergies with relevant parallel initiatives, activities and projects in the region and beyond.*

Senior Project Officer # 1 and # 2 (SPO1 and 2) *Level ICSC-10*		*<u>Duties and Responsibilities</u>* *Due to the nature of the PROCARIBE+ Project and the requirements of the SPO functions within the PMCU, combined, the 2 PMCU's Senior Project Officer functions (**SPO1** and **SPO2**) need to ensure the due provision of the following skillsets and services:* ● *fluency in Spanish and fluency in English (fluency in other languages from the region - French, Portuguese, Dutch- is considered an important asset); ideally, each SPO will be at least fluent in English and Spanish, but the complementarity in language fluency among the 2 SPO positions could potentially be considered.* ● *sound technical knowledge on matters relating to: ocean governance and management (including on topics such as: Marine Spatial Planning (MSP), Marine Protected Areas (MPA) and Other Effective area-based Conservation Measures (OECM), Sustainable Fisheries, Environmental and Socio-Economic Reporting, the GEF TDA-SAP approach, the ridge-to-reef/source-to-sea approach* ● *for **SPO1**: the added skillset and experience required to act as the **deputy Project Manager** (see the dPM functions described under the "Project Management" section of this table)* *The SPO functions will:* ● *lead, oversee and/or support (as requested by and agreed upon with the LTA/RC and internally coordinated among the PMCU technical staff) the technical project activities directly implemented by the PMCU (i.e. excluding those to be executed by co-executing partners) (major focus: Project Components 1 and 4)* ● *develop the technical elements of the Terms of References (Tors) for contracts, co-executing agreements and service requests, support the technical component of the screening and selection of potential human resources, service providers and co-executing partners* ● *oversee, provide technical advice and support, exercise technical quality control and compliance checks, and pursue/promote coherence and synergies among the technical project activities executed by consultants, contractors and co-executing partners (as requested by and agreed upon with the LTA/RC and internally coordinated among the PMCU technical staff) (major focus on Project Components 2 and 3)* ● *provide substantive technical advice and backstopping support to co-executing partners (all Components, with major focus on Component 3)* ● *liaise with project participants, stakeholders and beneficiaries on technical matters within the competencies and specialities of the SPO* ● *support other PMCU team members and consultants/retainers (e.g. the Knowledge Management Specialist, the Communications Specialist, the Gender, Safeguards and Participation Specialist, the Facilitator, IT support, Web Development Support, Graphic Designer,...) by providing the technical angle and inputs to their activities and deliverables* ● *provide the technical angle, inputs and requirements in the definition, fine-tuning and periodic revisions of the project budgets and work plans (i.e. linkage with the Project Management element of the PMCU, to be undertaken by the PM, dPM, OSLM and OSLA)* *The Project Document budget notes provide further insights as to the distribution of efforts (inclusive of cross-cutting coordination support) to be provided by the SPO1 and SPO2 across the different Project Components.*

		○
OLSM (support for project technical activities) *Level ICSC-9*		*<u>Duties and Responsibilities</u>* ● *In the pursuance of a strong but at the same time cost-effective and efficient PMCU, the "other technical project activity support" elements of the OSLM and OSLA positions will complement the technical support provided by the LTA/RC and SPO1 and SPO2 functions towards the delivery of all project outputs, whenever such technical support falls within the skillset and competencies of respectively the OLSM and OLSA positions* ● *Such support will entail, but not necessarily be limited to, e.g. support for the planning, organization and execution of technical workshops, partnership fora and special events (see the corresponding elements of the activities lists under the description of the project outputs, Section IV of the Project Document), support for the preparation of powerpoint, technical project meeting materials and reports, in-house translation support (when deemed feasible and cost-effective), etc.* *The Project Document budget notes provide further insights as to the distribution of efforts (inclusive of cross-cutting coordination support) to be provided by the OLSM across the different Project Components.*
Gender and Safeguards Specialist(s) (GSS) *Level ICSC-9*		<u>Note:</u> This function may be executed by one or several (part-time) professionals, depending on whether the required expertise, experience and skill sets can best/most efficiently be mobilized through either a single or multiple specialist. The GSS functions will expected to be exercised by (a) Specialist(s) with (a) professional background(s) in social sciences, sustainable development, gender studies, sociology, and/or anthropology. *<u>Duties and Responsibilities</u>* The **GSS function** will: ● guarantee the integration of social *(including indigenous and local people)*, environmental and gender perspectives and considerations in the (adaptive) planning and implementation of the project/project activities. ● support the effective engagement and participation of the key stakeholders and direct beneficiaries in the (adaptive) planning and implementation of the project/project activities ● ensure that GEF, UNDP and UNOPS safeguards are complied, monitored, and reported ● guarantee the application of the following policies, strategies, and guidelines: ○ GEF policy on public involvement and the corresponding guidelines. ○ GEF policy on gender equality and the corresponding guidelines. ○ GEF policy on stakeholder engagement. ○ GEF principles and guidelines for engagement with indigenous peoples. ○ UNDP gender equality strategy 2018-2021. ○ Guide to gender mainstreaming in UNDP supported GEF financed projects.

		○ UNDP information disclosure policy. ○ Stakeholder response mechanism which is part of the UNDP´s accountability mechanism. ● *oversee/develop/coordinate the implementation of all safeguard related plans;* ● *ensure environmental and social risks/grievances are identified, avoided, mitigated and managed effectively and transparently throughout project implementation;* ● *review the SESP annually, and update and revise corresponding risk log; mitigation/management plans as necessary;* ● coordinate the implementation of the project ESMP/ESMF/IPPF, the gender action plan and the stakeholder engagement plan; liaise for this purpose and as applicable with other members of the PMCU, and with project co-executing partners. ● monitor and evaluate progress (including through the M&E of related indicators) in the implementation of the aforementioned plans to ensure that targets are met and that reporting requirements are fulfilled ● periodically revise and update/fine-tune (as needed/desirable and feasible) the aforementioned plans ● provide advice/recommendations/inputs for the (periodic revisions of the) project Work Plans, and corresponding advice/recommendations relative to budget requirements, for the consideration and related decision-making by the PCMU Project Management staff and/or, where applicable, the Project Board. ● liaise with the PMCU Knowledge Management Specialist to ensure that the Project Knowledge Management Products adequately integrate, reflect and communicate gender and social and environmental (safeguard) matters. ● providing information and support for the preparation of periodic progress reports, annual PIRs, the mid-term review, and the terminal evaluation. ● promote the use of culture-sensitive practices and inclusive/gender-inclusive language throughout the project activities and communications *The Project Document budget notes provide further insights as to the distribution of efforts (inclusive of cross-cutting coordination support) to be provided by the GSS function(s) across the different Project Components.*
Facilitator *Level ICSC-10*		*<u>Duties and Responsibilities</u>* ● *Provision of professional (ideally, multi-lingual) facilitation services for negotiation and decision-making processes (online fora, and virtual and in-person meetings) related to the different project outputs, including (but not necessarily limited to): Output 1.1.1a the regional ocean coordination mechanism, output 1.1.1b the wide-ranging regional ocean partnership(s), output 1.1.2 the new, 10-year regional SAP (2026-2035), output 4.1.1. formal adoption of the regional OCM Hub, output 4.1.2. formal adoption of the regional marine data infrastructure blueprint, output 4.1.3. formal endorsement of the regional "SOMEE" (TDA) report* *The Project Document budget notes provide further insights as to the distribution of efforts (inclusive of cross-cutting coordination support) to be provided by the Facilitator function across the different Project Components.*

Local / National contracting		
		○
OLSA (support for project technical activities) *Level ICSCS-6*		*<u>Duties and Responsibilities</u>* ● *In the pursuance of a strong but at the same time cost-effective and efficient PMCU, the "other technical project activity support" elements of the OLSM and OLSA positions will complement the technical support provided by the LTA/RC and SPO1 and SPO2 functions towards the delivery of all project outputs, whenever such technical support falls within the skillset and competencies of respectively the OLSM and OLSA positions* ● *Such support will entail, but not necessarily be limited to, e.g. support for the planning, organization and execution of technical workshops, partnership fora and special events (see the corresponding elements of the activities lists under the description of the project outputs, Section IV of the Project Document), support for the preparation of powerpoint, technical project meeting materials and reports, in-house translation support (when deemed feasible and cost-effective), etc.* *The Project Document budget notes provide further insights as to the distribution of efforts (inclusive of cross-cutting coordination support) to be provided by the OSLA function across the different Project Components.*
Communications Specialist *Level ICSCS-7*		*<u>Note upfront:</u> Some of the feedback obtained from stakeholders along the course of the UNDP/GEF CLME+ Project (e.g. through the independent MTE and TE) pointed to the insufficient levels of communication with and among/across project (co-)executing entities, project and sub-project national focal points, alternate project focal points, and the national focal points for international conventions,.., as an important challenge faced by the Project. It was noted how in the particular case of the CLME+ Project, this challenge arose from the existence of the large number of participating countries, covering several linguistic, cultural and geopolitical subregions, the project's thematic orientation cutting across several sectors and ranging from the purely technical to the fields of diplomacy and international relations/foreign affairs, in addition to the relevance of the project to the work programmes of a large number of inter-governmental organizations and to different societal groups: government, civil society, academia and private sector. Due to capacity constraints, the need was consequently identified during the project, for the purpose of communications, to prioritize among the different stakeholder groups, using the following ranking: (1) direct stakeholders and beneficiaries of, and actors to be involved in the delivery of the CLME+ Project Outputs; (2) the wider range of stakeholders/actors to be involved in the implementation of the over-arching regional 10-year Strategic Action Programme (SAP); (3) the global LME Community of Practitioners; (4) the wider public in general. Advisory services provided by IW:LEARN during the project also pointed to the need for a clearer differentiation between the fields of "Communications" and "Knowledge Management".* *It is in light of the aforementioned lessons learned and in order to overcome the challenges and shortfalls of the CLME+ Project, that PROCARIBE+ introduces the following 2 distinct positions/functions for its PMCU: the position/functions of "**Communication Specialist**" **(CS)**, and the position/function of "**Knowledge Management Specialist**" **(KMS)*** *<u>Duties and Responsibilities</u>*

		*The following (non-comprehensive) list captures some of the main responsibilities of the **CS**:* ● *early familiarization, by the CS, with the CLME+ SAP vision, SAP objective, OCM objective, PROCARIBE+ Project objective, outcomes and outputs, and associated key beneficiary and stakeholder groups* ● *development and periodic review and revision/fine-tuning of the project communication strategy, with due attention to the strategic functionality of communications for the achievement of the over-arching regional long-term vision articulated under the CLME+ SAP, the SAP objectives, and the project objectives and outcomes* ● *development and periodic review and revision/fine-tuning of the OCM communication strategy, linked to or embedded within the project communication strategy, with inputs from the OCM membership, and with due attention to the strategic functionality of communications for the achievement of the objectives of the regional Ocean Coordination Mechanism (OCM, the latter to be supported by PROCARIBE+ through Output 1.1.1a and associated project outputs)* ● *collaborate for the above purposes with senior PMCU technical team members and, where applicable, co-executing partners and/or the OCM membership* ● *deliver, and/or lead/oversee, or contribute to the delivery of communication materials and products, including but not limited to: content for the OCM Hub and PROCARIBE+ project website, project and OCM social media, press releases, meeting presentations/communications, briefing papers, project video, project story maps* ● *collaborate for the purpose of the above with senior PMCU technical team members (instructions/guidance to be provided by senior PMCU staff, to ensure/optimize the strategic value of communication efforts)* ● *support frequent/sufficient and adequate (timely) communication on all matters relevant to the objective of the project and its successful delivery on its outcomes and outputs, with the wider range of project beneficiaries, and both the direct and extended stakeholder community, and , using languages and styles adapted to the target public (including the OCM objective and OCM stakeholder groups)* ● *support the knowledge management specialist and other technical PMCU staff in the tailoring of language and visual products to the intended target public* ● *other tasks related to project communications that may be requested from the LTA/RC and/or other PMCU members* *The Project Document budget notes provide further insights as to the distribution of efforts (inclusive of cross-cutting coordination support) to be provided by the CS function across the different Project Components.*
Knowledge Management (KM) Specialist *Level ICSC-7*		*<u>Duties and Responsibilities</u>* *The following (non-comprehensive) list captures some of the main responsibilities of the KM Specialist:* ● *Development and implementation of the Project Knowledge Management Strategy, including any knowledge management requirement emanating from UNOPS, UNDP and GEF knowledge management policies*

		• *Lead/Oversee, and actively participate in the design and development, implementation, population and maintenance of the knowledge management content of the online OCM regional Hub, in alignment with the overarching vision and following the strategic directions provided by the Director of the OCM Secretariat (PMCU LTA/RC function), OCM SG and EG and, where applicable and feasible, further recommendations and requests emanating from the OCM Membership, Working Groups and wider-ranging regional ocean partnership(s)* • *Liaise with project partners and the wider-ranging ocean stakeholder community, in support of the regional enhanced knowledge management ambitions through the OCM Hub* • *Liaise and collaborate with the Communications Specialist, with the purpose of optimizing the content and format of knowledge products for the envisaged purpose and stakeholder group(s)* • *Support the strengthening of the science-policy interface, by ensuring adequate "knowledge management" linkages between especially (but not exclusively) the Project Outputs under Component 1 (the OCM, the partnership(s), the new SAP) and Component 4 (the OCM Hub, the regional marine data infrastructure, the SOMEE report)* • *Engagement with IW:LEARN and the global GEF IW/LME Community of Practitioners, in the context of global exchange on knowledge and best practices* • *In the aforementioned context, organize, lead/oversee, and/or actively participate in the development and/or delivery of "output knowledge products, such as the project video(s), story map(s) and experience notes, using for this purpose strategic directions and inputs from the LTA/RC and other technical PMCU staff, and working in collaboration with the Communications Specialist* • *Ensure that all technical progress reports, consulting and other technical reports, minutes of meetings are properly maintained in an efficient and readily accessible, online filing system, that will remain sustainable and accessible after the project end* *The Project Document budget notes provide further insights as to the distribution of efforts (inclusive of cross-cutting coordination support) to be provided by the KMS function across the different Project Components.*
Health, Safety and Security Specialist (HSS) *Level ICSC-8*		*As part of its duty of care, UNOPS as Executing Agency and as per corporate policies commits to ensuring that people working on/participating in its projects do not fall sick or sustain injuries as a consequence of the organisation's activities and operations. In line with its Health and Safety Improvement Initiative, UNOPS has introduced a Zero tolerance approach to poor health and safety performance.* *The PROCARIBE+* ***Health, Safety and Security Specialist*** *(HSS) function will support the mainstreaming of technical considerations relative to health, safety and security in the PROCARIBE+ project activities, across the different Components, Outcomes and Outputs. The* ***HSSS*** *will help develop technical competence to effectively support and monitor implementation of precautionary/preventive measures and to address the potential absence of adequate health, safety and security controls in the execution of project technical activities. The HSSS will review/support the review of project activities and propose and/or support the implementation of corrective measures for poor practices. The HSSS will also serve as the PMCU's security focal point/liaison person with the United Nations Department on Safety and Security (UNDSS), and support the implementation of security measures and recommendations emanating from the UNDSS into the project activities.*

*Project Manager **(PM)***	*Project Management (**PMC budget)***	*± 5 person-months*	*± 32 person-months*
*Lead Technical Advisor/Regional Coordinator **(LTA/RC)***	*Support for Technical Project Implementation*	*± 27 person-months*	
*Operations & Liaisons Support Manager **(OLSM)***	*Project Management **(PMC budget)***	*± 20 person-months*	*± 38 person-months*
	Support for Technical Project Implementation	*± 18 person-months*	
*Operations & Liaisons Support Assistant **(OLSA)***	*Project Management **(PMC budget)***	*± 24 person-months*	*± 42 person-months*
	Support for Technical Project Implementation	*± 18 person-months*	
*Senior Project Officer # 1 **(SPO1)*** *(Deputy Project Manager - **dPM**)*	*Project Management **(PMC budget)***	*± 5 person-months*	*± 60 person-months*
	Support for Technical Project Implementation	*± 51 person-months*	
*Senior Project Officer # 2 **(SPO2)***			*± 55 person-months*
	Support for Technical Project Implementation (all outputs)	*± 53 person-months*	
*Gender Specialist **(GS/GSS)***	*Support for Technical Project Implementation*	*± 7.5 person-months*	*± 10 person-months*
	*M&E of Gender Plan **(M&E budget)***	*± 2.5 person-months*	
*Safeguards Specialist **(SS/GSS)***	*Support for Technical Project Implementation*	*± 15 person-months*	*± 20 person-months*
	*M&E of Safeguards Plans **(M&E budget)***	*± 5 person-months*	
*Monitoring & Evaluation Specialist **(M&E-S)***	*M&E of Results Framework (M&E budget)*	*± 7.5 person-months*	
*Knowledge Management Specialist **(KMS)***	*Support for Technical Project Implementation*	*± 40 person-months*	
*Communications Specialist **(CS)***	*Support for Technical Project Implementation*	*± 40 person-months*	
*Health, Safety & Security Specialist **(HSSS)***	*Support for Technical Project Implementation*	*± 5 person-months*	

Facilitator	*Support for Technical Project Implementation*	*± 4.6 person-months*

Protecting and Restoring the Ocean's natural Capital, building resilience and supporting region-wide investments for sustainable blue socio-economic development (PROCARIBE+)

GEF Project ID 10800 | PIMS 6290

Project Preparation Grant Phase (PPG)

ANNEX 9:
STAKEHOLDER ANALYSIS AND ENGAGEMENT PLAN

PROCARIBE+ PPG Coordination Unit

July, 2022

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1. Executive Summary

The following Stakeholder Analysis and (preliminary) Engagement Plan (SEP) has been developed to provide guidance relevant to the effective engagement of stakeholders for the development and implementation of the UNDP/GEF project "Protecting and Restoring the Ocean's natural Capital, building Resilience and supporting region-wide Investments for sustainable Blue socio-Economic development (PROCARIBE+)" (GEF ID 10800).

In addition to the SEP, a Gender Analysis and Action Plan (Annex 11), and an Indigenous People's Planning Framework (IPPF) (ESMF Annex 10) have also been developed for consideration of the cross-cutting goals of gender equality and the empowerment of marginalized stakeholder groups, including youth, as well as ensuring an effective approach for the involvement of Indigenous Peoples in the Project, where relevant.

Given the vast thematic and geographic scope of the PROCARIBE+ Project, and far-ranging potential consequences of project activities and outcomes, some of which may extend well beyond the limits of the region itself, and in specific cases can even be global in nature, a wide diversity of stakeholders will influence and/or can be potentially affected, positively or negatively, by the project activities, outputs and outcomes.

A preliminary analysis of the Project's stakeholders has been conducted and is presented in the SEP (see tables 3, Annex I, II and III). The Gender Analysis and Action Plan and the IPPF identify additional stakeholders that are relevant for gender mainstreaming and the participation of indigenous peoples, where appropriate. The SEP provides an overview of the consultation process undertaken during the PPG and proposes some principles and possible means of engagement for different groups of stakeholders during the implementation of the project. A stakeholder engagement plan, which includes proposed activities for the engagement of stakeholders is provided (see table 6).

The PROCARIBE+ Project will deploy a range of differentiated measures allowing for inclusion in the project activities of a wide variety of groups of interest at various scales, including under-represented and vulnerable groups. In short, the approach to be followed by PROCARIBE+ builds on the experiences, good practices, lessons learned and pre-established networks from the predecessor CLME and CLME+ Projects but will now further expand its reach to more substantially include additional stakeholders groups that may have been less engaged in the aforementioned projects.

2. Introduction

Stakeholder analysis is the process of identifying a project's key stakeholders and assessing their respective interests in the project as well as the ways in which these stakeholders may influence and benefit from, or be otherwise impacted by the project's outputs and outcomes. An understanding of power relations and potential alliances and conflicts among stakeholders is therefore of critical relevance to the project's success and provides the foundation for planning stakeholder engagement throughout the project cycle.

Effective ***stakeholder engagement*** at design and implementation stages improves project ownership and acceptance and strengthens the social and environmental sustainability and benefits of supported interventions. As such, it should focus on differentiated measures allowing for inclusion of a wide variety of groups of interest at various scales, including under-represented and vulnerable groups.

The present stakeholder analysis and the subsequent development of the initial engagement plan has been carried out to support the development and implementation of the UNDP/GEF project "Protecting and Restoring the Ocean's natural Capital, building Resilience and supporting region-wide Investments for sustainable Blue socio-Economic development (PROCARIBE+)" (GEF ID 10800).

The present document is perceived as a living document, which, at time of GEF CEO endorsement and while considering the limitations of the PPG grant, provides the core principles and a sufficiently strong basis that will allow the project to initiate from day 1 with due attention to, and immediate action on sound stakeholder engagement; it is however acknowledged upfront that the document will need to be periodically revisited by the Project Team and, where necessary/deemeded beneficial, complemented, expanded and/or revised/updated or otherwise strengthened, with the support from project partners (e.g. the PROCARIBE+ executing parties), throughout the project's implementation period.

PROCARIBE+ will support the continued implementation of the first-ever, regional CLME+ Strategic Action Programme (2015-2025), the development and initiation of implementation of the second iteration of the regional action programme (2026-2035), and the achievement of the associated long-term (20 years) vision of "***A healthy marine environment that provides benefits and livelihoods for the well-being of the people."***The project falls under the GEF International Waters Focal Area (IW) and will focus its interventions in the Caribbean and North Brazil Shelf Large Marine Ecosystems (also referred to as "CLME+ region"). As such, the project has an unusually large number of stakeholders by the standards of any IW LME project: the project's geographic scope includes not just one but two of the World's LME's, 26 countries and 18 overseas territories including a large number of SIDS, and covers several linguistic and politically and culturally diverse sub-regions, several geopolitical integration mechanisms, and a sizeable number of IGO's and non-governmental organizations with a formal mandate for, and/or actively involved in the project and marine resources management, across a variety of sectors and sub-regions. To date, 19 countries have endorsed the PROCARIBE+ project concept note (PIF).[45]

PROCARIBE+ will work towards:

- Implementing integrated ocean governance arrangements (regional and national).
- Enabling and developing sustainable and resilient ocean-based (blue) economies (BE) through Marine Spatial Planning (MSP), marine conservation, sustainable fisheries and addressing land-based sources of pollution; while taking into account cross-cutting issues such as climate change, gender and post COVID-19 recovery.
- Catalysing the next iteration of key regional processes such as the Transboundary Diagnostic Analysis (TDA) and the development and subsequent implementation of a regional Strategic Action Programme (SAP).

The PROCARIBE+ Project sets-out the following four technical project components:

[45] The following countries have endorsed the PROCARIBE+ Project as of 26 June 2022: Antigua & Barbuda, The Bahamas, Belize, Brazil, Colombia, Costa Rica, Cuba, Dominican Republic, Guatemala, Guyana, Haiti, Honduras, Jamaica, Panama, St. Kitts & Nevis, Saint Lucia, Suriname, Trinidad & Tobago, Venezuela

1. Region-wide multi-stakeholder cooperation, coordination, collaboration and communication for the protection, restoration and sustainable use of marine and coastal ecosystems in the Caribbean and North Brazil Shelf Large Marine Ecosystems (EBM approach).

2. Enabling national environments for the protection, restoration and sustainable use of coastal and marine resources (EBM/EAF).

3. Catalyzing actions by all sectors of society, at different spatial scales, for the protection, restoration and sustainable use of marine and coastal natural capital ("blue economies").

4. Region-wide data/knowledge generation, management and sharing mechanisms supporting cooperation, coordination, collaboration and synergistic action.

PROCARIBE+ will give continuity to prior GEF-supported interventions, namely the UNDP/GEF CLME and CLME+ Projects, which progressively secured active engagement of a broad spectrum of stakeholders at different scales (regional, subregional and national), having collaboratively generated the first series of regional Transboundary Diagnostic Analyses (TDA's) and the first-ever regional 10-year Strategic Action Programme (SAP, 2015-2025) on the marine environment in the CLME+ region.
Building further on these prior achievements and lessons learned, PROCARIBE+ proposes a shift from a "problem-centered" focus to marine resources management to one focusing on the "challenges and opportunities" provided by the marine environment of the CLME+ region, and the associated vision of healthy marine ecosystems as the basis for human development and well-being, and the GEF7 IW Strategy's focus on "Blue Economy".
In this context, it anticipates the creation of wider-ranging societal partnerships on the marine environment, which will build trust and strengthen even more the engagement of different stakeholders including governmental and non-governmental sectors of society in the proposed next iteration of the TDA/SAP approach, anticipating and mitigating the shortcomings flagged in the context of the development of the first CLME+ SAP.
The Stakeholder Analysis and Engagement Plan presented here must be seen in association with the Gender Analysis and Action Plan (Annex 11) and the Indigenous People's Planning Framework (Annex 10), for consideration of the cross-cutting goals of gender equality and the empowerment of marginalized stakeholder groups, including youth, as well as ensuring an effective approach for the involvement of Indigenous Peoples where relevant.

3. Regulations and Requirements

The GEF Policy on Stakeholders Engagement "sets out the core principles and mandatory requirements for Stakeholder Engagement in GEF governance and operations, with a view to promoting transparency, accountability, integrity, effective participation and inclusion" … "The Policy reaffirms and operationalizes the GEF's commitment, with respect to GEF-Financed Activities, to "full disclosure of all non-confidential information, and consultation with, and participation as appropriate of, major groups and local communities throughout the project cycle" (GEF, 2017).
According to the UNDP policy for stakeholder's participation, "effective stakeholder engagement is a cornerstone to achieving sustainable development. Civil society actors and organizations, indigenous peoples, local communities and other key stakeholders are crucial partners for advancing human rights-based development" … "it is fundamental to attaining the Sustainable Development Goals (SDGs), and applying the principle of 'leave no one behind' in combatting inequality and ensuring equity and non-discrimination across all programming areas" (UNDP, 2017).
UNDP's commitment to stakeholder engagement arises from internal policies, procedures and strategy documents as well as key international human rights instruments, principles and numerous decisions of

international bodies, particularly as they relate to the protection of citizens' rights related to freedom of expression and participation (UNDP, 2017).

4. Stakeholder Analysis & Engagement: summary of prior work

4.1. PROCARIBE+'s predecessor projects: CLME (2009-2014) (GEF ID 1032) and CLME+ (2015-2021) (GEF ID 5542)

Many relevant stakeholders across the Caribbean and North Brazil Shelf LMEs have been consulted/engaged since the onset and along the CLME and CLME+ Projects since 2008. For, example, proof of the very substantive levels of engagement of governmental stakeholders during the first CLME process is contained in the record-number of political endorsements provided for the first regional CLME+ Strategic Action Programme (SAP), namely: a total of 36 Ministers, representing a total of 26 countries and 8 overseas territories, formally endorsed the CLME+ SAP. During the second project, CLME+, an Interim Coordination Mechanism consisting of 9 Inter-Governmental Organizations (IGO's) with an oceans-related mandate in the region was created, and a civil society version of the regional SAP, "People Managing Oceans", was developed and endorsed by 50+ civil society groups.

Information gathered and the results of both projects have been made permanently and publicly available through the CLME+ Hub, which includes a large array of information on the wider range of project partners and stakeholders.

The CLME+ Hub also offers key information for this stakeholder analysis, including the CLME+ Regional Contact Database, a dedicated database that identifies individuals relevant to the CLME+ initiative, and the Programmes, Project and Initiatives Database (PPI Database), an inventory of regional projects helping to achieve the CLME+ vision, as well as prior stakeholder analyses conducted for the purpose of the CLME and CLME+ Projects.

In addition, the CLME+ Hub offers information on specific sub-groups of civil society such as indigenous and local fisherfolk communities, particularly in the context of the participatory development of the "People Managing Oceans", the Civil Society Strategic Action Programme (C-SAP, endorsed by 51 Civil Society Organizations to date) and the, subprojects, on donors and trust funds, and on potential/prospective investors for the blue economy, the latter arising from a dedicated consultancy conducted through CLME+.

At the onset of the CLME+ Project, a Stakeholder inventory and involvement plan was developed by the Caribbean Natural Resources Institute (CANARI). The objective of the inventory was to identify key stakeholders in the public and private sectors as well as those in civil society, academia and the media at the international, regional and national levels. The objective was to determine how key stakeholder groups identified in the stakeholder inventory could be involved in the CLME+ Project and determine ways to enhance stakeholders' capacities for improved involvement in the governance and management of the shared living marine resources of the CLME+ region.

This inventory and involvement plan remains relevant for the PROCARIBE+ Project and has supported in large part the development of this Stakeholder Analysis and Engagement Plan.

Additional targeted inventories and consultations, directed at specific sub-groups (in particular governmental stakeholders, civil society groups, donors and trust funds, and private sector investors) were conducted in the context of the regional negotiations on an ocean coordination mechanism (OCM), the participatory development of the C-SAP and for preparatory work on private sector engagement. These have helped shape elements of the PROCARIBE+ Project relative to the OCM and wider-ranging ocean partnerships (Component 1) and micro-financing solutions for CSO's and MSME's supporting C-SAP implementation, as well as developing options for innovative (blended) financing (stress reduction and blue economies, Component 3). A stakeholder consultation on gender mainstreaming in Caribbean fisheries was also conducted in May 2020 by CRFM with financial support from the CLME+ Project.

4.2. Stakeholder involvement supporting the development of PROCARIBE+ (PIF and PPG)

To ensure the transparent and inclusive, regionally owned development of, first, the PROCARIBE+ Project Concept Note (PIF) and, subsequently, the much more detailed PROCARIBE+ Project Document + annexes and CEO Endorsement Letter, a strategic stakeholder involvement process was designed and implemented. Given the exceptionally wide range of (potential) PROCARIBE+ stakeholders, and in light of the limitations inherent to the preparatory phase (incl. timeline and budget, and pandemic-related restrictions), during the latter phase a "reality check" was applied leading to a strategic prioritization for the stakeholder involvement and consultation efforts. This prioritization sought to more directly engage, in first instance, the higher-level stakeholders capable of representing, or with a good knowledge and understanding of the potential stakes in the project of the stakeholder communities they represent, serve and/or regularly interact with.

Many of the early/initial stakeholder consultation and engagement processes that were instrumental in the shaping and regional endorsement (19 GEF-eligible countries by May 2022) of the PROCARIBE+ PIF - *with initial efforts from already approximately 4 years ago*- took place along a large part of the implementation timeline of PROCARIBE+'s predecessor CLME+ Project (2015-2021), as part of the project's upscaling & sustainability strategy. These efforts were led by the CLME+ Project Coordination Unit and the CLME+ Interim Coordination Mechanism (ICM), with strong engagement of key Project Partners.

A key example of this are the in-depth consultations and negotiations with and among national governments and IGO's supported by the CLME+ Project that led to the shaping (i.e. negotiated agreement on mandate, functions and format) of the regional Ocean Coordination, and the subsequent regional agreement in October 2021 (at the final CLME+ Project Steering Committee Meeting) on the content of the OCM's establishing document (the OCM Memorandum of Understanding) (see PROCARIBE+ Components 1 and 4).
The stakeholder engagement approach during the PIF development stage is further documented in the PROCARIBE+ PIF, available from the GEF website.

Due to the ongoing COVID-19 pandemic, towards the later part of the CLME+ Project and throughout the PROCARIBE+ PIF and PPG phase, all activities had to be conducted virtually, using online meetings, innovative consultation platforms *(www.loomio.org)* and other means of electronic communication, including the deployment of a publicly available, basic PROCARIBE+ preparation website.
The PIF and PPG Phases were conducted in full consultation and with the close engagement of governments, inter-governmental organizations, CSOs and other relevant stakeholders – in particular those who will benefit from and be directly involved in the implementation of the project activities (i.e. direct project beneficiaries), those who may be impacted (positively or negatively) by the project, and those running or planning for parallel or complementary activities. A lot of attention was given to the latter, this in order to maximize synergies and complementarity, and to avoid potential overlaps and duplication of efforts.

The inclusive participation during the stakeholder consultation process carefully considered the application of several fundamental principles: a) equity and representativeness at all stages; b) respect for cultures and rights; c) free and open exchange of information and ideas; d) promotion of ownership; and e) building capacities for strong participation and communication.

More detailed documentation of the PPG stakeholder engagement activities are contained in the document "***Memoirs of engagement processes held during the UNDP/GEF PROCARIBE+ Project Preparation Phase (PPG phase)***, which is added as Annex 12 to the PROCARIBE+ Submission Package. This document provides the links to the questionnaires sent to the PPG Thematic Groupings, the documents

developed for the PPG meetings held, including the agendas, preparatory documents, meeting reports and lists of participants, summary and statistics on the review and validation process undergone in the Loomio platform, and a non-exhaustive list of bilateral engagements implemented during the PPG.
Table 1 provides a summary of the engagement activities organized during the PPG phase along with the number of participating countries and organizations.

Table 1: Summary of the engagement activities organized during the PPG phase

Stakeholder Engagement Activity	**# of Countries**	**# of Organizations**
PPG Preparatory Meeting	24	7
Nominations for PPG Thematic Groupings and PPG Development Committee	21	15
Final negotiations and adoption of the text of the MoU for the establishment of the Ocean Coordination Mechanism (OCM)	25	15
Questionnaires on baseline and plans for MSP/BE/MPA	8	6
Regional Dialogue on MSP/BE (co-organized with IW:LEARN/IOC of UNESCO)	18	16
Bilateral Engagements (Meetings, Calls, written dialogue)	17	>20
2021 UNDP Regional Climate Week	presentation on CLME+ SAP, OCM, PROCARIBE+ by PPG CU	
OSPESCA 1st Blue Economy Forum	presentation on CLME+ SAP, OCM, PROCARIBE+ by PPG CU	
ECLAC LAC Forum on SD - Oceans Side Event	presentation on CLME+ SAP, OCM, PROCARIBE+ by PPG CU	
CBD Workshop on Other Effective area-based Conservation Measures (OECMs)	presentation on CLME+ SAP, OCM, PROCARIBE+ by PPG CU	
NDC Partnership Informal Dialogue on Blue Carbon	active participation by PPG CU, identification of potential partnerships	
Initiation of the Validation Process - Workshop	50 registered participants (14 countries)	
Online technical pre-clearance and pre-validation process (Loomio Digital Platform)	93 members in PPG Thematic Groupings, 12 Thematic Groups created, 26 Threads posted to Thematic Groupings on Loomio platform	
Online final validation (Loomio Digital Platform)	30 Members in PPG Development Committee, 46 Threads posted to PPG Development Committee on Loomio Platform.	

PPG Preparatory Meeting
To kick-start the PPG Phase, a PPG **Preparatory Meeting** was organized on 14-15 July 2021 with more than 110 participants representing countries and prospective partners. The meeting aimed at informing and, where relevant, obtaining initial feedback on:

- The proposed project objective, results framework and budget
- The proposed process, timeline and milestones towards project operationalization
- The proposed approach to Project Governance and Project Management (enabling country ownership and mainstreaming of the project in ongoing regional processes)
- The proposed approach to regional and country-level stakeholder mapping and engagement, for the different project components and outputs
- The proposed approach towards the development of the detailed project proposal, including the proposed approach for selecting the project's intervention sites
- Overview of what is needed from countries and prospective partners during PPG

One of the main outcomes of the meeting was the agreement to establish a **PPG Development Committee** and several **Thematic Groupings** to assist the PPG team with the development of the PROCARIBE+ Project Document ("ProDoc") and all associated documentation.
The role of the PPG Development Committee was defined as:

- Oversee, guide and advise on the project development process
- Review (as applicable) and validate/endorse the GEF PPG deliverables
- Ensure criteria and deadlines for successful submission to the GEF, and GEF/UNDP/UNOPS and country/relevant project partner requirements are met

The prospective PPG Development Committee members were defined as:

- A Governmental Representative from each participating State/Territory
- A representative from: the GEF Agency (UNDP), Executing Agency (UNOPS), the PPG Coordination Unit, the Members of the CLME+ Interim Coordination Mechanism
- Observers: UNDP Country Offices and other relevant Intergovernmental Organizations.

Considering the wide-ranging thematic scope of the PROCARIBE+ Project, the following Thematic Groupings were also created:

1. Operationalization/enhancement of National Inter-sectoral Coordination mechanisms; operationalization of the regional Ocean Coordination Mechanism and wider-ranging partnerships.
2. Reporting on the State of the Marine Environment and associated Socio-Economics/Natural Capital Accounting.
3. Marine Data/Knowledge Management; Marine Data Infrastructure.
4. Blue Economy.
5. Integrated Coastal Zone Management / Marine Spatial Planning.
6. Ridge-to-reef/Source-to-Sea approach; Integrated Water Resources/River Basin Management; Land-Based Sources of Pollution.
7. Marine Conservation (Marine Protected Areas, Marine Managed Areas and Other Effective Conservation Measures).
8. Blue Carbon, Nationally Determined Contributions (Oceans and Climate).
9. Adaptation/Resilience Building to Climate Change / Disaster Risk Response (marine/coastal environment).
10. Fisheries Traceability (spiny lobster, queen conch, shrimp).
11. Spiny lobster fisheries: Sustainable Fishing Practices/Gear.

The role of the Thematic Groupings was defined as:

- Support/work with the PPG CU on specific elements of the Project Proposal (e.g. help develop the baseline, identify possible intervention sites and specific activities, assist with the definition of

realistic but ambitious SMART targets for each project output, help with the identification of co-financing, and with pursuing synergies/complementarity among projects/initiatives, etc)
- Liaise with the PPG consultant working on gender and social and environmental safeguards
- Review and issue advice on (thematic) GEF PPG deliverables
- Adhere to the PPG timeline with a view of meeting all deadlines
- Help ensure that UNDP and GEF requirements for thematic project components are met

The proposed participants for the Thematic Groupings were: UNDP RTA, PPG Coordination Unit, IGO's/ICM members, national experts/governmental representatives, representatives from existing regional Working Groups, international experts, co-executing/co-financing partners, among others.
Following the PPG Preparatory Meeting, communications were sent to GEF Operational Focal Points, UNDP country offices, countries and territories of the CLME+ / Wider Caribbean region, and prospective project partners from non-governmental organizations to nominate representatives for the PPG Development Committee and Thematic Groupings. All nominations received were made available on the PROCARIBE+ project webpage at: https://clmeplus.org/procaribe-plus-project-meetings-and-documents/.

Questionnaires on thematic matters
To collect relevant information on the different components of the PROCARIBE+ Project, a series of questionnaires were developed and sent for responses by the members of the Thematic Groupings and, where relevant, the members of the PPG Development Committee. In total, questionnaires were developed on Marine Spatial Planning, Blue Economy and Marine Protected Areas/Other Effective (Area-Based) Conservation Measures (OECM) . The information received from the questionnaires helped the PPG Coordination Unit with:
- Developing baseline information
- Identifying possible intervention sites and specific activities
- Assisting with the definition of realistic but ambitious SMART targets for each project output
- Identifying potential co-financing and technical support opportunities, and
- Pursuing synergies/complementarity among projects/initiatives.

Regional Dialogue on MSP/BE
Considering that one of the main outputs of the PROCARIBE+ Project relates to the implementation of MSP and BE, a regional dialogue on **"Current status and opportunities for advancing Marine Spatial Planning and the Blue Economy through the UNDP/GEF PROCARIBE+ and IW:LEARN projects" was organized by IOC-UNESCO and the UNDP/GEF PROCARIBE+ Project PPG Coordination Unit on 13 December 2021**. The 54 participants exchanged information regarding MSP-related activities and plans in their countries, including its links to the Blue Economy, aimed to improve regional sustainable development and identify criteria and interest for active participation in the PROCARIBE+ Project.
The dialogue provided an opportunity to engage the members of the Marine Spatial Planning Thematic Grouping to assess the status of MSP in the region and determine where country interventions on MSP and BE may be best suited under the PROCARIBE+ Project

Pre-validation Regional Workshop
As part of the overall Project Validation effort under the PPG Phase, a **pre-validation workshop was held on 15-16 March 2022** to provide an opportunity to accelerate and advance the overall project preparation and validation process. The workshop kick-started the review and (pre-)validation of substantial/key elements of the Project draft. The participants also agreed on an approach and timeline for further advancing and finalizing the full project proposal package.

Consultation on Loomio Platform

The Loomio platform, a collaborative online workspace, was used during the PPG to support the review and validation process of the draft text of the Project proposal, as agreed during the pre-validation workshop. Loomio Discussion Threads containing links to the draft sections of the ProDoc were created to engage members of the Thematic Groupings and the PPG Development Committee. The members of the groups were invited to request clarifications, comment on, make suggestions, and engage in discussions on the draft text(s). Comments and suggestions received were then integrated into a consolidated version of the ProDoc for final validation by the PPG Development Committee.

Bilateral Consultations
During the development of the PIF and throughout the PPG phase, a very substantive amount of bilateral consultations were conducted with country representatives and other prospective project partners, stakeholders and representatives from other relevant projects (both GEF and non-GEF), initiatives and organizations, to gather information on baseline, potential synergies and complementarities, needs for coordination and opportunities for collaboration, and information key for the avoidance of duplication of efforts, and to identify potential intervention sites and activities. In total, representatives from at least 17 countries and more than 20 organizations were engaged.

5. Approach toward the development of the Stakeholder Analysis and Engagement Plan for PROCARIBE+

For the purposes of analysing and determining the different levels of engagement needed for different stakeholder groups during the implementation of PROCARIBE+, the BiodivERsA[46] methodology was used. Based on this methodology, four levels of stakeholder engagement (Figure 1) are proposed:

At the highest level, "**Collaboration**" is used where stakeholders have an active commitment in the project and where actors are considered as partners, providing technical and/or other kinds of support.

At the lowest level, "**Information**" is used for passive actors with whom information about the project or the delivery of the results should be shared. For this category, information is a one-way flow, but it should be included as a form of project engagement tailored to the actor or stakeholder.

Intermediate levels of participation are designed to meet the needs of stakeholders who are "**Consulted**" (e.g. asked for opinions or information); and those with whom "**Involvement**" occurs (e.g., more committed and can also provide resources or data).

It is highlighted in the methodology that most projects require at least the first level of participation, i.e. "inform", but different levels are likely to be appropriate for different projects and situations. Many projects will include a combination of the four levels of commitment.

In the case of this analysis, high, medium and low levels were identified for both Influence and Interest and subsequently placed within the four categories: Involvement, Collaboration, Information and Consultation. These were placed in the quadrants as described in Table 2.

[46] *The BiodivERsA* it is a network of national funding organizations promoting an-European research that offers innovative opportunities for the conservation and sustainable management of biodiversity and ecosystem services

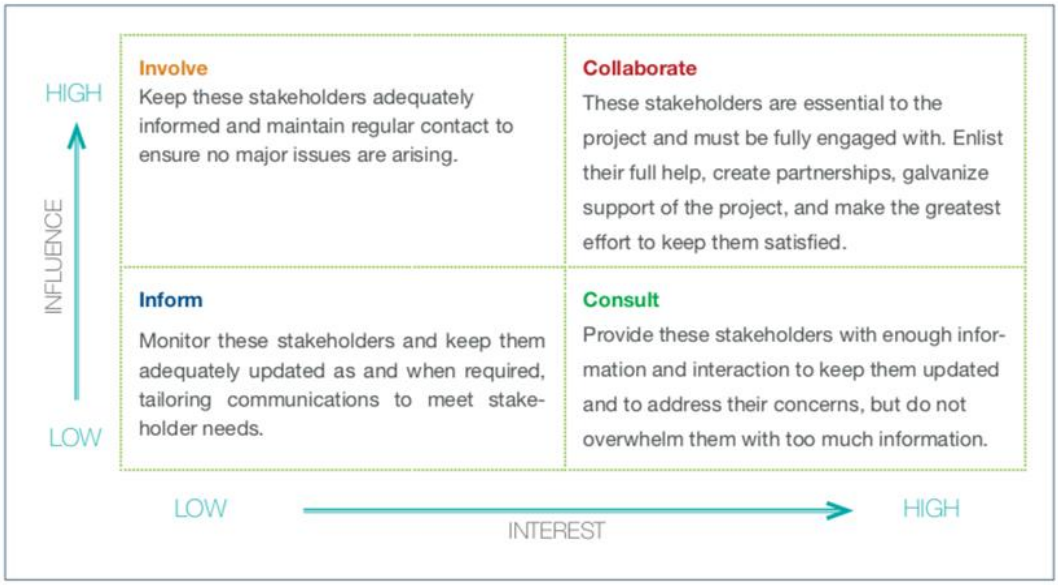

Figure 1: Levels of stakeholder involvement

Table 2: Levels of involvement allocated in the PROCARIBE+ Project

Level of influence	Level of interest	Level of involvement
High	**High**	**Collaborate**
High	**Low**	**Involve**
Low	**High**	**Consult**
Low	**Low**	**Inform**
Medium	**Medium**	**Involve & Consult**
Medium	**High**	**Involve & Consult**
Medium	**Low**	**Involve & Consult**

Section 9 of the document presents the possible level of engagement, as described in the BiodivERsA methodology, for a selection of key stakeholders and (prospective) partners, projects and initiatives.

6. Stakeholder Analysis

6.1. Stakeholder categorization (groups and types)

Given the vast thematic and geographic scope of the PROCARIBE+ Project, and far-ranging potential consequences of project activities and outcomes some of which may extend well beyond the limits of the region itself, and in specific cases can even be global in nature, a wide diversity of stakeholders will

influence and/or can be potentially affected, positively or negatively, by the project activities, outputs and outcomes. This also means that a very large number of stakeholders will need to be engaged, in a variety of ways, and with varying levels of intensity, in or through the project activities in order to ensure the successful implementation of the project, and in order to maximize the project's return on investment.

Table 3 provides a list of the groups and types of stakeholders to be involved in the project along with some examples and a short description of their potential role. From the latter, it becomes clear that not all stakeholders are to be engaged in similar ways, or with the same intensity. A better understanding of this important connotation will be helpful in prioritizing stakeholder engagement and communication/outreach efforts, something that will be critically important in the context of the limited financial and human resources that will be available to undertake such stakeholder and communication efforts (an important lesson learned from prior efforts under the CLME and CLME+ Projects).

Table 3: Major stakeholder groups and their typology, and short description of role *(including examples/non-comprehensive listing)*[47]

Stakeholder group/category	**Examples**	**Typology and Brief Description**
National governments	Ministries responsible for food security (fisheries, agriculture, forestry, aquaculture); Environment / Sustainable Development / Blue Economy / Climate Change ministries; Tourism ministries; Finance and planning ministries; Foreign Affairs ministries; Energy and mining ministries; Meteorological services; Coast Guards; statistics departments	**Type: active agents & direct beneficiaries** The active participation of, and coordination across all relevant national government stakeholders is essential to develop/strengthen and implement national inter-sectoral mechanisms that can relate to the regional Ocean Coordination Mechanism (OCM) and associated processes (in particular Project Components 1 and 4), and as the basis for the delivery of the variety of national-level PROCARIBE+ outputs (in particular the Project Components 2 and 3), and to achieve PROCARIBE+ goals in a participative and coherent way integrating multiple initiatives, programmes and policies each country is involved in; for the latter: see also the role of national governments in the Project Governance Arrangements including their role as Project Beneficiary Representatives on the Project Board, Project Document Section VII). Selected national-level governmental entities may be engaged as responsible parties in PROCARIBE+ project implementation. National Focal Points to regional IGO's may have an important role in supporting the delivery/endorsement/adoption of key project outputs relevant to the mandate(s)/work programmes of such IGO's, and, consequently, in ensuring the regional ownership, continuity and sustainability of project achievements.
Inter-governmental organisations (IGOs)	This includes both IGO's with a global as well as those with a regional and sub-regional action range/mandate *(examples of global: e.g. IOC of UNESCO, IODE, UNEP WCMC, UN Global Compact; examples of regional: e.g. UNEP CEP, CARICOM Secretariat, OSPESCA)* United Nations Development Programme (UNDP); Food and Agriculture Organisation of the United Nations (FAO) and the Western Central Atlantic Fisheries Commission (WECAFC); Caribbean Environment Programme of the United Nations Environment Programme (UNEP-CEP); Association of Caribbean States (ACS); Caribbean Public Health Agency (CARPHA); IOC of UNESCO; UNEP ROLAC; UN ECLAC; UN DESA; CCAD; CARICOM; SICA; Organisation of Eastern Caribbean States (OECS); Caribbean Regional Fisheries Mechanism (CRFM) ; Organización del Sector Pesquero y Acuícola de Centroamerica (OSPESCA)	**Type: active agents & direct beneficiaries** IGO's functioning at multiple scales and in multiple aspects provide support for up-scaling implementation being conducted at national level and secure coordinated responses to common national challenges and impacts. They are key in bringing resources needed for data compilation and analysis and subsequent monitoring, evaluation, and reporting, and for providing better linkages with regional governments and global programmes and policies. Regional IGO's will be represented on the Executive Group of the Ocean Coordination Mechanism and as such participate in the OCM-related deliverables, including the development of the new SAP. Selected IGO's may be engaged as responsible parties in PROCARIBE+ project implementation. National Focal Points to regional IGO's may have an important role in supporting the delivery/endorsement/adoption of key project outputs relevant to the mandate(s)/work programmes of such IGO's, and, consequently, in ensuring the regional ownership, continuity and sustainability of project achievements.

[47] Adapted from "Stakeholder inventory and involvement plan for the Caribbean and North Brazil Shelf Large Marine Ecosystems Project (CLME+)" Developed by the Caribbean Natural Resources Institute (CANARI), May 2015.

	Caribbean Climate Change Centre (CCCCC); Caribbean Tourism Organisation (CTO), etc.	
Civil Society and Civil Society Organizations (CSO's), and regional NGO's	national and local level civil society groups and associations (e.g. the 50+ CSO groups that developed and endorsed the "People Managing Oceans" civil society SAP population of the coastal environments, individual coastal and marine resource users regional NGO's such as e.g. the Caribbean Natural Resources Institute (CANARI) the wider public, within the region; the wider public, globally	**<u>Type: mix of passive and active agents, direct and indirect beneficiaries</u>** Civil Society Organizations drove the development of the "People Managing Oceans" action programme, which complements the CLME+ SAP and identifies priority contributions from a civil society perspective. PROCARIBE+ will support implementation of actions under the plan through the Small Grants Output. Civil Society should also be engaged/taken into account in the development under PROCARIBE+ of the new iteration of the regional SAP. For many of the activities and outputs under Component 3, civil society engagement and/or access to information will be key, as members of civil society located within the geographic reach of project activities/outputs will in many cases be directly impacted by these activities. Special reference is made e.g. to the issues of power relations and potential alliances and conflicts, and of under-represented and vulnerable groups, in the context of project activities related to Marine Spatial Planning (MSP) and Marine Protected Areas (MPA's)/Other Effective area-based Conservation Measures (OEMC's). This category also includes the wider public which, in terms of the project's planned activities, may generally constitute a (currently still) more passive agent that should be kept informed and for which increased awareness should be pursued; while the project's capacity constraints need to be considered and prioritization in terms of the engagement of different stakeholder groups needs to be ensured, turning (elements of) the wider public into active agents can provide an enhanced support base for specific purposes, including political processes (e.g. consumer demand for traceability in the seafood sector)
Big International NGO's (BINGO's) and Philantrophic organizations	Examples include The Nature Conservancy (TNC), Conservation International (CI), World Wildlife Fund (WWF), the Pew Charitable Trusts, Summit Foundation, The Ocean Foundation, and many more	**<u>Type: active agents, can also be beneficiaries</u>** *(e.g. when the project provides an enhanced baseline on which they can then build)* BINGO's and Philanthropic organizations support many of the same causes PROCARIBE+ will be working on and many of these organizations have parallel projects and activities that can/will contribute to several of the project outcomes. Sound coordination, and the screening of opportunities for collaborative action will be key to avoiding overlap, harvesting existing knowledge, experience and networks, and avoiding overlap, to ensure the region can maximize the benefits to be obtained from all ocean-positive action in the region. Selected BINGO's may be considered as responsible parties in PROCARIBE+ project implementation.
National, regional and, where relevant, global private sector companies and associations, including	Regional and national private sector associations: e.g. Caribbean Hotel and Tourism Association (CHTA), national chambers of commerce, Caribbean Network of Fisherfolk Organisations (CNFO), Confederation	**<u>Type: mix of passive and active agents, direct and indirect beneficiaries</u>**

associations of marine resource users	of Fishermen of Central America (CONFEPESCA), national sport fishing and dive associations Individual large and medium-sized companies (e.g. fishing companies; hotels, restaurants, oil and gas companies[48]; shipping companies, banks, insurance companies) Small and micro enterprises and their associations; tour operators and associations) World Ocean Council (WOC)	A diverse group of stakeholders with varied and often competing interests, roles and responsibilities are relevant for opening opportunities to advance in the Blue Economy and in sustainable use of coastal and marine resources. For many of the activities and outputs under Component 3, private sector engagement and/or access to information will be key, as members of the private sector located within the geographic reach of project activities/outputs will in many cases be directly impacted by these activities. Special reference is made e.g. to the issues of power relations and potential alliances and conflicts, and of under-represented and vulnerable groups, in the context of project activities related to Marine Spatial Planning (MSP) and Marine Protected Areas (MPA's)/Other Effective area-based Conservation Measures (OEMC's). Private sector can also provide a diversified source of financing resources for improving ocean health and human wellbeing, in the context of the blue economy. Private sector engagement in the development of the new SAP is to be pursued. See also the sub-section dedicated to private sector under Section IV of the PROCARIBE+ Project Document
National, regional and global academia and research institutes	A large number of such entities exist in the region; to name just a few: University of the West Indies - Centre for Resource Management and Environmental Studies (CERMES); IFREMER; INVEMAR; Smithsonian, CATHALAC; CATIE; NOAA; WRI Annual meetings such as those organized by the Gulf and Caribbean Fisheries Institute (GCFI) provide a platform to bring together many institutes and researchers from the region	**Type: mix of passive and active agents** The participation of researchers and academic/research institutions and science-based initiatives is critical for the generation of updated information to address transboundary issues, understanding of connectivity patterns and likelihood of climate change impacts. In addition, they provide technical advice to IGOs and national governments on environmental and socio-economic issues, on evaluation of policies at the regional and national levels, and on analysing the degree of the Blue Economy, conservation, habitat restoration and other PROCARIBE+ technical results. Their involvement in the new iteration of the TDA (SOMEE) will be key, among many other activities. Given the large number of entities, not all will be actively involved in PROCARIBE+. Means may be sought to keep those not actively involved informed about project activities and achievements.
Multi and bilateral development aid	Multi-lateral Development Banks: e.g. World Bank, Inter-American Development Bank, Latin-American Development Bank (CAF), Caribbean Development Bank,...)	**Type: mix of passive and active agents active agents** Their inclusion is essential in providing technical and funding support all across the range of activities, outputs and outcomes of the PROCARIBE+ Project. Many

[48] While oil and gas companies are mentioned as potential stakeholders of the project, it has yet to be determined whether those companies will in fact be engaged in any project activities. If an oil and gas company were to participate in the project, due diligence will be applied to avoid any risks.

community, environmental funds, partnerships	Multilateral Donors: Global Environment Facility (GEF), Green Climate Fund (GCF) Bilateral Aid Agencies: e.g. USAID; Department for International Development (DFID), GIZ, AFD, FFEM, KfW NDC Partnership Caribbean Biodiversity Fund (CBF), MAR Fund,..	of these organizations have parallel activities in the region which contribute to the PROCARIBE+ objectives, and as such their involvement can range, depending on the case and the specific element of PROCARIBE+ envisaged, across all 4 levels of engagement: informed - consulted - involved - active collaboration Active engagement in the development of the new SAP will be pursued, with the aspiration of advancing, upfront, the identification of potential funding options for subsequent SAP implementation.
Vulnerable communities, including indigenous peoples, women and youth, local communities	Indigenous communities, racial and ethnic communities, women and youth, fisherfolks, small tourism operators, rural coastal communities….	**Type: mix of passive and active agents, direct and indirect beneficiaries** An active and meaningful participation of vulnerable communities will be pursued during the project, notably for the country interventions planned under Components 2 and 3. The Gender Analysis (Annex 11 of the ProDoc) and the Indigenous Peoples Planning Framework (Section 9.3 of the Environmental and Social Management Framework (ESMF), Annex 10 of the ProDoc) will serve as guidance for engaging those actors during implementation. In addition, for the country interventions, detailed stakeholder analyses will be completed together with local partners to ensure that all relevant stakeholders are considered during the design/implementation of the activities. For the development of the SAP, an inclusive approach will be designed to ensure that the needs of vulnerable communities are considered in the process. A Strategic Environmental and Social Assessment (SESA) will be developed to identify and help assess whether the new SAP could lead to new policies, plans and programmes that may give rise to adverse social and environmental effects.

In addition, Section 9 of the document provides a non-exhaustive list of potential global and (sub)regional stakeholders and (prospective) partners, projects and initiatives that are likely to be involved in the activities of the project. The analysis for those stakeholders looked at the expected level of involvement for each actor, as indicated above, using the BiodivERsA Methodology. Section 10 provides a preliminary list of potential national stakeholders for selected country interventions under Components 2 and 3, as provided by the national partners which were consulted during the PPG. This preliminary list will be updated during the project with a view to include all relevant actors in the activities of the project. 6.2. Indigenous peoples. The lands and traditional territories of many indigenous peoples lie within the CLME+ Region.[49] An Indigenous Peoples Planning Framework (IPPF) has been developed (Section 9.3 of the Environmental and Social Management Framework (ESMF) (Annex 10 of the ProDoc)) and consolidates available information on the indigenous peoples who could be influenced by PROCARIBE+ Project activities.

The IPPF identified the following indigenous and tribal peoples present in the coastal zones of the CLME+ region for the countries that will participate in the PROCARIBE+ Project. It is important to point out that the following criteria were used to identify the indigenous peoples: a) Indigenous and Tribal Peoples whose lands and territories are located in the coastal zones of the CLME+ Region; and, b) Indigenous and Tribal Peoples who, despite not being located in the coastal zones of the CLME+ region, make use of lands, territories and their coastal and/or marine resources.[50]

According to these criteria, indigenous peoples were identified in:[51]

1. Guatemala: Garífuna and Q'eqchi';
2. Belize: Garífuna, Q'eqchi'/ Kekchi and Mopan;
3. Honduras: Miskitu, Pech, Tawahka and Garífuna;
4. Costa Rica: Bribri and Cabécar;
5. Panama: Ngöbe-Buglé, Guna Wargandi, Guna Madungandí, Guna Yala, Emberá Wounaan, Naso Teribe, Bribri, Bokotá;
6. Colombia: Barí, Arhuacos, Chimila, Emberá, Kankuamo, Kogui, Mokaná, Zenú/Senú, Tule/Kuna, Wayuu, Wiwa and Yuko/Yukpa;
7. Venezuela: Añú/ Paraujanos, Kumanagoto, Kari'ña and Warao;
8. Brazil: Galibi-Marworno, Karipuna, Palikur, Galibi do Oiapoque/ Kalina, Wajãpi/ Waiãpy and Potiguara;
9. Guyana: Arawak, Carib, Warrau and Akawaio;
10. Suriname: Kaliña, Lokono, Trio and Wayana;
11. Trinidad and Tobago: Santa Rosa First Peoples Community-SRCC;
12. Saint Lucia: Kalinago or Caribs;
13. Dominican Republic: Taíno.[52]

A repository of the indigenous peoples identified in the PROCARIBE+ participating countries, who meet the criteria established above, was handed-in as additional documents to the IPPF for reference during the implementation of the project.

[49] Of the 19 countries that provided a GEF CEO endorsement letter for PROCARIBE+ by May 2022 (Antigua and Barbuda, Brazil, Colombia, Costa Rica, Panama, the Bahamas, Belize, Cuba, Dominican Republic, Guatemala, Guyana, Haiti, Honduras, Jamaica, St. Kitts and Nevis, Saint Lucia, Suriname, Trinidad and Tobago, and Venezuela), Antigua and Barbuda, Cuba, Haiti, Jamaica, the Bahamas and St. Kitts and Nevis have no records of people who self-identify as indigenous peoples. Therefore, this IPPF focused on countries with registries of indigenous peoples.

[50] It should be noted that not all of the indigenous peoples present in each country are documented, but only those who come within the aforementioned criteria.

[51] No registry of indigenous peoples was found in Antigua and Barbuda, Cuba, Haiti, Jamaica, the Bahamas and St. Kitts and Nevis, therefore, according to the criteria used, these countries do not have indigenous peoples that may be influences by the Project.

[52] There is a group of people claiming the identity of the Taino indigenous people. No records were found of, among others, their territories, governance structures, or representation.

6.3. Gender equality

To ensure that the project promotes gender equality and empowers women (and youth) and mainstreams gender across all its activities and engages with gender specific actors, a comprehensive gender analysis and action plan has been developed (Annex 11). The gender analysis provides a list of gender-related institutions at the national and regional levels that are relevant for the stakeholder engagement plan, as presented in Section 11.

7. Additional Considerations

A preliminary stakeholder mapping exercise, with associated "means of engagement" analysis, was conducted for each component of the PROCARIBE+ Project during the PIF stage and is contained in Table 4 under Section 7 of this document. The results from a more advanced analysis of the specific stakeholders to be involved in the project, together with a preliminary indication of their required levels of engagement, was conducted during the PPG Phase is added at the end of this document. This addition to the document is based on an extraction of information from an online database created during the PPG, and the latter constituting a living document that will be actively maintained, revised and updated. Considering the analyses done during the PPG on the identification of gender actors and indigenous peoples, it is anticipated that the database could be updated to also include those stakeholders.
It is to be noted, in this context, and in line with the comment made in the introductory text to this document, that the wide-ranging project scope, both in terms of the multitude of the sectors involved and its extensive geographic coverage, and the wide range of activities, ranging from diplomacy and political negotiations to on-the-ground action by civil society, rendered it virtually impossible to conduct a fully comprehensive, detailed analysis of all stakeholders, at all project intervention sites, during the PPG phase with its associated constraints.
For this reason and taking into account the project's Multi-Year Work Plan contained in Annex 4 to the PROCARIBE+ Project Document, a strategic and pragmatic approach was followed during the PPG phase, giving higher priority to the identification of key stakeholders for those outputs and activities that will need to kick-start immediately after the project becomes operational.
With the project operational, a strengthened Project Management and Coordination Unit (PMCU) will then provide the additional capacity, during the project inception phase, to work out any additionally required details.
It is thus acknowledged that, notwithstanding the solid groundwork (consultations) conducted in the context of the preparations for the project and during the previous funded GEF LME projects in the region, ongoing work will be needed during the project inception phase and implementation stage to expand and periodically revise, review and fine-tune the stakeholder analysis and engagement plan, under an adaptive project management approach.
This will be especially the case for several of the national/local-level actions planned under Components 2 and 3. It is noted in this context that consultations with and engagement of the wider set of relevant national/local-level stakeholders (incl. IPLC, civil society and private sector groups) can only become meaningful, and efficiently conducted, once the PROCARIBE+ PCMU is fully operational and with the capacity to engage more substantially with national governments and key project partners, including (prospective) responsible parties with solid knowledge of the situation "on the ground"..
Some additional "closing" considerations are:

- Successful implementation of the PROCARIBE+ Project across its 4 Components will be strongly dependent on substantial but differentiated levels of engagement of the wider stakeholder continuum (we refer back to the previously described BiodivERsA[53] methodology), at (sub-

[53] *The BiodivERsA* it is a network of national funding organizations promoting an-European research that offers innovative opportunities for the conservation and sustainable management of biodiversity and ecosystem services

)regional, national and local levels, across the wider Caribbean and North Brazil Shelf LMEs, and in some cases also well beyond the region itself and up to the global level;

- Therefore, the proper mapping/identification and categorization of the wider stakeholder community, in its different dimensions and with meaningful detail, and the subsequent mapping of the desirable levels of, and optimal modalities for engagement, is of high relevance but is not an exercise that, given the particular complexity of the project and the region targeted by it, can be fully completed during the PPG phase: instead, whereas the PPG made it possible to specify the approach and underlying principles, and to advance the work, this remains an ongoing task task that is to be continued and mainstreamed across the different project activities during the project implementation phase and beyond, and in which other project responsible parties are also to be directly involved.
- The development of PROCARIBE+ is building on the successful results and experiences obtained from the CLME and CLME+ Projects, and as such, many of the identified stakeholders are already familiar with the CLME+ initiative and have been actively engaged in developing the PROCARIBE+ Project.
- Overall, the analysis has identified a wide-range of actors from over 26 countries and 18 overseas territories across public and private institutions from a variety of sectors that, in one way or another, are relevant for the project. Many of the identified stakeholders were engaged during the PPG, through virtual meetings and consultations, questionnaires and bilateral consultations
- Through the Gender Analysis and Action Plan (Annex 11), relevant gender stakeholders were identified. The IPPF (Annex 10) has also identified Indigenous Peoples from the region that may be affected by some of the project interventions. Appropriate safeguard measures will be used during project implementation to ensure the involvement and consultation of Indigenous Peoples where relevant.
- Notwithstanding the solid ground work (consultations) conducted in the context of the PPG, given the vast geographic and thematic scope of PROCARIBE+, it was not feasible, nor efficient, to engage with/consult each and any potential stakeholder, across all groups during PPG. This is especially the case for several of the national/local-level actions planned under Component 2 and 3. For several of the outputs where specific country interventions will be implemented under PROCARIBE+, a preliminary stakeholder list has been developed. These lists may need to be further screened, to ensure adequate inclusion of relevant women groups, indigenous people and local communities, as applicable. As the interventions and activities become further fine-tuned and initiated during project inception and implementation, the stakeholder analysis will be further expanded and validated/updated (as applicable), in collaboration with the corresponding PROCARIBE+ responsible parties.
- As a consequence of the COVID-19 pandemic, new forms of stakeholder engagement have emerged and evolved, and have clearly demonstrated their potential during the PPG phase. By approaching stakeholder engagement through different perspectives and using a suite of virtual tools, the involvement of certain stakeholders in the development of the project was facilitated and could be even expanded.

8. Stakeholder Engagement Plan

8.1. Purpose and Goals of Stakeholder Engagement Plan

For UNDP and GEF, in accordance with their stakeholder engagement policies, participation is critical to the development of strong, constructive and responsive relationships, which are significant to the design and implementation of robust projects. The present stakeholders' engagement plan has been developed as a tool to provide support to an adequate process of integration and full participation of stakeholders linked to the Procaribe+ Project.

Its specific objectives are:

- To ensure that all stakeholders are aware and supportive of the project.
- To strengthen articulation among stakeholders at different scales and thematics to maximize project success.
- To broaden communication strategies for proper stakeholder consultation and participation.
- To channel resources, tools and education and training to increase capacity building for active stakeholder engagement.
- To help mitigate risks associated with stakeholders' conflicts and concerns that could interfere with their level of knowledge, commitment and expectations.

The Stakeholder Engagement Plan provides a roadmap for stakeholders and those responsible for the implementation of the project as to when, how and with whom consultations and exchanges should be undertaken throughout the life of the project. The development of the Stakeholder Engagement Plan builds on the results from the stakeholder analysis.

This Stakeholder Engagement Plan is therefore a framework document that will need to be updated to provide greater specificity regarding stakeholder groups and the methods and timing of engagement processes as further progress is made with the exact definition of project activities.

8.3. Principles Guiding Stakeholder Engagement

Several fundamental principles will guide the engagement of stakeholders during the development and implementation of the Project, these are:

- **Inclusivity** to all relevant stakeholders, particularly women and vulnerable groups at all stages of the policy cycle.
- **Fairness** to ensure that all stakeholders are treated in a fair and unbiased way, with respect to culture, rights, responsibilities and interests.
- **Transparency** for building trust among all stakeholders, facilitating access to information, and open exchange of information and ideas.
- **Accountability** commitment and ownership by all stakeholders to drive the process.
- **Flexibility** to accommodate proper design and implementation for reaching consensus.
- **Sustainability** achieved by building stakeholder capacities and facilitating participatory mechanisms and institutional arrangements that would remain effective beyond the life of the project.
- **Integration** by ensuring that engagement processes and activities are part of, not separate from, the on-going activities and processes of the PROCARIBE+ Project.
- **Redressing** inequality and injustice by ensuring that marginalized and vulnerable groups are represented and given the opportunity to contribute to and benefit from the project.

8.4. Disclosure of Information and Means of Engagement

During Project implementation, information on the content of the project and related processes will be disclosed to the best possible extent to the targeted stakeholder audiences (taking into the account the project's logistical constraints). Formats of information disclosure will be a combination of different channels as found suitable for each specific project component and stakeholder. These can include face-to-face or virtual meetings, where applicable, and online discussion forums, accompanied by information shared via websites (Project webpage, the CLME+ Hub, other partner webpages…) and social media, brochures, and leaflets.

Given the geopolitical complexity of the region and the vast number of countries and stakeholders, a "smart" approach to stakeholder engagement will be necessary. For this reason, efforts will strongly build on existing partnerships and on the committees to be established under the Ocean Coordination Mechanism.

PROCARIBE+ will also make a clear distinction, and separation, between stakeholder and target group engagement for project governance and project management-related oversight and decision-making processes (for these matters, we refer to ProDoc Section VII on (project) "Governance and Management Arrangements" and the Project Board), versus the very substantial efforts that will be needed to engage and coordinate the much wider range of project stakeholders and (development) partners in the activities leading to the delivery of the large set of project outputs.

In light of the above, given the nature of the project and its broad geographic and thematic scope, it is acknowledged and stressed that sound stakeholder engagement will require a very strong Project Management and Coordination Unit (PMCU) capable of supporting such efforts, combined with and supported through the maintenance by the PMCU of strong working relationships and alliances with key regional partners and platforms (e.g. the many regional IGO's with an oceans-related mandate) that can provide meaningful access to key stakeholder groups. It is noted in this context that many such working relationships have indeed already been progressively built, consolidated and successfully maintained by the Project Coordination Unit of the predecessor CLME and CLME+ Projects.

For the outputs and outcomes under especially (but not only) the Project Components 1 and 4, the operationalization through Output 1.1.1 of the regional Ocean Coordination Mechanism, which aims to bring together a minimum of 17 countries and 6 IGO's, and for which the PROCARIBE+ PMCU will act as the (interim) Secretariat, as well as the mobilization of wider-ranging multi-stakeholder ocean partnerships, will provide critical opportunities and dedicated fora for the engagement of a wide range of stakeholders in key project activities such as support for the continued implementation of the 2015-2025 Strategic Action Programme (SAP), the development of the regional SOMEE and the new 10-year, 2026-2035 multi-stakeholder SAP, the development of a regional Knowledge Management Hub, and the consolidation of a regional Marine Data and Information Management Landscape and associated Infrastructure.

Achieving stronger and more wide-spread participation, buy-in and ownership, and sustainability and continuity of project outputs and outcomes, as well as enhanced cost-effectiveness will further also be achieved by using pre-existing regional technical and political decision-making platforms and mechanisms, and engaging other regional organizations with well-established stakeholder networks. An important caveat, however, is that this approach will require strong coordination of project timelines with those of the ongoing regional governance processes, which in turn will require solid relationships between senior staff at the PROCARIBE+ PMCU and senior leadership positions at the level of the regional IGO's, in addition to flexibility and adaptive project management. The regional Ocean Coordination Mechanism, and the PMCU's role as Secretariat to this OCM, will be an important additional enabler in this context.

The table below provides a short, generic description of the means of engagement to be used during the implementation of the project for each stakeholder group identified per project component.

Table 4: Means of engagement for each stakeholder

COMPONEN	STAKEHOLDERS	MEANS OF ENGAGEMENT

T		
C1	**OCM:** all States and Territories from the CLME+ region (mutliple gov'tal departments with a stake in the marine environment), all prospective OCM member IGO's; donor community **Partnership(s):** all societal agents with a key stake in the marine environment of the CLME+ region, and working at the transboundary level (governmental, civil society, private sector, academia, IFI/donor/development aid community) **SAP development:** all the aforementioned	● through the Interim Coordination Mechanism / Ocean Coordination Mechanism (OCM) and its members, through the wide-ranging partnerships (once formalized/operational), through the Project Management & Coordination Unit (PMCU) and co-executing partners, through sister projects and initiatives; through their governance mechanisms and established stakeholder networks and outreach mechanisms
C2	**NICs, BE scoping studies, SOMEE development:** all States and Territories from the CLME+ region (multiple gov'tal departments with a stake in the marine environment); other national-level societal stakeholders (civil society, private sector); supporting experts **Capacity Building:** national-level governmental and non-governmental stakeholders with a key stake in IWRM, ICZM, MSP, S2S, NDC's; trainers and prospective trainers **NDC development:** national-level governmental and donor/development aid community, science and data/information support community, blue carbon experts	● through the OCM and its members, through the Project National Focal Points and the Focal Points of OCM member IGO's, through the NICs, through IW:LEARN, through Capnet, the NDC Partnership and UNDP Climate Promise, through the PMCU and co-executing partners, and sister projects and initiatives; through their governance mechanisms and established stakeholder networks and outreach mechanisms
C3	**Micro-financing:** donor and development aid community, regional NGO's, CSO's that endorsed the C-SAP, local communities, entrepreneurs, MSME's **Innovative financing on Blue carbon in Panama:** gov'tal and non-governmental sector stakeholders in Panama where the mechanism will be tested + regional stakeholders interested in learning from/potentially replicating the experience **MSP, MPA, OECM**: national-level stakeholders, regulators and users of the marine/coastal zone; donor and development aid community, trainers and capacity builders, data & information providers and managers, thematic experts; the OCM and wider-ranging partnership(s), other GEF IW projects in the region **Traceability:** all stakeholders along the fisheries value chain; regulating bodies (RFO's, Sanitary Organizations, the Fisheries Coordination Mechanism, local fisherfolk communities, including indigenous people groups) **Fishing Gear:** fisherfolk (including local communities and indigenous people groups) engaged in the activity, regulatory bodies, stakeholders engaged in fishing gear development/optimization, impact assessment specialists, the Fisheries Coordination Mechanism	● *micro-financing:* through the UNDP GEF SGP Programme and other Small Grants and Micro-finance initiatives identified in the CANARI CLME+ inventory ● *innovative financing:* through identified experts working on Blue Carbon (Pew Charitable Trust, NDC Partnership Members, Blue Carbon Initiative, UNDP Climate Promise, local experts…) ● *MSP, MPA, OECM,…*: through the OCM and its members, through the Project National Focal Points and the Focal Points of OCM member IGO's, through the NICs, through IW:LEARN, through Capnet, the NDC Partnership and UNDP Climate Promise, through the PCU and co-executing partners, and sister projects and initiatives ● *traceability and fishing gear:* through OSPESCA, OIRSA, CRFM and WECAFC and their national focal points (traceability and fishing gear), through the regional fisherfolk organizations
C4	**HUB and Marine Data Landscape/Infrastructure:** all governmental and non-governmental actors with a (potential) contributing role to data/information/knowledge generation and management, and associated technologies/IT processes, the OCM, other GEF IW Projects in the region **Twinning:** IW:LEARN community, international	● through the OCM and its members, through the partnerships (once formalized/operational), through the PMCU and co-executing partners, through sister projects and initiatives, through IW:LEARN, through the key organizations behind the data/knowledge gathering and management initiatives identified in the blueprint; through

	community of ocean practitioners, including Regional Seas, RFB's, etc.	relevant global platforms (e.g. SOI, regional seas programmes, etc.); through their governance mechanisms and established stakeholder networks and outreach mechanisms

In addition to disclosing technical information on the project, the social and environmental screening documents will be disclosed, including screening reports, assessments and management plans, where relevant. This information will be disclosed in a timely manner, via the project webpage and through other relevant means as applicable, and in a form and language understandable to affected persons and other stakeholders. The elements for effective disclosure of the social and environmental safeguard documents are briefly elaborated below:

- Timely disclosure: information on potential project-related social and environmental impacts and mitigation/management measures will be provided in advance of decision-making. Any screenings, assessments and management plans will be provided in advance as part of the stakeholder consultation process. In all cases, draft and final screenings, assessments and management plans will be disclosed and consulted on prior to implementation of activities that may give rise to potential adverse social and environmental impacts. Means of dissemination may include: posting on websites, disclosure during meetings/workshops, newsprint, television and radio reporting, flyers, local displays, direct mail.
- Appropriate form and language: Information will be in a form and language that is readily understandable and tailored to the target stakeholder group. Summary information from assessments and management plans may need to be translated and presented by various means (e.g. written, verbal). Level of technical detail, local languages and dialects, levels of literacy, persons with disabilities, roles of women and men, and local methods of disseminating information will be considered in devising appropriate forms of disclosure. The project will also ensure that appropriate communication methods are devised to reach potentially marginalized and disadvantaged groups.

8.5. Response Measures to Barriers in Participation

Certain barriers may undermine the participation of stakeholders in the Project, particularly stakeholders that are from minorities, elderly, youth or other marginalized groups. The Gender Analysis and Action Plan (Annex 11 to the PROCARIBE+ Project Document) provides a framework to ensure adequate women representation throughout the project lifespan. In addition, the Indigenous Peoples' Planning Framework (part of Annex 10 to the PROCARIBE+ Project Document) lays out the foundation for the inclusion of indigenous peoples, in a meaningful manner, in all project activities where they could be affected.

To ensure that preventive actions are taken to minimize and mitigate the effects of existing barriers for participation, the following list of mitigative actions are being proposed for the barriers identified.

Table 5. Stakeholder engagement barriers and proposed/recommended mitigation actions

Barriers	**Mitigation actions**
Individual perspectives of multiple stakeholders and partnerships could jeopardize the efficient and effective use of limited available resources, and undermine the achievement of mutually supportive, collective outcomes.	Develop good action plans and use factual information to build stakeholders' trust. Promote a gradual change from sectoral/self-centered approach towards collective action scenarios for achieving common goals. Demonstrate through practical examples the added value of the OCM for increased coordination and stakeholder collaboration. Build on the existing baseline and best practices.

	Adoption of a common, programmatic approaches. Listen and analyze partners' challenges and structure programs /actions to address those challenges and needs.
Lack of political frameworks/ commitments could result in poor articulation among stakeholders leading to limited success of the OCM, the NICs or its linkages.	Promote the knowledge and implementation of existing coordination policy frameworks. Highlight the added value of strong coordination / collaboration at multiple levels. Foster consistent communication with relevant projects and partnerships to promote its engagement towards common goals. Secure training and capacity building by piloting the national-level deliveries. Utilize adaptive management approaches to improve coordination strategies.
Weak/improper consultation with multiple stakeholders with a variety of interests leading to low project participation, too high expectations or misunderstandings.	Establish monitoring and evaluation tools for stakeholder engagement early in the project. Document project progress including progress reports and project updates using clear and proper language. Provide sufficient feedback to stakeholders by generating outreach and education materials/activities aimed to raise their awareness and commitments. Prepare several events in different formats to communicate and consult stakeholders looking to increase their participation. Conduct targeted consultations to understand cultural dynamics and avoid exacerbating negative aspects women may be experiencing. Develop tools to collect qualitative data many stakeholders may possess that allow sex-discriminated information. Facilitate dissemination of information.
Conflicting interest, user demands, cultural barriers can lead to stakeholder fatigue.	Hold respectful dialogues in conflict resolution Conduct targeted meetings with specific stakeholder groups Be flexible when addressing and trying to resolve concerns Avoid fragmentation, duplication, overlaps of activities Use facilitators and effective communication mechanisms for reconciling social and ecological activities within limits Work towards timely resolutions
Lingering COVID-19 measures preventing effective participation	Prepare and implement guidelines for in-person meetings/interaction under COVID-19 measures based on advice from the World Health Organization and the corresponding national authorities. During the implementation of the project, design alternatives to implement virtual meetings whenever it is not possible to have in-person meetings and apply biosafety protocols for in person meetings/interaction (social distancing, masks, cleaning hands as regular as possible, use of hand sanitizer). Undertake, as necessary, budget reviews to assign resources for implementation of biosecurity protocols and strengthening capabilities for web-based collaboration.
Time availability. Conflicting responsibilities and high workload, notably	Ensure that all meetings / workshops are efficiently planned and managed, with a clear agenda and specific targets, considering the needs and time limitations of the participants.

in public institutions may limit the active participation in the project	
Cost of participation. In addition to the cost of time that each person dedicates to the activities and events of the project, there are other associated costs like travel expenses, food and lodging. Some people will not have the means to cover these expenses.	Provide travel support (reimburse travel expenses) and provide board and lodging to stakeholders that need assistance.
Distance. Some groups are in remote areas and have long journeys to make from their homes to participate in project activities (e.g. training and workshops).	Take into consideration distance and travel time. When appropriate, allow people to arrive a day before and provide lodging.
Communication. This includes difficulties in understanding technical matters and complex concepts, language, difficulty expressing ideas (especially in public)	Encourage the use of plain-inclusive language and graphic communication during trainings, meetings and for disclosing information. Complement group meetings with in-person meetings. Assure that facilitators and trainers have the abilities to integrate all the participants' opinions. Need to consider that some people may not have formal training and may need special support to fully understand complex issues.
Existing inequalities of women and youth can limit their active involvement and participation	Implement project´s gender-related and youth-related indicators and actions determined in the gender action plan as part of implementing positive actions towards facilitating women and youth participation and representation. Use gender inclusive language in communication strategy. Register and follow up sex and age disaggregated information regarding participation in meetings and workshops. The age registry must be established by segments (e.g., young, adult, older adult) and must not request exact age.
Cultural and political differences.	Identify in advance cultural issues and take measures to accommodate special requirements (e.g., food). Ensure that all meetings and activities are culturally sensitive (e.g., use inclusive language), as well as political-neutral (e.g., do not allow the expression of political agendas or statements. At the beginning of an activity or meeting establish basic rules (e.g., respect different views, political neutrality).

8.6. Monitoring and evaluation of the Stakeholder Engagement Plan

The regional Project Management and Coordination Unit (PMCU) will prepare and deliver Annual Work Plans that incorporate the activities and results of the project. Specific activities for the implementation of the Stakeholders Engagement Plan are to be embedded in this context. The PROCARIBE+ PMCU together with the PROCARIBE+ Responsible Parties (the Project Executive Group, PEG) will be responsible for leading/overseeing and/or directly implementing the actions contained in the Stakeholders Engagement Plan; they can be supported in this role by the Project Beneficiary Representatives on the Project Board (as per the role of the Board and the Beneficiary Representatives relative to national-level coordination, described under Section VII of the PROCARIBE+ Project Document). The periodic evaluation of the Plan will be the responsibility of the PMCU (see the task descriptions for the Monitoring & Evaluation Specialist and the Gender and Safeguard Specialist(s) (GSS) in Annex 8) with inputs to be provided by project partners. The objective of the evaluation will be to adjust the actions of involvement and participation of the actors, if deemed necessary; as well as evaluating the indicators referring to stakeholder participation contained in the project results framework and in the monitoring plan for stakeholders engagement (Annex 5).

8.7. Budget for the Stakeholder Engagement Plan

The costs for stakeholder engagement activities is part of the total project budget and is associated with the different activities planned under the project's outputs, and thus embedded in their cost calculations. Financial resources required for the implementation of actions under the Stakeholders Engagement Plan will thus originate from the budgets allocated to the different project activities/outputs as detailed under Section IX of the PROCARIBE+ Project Document: "Total Budget and Work Plan". Activities relative to the implementation of the Stakeholders Engagement Plan are mainstreamed across the project's Multi-Year Work Plan (Annex 4). An estimation of the cost for each activity included in the Stakeholder Engagement Plan Matrix is provided in Table 6.

8.8. Project-level Grievance Redress Mechanism

Section 7.2 of the ESMF provides a Grievance Mechanism (GRM) for the project. This GRM will be transparent, fair, and free-to-access, approved by stakeholders, and will be put in place at the start of implementation. Interested stakeholders will be able to raise a grievance at any time to the Project Management and Coordination Unit, the Implementing Partner (UNOPS), the GEF Agency (UNDP), or the GEF. The specific GRM procedures will be validated by the project partners during the inception phase.

8.9. Stakeholder Engagement Plan Matrix

Table 6: Stakeholder Engagement Plan Matrix - activity matrix

Project Beneficiaries

Project Objective: Protecting, restoring and harnessing the natural coastal and marine capital of the Caribbean and North Brazil Shelf Large Marine Ecosystems to catalyze investments in a climate-resilient, sustainable post-covid Blue Economy, through strengthened regional coordination and collaboration, and wide-ranging partnerships						
Indicator 1: Number of direct beneficiaries disaggregated by gender as co-benefit of GEF investment						
Stakeholder engagement activity	Indicator	Target	Baseline	Budget USD	Timeline	Responsibility
Identify beneficiaries from the project activities, including the country interventions	Number of direct project beneficiaries disaggregated by sex (*corresponds to Results Framework indicator O1*).	Female: 162,327 Male: 259,328 TOTAL: 421,655	0	appx. 2,000 (Portion of the salaries of the M&E Specialist & GSS)	Year 5	PMCU / M&E Specialist and GSS

Project Outcomes/Outputs

Outcome 1. Coordinated, collaborative and synergistic implementation of regional, sub-regional and national (Strategic) Action Programmes and Plans in support of the CLME+ Vision, enabled through the OCM and partnerships, and a regional programmatic approach						
Outputs 1.1.2 New 10-year multi-stakeholder regional Strategic Action Programme (2025-2034), endorsed at ministerial level						
Stakeholder engagement activity	**Indicator**	**Target**	**Baseline**	**Budget USD**	**Timeline**	**Responsibility**
Development of an inclusive approach, including gender and cultural considerations, towards the development of the SAP	Level of development of the approach 1- An approach for inclusive participation has been developed 2- The approach includes gender and cultural considerations 3- The approach is implemented for the development of the SAP	3	0	appx. 3,000 (Portion of the salaries of the Senior Project Officer(s) and GSS) Integrated in budget for output 1.1.2	Year 1	PMCU / GSS

Outcome 2. National-level capacity, enabling conditions and commitments for EBM/EAF and marine-based, climate and disaster-resilient "green-blue" socio-economic development

Output 2.1.3. Training delivered and/or made permanently accessible for all 44 CLME+ OCM States & Territories, supporting the integration of IWRM/IRBM, ICZM/MSP and Natural Capital Accounting, and underpinning the implementation of the LBS and SPAW Protocols, the source-to-sea approach, NDCs, 30x30 conservation targets, and related Regional and National Action Plans (RAPs) (in collaboration with IW:LEARN, CapNet, ESA, NDC partnership and UNDP Climate Promise): (incl. min. 30 trainers-of-trainers, targeting key stakeholders engaged in: MSP, SOMEE and NDC development, and IRBM (with special attention to gender balance and including practitioners from min. 10 of the 23 transboundary river basins draining into the CLME and NBSLME)						
Stakeholder engagement activity	**Indicator**	**Target**	**Baseline**	**Budget USD**	**Timeline**	**Responsibility**
Affirmative actions to include participants in the trainings from a wide-range of stakeholders, including from indigenous communities and vulnerable communities	Number of people from indigenous and/or other vulnerable communities in trainings	10% of the participants in the trainings are from indigenous and/or other vulnerable communities	0	appx. 2,000 (Portion of the salaries of the Senior Project Officer(s), GSS and/or Staff of the Co-executing Partners) Integrated in budget for output 2.1.3	Year 5	PMCU / GSS / Co-executing Partners
Wide dissemination of trainings throughout the region by the Project and its partners	Level of dissemination of trainings 1- Trainings are promoted by the PCMU through the Project´s networks. 2- Trainings are promoted by project partners through their networks.	2	0	appx. 3,000 (Portion of the salaries of the Senior Project Officer(s), GSS and/or Staff of the Co-executing Partners) Integrated in budget for output 2.1.3	Year 5	PMCU / GSS / Communications Specialist / Co-executing Partners

Outcome 3.3. Expansion and integration of "Blue Economy", Marine Spatial Planning and MPA/OECM efforts across the region (ecosystem approach), supporting ocean-based socio-economic development, recovery and resilience (covid19, hurricanes) and progressive delivery on international targets in the fields of: marine conservation and climate change mitigation and adaptation
Output 3.3.1. (a) BE and MSP planning in at least 8 countries, integrating blue economy (incl. sustainable fisheries and post-covid19 recovery), climate change mitigation and adaptation and ocean conservation objectives, and source-to-sea considerations

Stakeholder engagement activity	Indicator	Target	Baseline	Budget USD	Timeline	Responsibility
Experience-sharing activities between national teams responsible for advancing MSP (virtual or in-person)	Number of meetings between national MSP teams responsible for advancing MSP	3	0	appx. 5,000 (Portion of the salaries of the Senior Project Officer(s) and/or Staff of the Co-executing Partners) Included in budget for Output 3.3.1	Year 5	PMCU / Co-executing Partners for output 3.3.1
Development of in-depth stakeholder analyses and engagement plans for each MSP country intervention	Number of stakeholder analyses completed	4 (one for each MSP initiative)	0	appx. 6,000 (Portion of the salaries of the Staff of the Co-executing Partners) Included in budget for Output 3.3.1	Year 2	Co-executing Parties responsible Partners for output 3.3.1

Outcome 4.1 A well-articulated marine data, information and knowledge management infrastructure/network is enabled, (a) providing a science-policy interface; (b) supporting the development/updating, implementation and M&E of regional Action Programmes and Plans; (c) boosting and increasing the impacts of marine & coastal investments						
4.1.1. Online HUB fully developed and operational, facilitating collaborative knowledge management by the OCM and partnerships (with well-articulated linkages to third-party data/information/knowledge sources/products)						
Stakeholder engagement activity	**Indicator**	**Target**	**Baseline**	**Budget USD**	**Timeline**	**Responsibility**
Inclusion of information that promotes gender and cultural inclusiveness in the OCM Hub	Number of sections on the HUB that include information that promotes gender and cultural inclusiveness	3	0	appx. 3,000 (Portion of the salaries of the Communication Specialist and GSS)	Year 5	PMCU / Communications Specialist / GSS

				Included in budget for Output 4.1.1		
Periodic update of the tools that facilitate the identification of relevant stakeholders for the Project (Contacts Database and the Projects and Initiatives database directory)	Number of new entries in the Contacts Database and the Projects and Initiatives database directory	>than 100	0	appx. 2,000 (Portion of the salaries of the Communication Specialist) Included in budget for Output 4.1.1	Year 5	PMCU / Communications Specialist

Project Team

Stakeholder engagement activity	**Indicator**	**Target**	**Baseline**	**Budget USD**	**Timeline**	**Responsibility**
Integration of appropriate gender advice for the implementation of the project through a person specialized in gender and participation.	Support from a dedicated gender and safeguard specialist	One person	0	Included in budget for PMCU	Year 1	Project Coordinator
Establishment of a communications group to coordinate the dissemination of information on the project, ensuring the full implementation of the stakeholder engagement plan.	Level of development of operation of the Communications Group 1- Group established 2- Group has a work plan that includes actions for the implementation of the stakeholder engagement plan 3- Group has implemented the stakeholder engagement plan	3	0	appx. 10,000 (Portion of the salaries of the Communication Specialist and other PCMU staff members part of the Group)	Year 1	Communications Specialist / GSS
Inclusion of gender equality and generational equity and inclusiveness in the Project's communication strategy for the dissemination of information on the project (inclusive language, examples, data).	Level of integration of gender equality and generational and inclusiveness approach in project communication strategy 1= Not integrated 2= Integrated through the design in the document strategy	2	0	appx. 2,000 (Portion of the salaries of the Communication Specialist and GSS) Integrated in budget for	Year 1	Communications Specialist / GSS

Stakeholder engagement activity	Indicator	Target	Baseline	Budget USD	Timeline	Responsibility
				communication strategy.		

9. Key stakeholders and (prospective) partners, projects and initiatives

(non-final/non-comprehensive, living document & basis for further review & updating during project inception and implementation)

A selection of key stakeholders and (prospective) partners, projects and initiatives and their linkage(s) to the different PROCARIBE+ Outputs is presented in the tables[54] here below. Prioritization and/or scoping for additional/newly emerging partnership opportunities, while paying due attention to existing constraints, e.g. in terms of PMCU and responsible parties' capacity, will be an ongoing task during project implementation. (COL = actively collaborate; INV = involve; INF = inform; CON = consult - preliminary assessments, to be adaptively managed)

LEVELS OF ENGAGEMENT (tentative, to be adaptively managed)		1.1.1.a OCM	1.1.1.b Partnerships	1.1.2 new SAP	2.1.1 NICs	2.1.2 national SOMEEs/BE/NCA	2.1.3 Training & Capacity Building	2.1.4 NDCs	3.1.1.a Microfinancing (SGP)	3.1.1.b Microfinancing (other)	3.2.1. Blue carbon	3.3.1.a BE & MSP (pilot)	3.3.1.b BE & MSP (advocacy)	3.3.2 MPA & OECM	3.4.1.a Traceability (national)	3.4.1.b Traceability (regional)	3.5.1.a Fishing gear (national)	3.5.1.b Fishing gear (regional)	4.1.1 OCM Hub	4.1.2.a Blueprint MDI (design)	4.1.2.b Blueprint MDI (impl)	4.1.3 TDA / SOMEE	4.2.1 Alliance IWLearn	4.2.2 participation IWLearn	4.2.3 dissemination Best Practices
ACS	IGO (regional)	COL	COL	COL	INV	inf	inf	inf			inf		COL	inf		inf		inf	COL	COL	COL	COL	inf	inf	inf
CARICOM Secretariat	IGO (regional)	COL	COL	COL	INV	inf	inf	inf			inf		COL	inf		inf		inf	COL	COL	COL	COL	inf	inf	inf
CCAD	IGO (regional)	COL	COL	COL	COL	inf	inf	inf			inf	COL	COL	COL		inf		inf	COL	COL	COL	COL	inf	inf	inf
CCCCC	IGO (regional)	INV	INV	INV				inf											COL	COL	COL	COL			
CRFM	IGO (regional)	COL	COL	COL	INV	inf	inf	inf			inf	inf	COL	inf	INF	COL	INF	COL	COL	COL	COL	COL	COL	inf	inf	inf
COCATRAM	IGO (regional)	INV	INV	INV								COL		COL								inv			
FAO WECAFC	IGO (regional)	COL	COL	COL	INV	inf	inf	inf			inf		COL	inf	INF	COL	INF	COL	COL	COL	COL	COL	COL	inf	inf	inf
IFCM (Interim Fisheries Coordination Mechar	IGO (regional)	COL	COL	COL											INF	COL	INF	COL	COL	COL	COL	COL	COL	inf	inf	inf
IMO	IGO (global)		CON	CON										col								CON			
OCM Secretariat (Ocean Coordination Mecha	IGO (regional)	COL	COL	COL	COL	inf	inf	inf			inf								COL	COL	COL	COL		COL	
OECS Commission	IGO (regional)	COL	COL	COL	COL	inf	inf	inf			inf	inf	COL	inf					COL	COL	COL	COL	inf	inf	inf
OIRSA	IGO (regional)														COL	COL									
OSPESCA	IGO (regional)	COL	COL	COL	COL	inf	inf	inf			inf	inf	COL	inf	COL	COL	COL	COL	COL	COL	COL	COL	COL	inf	inf	inf
UN DESA	IGO (global)																								
UNDP Climate Promise	IGO (global)		CON	CON				ICON			inf											CON			
UN Global Compact	IGO (global)		ICON	CON																		CON			
UNDP RBLAC	IGO (regional)	COL	COL	COL	INV	inf	inf	inf			inf	COL							COL	COL	COL	COL	inf	inf	inf
UNDP OIC	IGO (global)									COL															col
UNDP SGP	IGO (global)								COL																COL
UN ECLAC	IGO (regional)	COL	COL	COL	INV	inf	inf	inf			inf								COL	COL	COL	COL	inf	inf	inf
UNDP Barbados MCO Blue Lab	IGO (regional)									inv															
UNDP Venezuela CO	IGO (regional)													COL											
UNEP CAR/RCU	IGO (regional)	COL	COL	COL	INV	inf	COL	inf	col	inv	inf	inf	COL	col					COL	COL	COL	COL	COL	inf	inf
UNEP CBD Secretariat/SOI	IGO (global)	INF		inf			col							inv						con	con	inf			COL
UNEP WCMC	IGO (global)			con										inv						inv	inv				
UNESCO - IODE	IGO (global)		inv	con			COL													inv	inv	con			
UNESCO - Ocean Teacher	IGO (global)		inv	con			COL													inv	inv				
UNESCO - IOC	IGO (global)	inf	inf	con			COL					inv	COL						inf	inv	inv	con			
UNESCO - IOC/IOCARIBE	IGO (regional)	COL	COL	COL	INV	inf	COL					inv	COL						COL	COL	COL	COL	inf	inf	inf

[54] screenshot from a database/living document that will be further used, updated and expanded throughout the PROCARIBE+ Project lifespan

LEVELS OF ENGAGEMENT (tentative, to be adaptively managed)		1.1.1.a OCM	1.1.1.b Partnerships	1.1.2 new SAP	2.1.1 NICs	2.1.2 national SOMEEs/BE/NCA	2.1.3 Training & Capacity Building	2.1.4 NDCs	3.1.1.a Microfinancing (SGP)	3.1.1.b Microfinancing (other)	3.2.1. Blue carbon	3.3.1.a BE & MSP (pilot)	3.3.1.b BE & MSP (advocacy)	3.3.2 MPA & OECM	3.4.1.a Traceability (national)	3.4.1.b Traceability (regional)	3.5.1.a Fishing gear (national)	3.5.1.b Fishing gear (regional)	4.1.1 OCM Hub	4.1.2.a Blueprint MDI (design)	4.1.2.b Blueprint MDI (impl)	4.1.3 TDA / SOMEE	4.2.1 Alliance IWLearn	4.2.2 participation IWLearn	4.2.3 dissemination Best Practices
AIO SIDS (UNDP/GEF)	Project (GEF)					col	col			col				inf					inf	inf	inf	inv	inv		inf
BE CLME+ (CAF/FAO/CRFM/GEF)	Project (GEF)	inf	inf	inv	inv	inf	col					inf	inv	inf	inf	inf	inf	inf	col	col	col	inv	inv		inf
Blue Resilience Project (UNDP)	Project (non-G	inf	inf	inv												inf			inf	inf	inf	inv			inf
Caribbean BlueFin (UNEP/CBF/GEF)	Project (GEF)	inf	inf	inv							COL								col	col	col	inv			inf
Caribe Mexicano (GIZ)	Project (non-G											inf	inv												inf
CRAB (AFD/FFEM/CBF)	Project (non-G	inf	inf	inv							COL								col	col	col	inv			inf
CREW+ (UNEP/IDB/GIZ/OAS/GEF)	Project (GEF)	inf	inf	inv	inv														col	col	col	inv			inf
Global Marine Commodities 2 (UNDP/GEF)	Project (GEF)									col															inf
Humbodlt 2 (UNDP/GEF)	Project (GEF)			inf			inf			col												inf			inf
IWECO (UNEP/UNDP/GEF)	Project (GEF)	inf	inf		inv														col	col	col	inv	inv		inf
IW:LEARN (UNDP/GEF)	Project (GEF)	inf	inf	COL	inf		COL						INV						INV	COL	COL	COL	COL	COL	COL
MAR2R (WWF/CCAD/GEF)	Project (GEF)	inf	inf	col	inv														col	col	col	col			inf
MiCosta (UNDP/CITMA/GCF)	Project (non-G										inf		inf	inf					inv						inf
Motagua River Basin Project (UNDP/IUCN/G	Project (GEF)		inf				inv																		inf
PACA (UNDP/WWF/GEF)	Project (GEF)	inf	inf	inv	inv	inv	col			col	col	inv	col						inv	inv	inv	inv	inv		inf
Sixaola River Basin Project (UNDP/GEF)	Project (GEF)						inv																		inf
"The Project For Improving National Sargass	Project (non-G	inf	inf	inv		inv													inv			inv			inf
The Sargasso Sea Project (UNDP/IOC_UNE	Project (GEF)	inf	inf																inv	inv	inv				inf
UBEEC (WB/OECS)	Project (non-G	inf	inf	inv	inv	inf	inv			inv		inf	inv						inv	inv	inv	inv			inf

LEVELS OF ENGAGEMENT (tentative, to be adaptively managed)		1.1.1.a OCM	1.1.1.b Partnerships	1.1.2 new SAP	2.1.1 NICs	2.1.2 national SOMEEs/BE/NCA	2.1.3 Training & Capacity Building	2.1.4 NDCs	3.1.1.a Microfinancing (SGP)	3.1.1.b Microfinancing (other)	3.2.1. Blue carbon	3.3.1.a BE & MSP (pilot)	3.3.1.b BE & MSP (advocacy)	3.3.2 MPA & OECM	3.4.1.a Traceability (national)	3.4.1.b Traceability (regional)	3.5.1.a Fishing gear (national)	3.5.1.b Fishing gear (regional)	4.1.1 OCM Hub	4.1.2.a Blueprint MDI (design)	4.1.2.b Blueprint MDI (impl)	4.1.3 TDA / SOMEE	4.2.1 Alliance IWLearn	4.2.2 participation IWLearn	4.2.3 dissemination Best Practices
Blue Nature Alliance	Initiative	inf	inv											COL											inf
CANARI	NGO/CSO (reg	inf		inv			inv		inv	inv									inv			inv			inf
CapNet (UNDP/GWP)	Initiative						col																		inf
Caribbean Biodiversity Fund (CBF)	Fund		col	inv							COL								inv	inv	inv	inv			inf
Caribbean Overseas Territories Regional Nat	governmental (					inv	inv																		inf
CARIGEO	Initiative		inv	inv			inv												inv	inv	inv	inv			inf
Conservation International (CI)	BINGO	inf	inv	inv			inv				inf								inv	inv	inv	inv			inf
European Space Agency (ESA)	academia/scier	inf	inv	inv			COL				inv	inv							inv	inv	inv	inv	COL		inf
Friends of Ocean Action	Initiative	inf		inv									inv												inf
GCFI	academia/scier	inf	col	inv			col		COL	inv				col	inf	inv	inf	inv	col	inv	inv	inv			inf
GIZ	bilateral aid ag	inf	inv	inv																					inf
Global Ghost Gear Initiative (GGGI)	Initiative																inv	COL							inf
GWP	Initiative						inv																		inf
INVEMAR	governmental (						col				inv	COL		COL											inf
KfW	bilateral aid ag	inf	inv	inv										col											inf
MAR Fund	Fund	inf	inv	inv										COL					inv	inv	inv	inv			inf
MSPGlobal (EC/UNESCO)	Initiative	inf					col					inv	inv												inf
NDC Partnership	Initiative	inf	inv	inv				inv																	inf
OSPAR Commission						inv	inv																		inf
Pew Charitable Trusts	BINGO	inf	COL	COL			COL	COL			COL														inf
SIWI							col																		inf
Smithsonian Institute											inv														inf
Summit Foundation	donor/philanthr			inv										INV											inf
The Nature Conservancy	BINGO	inf	inv	inv															inv	inv	inv	inv			inf
The Source-to-Sea-Platform	initiative						col																		inf
UK JNCC	governmental (						inv						inv												inf
WAVES Partnership	initiative					inv	inv																		inf
BCIE	multi-lateral de	inf	inv	col																					inf
CAF	multi-lateral de	inf	inv	col																					inf
CDB	multi-lateral de	inf	inv	col																					inf
EBRD	multi-lateral de	inf	inv	col																					inf
IDB	multi-lateral de	inf	inv	col																					inf
World Bank	multi-lateral de	inf	inv	col																					inf

COL = actively collaborate; INV = involve; INF = inform; CON = consult - preliminary assessments, to be adaptively managed
(see also Annex 9. Stakeholder Analysis and Engagement Plan)

10. Preliminary list of stakeholders for selected country interventions under Components 2 and 3

(non-final/non-comprehensive, living document & illustrating the approach/basis for further development during project inception and implementation, in collaboration with project partners/responsible parties)

Output 3.3.1. MSP in Venezuela
Integrantes del Comité de Trabajo Central de las Zonas Costeras (CTCZC): Ministerio del Poder Popular para el Ecosocialismo (MINEC), Ministerio del Poder Popular para la Pesca y Acuicultura (MPPPA), Ministerio del Poder Popular para Relaciones Interiores, Justicia y Paz (MPPRIJP), Ministerio del Poder Popular para Relaciones Exteriores (MRE), Ministerio del Poder Popular para la Defensa (MD), Ministerio del Poder Popular para el Turismo (MINTUR), Ministerio del Poder Popular para Obras Públicas (MPPOP), Ministerio del Poder Popular de Petróleo (MPPP), Ministerio del Poder Popular para la Planificación (MPPP), Instituto del Patrimonio Cultural (IPC), Instituto Nacional de los Espacios Acuáticos (INEA), Instituto Socialista de la Pesca y Acuicultura (INSOPESCA), Instituto Nacional de Parques (INPARQUES), Instituto Geográfico de Venezuela Simón Bolívar (IGVSB), Instituto Nacional de Tierras (INTI), Fundación Venezolana de Investigaciones Sismológicas (FUNVISIS).
Integrantes de los Comités de Trabajo de las Zonas Costeras a Nivel Estadal: Unidad Territorial de Ecosocialismo (UTEC) Sucre, Monagas, , Alcaldías Costeras, Capitanías de Puerto, Consejo Local de Planificación, INPARQUES, Universidades, Instituciones Científicas, Corporaciones de Desarrollo, Ministerios, Instancias del Poder Popular - Comunidad, Organizaciones no Gubernamentales (ONG).

Output 3.3.1 and 3.3.2: MSP and MPA in Dominican Republic
Ministerio de Medio Ambiente y Recursos Naturales - ViceMinisterio de Recursos Costeros y Marinos, Viceministerio de Áreas Protegidas, Dirección de Información Ambiental, Ministerio de Economía Planificación y Desarrollo, ANAMAR, CODOPESCA

Outputs 3.3.1 and 3.3.2: MSP and MPA in Colombia
Ministerio de Ambiente y Desarrollo Sostenible (Minambiente; Dirección de Asuntos Marinos, Costeros y Recursos Acuáticos (DAMCRA), Parques Nacionales Naturales de Colombia, Instituto de Investigaciones Marinas y Costeras José Benito Vives de Andréis (INVEMAR), Direccion Maritima (DIMAR), Red de Centros de Investigación Marina de Colombia, Armada Nacional de Colombia, Autoridad Nacional de Acuicultura y Pesca (AUNAP), CARDIQUE, EPA Cartagena, Sector académico, Proyecto BASICS Cartagena, Presidencia de Colombia, Ministerio de Tecnologías de la Información y las Comunicaciones, Ministerio de Relaciones Exteriores (Cancillería), Agencia Nacional de Hidrocarburos (ANH), Instituto de Hidrología, Meteorología y Estudios Ambientales (IDEAM), Sector académico, incluyendo la Academia Colombiana de Ciencias Exactas Físicas y Naturales (ACCEFYN)...

Output 3.3.1 MSP in Trinidad and Tobago
Ministry of Planning and Development, Institute of Marine Affairs, Coastal Protection Unit, Ministry of Works and Transport, Tobago House of Assembly, Ministry of Energy and Energy Industries, Office of Disaster and Preparedness Management, Fisheries Division, Ministry of Agriculture, Lands and Fisheries, Environmental Management Authority

Output 3.4.1 Traceability in key fisheries
Regional Organizations with a fisheries & aquaculture-related mandate (e.g. WECAFC, CRFM, OSPESCA and OIRSA), Government Entities with a responsibility related to the value chain of fisheries/marine products, with special attention to countries with important spiny lobster, queen conch and/or shrimp exports

Output 3.5. On-the-ground solutions to reduce negative impacts from unsustainable fishing gear and practices in industrial spiny lobster fisheries
Government Entities and Private Sector Agents (boat owners/operators, fisherfolk,...) involved in the industrial spiny lobster fisheries in Honduras; Government Entities with a responsibility for the protection of the marine environment in Honduras, Government and Inter-Governmental Entities involved in the spiny lobster fisheries value chain in WECAFC member countries with active industrial spiny lobster fisheries in the wider Caribbean region;

Government and Inter-Governmental Entities with a responsibility for the protection of the marine environment in the wider Caribbean region

11. Regional and national institutions supporting women's participation and representation in the CLME+ region

a) SICA – COMMCA (Council of Ministers for Women Affairs)

SICA is the Central American Integration System[55] whose institutional framework ensures the effectiveness and efficiency of the functioning of its organs and institutions, which work together in the integration of policies and initiatives among countries. SICA's governance comprises president's meetings, ministers' Councils, Executive Committee and a General Secretariat.

The ministers' Council integrates the Council of Ministers for Women Affairs of Central America and the Dominican Republic (COMMCA for its acronym in Spanish), formally represented by the Technical Secretariat (STM-COMMCA). This is a political body specialized in the field of gender and women's human rights. The COMMCA promotes policy proposals at the regional level aimed at transforming the status, situation and position of women in the region and the adoption of a sustainable gender equity policy and strategy, fostering the development of the countries that make up SICA and supporting each other at the level of women's organizations in member states[56]. It has adopted the Regional Policy of Gender Equality and Equity (PRIEG / SICA) approved in 2013, as a mandatory mechanism to promote equal representation and a broad political and technical process of participation of the regional institutions and the states parties.

b) OSPESCA GT-IEG

A key actor from SICA, is the Organization of the Fisheries and Aquaculture Sector of the Central American Isthmus (OSPESCA, for its acronym in Spanish)[57]. This specialized organization was created with the aim of coordinating the definition, execution and monitoring of policies, strategies and projects related to the regulatory framework of regional scope that leads to the sustainable development of fishing and aquaculture activities.

OSPESCA is integrated by the Council of Ministers, the Deputy Ministers Committee, and the Committee of Directors of Fisheries and Aquaculture, which is in charge of the regional scientific and technical aspects of OSPESCA. This institution has made progress in integrating gender equality issues through the institutionalization of OSPESCA´s Regional Working Group on Gender and Equality and Equity in Fisheries and Aquaculture (GRT-IEG for its acronym in Spanish). The GRT has an action plan for women in artisanal fishing in the Central American Isthmus.

c) CARICOM

The Caribbean Community (CARICOM or CC) is an intergovernmental organisation of 15 member states (14 nation-states and one dependency) throughout the Caribbean having as primary objectives to promote the economic integration and cooperation among its members, to ensure that the benefits of integration are equitably shared, and to coordinate foreign policy.

CARICOM´s governance is composed of the Organs which are assisted by the CARICOM Secretariat, Bodies, Institutions, and other Stakeholders. The CARICOM Secretariat and the UN Women Multi-country Office developed a CARICOM Gender Equality Indicators Model in 2015, to measure progress on gender equality. This tool provides support for CARICOM Member states to assess the gender situation and increase understanding of the impact of developing adequate policies, as well as the dissemination of socio-economic data.

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[55] As mention before SICA is composed by Costa Rica, El Salvador, Guatemala, Honduras, Nicaragua, Panama, Belize and Dominican Republic. Information taken from the official SICA website. To access: https://www.sica.int/estructura.

[56] Being the following: INAMU- Instituto Nacional de las Mujeres de Costa Rica; ISDEMO- Instituto Salvadoreño para el Desarrollo de la Mujer; SEPREM-Secretaría Presidencial de la Mujer de Guatemala; INAM-Instituto Nacional de la Mujer de Honduras; INMUJERES de México; MINIM-Ministerio de la Mujer de Nicaragua.

[57] Information taken from the official website of SICA-OSPESCA. To access: https://www.sica.int/consulta/entidad.aspx?IdEnt=47&Idm=1&IdmStyle=1

d) OECS (Organisation of Eastern Caribbean States)

The Organisation of Eastern Caribbean States (OECS) is an intergovernmental Organization dedicated to the regional integration of the Eastern Caribbean States. It was established through the signature of the Treaty of Basseterre in 1981, by seven Eastern Caribbean countries[58], with the purposes of economic harmonization and integration, protection of human and legal rights, and encouragement of good governance among independent and non-independent countries in the Eastern Caribbean.

The OECS has a both a specific commission for gender issues and a Gender Policy[59] . The Gender Policy of the Commission of the Organization of Eastern Caribbean States (OECSC) builds on the organizational Gender Mainstreaming Policy of 2013 (GEM) and will boost efforts to achieve the Sustainable Development Goals. This policy is intended not only to promote gender equality in the Eastern Caribbean, but also to define key commitments, principles and expected outcomes. It is to be aspirational, inspirational and practical for both the internal operations of the OECS Commission and its external relations, including those among Member States.

e) CRFM (Caribbean Regional Fisheries Mechanism)

The Caribbean Regional Fisheries Mechanism (CRFM) is an intergovernmental organization which aims 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 consists of three bodies: the Ministerial Council, the Caribbean Fisheries Forum and the CRFM Secretariat. CRFM is committed to promoting and driving sustainable development solutions in fisheries that benefit from and contribute to gender equality, youth empowerment and decent work in the Caribbean.

Under the Gender Mainstreaming in Fisheries of the Caribbean initiative within the Caribbean and North Brazil Shelf Large Marine Ecosystem (CLME+), the CRFM developed a Gender Analysis with the support of the Global Affairs Department of the Canadian Government. It consists of a Strategy and a Five-Year Gender Action Plan (Gender ASAP) for supporting its Member States in their efforts to develop strategic focus areas and activities for gender mainstreaming into fisheries for the Caribbean. This strategy has been endorsed by CRFM Member States[60] to support their regional coordination, engagement, support and coordination through their national Gender Focal Points. The CRFM report recognizes it as a foundational work that has created a momentum on gender equality.

The Five-Year Gender Action Plan for CRFM outlines regional and national activities that will contribute to meeting regional strategic outcomes for each of the four focus areas: i) Enhance collection and analysis of comprehensive sex-disaggregated socioeconomic data in fisheries; ii) Increase understanding of the differentiated social and cultural factors impacting labour and poverty of women, men, and youth in fisheries, and gender-responsive approaches to address these issues; iii) Enhance cross-sectoral collaboration and knowledge generation on gender equality and youth engagement in fisheries; iv) Strengthen engagement with fisherfolk organisations and local level stakeholders on implementing gender-responsive approaches in fisheries.

f) Other organizations working in the CLME+ region

There are some public organizations that work in the region where the project will be implemented on the issues of governance, fisheries, tourism and gender, which can be considered as potential allies for project execution. Table 2 integrates the names of these public institutions:

Table 7. Public institutions that work on gender issues in PROCARIBE+ participating countries[61].

Institution	Country	Headquarter

[58] The states are: Antigua and Barbuda, Commonwealth of Dominica, Grenada, Montserrat, St. Kitts and Nevis, Saint Lucia, St Vincent and The Grenadines, British Virgin Islands, Anguilla, Martinique, and Guadeloupe.

[59] To access to OECS Gender Policy: https://www.oecs.org/en/our-work/knowledge/library/gender/oecs-commission-gender-policy

[60] The Gender ASAP drew on information from six flying fish CRFM Member States (Barbados, Dominica, Grenada, St. Lucia, St. Vincent and the Grenadines, and Trinidad and Tobago) with outreach, information and feedback from all 17 CRFM Member States where possible and relevant (CRFM, 2020).

[61] The names of the institutions are written in the original language.

Directorate of Gender Affairs / Ministry of Social Transformation, Human Resource Development and the Blue Economy	Antigua & Barbuda	Saint John
Women and Family Support Department /Ministry of Human Development	Belize	Belmopán
National Women's Commission	Belize	Belize City
Women's Issues Network of Belize	Belize	Belize City
Consejería Presidencial para la Equidad de la Mujer	Colombia	Bogotá
Instituto Nacional de las Mujeres INAMU	Costa Rica	San José
Instituto Costarricense de Pesca y Acuicultura (INCOPESCA)	Costa Rica	San José
Departamento de Derechos Económicos, sociales y culturales - Ministerio de la Mujer	Dominican Republic	Santo Domingo
Consejo Dominicano de Pesca y Acuicultura – CODPESCA	Dominican Republic	Santo Domingo
Alianza ONG	Dominican Republic	Santo Domingo
Dirección de Pesca y Acuicultura - Ministerio de Agricultura, Ganadería y Alimentación (MAGA)	Guatemala	Guatemala City
Secretaría Presidencia de la Mujer	Guatemala	Guatemala City
Minister of Social Protection	Guyana	Georgetown
Instituto Nacional de la Mujer	Honduras	Tegucigalpa
Ministry of Culture, Gender, Entertainment and Sport	Jamaica	Kingston
Instituto Nacional de la Mujer	Panama	Panama City
Autoridad de los Recursos Acuáticos de Panamá	Panama	Panama City
Ministry of Community Development, Gender Affairs and Social Services	St. Kitts & Nevis	Basseterre
Ministry of Education, Innovation, Gender Relations and Sustainable Development	St. Lucia	Castries
Department of Gender and Family Affairs	The Bahamas	Nassau
Bahamas Maritime Authority (BMA)	The Bahamas	Nassau
Gender Affairs Division	Trinidad & Tobago	Port of Spain
Interior Ministry	Suriname	Paramaribo

There are also NGOs and International Cooperation agencies that may be considered as part of the institutions that can be allies for project implementation in relation to gender. *Please refer to the Stakeholders Engagement Plan*.

The organizations are the following:
Caribbean Natural Resources Institute (CANARI) from Trinidad & Tobago; Comunidad y Biodiversidad (COBI-Mexico); IUCN Regional Office for Mexico, Central America and the Caribbean Region Office (IUCN – ORMACC); International Institute for Sustainable Development (IISD); UN Women Latin America and the Caribbean Regional Office in Panama, country offices in Brazil, Colombia, Guatemala, Haiti, and the Caribbean Multi-country office in Brazil.

Annex 10. ESMF

PROCARIBE+ Environmental and Social Management Framework (ESMF)

Project title: Protecting and Restoring the Ocean's Natural Capital, Building Resilience and Supporting Region-wide Investments for Sustainable Blue Socio-Economic Development (PROCARIBE+)		
Location: Caribbean and North Brazil Region	**Implementing Partner (GEF Executing Entity):** United Nations Office for Project Services (UNOPS)	**Execution Modality***:* United Nations Agency
Contributing Outcome (UNDAF/CPD, RPD, GPD)*:* N/A		
UNDP Social and Environmental Screening Category: Substantial	**UNDP Gender Marker:** *G2b (Refer to Gender Mainstreaming Action Plan, including M&E Gender Indicators, prepared as separate Annex)*	
Quantum Award ID: 00143903	**Quantum Project/Output ID:** 00131836	
UNDP-GEF PIMS ID number: 6290	**GEF Project ID number:** 10800	

DRAFT FOR FEEDBACK

Period of disclosure: [ENTER DATES]

Send written comments to: soniag@unops.org

Contents

a) Executive Summary

This Environmental and Social Management Framework (ESMF) has been prepared for the Project "***Protecting and Restoring the Ocean's Natural Capital, Building Resilience and Supporting Region-wide Investments for Sustainable Blue Socio-Economic Development (PROCARIBE+)***". The objective of this ESMF is to ensure that the Project is consistent with UNDP's Social and Environmental Standards (SES).

The Project's objective is to protect, restore and harness the natural coastal and marine capital of the Caribbean and North Brazil Shelf Large Marine Ecosystems (CLME+ Region) to catalyze investments in a climate-resilient, sustainable post-covid Blue Economy, through strengthened regional coordination and collaboration, and wide-ranging partnerships.

This is a UNDP/GEF project that will be directly implemented by the United Nations Office for Project Services (UNOPS).

The ESMF's purpose is to assist in the **screening**, **assessment,** and **management** of potential environmental and social impacts of the activities to be financed under the Project. The Framework details the environmental and social instruments that will be developed during implementation, to ensure full compliance with the requirements of UNDP's Social and Environmental Standards.

Preliminary analysis and screening conducted during the project development phase via UNDP's Social and Environment Screening Procedure (SESP) identified potential social and environmental risks associated with project activities. The screening procedure established that the project has an overall risk categorization of Substantial. Six social and environmental risks and impacts were identified with different categories and levels of significance (likelihood by impact), including:

- Risk of not engaging stakeholders inclusively during the design and implementation of the activities
- Economic displacement risk resulting from the creation of new Marine Protected Areas and other effective conservation measures, including risks of impacts to the livelihoods of indigenous peoples
- Social and environmental risks derived from the implementation of the grant proposal schemes for advancing blue socio-economic development
- Vulnerability of the project's outputs or outcomes to the impacts of climate change
- Risk of discrimination against women, marginalized youth and vulnerable communities and limit their active participation in project design and implementation, as well as in the distribution of benefits derived from the Project.

For those risks rated as Moderate and Substantial, assessment and management measures were included. All details including other risks and measures are available in Annex 6 of the ProDoc (SESP).

The ESMF then goes on to explain (**Section 4**) the procedures for screening, assessing, and managing social and environmental impacts and risks of activities to be financed under the Project. These procedures include:

- Use of a Strategic Environmental and Social Assessment (SESA) approach for the development of the new Strategic Action Programme 2025-2034 under Component 1
- SESP screening of grant proposals under Component 3 to identify the need for further assessment/management measures
- SESP screening of the traceability systems & fishing practices pilots under Component 3, to identify the need for further assessment/management measures
- SESP screening of the implementation of Marine Spatial Planning and Marine Protected areas interventions under Component 3, in order to determine the need for a SESA and strategic ESMPs, including Indigenous Peoples Plans.

The ESMF also details the roles and responsibilities for its implementation (**Section 5**), the guidelines for a Project Grievance Redress Mechanism (**Section 7**) and includes an implementation action plan (**Section 8**) and a monitoring and evaluation plan (**Section 9**).

Stakeholder engagement activities were carried out during Project preparation, the main activities were:

- PPG Preparatory Meeting
- Establishment of PPG Thematic Groupings and a PPG Development Committee to provide guidance on the development of the project design. Those groups were invited to respond to a series of questionnaires on different thematic issues and participated in the review and validation process of the ProDoc online.
- Regional Dialogue on Marine Spatial Planning and Blue Economy
- Pre-validation workshop
- Bilateral Engagements (Meetings, Calls, written dialogue).

The details on this process are documented in Annex 9 of the ProDoc (Stakeholder Engagement Plan).

b) Abbreviations and Acronyms

ACS	Association of Caribbean States
ACHR	American Convention on Human Rights
ADRIP	American Declaration on the Rights of Indigenous Peoples
AMEP	Assessment and Management of Environment Pollution
BE	Blue Economy
BPOA	Barbados Programme of Action
BPPS	Bureau for Policy and Programme Support (UN)
CARICOM	Caribbean Community and Common Market
CBD	Convention on Biological Diversity
CITES	Convention on International Trade in Endangered Species of Wild Fauna and Flora
CLME$^+$	Caribbean and North Brazil Shelf Large Marine Ecosystems
COP	Conference of the Parties
CSME	CARICOM Single Market and Economy
Dol	Declarations of intention
EAF	Ecosystem Approach to Fisheries
EBM	Ecosystem-Based Management
ESIA	Environmental and Social Impact Assessment
ESMF	Environmental and Social Management Framework
ESMP	Environmental and Social Management Plan
FAO	Food and Agriculture Organization
FPIC	Free, prior and informed consent
GEF	Global Environment Facility
GRM	Grievance Redress Mechanism
GWG	Gender Working Group
IACHR	Inter-American Commission on Human Rights
ICZM	Integrated Coastal Zone Management
IHC	Intangible Heritage Convention
IHRL	International Human Rights Law
ILO	International Labour Organization
IPP	Indigenous Peoples Plan
IPPF	Indigenous Peoples Planning Framework
IRBM	Integrated River Basin Management
IUCN	International Union for Conservation of Nature
IUU	Illegal, Unreported and Unregulated
IW	International Waters
IWRM	Integrated Water Resources Management
JPOA	Johannesburg Plan of Action
LBS	Land Based Sources
LME	Large Marine Ecosystems

MARPOL	International Convention for the Prevention of Pollution from Ships
MDGs	Millennium Development Goals
MDI	Marine Data/Information/Knowledge Infrastructure
MPA	Marine Protected Area
MSI	Mauritius Strategy
MSME	Micro, Small and Medium Enterprises
MSP	Marine Spatial Planning
MTR	Mid-term Review
M&E	Monitoring and Evaluation
NBSAPs	National Biodiversity Strategies and Action Plans
NBSLME	North Brazil Shelf Large Marine Ecosystem
NCE	Nature, Climate and Energy
NGO	Non-Governmental Organization
NICs	National Intersectoral Coordination Mechanisms
OCM	Ocean Coordination Mechanism
OECS	Organization of Eastern Caribbean States
OECMs	Other Effective Conservation Measures
OFP	Operation Focal Points
PMCU	Project Coordination Unit
PIR	GEF Project Implementation Report
POPP	Programme and Operations Policies and Procedures (UNDP)
PPG	Project Preparation Grant (GEF)
PSC	Project Steering Committee
RFP	Request for proposal
RSAPs	Regional Strategies and Action Plans
SAP	Strategic Action Programme
SEA	Simplified Environmental Assessment
SESA	Strategic Environmental and Social Assessment
SECU	Social and Environmental Compliance Review Unit (UNDP)
SES	Social and Environmental Standards (UNDP)
SESP	Social and Environmental Screening Procedure (UNDP)
SGP	Small Grants Programme
SICA	Central American Integration System
SIDS	Small Island Developing States
SOMEE	State of the Marine Environment and Associated Economies
SPAW	Specially Protected Areas and Wildlife
SRM	Stakeholder Response Mechanism
TDA	Transboundary Diagnostic Analysis
TE	Terminal Evaluation
UNCED	UN Conference on Environment and Development

UNCLOS	United Nations Convention on the Law of the Sea
UNDRIP	United Nations Declaration on the Rights of Indigenous Peoples
UNDP	United Nations Development Programme
UNDP-GEF	UNDP Global Environmental Finance Unit
UNFCCC	United Nations Framework Convention on Climate Change
UNOPS	United Nations Office for Project Services
WECAFC	Western Central Atlantic Fishery Commission

c) Introduction

This Environmental and Social Management Framework (ESMF) has been prepared for the submission of the UNDP project *"Protecting and Restoring the Ocean's Natural Capital, Building Resilience and Supporting Region-wide Investments for Sustainable Blue Socio-Economic Development (PROCARIBE+)"* to the GEF.

Project description

The Caribbean and North Brazil Shelf Large Marine Ecosystems ("CLME+ region"; 4.4 million km^2) constitute one of the most geopolitically complex and biodiversity-rich sets of LMEs in the world. They comprise 26 independent States and 18 dependent/associated territories, of which 25 are SIDS, and showcase a dichotomy of high marine-based socio-economic potential and social-ecological vulnerability. The LMEs represent a largely shared source of ecosystem goods & services and support a multitude of economic activities. They receive the outflows from many rivers, incl. 23 transboundary river basins. Population of the terrestrial drainage area of these LME's is 174 million, with 95 million living within 100 km of the coastline (2015).

Exploited marine resources include fish and shellfish, oil and gas and coastal aggregates; other key uses include global transport, tourism, and telecommunications. Gross "ocean economy" revenues, in 2012 were in the order of US$407 billion, "equivalent to 14 to 27% of the estimated value of the global ocean economy" (Patil, et al, 2016).

In this context, the objective of the PROCARIBE+ project is to protect, restore and harness the natural coastal and marine capital of the CLME+ region to catalyze investments in a climate-resilient, sustainable post-covid Blue Economy, through strengthened regional coordination and collaboration, and wide-ranging partnerships.

This will be accomplished through the following four components:

Under **Component 1**, the project will work towards the coordinated, collaborative, and synergistic implementation of regional, sub-regional and national (Strategic) Action Programmes and Plans in support of the CLME+ Vision, enabled through an Ocean Coordination Mechanism (OCM) and partnerships, and a regional programmatic approach for the preparation of the new Strategic Action Programme (SAP) 2025-2034.

The proposed activities under Component 1 are:

- Operationalize a Regional OCM and support for (a) wide-ranging ocean partnership(s)
- Continue to support, and monitor the implementation of the 2015-2024 "CLME+ Strategic Action Programme (SAP)" and associated action plans
- Development of the new 2025-2034 multi-stakeholder SAP

Under **Component 2**, the project will work on supporting national-level capacity, enabling conditions and commitments for EBM/EAF and marine-based, climate and disaster-resilient "green-blue" socio-economic development.

The following activities are proposed for C2:

- Advocacy for National Inter-sectorial Committees (NICs), adequately connected to the regional OCM, and supporting relevant national processes
- Development of National-level Blue Economy Scoping Studies and/or Report on status of marine environment and associated economies (SOMEE) and/or support for Natural Capital Accounting
- Training & Capacity Building
- Support efforts to mainstream the marine environment in 2025 Nationally Determined Contributions

Under **Component 3,** the project will seek to catalyze actions by all sectors of society, at different spatial scales, for the protection, restoration, and sustainable use of marine and coastal natural capital ("blue economies"). For this, funding from multiple complementary microfinance streams will be leveraged to enable and upscale contributions from innovators, civil society organizations (CSO's) and/or Micro, Small and Medium-Sized Enterprises (MSME's).
The project will also seek to increase private capital for stress reduction and sustainable climate-smart blue economy initiatives, supporting CLME+ SAP implementation and post COVID-19 recovery by helping to create the enabling conditions to implement, in future, a carbon credits-based sustainable financing instrument for seagrasses and tropical peatlands in Panama. Three pilot sites were identified for conducting carbon stocks assessments and developing management plans to increase the protection of the sites.
Furthermore, the project will seek to expand and integrate "Blue Economy", Marine Spatial Planning and MPA/OECM efforts across the region (ecosystem approach), supporting ocean-based socio-economic development, recovery, and resilience (Covid-19, hurricanes) and progressive delivery on international targets in the fields of marine conservation and climate change mitigation and adaptation. The following activities and intervention sites are being proposed to achieve this outcome:

Intervention Sites	Proposed Lines of Work for MSP, MPA and OECM
Dominican Republic	● Designation of no-take zones ● Increased protection and/or extension for existing MPAs ● MSP processes (coarse-scale and one finer scale for pilot site)
Colombia	● Implementation of new MPAs and development of management plans ● Multi-sectoral MSP process in Cartagena Bay
Mesoamerican Reef Region (Belize, Guatemala, Honduras)	● Designation of no-take zones ● Development of a proposal for the designation of a Particularly Sensitive Sea Area (PSSA) under the International Maritime Organization (IMO)
Trinidad and Tobago	● Multi-sectoral MSP in Gulf of Paria
Venezuela	● Multi-sectoral MSP in Gulf of Paria

Finally, the project will seek to reduce the impacts of unsustainable fishing on the marine resources and habitat of the CLME+ region through enabling (1) traceability systems for key fisheries and seafood products across the Wider Caribbean/WECAFC region and (2) region-wide reduction of ghost fishing and habitat impacts in spiny lobster fisheries. The following activities are being proposed to support those outcomes:

- Implementation of traceability systems for spiny lobster, queen conch and shrimp
- Enhanced gear & practices in spiny lobster fisheries: Pilot country Honduras

Under **Component 4,** the project will build the basis for the development of a well-articulated marine data, information, and knowledge management infrastructure/network, (a) providing a science-policy interface; (b) supporting the development/updating, implementation and M&E of regional Action Programmes and Plans; (c) boosting and increasing the impacts of marine & coastal investments. The project will also work towards increasing regional and global impacts from GEF IW investments through global dissemination and sharing of experiences, and by forging synergies with other Regional Seas/LME/Regional Fisheries programmes and the wider community of International Waters/Ocean practitioners & stakeholders.
The proposed activities under Component 4 are:

- Knowledge Management Platform of the OCM
- Marine Data Management Landscape & Infrastructure for the region
- Fully developed and updated regional SOMEE

- Mandatory support to IW: LEARN (global exchange among LME projects)

Purpose and scope of this ESMF

This ESMF is a tool to assist in managing potential adverse social and environmental impacts associated with project activities, in line with the requirements of UNDP's Social and Environmental Standards.

The implementing partners of the project and the relevant members of the Project Coordination Unit, including a Gender and Safeguards Specialist, will follow this ESMF throughout project implementation to ensure the environmental and social risks and impacts are fully assessed and management measures are in place prior to the implementation of the relevant project activities.

This ESMF identifies the steps for detailed screening and assessment of the project's potential, currently identified social and environmental risks, and for preparing and approving the required management plans for avoiding, and where avoidance is not possible, reducing, mitigating, and managing the identified adverse impacts of this project.
This ESMF forms the basis upon which the implementing partners will develop their specific Environmental and Social Management Plan(s) or other plans (as required per the SES), to ensure compliance with the UNDP SES.

This ESMF will be publicly disclosed in line with UNDP's Information Disclosure Policy and SES.

d) Legislation and Institutional Frameworks

Regional geopolitical context

The CLME$^+$ region constitutes one of the geopolitically most diverse and complex sets of LMEs in the world. Currently, there are twenty-six independent States and eighteen dependent/associated territories[62], located within or bordering the CLME$^+$.
Countries sharing the CLME$^+$ range from among the largest (e.g., Brazil) to the smallest (e.g., St. Kitts and Nevis), and from among the most developed (e.g., United States of America) to the least developed (e.g., Haiti) in the world. A distinct feature of this region is the high number of Small Island Developing States (SIDS) - the highest concentration within any existing (set of) LME(s).

Table 1 - CLME+ States, Territories, Associated States, Departments, Outermost Regions, and Islands with a Special Status

Independent Continental States	Independent Island States	Overseas dependent territories, associated states, outermost regions, departments, and island with a special status[63]
Belize[64] Brazil Colombia Costa Rica	Antigua & Barbuda[3] Bahamas, the[3] Barbados[3] Cuba[3]	Anguilla[3] *(United Kingdom)* Aruba[3], Curaçao, St. Maarten[65] British Virgin Islands[3] *(United Kingdom)*

[62] This includes overseas dependent territories, outermost regions, associated states, departments, and islands with a special status

[63] As of 10 October 2010, Holland, Aruba, Curaçao and St. Maarten are partners in the Kingdom of the Netherlands. The islands of Bonaire, Saba, and St. Eustatius have become "special municipalities" of Holland

[64] Low-lying coastal and/or Small Island Developing States (SIDS) as listed by the United Nations Department of Economic and Social Affairs

[65] Kingdom of the Netherlands

Guatemala Guyana[3] Honduras Panama Mexico Nicaragua Suriname[3] Venezuela United States of America	Dominica[3] Dominican Republic[3] Grenada[3] Haiti[3] Jamaica[3] St. Kitts & Nevis[3] Saint Lucia[3] St. Vincent & the Grenadines[3] Trinidad & Tobago[3]	Cayman Islands *(United Kingdom)* French Guiana[66] (France) Guadeloupe[5] (France) Montserrat[3] (United Kingdom) Martinique[5] (France) Puerto Rico[3] (United States of America) Bonaire, St. Eustatius, Saba[67] St. Barthélemy (France) St. Martin[5] (France) Turks and Caicos (United Kingdom) U.S. Virgin Islands[3] (United States of America)

The region's geopolitical reality is strongly influenced by its high diversity in terms of historical backgrounds, cultures, languages, country and population size, political systems, and governance arrangements, as is reflected in the existing regional political and economic integration mechanisms: e.g., the Central American Integration System (SICA), the Caribbean Community (CARICOM), the Organization of Eastern Caribbean States (OECS), and the Association of Caribbean States (ACS).

Regional and sub-regional organizations

The Caribbean Community (CARICOM)

The Caribbean Community (CARICOM) was established in 1973, expanding a previously established free-trade agreement with provisions for, e.g., the coordination of agricultural, industrial, and foreign policies. The signing of a revised treaty in 2001 established the CARICOM Single Market and Economy (CSME). The objectives of CARICOM include, among others, to improve standards of living and work, to accelerate coordinated and sustained economic development, the expansion of trade and economic relations with third States; and to improve the effectiveness of Member States in dealing with third States, groups of States as well as the enhanced co-ordination of Member States' foreign policies and enhanced functional co-operation. CLME$^+$ countries and territories that are CARICOM Member States and Associated Member States and Territories are shown in Table 2.

The Organization of Eastern Caribbean States (OECS)

The OECS came into being in 1981, when seven Eastern Caribbean countries signed a treaty agreeing to cooperate and promote unity and solidarity among the Members. A revised treaty was signed in 2010, establishing the OECS economic union, i.e., a single financial and economic space within which goods, people and capital move freely, monetary and fiscal policies are harmonized and where Members continue to adopt a common approach to matters relating to trade, health, education and environment. OECS Member States and Associate Member States are Antigua & Barbuda; Dominica; Grenada; Montserrat; St. Kitts & Nevis; Saint Lucia; St. Vincent & the Grenadines (full Members); and Anguilla, the British Virgin Islands and, as of 4 February 2015, Martinique and Guadeloupe. (Associate Members).

The Central American Integration System (SICA)

Since 1993, the Central American Integration System (Spanish: Sistema de la Integración Centroamericana, or SICA) constitutes the economic and political organization of Central American states. It extends earlier cooperation arrangements for regional peace, political freedom, democracy, and economic development. Member States are Guatemala, El Salvador, Honduras, Nicaragua, Costa Rica, Panama, Belize, and, since 2013, Dominican Republic (Table 2). Mexico, Chile, and Brazil became regional observers, and the Republic of China, Spain, Germany, and Japan became extra-regional observers.

[66] Outermost Regions (normally considered part of the European Union and subject to European law)

[67] Special Municipalities of Holland

The Association of Caribbean States (ACS)

The ACS was established in 1994 to promote and encourage consultation, cooperation, and concerted action among its more than 20 contracting States, countries, and territories. Its objectives include the strengthening of the regional co-operation and integration process, with a view to creating an enhanced economic space in the region; preserving the environmental integrity of the Caribbean Sea, as a common patrimony of the peoples of the region; and promoting the sustainable development of the Greater Caribbean. As a forum for political dialogue, the ACS Membership has identified 5 areas of concern for the Association: (i) the preservation and conservation of the Caribbean Sea; (ii) Sustainable Tourism; (iii) Trade and Economic External Relations; (iv) Natural Disasters; and (v) Transport.

Membership of CLME+ States and Territories to regional and sub-regional organizations

Table 2 below indicates which States and Territories of the CLME+ Region are members of CARICOM, SICA, OECS and ACS.

Table 2 - CLME+ States and Territories and CARICOM, SICA, OECS and ACS memberships

CLME+ COUNTRIES	GEF eligible	CARICOM	SICA	OECS	ACS	CLME+ COUNTRIES	GEF eligible	CARICOM	SICA	OECS	ACS
A-G						*H-Z*					
Anguilla		AM		AM		**Haiti**	Y	F			F
Antigua & Barbuda	Y	F		F	F	**Honduras**	Y		F		F
Aruba					AM	**Jamaica**	Y	F			F
Bahamas	Y	F			F	**Martinique**				AM	AM
Barbados	Y	F			F	**Mexico**	Y		O		F
Belize	Y	F	F		F	**Montserrat**		F		F	
Bonaire					AM	**Nicaragua**	Y		F		F
Brazil	Y		O			**Panama**	Y		F		F
British Virgin Islands		AM		AM	AM	**Puerto Rico**					
Cayman Islands		AM				**Saba**					AM
Colombia	Y				F	**St. Barthelemy**					AM
Costa Rica	Y		F		F	**St. Eustatius**					AM
Cuba	Y				F	**St. Kitts & Nevis**	Y	F		F	F
Curacao					AM	**Saint Lucia**	Y	F		F	F
Dominica	Y	F		F	F	**St. Maarten**					AM
Dominican Republic	Y		F		F	**St. Martin**					AM
French Guiana					AM	**St. Vincent & The Grenadines**	Y	F		F	F
Grenada	Y	F		F	F	**Suriname**	Y	F			F
Guadeloupe				AM	AM	**Trinidad & Tobago**	Y	F			F
Guatemala	Y		F		F	**Turks & Caicos**		AM			
Guyana	Y	F			F	**Venezuela**	Y				F
F = full member/AM = associated member / O = observer						**USA**			O		
						USVI					

Existing political commitments and declarations of intention (DoI)

Several international political commitments and declarations of intentions (DoI) relative to the governance, sustainable use, management and protection of the marine environment and its resources have been subscribed by CLME$^+$ countries. This is reflected, amongst others, in the ratification by CLME$^+$ countries of a series of global and regional Treaties and Conventions[68].

Key commitments and DoIs of CLME$^+$ countries under global Treaties and Conventions

United Nations Convention on the Law of the Sea (UNCLOS)

To date, most CLME$^+$ countries have ratified the 1982 United Nations Convention on the Law of the Sea (UNCLOS). UNCLOS came into force in 1994 and provides a framework agreement for the governance of maritime issues, including those related to the delineation of maritime boundaries. It defines the rights and responsibilities of nations in their use of the world's oceans, and establishes guidelines for businesses, the environment, and the management of marine natural resources, with the aim of lessening the risk of international conflict and enhancing stability and peace. It is a critically important framework in a region such as the CLME$^+$ where States are in close proximity to each other and where many economically important marine resources (incl. ecosystems/habitats and fish species) are highly transboundary in nature. Under UNCLOS Article 63, States that share fish stocks are also legally obligated to collaborate in its management.

FAO Compliance Agreement, UN Fish Stocks Agreement and FAO Code of Conduct

The **Agreement for the Implementation of the Provisions under UNCLOS relating to the Conservation and Management of Straddling Fish Stocks and Highly Migratory Fish Stocks (1995 UN Fish Stocks Agreement)** entered into force in 2001. By signing on to this agreement, CLME$^+$ signatories agree to the principle of international cooperation in the management of these fish stocks.

The **Agreement complements the 1993 FAO Agreement to Promote Compliance with International Conservation and Management Measures by Fishing Vessels on the High Seas (1993 FAO Compliance Agreement)**, through which signatory CLME$^+$ States agree to follow specific measures for fishing on the high seas (FAO, 2014).

Although voluntary, the **FAO Code of Conduct for Responsible Fisheries** provides a reference framework for the development of comprehensive and integrated policies for improved fisheries management and food security. The Code sets out the principles and international standards of behaviour for responsible practices with a view to ensuring the effective conservation, management, and development of living aquatic resources, with due respect for the ecosystem and biodiversity. The recently adopted **Voluntary Guidelines for Securing Sustainable Small-Scale Fisheries in the Context of Food Security and Poverty Eradication**, a complement to the Code of Fisheries, seeks to enhance the contribution of small-scale fisheries to food security and nutrition and to support the progressive realization of the right to adequate food through empowering small-scale fishing communities to participate in decision-making, enjoy their human rights, and assume responsibilities for sustainable use of fishery resources.

Convention on Biological Diversity (CBD)

Most CLME+ countries have also ratified the **Convention on Biological Diversity** (CBD; UN Conference on Environment and Development (UNCED), Rio de Janeiro). As a comprehensive, binding agreement, the CBD requires signatories to develop and implement national strategies for the sustainable use and protection of biodiversity.

At the 10th meeting of the Conference of Parties (COP), held in Nagoya, Aichi Prefecture, Japan, a Strategic Plan for Biodiversity (including the "Aichi Biodiversity Targets") was adopted for the period 2011-2020.

[68] It is important to note that not all CLME$^+$ countries have ratified the listed Treaties and Conventions. Table 4 illustrates the status of ratifications in the CLME$^+$.

Aichi Biodiversity Target 17 states that **National Biodiversity Strategies and Action Plans** (NBSAPs) are the principal instruments for implementing the Convention at the national level and requires countries to (i) prepare a national biodiversity strategy (or equivalent instrument), and to (ii) ensure that this strategy is mainstreamed into the planning and activities of all those sectors whose activities can have an impact (positive and negative) on biodiversity.

Table 3 – Aichi Targets of particular relevance for the marine and coastal environment of the CLME+

Aichi Target #	Target description	Target date
17	Countries have developed and adopted NBSAPs	2015
5	Rate of loss of natural habitats are halved	2020
6	Adoption of ecosystem-based approaches and that all fisheries are harvested sustainably	
8	Pollution has been brought to levels not detrimental to ecosystem function and biodiversity	
9	Invasive species are managed and brought under control	
11	10 per cent of coastal and marine areas are conserved through effectively and equitably managed, ecologically representative, and well-connected systems of marine protected areas (MPAs) and other effective area-based conservation measures	
12	Extinction of threatened species prevented	
14	Ecosystems that provide essential services, contribute to livelihoods and wellbeing, are restored, and safeguarded, taking into account the needs of women, indigenous and local communities, and the poor and vulnerable	

On July 12, 2021, the UN Convention on Biological Diversity Secretariat released the first official draft of a new Global Biodiversity Framework, to guide actions worldwide through 2030. The new framework includes 21 targets. The framework is under negotiations and is expected to be adopted in 2022.

RAMSAR Convention

The majority of CLME$^+$ countries are also a signatory to the Convention on wetlands of international importance (Ramsar Convention). The "Ramsar Convention" (1971) is an intergovernmental treaty that provides the framework for national action and international cooperation for the conservation and wise use of wetlands and their resources. Wetlands under the RAMSAR convention include coastal ecosystems such as mangroves, shallow coral reefs and coastal lagoons. The Conference of the Parties (COP) generally meets each 3 years, to approve the triennial work plan.

Other relevant global agreements that encourage the cooperation of States in the sustainable management of their marine resources include Agenda 21, the Johannesburg Plan of Action (JPOA), Rio+20, the Millennium Development Goals (MDGs), Barbados Programme of Action (BPOA), Mauritius Strategy (MSI) for the further Implementation of the BPOA, and Global Programme of Action for the Protection of the Marine Environment from Land Based Activities (GPA)[69].

Other relevant international agreements

Due to the wide-ranging scope of the PROCARIBE+ Project, other international treaties and agreements are of interest. For example, the United Nations Framework Convention on Climate Change and its Paris Agreement, as well as the United Nations Sustainable Development Goals are also relevant to consider in the context of the Project.

Commitments and DoIs of CLME$^+$ countries at the regional level

Cartagena Convention

[69] In addition to these, at the 69th Session of the United Nations General Assembly (UNGA), Member States discussed the report of the Open Working Group on the post-2015 "Sustainable Development Goals" (SDGs). The report includes a proposal for 17 goals and 169 targets, several of which are highly relevant to the sustainable management of shared marine resources

The **Convention for the Protection and Development of the Marine Environment in the wider Caribbean Region** (the "**Cartagena Convention**") entered into force in 1983. It is a comprehensive umbrella agreement. At the level of the wider Caribbean, it currently provides the only legal framework for cooperative action for the protection and development of the marine environment. By signing on to the Convention, States agree to adopt measures to prevent, reduce and control pollution. States are also required to take measures to protect and preserve fragile ecosystems and habitats, as well as threatened species. The Convention is supplemented by three Protocols: the Specially Protected Areas and Wildlife (SPAW) Protocol, the Land Based Sources of pollution (LBS) Protocol, and the Oil Spills Protocol. Although there are no specific targets articulated under the Convention and its related Protocols, targets are specified during the submission of the Assessment and Management of Environment Pollution (AMEP) and SPAW biennial work plans during the meetings of the contracting parties to the Convention.
The Cartagena Convention is not the only Multilateral Environmental Agreement applicable in the region. Other applicable agreements include the previously described Convention on Biological Diversity, and also MARPOL 73/78, the Basel Convention, and others. However, its more focused geographic scope makes the Cartagena Convention an important complement to other, global agreements.

The CLME+ Strategic Action Programme
The CLME+ SAP (2015-2025) was formally endorsed by a total of 35 Ministers representing 25 countries and 8 overseas territories of the region. The SAP presents priority strategies and actions required to improve the transboundary governance and management of shared living marine resources. The SAP is a key output of the first UNDP/GEF CLME Project (2009-2014), while the CLME+ Project worked towards advancing its implementation. The PROCARIBE+ Project will continue implementing the existing SAP and support the development of a new SAP for the period 2026-2035.

Global DoI on the Caribbean Sea

Through the United Nations Resolutions, A/RES/61/197 and A/RES/67/205 ***"Towards the sustainable development of the Caribbean Sea for present and future generations"***, the Caribbean Sea is recognized as an area of unique biodiversity and a highly fragile ecosystem that requires relevant regional and international development partners to work together to develop and implement regional initiatives to promote the sustainable conservation and management of coastal and marine resources.
Through its adoption by the UN General Assembly in 2012, the resolution offers a high-level and up-to-date common basis upon which Caribbean States can take concerted action among themselves, and upon which they can enlist global cooperation, to meet the objectives of better long-term management of the ecosystem.

Membership of CLME+ States and Territories to global and regional multilateral environmental agreements

Table 4 indicates which States and Territories of the CLME+ region have ratified, accepted or acceded to multilateral environmental agreements.

Table 4 - Country ratification/acceptance/accession of global and regional multilateral environmental agreements.

	CBD	UNFCC	UNCLOS	UN Fish Stocks Agreement	FAO Compliance Agreement	MARPOL 73/78 (Annex I/II)	MARPOL 73/78 (Annex III)	MARPOL 73/78 (Annex IV)	MARPOL 73/78 (Annex V)	MARPOL Protocol 97 (Annex VI)	Cartagena convention	SPAW Protocol	LBS Protocol	CITIES	RAMSAR
Antigua & Barbuda	x	x	x			x	x	x	x	x	x		x	x	x
Aruba															
Bahamas	x	x	x	x		x	x		x	x	x		x	x	x
Barbados	x	x	x	x	x	x	x	x	x	x	x	x		x	x
Belize	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
Brazil	x	x	x	x	x	x	x	x	x	x				x	x
Colombia	x	x				x	x	x	x		x	x		x	x
Costa Rica	x	x	x	x							x			x	x
Cuba	x	x	x			x			x		x	x		x	x
Curacao															
Dominica	x	x	x			x	x		x		x			x	
Dominican Republic	x	x	x			x	x	x	x		x	x		x	x
France	x	x	x			x	x	x	x	x	x	x	x	x	x
Grenada	x	x	x								x			x	x
Guatemala	x	x	x			x	x	x	x		x			x	x
Guyana	x	x	x			x	x	x	x		x	x	x	x	
Haiti	x	x	x												
Honduras	x	x	x			x			x					x	x
Jamaica	x	x	x			x	x	x	x	x	x			x	x
Mexico	x	x	x		x	x			x		x			x	x
Netherlands	x	x	x	x		x	x	x	x	x	x	x		x	x
Nicaragua	x	x	x			x	x	x	x		x			x	x
Panama	x	x	x	x		x	x	x	x	x	x	x	x	x	x

	CBD	UNFCC	UNCLOS	UN Fish Stocks Agreement	FAO Compliance Agreement	MARPOL 73/78 (Annex I/II)	MARPOL 73/78 (Annex III)	MARPOL 73/78 (Annex IV)	MARPOL 73/78 (Annex V)	MARPOL Protocol 97 (Annex VI)	Cartagena convention	SPAW Protocol	LBS Protocol	CITIES	RAMSAR
St. Kitts & Nevis	X	X	X		X	X	X	X	X	X	X			X	
Saint Lucia	X	X	X	X	X	X	X	X	X		X	X	X	X	X
St. Vincent & Grenadines	X	X	X	X		X	X	X	X	X	X	X		X	
Suriname	X	X	X			X	X	X	X					X	X
Trinidad & Tobago	X	X	X	X		X	X	X	X		X	X	X	X	X
United Kingdom	X	X	X	X		X	X	X	X	X	X			X	X
USA	X	X		X	X	X	X		X	X	X	X	X	X	X
Venezuela	X	X					X	X	X	X		X	X	X	X

UNDP's Social and Environmental Standards

This Project covered by this ESMF will comply with UNDP's Social and Environmental Standards (SES), which came into effect in January 2021. These Standards underpin UNDP's commitment to mainstream social and environmental sustainability in its programs and projects to support sustainable development and are an integral component of UNDP's quality assurance and risk management approach to programming. The objectives of the SES are to:

- strengthen quality of programming by ensuring a principled approach
- maximize social and environmental opportunities and benefits
- avoid adverse impacts to people and the environment
- minimize, mitigate, and manage adverse impacts where avoidance is not possible
- strengthen UNDP and partner capacities for managing social and environmental risks
- ensure full and effective stakeholder engagement, including through mechanisms to respond to complaints from project-affected people.

In accordance with UNDP SES policy, the Social and Environmental Screening Procedure (SESP) has been applied to the project during the project development phase. Under this policy, a SES principle or standard is 'triggered' when a potential risk is identified and assessed as having either a 'moderate', 'substantial' or 'high' risk rating based on its probability of occurrence and extent of impact. Risks that are assessed as 'low' do not trigger the related principle or standard.

The screenings conducted during project development indicate that up to one of the thirteen social and environmental principles and standards have been triggered due to 'Substantial' risks:

- Standard 4: Cultural Heritage (due to the risk that activities were performed adjacent to or within a Cultural Heritage site. And also, the risk that the project could have adverse impacts to sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices).
- Standard 6: Indigenous Peoples (Due to the risk that project activities could take place in areas where indigenous peoples are present - including the project's area of influence, and due to the risk that the activities under the project could impact (positively or negatively) the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question))

The SESP was finalized during project preparation, as required by UNDP's Social and Environmental Standards (SES). The SESP identified six risks for this project that could have potential negative impacts in the absence of safeguards, two of those risks were rated as Substantial and four as Moderate. Therefore, the overall SESP risk categorization for the project is **Substantial**.

A summary of the risk significance under each SES principle and standard, and the project-level safeguard standards triggered by each project (indicated with ticks) are shown in Table 5 below.

Table 5 - Summary of safeguards triggered based on screening conducted during project preparation

Overarching Principle / Project-level Standard	
Principle 1: Leave No One Behind	✓ Moderate
Principle 2: Human rights	✓ Moderate
Principle 3: Gender Equality and Women's Empowerment	✓ Moderate
Principle 4: Sustainability and resilience	✓ Moderate
Principle 5: Accountability	✓ Moderate

Overarching Principle / Project-level Standard	
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management	✓ Moderate
Standard 2: Climate Change and Disaster Risks	✓ Moderate
Standard 3: Community Health, Safety and Security	✓ Moderate
Standard 4: Cultural Heritage	✓ Moderate
Standard 5: Displacement and Resettlement	✓ Moderate
Standard 6: Indigenous Peoples	✓ Substantial
Standard 7: Labour and Working Conditions	✓ Moderate
Standard 8: Pollution Prevention and Resource Efficiency	✓ Moderate
Number of risks in each risk rating category	
High	
Substantial	3
Moderate	
Low	0
Total number of project risks	**6**
Overall Project Risk Categorization	Substantial
Number of safeguard standards triggered	13

Gaps in policy framework

Further analysis of the legal and policy frameworks that apply to the project will be completed during the implementation of this ESMF (i.e., during the completion of further studies / targeted assessments including ESIAs and SESAs) to determine which standard (national, international or UNDP's SES) must be followed for each risk area.

e) Potential Social and Environmental Risks and Impacts

Introduction

UNDP uses its Social and Environmental Screening Procedure (SESP) to identify potential social and environmental risks and impacts, and opportunities associated with proposed projects.
Each project is scrutinized as to its type, location, scale, sensitivity, and the magnitude of its potential social and environmental impacts. All project components are screened, including planning support, policy advice, and capacity-building, as well as site-specific, physical interventions. Activities that will be completed under project co-financing are also included in the scope of the assessment.

Components of the Project

As detailed under Section 1.1, Project Description, activities are grouped into four components:

- **Component 1**: Region-wide multi-stakeholder cooperation, coordination, collaboration and communication for the protection, restoration, and sustainable use of marine and coastal ecosystems in the Caribbean and North Brazil Shelf Large Marine Ecosystems (EBM approach)
- **Component 2:** Enabling national environments for the protection, restoration, and sustainable use of coastal and marine resources (EBM/EAF)
- **Component 3:** Catalyzing actions by all sectors of society, at different spatial scales, for the protection, restoration, and sustainable use of marine and coastal natural capital ("blue economies").
- **Component 4**: Region-wide data/knowledge generation, management and sharing mechanisms supporting cooperation, coordination, collaboration, and synergistic action

Risk Classification
During preparation, the project was reviewed with UNDP's SESP. The analysis identified a range of potential social and environmental impacts associated with the project activities.
The SESP template (Annex 6 of the Prodoc) details the specific environmental and social risks that apply to the Project. The significance of each risk, based on its probability of occurrence and extent of impact, has been estimated as being either low, moderate, substantial, or high. Based on the significance of these individual risks, the project has been allocated an overall SESP risk categorization rating of "**Substantial**", the overall risk category being taken from the highest rating allocated to any individual risk

Substantial Risk: is defined by UNDP's SES8F[70] as "*Projects that include activities with potential adverse social and environmental risks and impacts that are more varied or complex than those of Moderate Risk projects but remain limited in scale and are of lesser magnitude than those of High-Risk projects (e.g., reversible, predictable, smaller footprint, less risk of cumulative impacts)"*

Environmental and Social Impacts and Risks

The following are the social and environmental risks of the Project, as identified in the SESP (Annex 6 of the Prodoc**):**

Risk 1: Given the variety of political regimes and regulatory frameworks in the CLME+ region, and constraints with human and financial capacities, there is a risk that the project does not use an inclusive approach towards engaging stakeholders, including indigenous and local communities,

[70] UNDP SES, page 47.

which could potentially limit the capacities and opportunities of those stakeholders to exercise their rights and to actively participate in decision-making processes that may affect them. To mitigate this risk the **Stakeholder Engagement Plan** identifies all potential project stakeholders - including governmental, civil society,private sector stakeholders, gender stakeholders and indigenous communities - and outlines a process for the effective inclusion of a wide variety of actors in project design and implementation. Additionally, the project seeks to create capacities at the country level on different topics and it will promote several tools for securing effective communication for mitigating this risk, and for participatory decision making throughout project implementation. Finally, the Indigenous Peoples Planning Framework (Section 9.3 of the ESMF) includes guidelines to ensure adequate participation by Indigenous Peoples.

Risk 2: **Climate change impacts** can cause increasing threats to already vulnerable coastal and marine habitats in the CLME$^+$ region. As such, there is the risk that some of the project activitesactivities under Component 3 may be sensitive or vulnerable to the potential impacts of climate change. The ESMF outlines procedures for screening, assessing, and managing the risks for activities under this component. These guidelines will help determine if specific assessments are required, considering available scientific information on climate change at the regional, country and area levels, as well as appropriate management measures.

Risk 3: The initiatives proposed for Component 3, which focus on catalyzing actions for the protection, restoration and sustainable use of marine and coastal natural capital may take place within or adjacent to critical habitats, sensitive areas, areas important to local communities, or areas designated as Cultural Heritage sites. If poorly designed or implemented, those initiatives carry potential risks related to economic and physical displacement, as well as risks of limiting access to natural resources. To mitigate this risk the ESMF outlines the procedures for assessing environmental and social impacts and risks that may be derived from interventions under Component 3. The ESMF also includes eligibility criteria for these interventions, excluding those activities that could have significant negative impacts on sensitive areas or cultural sites. Where economic displacement cannot be avoided, the required assessments and management plans (Livelihood Action Plan, as part of the Environmental and Social Management Plan) will be prepared during project implementation. The ESMF also identifies the need to develop management measures to be implemented in those projects where low-magnitude negative impacts to natural or cultural sites cannot be avoided, including the development of Environmental and Social Management Plans. In the case that, during implementation, project activities are identified to have potential impacts on indigenous peoples or indigenous lands, the culturally appropriate consultations will be initiated with the objective of achieving agreement and FPIC, and an Indigenous Peoples Plan will be developed.

Risk 4: There is a risk that some of the activities to be developed under the micro-financing scheme could cause adverse impacts to habitats and/or ecosystems. The potential improper design of nature-based solutions may inadvertently release untreated pollutants into the environment. The projects to be financed under this scheme will be determined during project implementation. Any proposed activity will be conducted using established international best practices and in adherence to the UNDP SES.

Risk 5: There is a risk that some of the activities defined under the project could result in discrimination against women and marginalized youth and vulnerable communities and limit their active participation in project design and implementation, as well as in the distribution of benefits derived from the Project. Also, affected stakeholders might voice grievances or objections to the project which, if not properly managed, could lead to resistance to the project and implementation delays. Several actions are in place to mitigate this risk. A Gender Analysis and Action Plan and budget has been developed to ensure the adequate integration of women and youth in the implementation

of the project. The **Gender Action Plan** determines the measures that will be undertaken to address this risk. The project results framework has explicitly mainstreamed gender dimensions with the correspondent budget; confirming that the gender action plan can be implemented during project lifetime. Management measures include: (a) the implementation of the gender action plan and monitoring of the project´s gender-related indicators. (b) the establishment of a Project Gender Working Group (PGWG) for the project to strengthen gender information, participation, and representation in the project's scope of action. The PGWG will aim at articulating the existing gender plans of the relevant institutions participating in the PROCARIBE+ project; identify gaps and opportunities for increasing gender participation and representation in the PROCARIBE+ governance mechanisms, such as the regional Ocean Coordination Mechanism (OCM), and propose specific actions for advocacy. (c) The project team will have gender equality specialized personnel providing technical support for the application of the gender action plan and related actions. (d) Affirmative actions will be taken to develop gender and youth-sensitive proposals under the microfinancing scheme, which will facilitate participation, access to benefits, and economic empowerment. With these actions, relevant learnings can be generated and promoted for replication and escalation. (e) Gender aspects will be integrated into national MSP processes to be pursued under the project, guidelines will be developed by a gender consultant to promote the full integration of gender in the design and implementation of the planning processes. (f) Specific learnings of mainstreaming gender in the PROCARIBE+ project and its associated governance mechanisms will be documented and promoted through the IW-Learn Gender Hub. (g) The project team will have a Gender Equality and Safeguards Specialist (GSS) which will provide technical support for the gender action plan and related actions. During the project inception phase, the project team will be trained on how to integrate gender equality approaches in the project activities. A corresponding budget has been assigned to develop the activities of the gender action plan. (h) The implementation of the project will integrate affirmative actions to integrate gender equality and youth as a cross-cutting issue. It will record sex and age data in participation, include gender considerations in hiring and procurement, as well as in reporting. There will also be special attention given to gender inclusive language.

In terms of grievances, guidelines for the implementation of a **Grievance Redress Mechanism** (GRM) are included in the ESMF. The GRM will operate during project implementation and will be used to manage and resolve potential grievances and dissatisfaction raised by any affected stakeholder of the project. The guidelines for the GRM are included in the ESMF.

Risk 6: Under the micro-financing scheme, it is possible that the pilot initiatives do not respect established labour laws and standards, and do not provide adequate working conditions for hired personnel. The required health and safety measures and related labor laws will be assessed as part of the specific assessments, and mitigation measures included in the required ESMPs.

Additional details on project-specific risks are included in the SESP (see **Annex 6 of the Prodoc)**.

f) Procedures for Screening, Assessing and Managing Social and Environmental Impacts

This Section describes the procedures for screening, assessing, and managing social and environmental impacts and risks of activities to be financed by the Project.

Screening, assessment, and management of social and environmental impacts is required both for known potential impacts (which are currently identified by the SESP and included in the previous section of this ESMF), as well as for currently unknown impacts from project activities which are not yet fully specified.

For each of these scenarios, the following measures are required to ensure compliance with the social and environmental standards.

Screening, Assessment and Management of Impacts and Risks

The SESP has identified foreseen project impacts which apply across the range of project components and activities to be financed. The process has established significance ratings for each identified risk, and prescribed measures for further assessment. The risks are based on the broad scope of project activities, outputs and outcomes currently identified, and the allocated significance rating of Low, Moderate or Substantial is based on a precautionary approach.

Based on this screening, Table 6 was prepared, including the project activities by component, along with the impact/risk screening, assessment and management required in order to ensure compliance with the SES.

Table 6 - Impact and Risk Screening, Assessment and Management Measures by Project Activity

Component / Output	Screening	Assessment	Management
Component 1: Enhanced regional coordination and collaboration			
Activities include: ● Operationalize a Regional Ocean Coordination Mechanism and support for (a) wide-ranging ocean partnership(s) ● Support and monitor implementation of the 2015-2024 Strategic Action Programme (SAP) ● Development of the new 2025-2034 multi-stakeholder Strategic Action Programme (SAP)	The activities related to the Ocean Coordination Mechanism (Output 1.1.1.) and the Strategic Action Programme (Output 1.1.2.) can have implications on the development of policies and plans that could ultimately lead to the adoption of adverse social and environmental practices, including related to the use of resources (which carries the risk of impacting livelihoods). There could also be possible restrictions to the participation of interested stakeholders, including indigenous communities and other vulnerable groups.	The SAP development process will apply a Strategic Environmental and Social Assessment (SESA) approach to identify and help assess whether the new SAP could lead to new policies, plans and programmes that may give rise to adverse social and environmental effects.	Mitigation measures resulting from the SESA analysis will be integrated in the SAP.
Component 2: Enhanced national capacity and enabling conditions			
Activities include: ● Advocacy for National Inter-sectorial Committees (NICs), adequately connected to the regional OCM, and supporting relevant national processes ● Development of National-level Blue Economy Scoping Studies and/or Report on status of marine environment and associated economies (SOMEE) and/or support for Natural Capital Accounting ● Training & Capacity Building ● Support efforts to mainstream the marine environment in 2025 Nationally Determined Contributions	Risk of exclusion of relevant stakeholder groups in the activities of the project, including indigenous communities and other vulnerable groups A SESP will be used to assess the possibility of exclusion	● Low risk activities (as determined by application of SESP) will require no further assessment ● Moderate risk activities may require targeted assessments ● High risk activities will not be implemented .	● Low risk activities (as determined by application of SESP) will require no further management measures ● Moderate risk activities may require targeted management measures All management measures need to be appropriately disclosed
Component 3: Stress Reduction / Blue Economy			
GEF Small Grants Program for Civil Society and MSME action	● Screening of grant proposals will include application of SESP to	● Low risk proposals (as determined by application of	● Low risk proposals (as determined by application of

Component / Output	Screening	Assessment	Management
	identify potential social and environmental risks / impacts	SESP) will require no further assessment ● Moderate risk proposals may require targeted assessments ● High risk proposals will not be eligible for financing Given the size of grants (<50k), it is expected that most proposals would fall under the low-risk categorization.	SESP) will require no further management measures ● Moderate risk proposals may require targeted management measures ● All management measures need to be appropriately disclosed
Implementation of traceability systems for key fisheries and seafood products: spiny lobster, queen conch, shrimp	Application of SESP to identify potential social and environmental risks/impacts for each traceability system to be developed at pilot level or upscaled from previous pilot activity.	● Low and moderate risk implementations will require no further assessment, or targeted assessments, respectively ● Substantial risks implementations will require an appropriately scoped SESA, including disclosure and stakeholder consultations, and FPIC where applicable.	● Low and moderate risk implementations will require no further management measures, or targeted management measures, respectively ● Substantial risk implementations will require an appropriately scoped ESMP, including a Livelihood Action Plan and/or an Indigenous Peoples Plan, where applicable, disclosure and stakeholder consultations, and FPIC where applicable, following the Indigenous Peoples Planning Framework in Section 1.19 of this ESMF. FPIC shall be conducted prior to proceeding with these activities.
Enhanced gear and fishing practices in spiny lobster fisheries: Pilot country Honduras	Application of SESP to identify potential social and environmental risks/impacts of Honduras pilot (once its detailed scope is defined)	● If pilot scope is determined to be low risk, no further assessment required ● If pilot scope is determined to be medium risk, a targeted assessment may be required.	● Low risk: no further management measures required

Component / Output	Screening	Assessment	Management
		• If pilot scope is determined to be substantial risk, an appropriately scoped ESIA is required, • Disclosure and stakeholder consultations for all assessments conducted	• Medium-risk, targeted management measures may be required. • Substantial/High risk: May require an ESMP, including a Livelihood Action Plan and/or an Indigenous Peoples Plan, where applicable, including FPIC, following the Indigenous Peoples Planning Framework in Section 1.19 of this ESMF. FPIC shall be conducted prior to proceeding with these activities. • Disclosure of all management measures
Implementation of Blue Economy/Marine Spatial Planning/Marine Protected Areas across the region, including: • Dominican Republic (Increased protection and/or extension for existing MPAs, and MSP processes (coarse-scale and one finer scale for one pilot site)) • Colombia (Implementation of new MPA (development of management plans); Multi-sectoral MSP process in Cartagena Bay) • Mesoamerican Reef Region – Belize, Guatemala, Honduras (Designation of no-take zones; Development of a proposal to designate a Particularly Sensitive Sea Area (PSSA) under the International Maritime Organization (IMO) • Trinidad and Tobago (Multi-sectoral MSP in Gulf of Paria) • Venezuela (Multi-sectoral MSP)	Application of SESP to identify potential social and environmental risks/impacts of each activity	• Low and moderate risk implementations will require no further assessment, or targeted assessments, respectively • It is expected that some implementations might result in a substantial risk categorization, due to risks of economic displacement or impacts on indigenous peoples. Substantial risks implementations will require an appropriately scoped SESA, including disclosure and stakeholder consultations, and FPIC where applicable.	• Low and moderate risk implementations will require no further management measures, or targeted management measures, respectively • Substantial/High risk implementations may require an appropriately scoped strategic ESMP, including a Livelihood Action Plan and/or an Indigenous Peoples Plan where applicable, disclosure, and FPIC where applicable, following the Indigenous Peoples Planning Framework in Section 1.19 of this ESMF. FPIC shall be conducted prior to proceeding with these activities.

Component / Output	Screening	Assessment	Management
Creation of enabling conditions to implement a carbon credits-based sustainable financing instrument for seagrasses and tropical peatlands in Panama. Three pilot sites were identified for conducting carbon stocks assessments and developing management plans to increase the protection of the sites. The sites are located in the territories of indigenous peoples (Indigenous Comarca of Ngäbe Buglé and Inidgenous Comarca of Ngäbe-Bugle)	Application of SESP to identify potential social and environmental risks/impacts of the development of the assessments and plans	• Site-based activities determined as low and moderate risk will require no further assessment, or targeted assessments, respectively It is possible that some of the activities in the pilot sites might result in a substantial risk categorization, due to potential impacts on indigenous peoples. Substantial risks activities will require an appropriately scoped SESA, including disclosure and stakeholder consultations, and FPIC where applicable.	• Low and moderate risk activities will require no further management measures, or targeted management measures, respectively • Substantial/High risk activities may require an appropriately scoped strategic ESMP, including a Livelihood Action Plan and/or an Indigenous Peoples Plan where applicable, disclosure, and FPIC where applicable, following the Indigenous Peoples Planning Framework in Section 1.19 of this ESMF. FPIC shall be conducted prior to proceeding with these activities.
Other activities under component 3 include regional training events, development of baseline studies, mapping and other knowledge products, creation of working groups, etc.	No environmental or social impacts or risks are expected to be derived from these activities.	N/A	N/A
Component 4: Regional Marine Data Infrastructure and Knowledge Exchange			
Other capacity building activities such as: • Knowledge Management Platform of the OCM • Marine Data Management Landscape & Infrastructure for the region • Fully developed and updated regional SOMEE • Mandatory support to IW:LEARN (global exchange among LME projects)	No environmental or social impacts or risks are expected to be derived from these activities.	N/A	N/A

f) General Guidelines for Assessment and Management of Impacts and Risks

Assessment of Impacts and Risks

All activities in the previous section which, as screened by SESP, are determined to be **low risk** will require no further assessment, and are free to proceed.

Moderate risk activities, as determined by application of SESP, require a targeted, focused analysis depending on the negative risks and impacts identified during the screening process. Moderate risk activities will not require an ESIA. In cases where the negative social and environmental risks are limited in number and can be easily avoided, the analysis and recommended actions contained in the SESP will be sufficient.

Where the nature or extent of the social and environmental risks requires additional analysis, a focused assessment will generally consist of a standalone study with proposed mitigation measures (such as a Risk Assessment Study, or a Baseline Pollution Study). In terms of disclosure, any specific assessments and management plans need to be disclosed and consulted on at least 30 days prior to the initiation of activities.

Substantial risk activities will require either an ESIA (for specific activities) or a Strategic Environmental and Social Assessment (SESA) in the case of plans or policies (or instrument informing plans or policies). ESIAs must conform to the country's environmental assessment laws and regulations, its obligations under international law, and the requirements of UNDP's SES. An indicative outline of an ESIA report is included in Section 9.1. In terms of disclosure, draft ESIAs/ESMPs need to be disclosed and consulted before being finalized.

In the case certain project activities would be rated as High, it will be necessary to fully assess the potential impacts using a full ESIA or SESA.

Management of Impacts and Risks

Activities determined to be **low risk** (by application of the SESP) will require no further management measures, and are free to proceed.

Moderate risk activities may require the design of targeted management measures (such as stand-alone management plans), depending on the negative risks and impacts identified during the screening process. Further information on stand-alone management plans can be found on the UNDP website[71].

Substantial and High risk activities may require the development of environmental and social management plans (ESMPs), which will detail the avoidance and mitigation measures and actions required to address the project's potential and social environmental risks and impacts.

The ESMPs will include as a minimum:

- measures to avoid, reduce, mitigate, and manage potential impacts;
- stakeholder engagement, and plans for stakeholder engagement during implementation of management measures;
- actions to implement mitigation measures for each identified risk and impact;
- monitoring and reporting plans;
- a summary of identified adverse social and environmental impacts and risks that could not be avoided or remain after impact minimization efforts;
- capacity development and training arrangements;

[71] https://info.undp.org/sites/bpps/SES_Toolkit/Pages/Homepage.aspx

- roles and responsibilities;
- implementation schedules, cost estimates and funding sources.

Impact management will adhere to the "mitigation hierarchy" model. Where possible, adverse impacts will be "designed out" – i.e., the design of project activities will be amended or adjusted so as to avoid the identified impacts. Where this is not possible, measures will be developed, in conjunction with stakeholders, to reduce, minimize, mitigate, or compensate those impacts.

An indicative template is appended to this document (**Annex 10.3**), outlining the required ESMP sections. Additionally, activities that may have impacts or risks on indigenous peoples will require the preparation of an Indigenous Peoples Plan, following the guidelines on the **Indigenous People Planning Framework** (**Section 9.3**). When the IPP determines the need for FPIC, no activities can proceed until FPIC has been conducted.

The above required assessments and management plans must be prepared and mitigation measures in place, per those plans, prior to the initiation of any project activity that may cause adverse impacts, in particular any infrastructure works. Disclosure and stakeholder consultations and monitoring of all management measures is required.

g) Institutional Arrangements and Capacity Building

Roles and responsibilities for implementing this ESMF
The roles and responsibilities of project staff and associated agencies in the implementation of this ESMF is as follows.

Implementing Partner
The Implementing Partner for this project is the **United Nations Office for Project Services** (UNOPS). The Implementing Partner is responsible for executing this project. Specific tasks include:

- Project planning, coordination, management, monitoring, evaluation, and reporting. This includes providing all required information and data necessary for timely, comprehensive, and evidence-based project reporting, including results and financial data, as necessary. The Implementing Partner will strive to ensure project-level M&E is undertaken by national institutions and is aligned with national systems so that the data used and generated by the project supports national systems.
- Draw up terms of reference for services and consultancies, participate actively in the selection of consultants and/or Project working personnel.
- Manage risks as described in this Project Document.
- Approve and sign the multi-annual work plan; financial reports or financing authorization as well as spending certifications and approvals, and prepare all annual reports.
- Ensure that all the UNDP's SES requirements have been addressed as well as the legal frameworks/national policies and relevant international regulations.
- Be responsible for rendering accounts to the UNDP for overall Project management, including fulfillment of the UNDP's SES.
- Establish and support the GRM to address any grievances.

- Provide strategic guidance for Project implementation, including supervising safeguards and implementation of the ESMF.

UNDP as Development Partner

UNDP is accountable to the GEF for the implementation of this project. This includes overseeing project execution undertaken by the Implementing Partner to ensure that the project is being carried out in accordance with UNDP and GEF policies and procedures and the standards and provisions outlined in the Delegation of Authority (DOA) letter for this project.

In particular, UNDP's specific tasks include:

- Supervise all matters regarding safeguards;
- Ensure that the Stakeholder Response Mechanism is operational throughout the Project's duration;
- Verify and document the fact that all UNDP-SES requirements have been addressed;
- Offer technical guidance regarding the implementation of this ESMF, as well as administrative assistance in recruiting and hiring expert safeguard services (as necessary).

Project Coordination Unit

- Supervise and manage the implementation of the measures defined in this ESMF and specific assessments to follow;
- Assign specific responsibilities for the implementation of this ESMF and specific assessments to follow, including monitoring and community consultations;
- Maintain relevant records regarding social and environmental risk management, including up-dated SESP's, impact evaluations, evidence of consultations and FPIC, a record of complaints together with documentation of management measures implemented;
- Inform the Implementing Partner, the Steering Committee and the UNDP regarding implementation of the ESMF and the ESMP to follow;
- Ensure that all suppliers of services are informed of their responsibilities in the daily compliance with the ESMF and specific assessments to follow.

Capacity Building

In order to draw up terms of reference for site-specific assessments and supervise its development and implementation of the ESMF, a Gender and a Safeguards Specialists will be hired by the Project Coordination Unit.

The Gender and Safeguards Specialist will offer advice to Project teams in implementation of the ESMF, as well as preparation and monitoring of specific assessments.

The Project Steering Committee will, together with the Implementing Partner and the UNDP, have the final responsibility of ESMF and specific assessments supervision, including a review of the budgetary allocations required for each measure. When necessary, activities for capacity building and technical assistance will be included to adequately implement the measures associated with the ESMF, those will be determined during the implementation of the project.

h) Stakeholder Engagement and Information Disclosure

Discussions with project stakeholders commenced during the PPG stage and are documented in the **Stakeholder Engagement Plan** (Annex 9 of the ProDoc) and in the **Memoirs of engagement processes held during the PPG** (Annex 12 of the ProDoc). The Project has also prepared a **Gender Action Plan** (Annex 11 of the ProDoc).

These Plans will be followed to ensure that stakeholders are engaged in project implementation and particularly in the further assessment of social and environmental impacts and the development of appropriate management measures. The Project Stakeholder Engagement Plan will be updated during project implementation based on the assessments and management plans conducted in line with this ESMF, as needed.

Potentially affected stakeholders will be engaged during the implementation of this ESMF.

As part of the stakeholder engagement process, UNDP's SES requires that project stakeholders have access to relevant information. Specifically, the SES (SES, Policy Delivery Process, para. 21) stipulates that, among other disclosures specified by UNDP's policies and procedures, UNDP will ensure that the following information be made available:

- Stakeholder engagement plans and summary reports of stakeholder consultations
- Social and environmental screening reports with project documentation
- Draft social and environmental assessments, including any draft management plans
- Final social and environmental assessments and associated management plans
- Any required social and environmental monitoring reports.

As outlined in the SES and UNDP's Social and Environmental Screening Procedure (SESP), the type and timing of assessments and management plans vary depending on the level of social and environmental risk associated with a project as well as timing of the social and environmental assessment.

This ESMF (and the project SESP) will be disclosed via the UNDP website in accordance with UNDP SES policy. The subsequent project ESMPs or stand-alone management plan(s) will also be publicly disclosed via the UNDP website once drafted and finalized and adopted only after the required time-period for disclosure has elapsed.

These requirements for stakeholder engagement and disclosure will be adhered to during the implementation of this ESMF, and the subsequent implementation of the resulting ESMPs and any stand-alone management plans.

i) Accountability and Grievance Redress Mechanisms

UNDP's Accountability Mechanisms

UNDP's SES recognizes that even with strong planning and stakeholder engagement, unanticipated issues can still arise. Therefore, the SES are underpinned by an Accountability Mechanism with two key components:

1. A Social and Environmental Compliance Review Unit (SECU) to respond to claims that UNDP is not in compliance with applicable environmental and social policies; and
2. A Stakeholder Response Mechanism (SRM) that ensures individuals, peoples, and communities affected by projects have access to appropriate grievance resolution procedures for hearing and addressing project-related complaints and disputes.

UNDP's Accountability Mechanism is available to all of UNDP's project stakeholders.

The Social and Environmental Compliance Unit (SECU) investigates concerns about non-compliance with UNDP's Social and Environmental Standards and Screening Procedure raised by project-affected stakeholders and recommends measures to address findings of non-compliance.

The Stakeholder Response Mechanism helps project-affected stakeholders, UNDP's partners (governments, NGOs, businesses) and others jointly address grievances or disputes related to the social and/or environmental impacts of UNDP-supported projects.

Further information, including how to submit a request to SECU or SRM, is found on the UNDP website10F[72].

Project-level Grievance Redress Mechanisms

The Implementing Partner (UNOPS) will establish and implement, as described in the Project Document, a transparent, fair, and free-to-access project-level Grievance Redress Mechanism (GRM), approved by stakeholders, which will be put in place at the start of implementation.

Interested stakeholders may raise a grievance at any time to the Project Management and Coordination Unit, the Implementing Partner (UNOPS), the GEF Agency (UNDP), or the GEF.

The full details of the GRM will be agreed upon during project inception. The GRM procedures to be proposed to the Project partners and to be validated during inception phase are described below:

- An e-mail address and telephone number will be maintained throughout the Project to serve as a point of contact for consulting and expressing concerns. All queries, concerns and complaints will be recorded. For this purpose, a record form will be designed and both the Project staff and any other teams that are carrying out specific activities will be instructed about its use so it can be communicated to all Project stakeholders. When a problem is raised, especially with regards to community-based organizations in the sites where the demonstration experiences are being carried out, the following information will be recorded:
    - Time, date and nature of the query, complaint or concern;
    - Type of communication (for example, telephone, letter, personal contact);
    - Contact's name, address, and number;
    - Response and investigation carried out as a result of the query, complaint or concern;
    - Actions taken and name of the person who carried them out.

- All queries, complaints or concerns will be investigated, and a timely response will be given to whoever generated the query.

[72] http://www.undp.org/content/undp/en/home/operations/accountability/secu-srm/

- Addressing complaints will be the responsibility of a team conformed by the Project Steering Committee, the Implementation Partner, and a representative of the PMCU. The team will be responsible for: Addressing whatever concern, complaint or query that may arise; following up with a response/solution to this query, concern or complaint; interacting with the complainant; closing the issue in agreement with the complainant; and monitoring and evaluating the mechanism's effectiveness.

Once received, grievances will be classified in terms of its importance/urgency (high/medium/low), or declared non-admissible (in case it is not directly related to the project). The Implementing Partner will evaluate the grievance and file a response within 10 business days.

The safeguards focal point for the project will implement the following procedure:

- Receive and record any query or complaint by any of the open channels
- Recognize, evaluate and assign. First of all, reception will be confirmed through timely notification sent to the solicitors indicating that the complaint has been received and recorded, and that its eligibility will be evaluated. Furthermore, if the query is eligible, an initial organizational response will be generated.
- Work out an appropriate response. Responses can include: direct action to resolve the complaint; additional evaluation and commitment to the solicitor and other interested parties for determining jointly the best way to resolve the complaint (including mechanisms such as dialogue, mediation or negotiation), or the determination that the complaint is not eligible for further action.
- Communicate the response to the solicitor and seek an agreement. The response must be communicated to the solicitor in a timely manner and in writing in a language that is understandable to the solicitor.
- Implement the response for resolving the complaint. Once there is agreement between the solicitor and the PMCU personnel to advance with the action or procedure proposed by the interested parties, then the response must be implemented.
- Revise the response if it is not successful. In some cases, it may not be possible to reach an agreement with the solicitor regarding the proposed response, in which case the PMCU must review the problems with the solicitor, to see if some change in the response may resolve their concerns, those of the organization or other interested parties. If this is not possible, PMCU personnel must document the discussion with the solicitor as well as their informed choice.
- Close the request or remit it. The last step is to close the complaint. If the response has been successful, PMCU personnel must document the satisfactory resolution, in consultation with the solicitor. In cases where there are considerable risks, impacts and/or negative publicity, it may be appropriate to include written documentation from the solicitor to the effect that they are satisfied with the response. If this does not occur, the solicitor may have recourse to the SECU and the SRM.

i) Implementation Action Plan (Schedule and Budget) for ESMF Implementation

Table 7 below presents a summary of the Action Plan for ESMF Implementation, including schedules, costs and responsibilities.

Table 7 - Implementation Action Plan for ESMF

Activity	Description	Schedule	Roles and Responsibilities	Cost (per project, excl. staff time)
Screening of individual activities	Screening of individual activities to be financed by the project using SESP, for determination of risk category.	At least 120 days before initiation of each activity	Project M&E/ Gender and Safeguards Specialist(s)	Appx. $3,000 Time of Project Safeguards Specialist
Assessment of risks and impacts	Assessment of environmental and social risks and impacts, as required by the risk categorization. Targeted assessments for Moderate Risk projects, ESIA/SESA for Substantial risk projects	At least 90 days before initiation of subproject activities	External consultants (environmental and social) With guidance from UNDP, Project Manager, and Project M&E/ Gender and Safeguards Specialist	Approx. $12,000 for ESIAs or SESAs Total number of ESIAs / SESAs TBD based upon risk screening Cost estimated based on the development on 1 SESA (integrated in budget for Components)
Management of risks and impacts	Development of management plans (targeted management plans for Moderate Risk projects, ESMPs/IPPs for Substantial risk projects)	At least 45 days before initiation of subproject activities	External consultants (environmental and social) With guidance from UNDP, Project Manager, and Project M&E/ Safeguards Specialist	appx. 9,000 Up to $3000 for targeted management plans, $9000 for ESMPs/IPPs Total number of ESMPs/IPPs TBD based upon risk screening (cost estimated based on development of 3 plans)

Activity	Description	Schedule	Roles and Responsibilities	Cost (per project, excl. staff time)
				(integrated in budget for Components)
Disclosure	Disclosure of environmental and social due diligence documents, as required by SES and local legislation.	Typically, 30 days before initiation of subproject activities	UNDP CO, UNDP-GEF RTA, Project Manager, Project Safeguards Specialist	appx. 3,000 (Portion of the salaries of the Safeguard Specialist)

The total cost for the implementation of the ESMF will depend on the risk screening of activities to be financed (which will determine the number of Low/Moderate/Substantial activities).

k) Monitoring and Evaluation Arrangements

General Monitoring and Evaluation Arrangements
Project-level monitoring and evaluation will be undertaken in compliance with UNDP requirements as outlined in the UNDP POPP (including guidance on GEF project revisions) and UNDP Evaluation Policy. The **UNDP Regional Office** is responsible for ensuring full compliance with all UNDP project M&E requirements, including project monitoring, UNDP quality assurance requirements, quarterly risk management, and evaluation requirements.
Additional mandatory GEF-specific M&E requirements will be undertaken in accordance with the GEF Monitoring Policy and the GEF Evaluation Policy and other relevant GEF policies. The M&E plan and budget included below will guide the GEF-specific M&E activities to be undertaken by this project.
In addition to these mandatory UNDP and GEF M&E requirements, other M&E activities deemed necessary to support project-level adaptive management will be agreed – including during the Project Inception Workshop - and will be detailed in the Inception Report.

ESMF Monitoring and Evaluation Arrangements
Inception Workshop and Report: A project inception workshop will be held within 2 months from the First disbursement date. In terms of environmental and social monitoring, the inception workshop will update and review responsibilities for monitoring project strategies, including the SESP report, Social and Environmental Management Framework, IPPF, and other safeguards requirements; project grievance mechanisms; and gender strategy.

ESMF Implementation Monitoring: The ESMF and associated procedures will be assessed each year by the Project Steering Committee. The purpose of this assessment is to update the document to reflect knowledge gained during implementation, incorporate early lessons learnt, and incorporate results from the engagement with Project stakeholders. The ESMF, if required, will be reviewed and modified under the following conditions:

- If there are significant changes in the generally accepted environmental conditions or practices
- If new environmental or social risks are discovered including those that were not identified previously
- If the information from Project monitoring indicates that present control measures require changes in order to be effective
- If there are changes in environmental legislation that are relevant to the Project
- If there is a request made by the relevant regulating authority
- If there is any other change that will be implemented in the Project.

The monitoring activities, timelines, responsibilities, and cost are detailed in Table 8 below.

Table 8 - ESMF M&E plan and estimated budget

Monitoring Activity & Relevant Projects	Description	Frequency/ Timeframe	Expected Action	Roles and Responsibilities	Cost (per project, excl. staff time
Development of ESIAs, SESAs, ESMPs, IPPs	Development of ESIAs, SESAs, ESMPs, IPPs according to guidelines in ESMF for eligible activities to be financed under the Project.	First year of project implementation	Risks and potential impacts are assessed with support of external consultants and participation of project team and stakeholders; management actions identified and incorporated into project implementation strategies.	External consultants (environmental and social) With guidance from UNDP, Project Manager, and Project Management and Coordination Unit (PMCU)/ Safeguard Specialist	appx. 21,000 TBD, based on number of instruments to be developed
Implementation of mitigation measures and monitoring of potential impacts identified in ESMPs and specific plans	Implementation and monitoring of impacts and mitigation measures, in accordance with ESMPs and specific plans (including IPPs).	Continuous, once ESMPs are in place and works started	Implementation of ESMPs; participatory monitoring of targeted assessment findings (i.e., identifying indicators, monitoring potential impacts and risks); integration of ESMPs into project implementation strategies. Monitoring of environmental and social risks, and corresponding management plans as relevant	Project Manager, PMCU)/Safeguard Specialist, co-executing partners, oversight by UNDP Regional Office, PSC	appx. 5,000 TBD, based on targeted assessment.
Learning and Review	Knowledge, good practices, and lessons learned regarding social and environmental risk management will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project.	At least annually	Relevant lessons are captured by the project teams and used to inform management decisions, and correct courses of action.	PMCU/Safeguard Specialist	Staff time
Annual project quality assurance	The quality of the project will be assessed against UNDP's quality standards to identify project strengths and weaknesses and to inform management decision making to improve the project	Annually	Areas of strength and weakness will be reviewed and used to inform decisions to improve project performance	UNDP Regional Office, with support from PMCU/Safeguard Specialist	Staff time
Annual project implementation reports	As part of progress report to be presented to the Project Steering Committee and key stakeholders, analysis, updating and	Annually	Updates on progress of ESMF will be reported in the project's annual PIRs. A summary of the avoidance and mitigation of potential social and environmental impacts will be included in the program annual	UNDP-GEF RTA, Project Manager, PMCU/Safeguard Specialist	Staff time

Monitoring Activity & Relevant Projects	Description	Frequency/ Timeframe	Expected Action	Roles and Responsibilities	Cost (per project, excl. staff time
	recommendations for risk management will be included		report, sharing best practices and lessons learned across the program.		

Indicative Outline of an ESIA Report

An ESIA report should include the following major elements (not necessarily in the following order):
(1) Executive summary: Concisely discusses significant findings and recommended actions.
(2) Legal and institutional framework: Summarizes the analysis of the legal and institutional framework for the project within which the social and environmental assessment is carried out, including (a) the country's applicable policy framework, national laws and regulations, and institutional capabilities (including implementation) relating to social and environmental issues; obligations of the country directly applicable to the project under relevant international treaties and agreements; (b) applicable requirements under UNDP's SES; and (c) and other relevant social and environmental standards and/or requirements, including those of any other donors and development partners. Compares the existing social and environmental framework and applicable requirements of UNDP's SES (and those of other donors/development partners) and identifies any potential gaps that will need to be addressed.
(3) Project description: Concisely describes the proposed project and its geographic, social, environmental, and temporal context, including any offsite activities that may be required (e.g., dedicated pipelines, access roads, power supply, water supply, housing, and raw material and product storage facilities), as well as the project's primary supply chain. Includes a map of sufficient detail, showing the project site and the area that may be affected by the project's direct, indirect, and cumulative impacts. (i.e. area of influence).
(4) Baseline data: Summarizes the baseline data that is relevant to decisions about project location, design, operation, or mitigation measures; identifies and estimates the extent and quality of available data, key data gaps, and uncertainties associated with predictions; assesses the scope of the area to be studied and describes relevant physical, biological, and socioeconomic conditions, including any changes anticipated before the project commences; and takes into account current and proposed development activities within the project area but not directly connected to the project.
(5) Social and environmental risks and impacts: Predicts and takes into account all relevant social and environmental risks and impacts of the project, including those related to UNDP's SES (Overarching Policy and Principles and Project-level Standards). These will include, but are not limited to, the following:
(a) Environmental risks and impacts, including: any material threat to the protection, conservation, maintenance and rehabilitation of natural habitats, biodiversity, and ecosystems; those related to climate change and other transboundary or global impacts; those related to community health and safety; those related to pollution and discharges of waste; those related to the use of living natural resources, such as fisheries and forests; and those related to other applicable standards.
(b) Social risks and impacts, including: any project-related threats to human rights of affected communities and individuals; threats to human security through the escalation of personal, communal or inter-state conflict, crime or violence; risks of gender discrimination; risks that adverse project impacts fall disproportionately on disadvantaged or marginalized groups; any prejudice or discrimination toward individuals or groups in providing access to development resources and project benefits, particularly in the case of disadvantaged or marginalized groups; negative economic and social impacts relating to physical displacement (i.e. relocation or loss of shelter) or economic displacement (i.e. loss of assets or access to assets that leads to loss of income sources or means of livelihood) as a result of project-related land or resource acquisition or restrictions on land use or access to resources; impacts on the health, safety and well-being of workers and project-affected communities; and risks to cultural heritage.
(6) Analysis of alternatives: Systematically compares feasible alternatives to the proposed project site, technology, design, and operation – including the "without project" situation – in terms of their potential social and environmental impacts; assesses the alternatives' feasibility of mitigating the adverse social and environmental impacts; the capital and recurrent costs of alternative mitigation measures, and their suitability under local conditions; the institutional, training, and monitoring requirements for the alternative mitigation measures; for each of the alternatives, quantifies the social and environmental impacts to the extent possible, and attaches economic values where feasible. Sets out the basis for selecting the particular project design.

(7) Mitigation Measures: Summary of (with attachment of full) Environmental and Social Management Plan (ESMP) (see indicative outline of ESMP below.) The ESMP identifies mitigation measures required to address identified social and environmental risks and impacts, as well as measures related to monitoring, capacity development, stakeholder engagement, and implementation action plan.
(8) Stakeholders. Summarizes and links to project Stakeholder Engagement Plan or ESMP that includes plan for consultations. Includes summary of consultations undertaken for development of ESIA (see appendices).
(9) Conclusions and Recommendations: Succinctly describes conclusion drawn from the assessment and provides recommendations. Includes recommendation regarding the project's anticipated benefits in relation to its social and environmental risks and impacts.
(10) Appendices: (i) List of the individuals or organizations that prepared or contributed to the social and environmental assessment; (ii) References – setting out the written materials both published and unpublished, that have been used; (iii) Record of meetings, consultations, and surveys with stakeholders, including those with affected people and local NGOs. The record specifies the means of such stakeholder engagement that were used to obtain the views of affected groups and local NGOs, summarizes key concerns and how these concerns addressed in project design and mitigation measures; (iv) Tables presenting the relevant data referred to or summarized in the main text; (v) Attachment of any other mitigation plans; (vi) List of associated reports or plans.

Indicative outline of Environmental and Social Management Plan (ESMP)

UNDP Social and Environmental Standards. ESMP – Indicative Outline
An ESMP may be prepared as part of the Environmental and Social Impact Assessment (ESIA) or as a stand-alone document.5F[73] The content of the ESMP should address the following sections:
(1) Mitigation: Identifies measures and actions in accordance with the mitigation hierarchy that avoid, or if avoidance not possible, reduce potentially significant adverse social and environmental impacts (as identified in the *Preliminary Categorization and Screening Questionnaire* in **Section 4.1** of this ESMF) to acceptable levels.
Specifically, the ESMP: (a) identifies and summarizes all anticipated significant adverse social and environmental impacts; (b) describes – with technical details – each mitigation measure, including the type of impact to which it relates and the conditions under which it is required (e.g., continuously or in the event of contingencies), together with designs, equipment descriptions, and operating procedures, as appropriate; (c) estimates any potential social and environmental impacts of these measures and any residual impacts following mitigation; and (d) takes into account, and is consistent with, other required mitigation plans (e.g. for displacement, ethnic minorities).
(2) Monitoring: Identifies monitoring objectives and specifies the type of monitoring, with linkages to the impacts assessed in the environmental and social assessment and the mitigation measures described in the ESMP. Specifically, the monitoring section of the ESMP provides (a) a specific description, and technical details, of monitoring measures, including the parameters to be measured, methods to be used, sampling locations, frequency of measurements, detection limits (where appropriate), and definition of thresholds that will signal the need for corrective actions; and (b) monitoring and reporting procedures to (i) ensure early detection of conditions that necessitate particular mitigation measures, and (ii) furnish information on the progress and results of mitigation.
(3) Capacity development and training: To support timely and effective implementation of social and environmental project components and mitigation measures, the ESMP draws on the environmental and social assessment of the existence, role, and capability of responsible parties on site or at the agency and ministry level. Specifically, the ESMP provides a description of institutional arrangements, identifying which party is responsible for carrying out the mitigation and monitoring measures (e.g., for operation,

[73] This may be particularly relevant where contractors are being engaged to carry out the project, or parts thereof, and the ESMP sets out the requirements to be followed by contractors. In this case the ESMP should be incorporated as part of the contract with the contractor, together with appropriate monitoring and enforcement provisions.

supervision, enforcement, monitoring of implementation, remedial action, financing, reporting, and staff training).

Where support for strengthening social and environmental management capability is identified, ESMP recommends the establishment or expansion of the parties responsible, the training of staff and any additional measures that may be necessary to support implementation of mitigation measures and any other recommendations of the environmental and social assessment.

(4) Stakeholder Engagement: Outlines plan to engage in meaningful, effective and informed consultations with affected stakeholders. Includes information on (a) means used to inform and involve affected people in the assessment process; (b) summary of stakeholder engagement plan for meaningful, effective consultations during project implementation, including identification of milestones for consultations, information disclosure, and periodic reporting on progress on project implementation; and (c) description of effective processes for receiving and addressing stakeholder concerns and grievances regarding the project's social and environmental performance.

(5) Implementation action plan (schedule and cost estimates): For all four above aspects (mitigation, monitoring, capacity development, and stakeholder engagement), ESMP provides (a) an implementation schedule for measures that must be carried out as part of the project, showing phasing and coordination with overall project implementation plans; and (b) the capital and recurrent cost estimates and sources of funds for implementing the ESMP. These figures are also integrated into the total project cost tables. Each of the measures and actions to be implemented will be clearly specified and the costs of so doing will be integrated into the project's overall planning, design, budget, and implementation.

Indigenous People Planning Framework

Executive Summary

The lands and traditional territories of many indigenous peoples lie within the CLME+ Region.[74] The present Indigenous Peoples Planning Framework (IPPF) has been developed to consolidate available information on the indigenous peoples who could be influenced by PROCARIBE+ Project activities (mostly under Component 3) and to establish a framework to design and implement measures to address the potential risks for indigenous peoples identified in the Social and Environmental Screening Procedure (SESP) during the PPG phase (ProDoc Annex 6). Once the Project's implementation begins, new information will be gathered to update the findings of the SESP, and the need to replace this IPPF with an Indigenous Peoples Plan (IPP) will be assessed.

All UNDP projects shall comply with UNDP Social and Environmental Standards (SES) relating to indigenous peoples (Standard 6) and take into account indigenous peoples' international, regional and national human rights instruments.

With a view to ensure that the design of the PROCARIBE+ Project with regards to the participation of indigenous peoples is in-line with the SES standards of UNDP, this Planning Framework focuses on: 1) identifying the indigenous peoples in the CLME+ region, 2) analyzing the applicable legal framework for the participation of indigenous peoples' in the Project, 3) identifying potential impacts of the Project on indigenous peoples and, 4) presenting measures the Project could take to mitigate the identified impacts and risks.

This IPPF has identified potential positive and negative impacts for indigenous peoples related to PROCARIBE+. Positive impacts include an improvement of the sustainability of the ecosystems that are part of the indigenous peoples' territories, opportunities for capacity-building and entrepreneurship in the Blue Economy sectors, as well as, the potential sharing of benefits stemming from some of the Project's proposed actions. However, there are also risks that need to be managed as the Project may have possible impacts on the use and enjoyment of resources in indigenous territories, particularly under Component 3 (Catalyzing actions for blue economies), where the project aims to develop marine protected areas, marine spatial planning and a blue carbon project in indigenous territories of Panama.

Therefore, this IPPF identifies opportunities for the participation of indigenous peoples in the PROCARIBE+ project through a variety of means and processes. It also provides a series of applicable institutional arrangements for the implementation of the IPPF in accordance with the roles and responsibilities established for the Project. Finally, the Grievance Redress Mechanism presented in the ESMF was developed to ensure that indigenous peoples have an avenue to voice any possible violations of their rights.

[74] Of the 19 countries participating in the Project (Antigua and Barbuda, Brazil, Colombia, Costa Rica, Panama, the Bahamas, Belize, Cuba, Dominican Republic, Guatemala, Guyana, Haiti, Honduras, Jamaica, St. Kitts and Nevis, Saint Lucia, Suriname, Trinidad and Tobago, and Venezuela), Antigua and Barbuda, Cuba, Haiti, Jamaica, the Bahamas and St. Kitts and Nevis have no records of people who self-identify as indigenous peoples. Therefore, this IPPF focused on countries with registries of indigenous peoples.

Description of Indigenous Peoples and the Applicable Legal and Policy Framework

Considerations concerning the application of legal and policy frameworks

The existing legal framework for the protection of the collective rights of indigenous peoples can be categorized into International Human Rights Law (IHRL) norms and national or local norms. For the purposes of this document, the legal framework will be analyzed in general terms, but we shall note which States are, or not, party to the different treaties or the signatories of declarations related to indigenous peoples. In the case of national laws, these will be reviewed individually and the norms relating to indigenous peoples' rights will be identified.

IHRL provides useful criteria for determining when a given group can be considered an "indigenous people".[75] According to the International Labour Organization's Indigenous and Tribal Peoples Convention (Convention 169), its provisions apply to both indigenous and tribal peoples. The former are defined as "*peoples in independent countries who are regarded as indigenous on account of their descent from the populations which inhabited the country, or a geographical region to which the country belongs, at the time of conquest or colonisation […] and who, irrespective of their legal status, retain some or all of their own social, economic, cultural and political institutions*". It defines tribal peoples as those "*whose social, cultural and economic conditions distinguish them from other sections of the national community, and whose status is regulated wholly or partially by their own customs or traditions or by special laws or regulations*". In practice, this distinction refers to "*[a] people not indigenous to the region they inhabit […] but that share similar characteristics with indigenous peoples, such as having social, cultural and economic traditions different from other sections of the national community, identifying themselves with their ancestral territories, and regulating themselves, at least partially, by their own norms, customs, and traditions*".[76]

It is important to note that the collective rights of indigenous peoples, including their right to self-determination and to free, prior and informed consent (FPIC), differ from the standards for the protection of the rights of peasant, local or minority communities.

Likewise, as described below, many of the indigenous peoples and their respective traditional territories were divided by the borders of national States, resulting in transboundary peoples who have different degrees of protection of their rights depending on the State in which they are located.

UNDP Standard 6 on Indigenous Peoples

Standard 6 of the UNDP's Social and Environmental Standards (SES) requires that when developing and implementing projects that affect indigenous peoples, culturally appropriate consultation is carried out with the objective of achieving agreement and FPIC is ensured on any matters that may affect—positively or negatively — indigenous peoples' rights and interests, traditional livelihoods, lands, territories, natural resources, and Cultural Heritage.

The SES stipulates that UNDP's work with indigenous peoples is guided by the international human rights' legal frameworks[77] . Understanding how to implement FPIC processes in development projects is therefore essential, since: (i) UNDP as a UN agency is obligated by international law to apply FPIC in its projects when

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[75] http://cidh.org/countryrep/Indigenous-Lands09/Chap.III-IV.htm#_ftn12

[76] Inter-American Court of Human Rights. *Case of the Saramaka People v. Suriname*. (Preliminary Objections, Merits, Reparations, and Costs). Judgment of November 28, 2007. Serie C No. 172, § 79. *Cf.* https://www.corteidh.or.cr/docs/casos/articulos/seriec_172_ing.pdf.

[77] Normative Basis for Standard 6 (Partial Listing): Universal Declaration of Human Rights; International Covenant on Civil and Political Rights; International Covenant on Social, Economic and Cultural Rights; Convention Against all Forms of Racial Discrimination; Convention concerning Indigenous and Tribal Peoples in Independent Countries (ILO No. 169); Convention on Biological Diversity; The American Convention on Human Rights; The African Charter on Human and Peoples' Rights; UN Declaration on the Rights of Indigenous People. Also see the Legal Companion to the UN-REDD Guidelines on FPIC for a compendium of the existing international law and emerging State practice affirming FPIC.

required; (ii) a significant proportion of UNDP's portfolio affects indigenous peoples and their lands, territories, and resources; and (iii) the Vertical Funds have specific requirements around FPIC and indigenous peoples.

International Human Rights Law protection norms

In the case of IHRL, we can identify various protection systems, starting with those of the Universal System, which are global in scope and include norms such as the Indigenous and Tribal Peoples Convention, 1989 (N° 169) or the United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP). We can also identify regional norms, such as the American Declaration on the Rights of Indigenous Peoples (ADRIP) or the American Convention on Human Rights. Regarding the latter, it is important to point out that compliance with it is verified by the Inter-American System for the Protection of Human Rights through the Inter-American Commission on Human Rights (IACHR) and the Inter-American Court of Human Rights. The Inter-American Court of Human Rights has heard a series of cases relating to the rights of indigenous peoples and has generated important regional case-laws regarding consultation, and FPIC.

In the case of national norms and depending on the regulatory frameworks of each State, there are various norms that can be legally binding or not. In first instance, there are norms of a constitutional nature that recognize the existence of indigenous peoples, the multi-ethnic or pluri-national nature of the States, or the recognition of specific rights of indigenous peoples. Then, there are norms of a legal order that recognize indigenous peoples' collective rights. Lastly, there are norms of an *infra* legal nature, such as regulations, decrees or guidelines that regulate internally the rights recognized in the national legal and policy framework.

Convention N° 169 on Indigenous and Tribal Peoples

Convention 169 is the main binding treaty on the protection of the collective rights of indigenous peoples. It has been ratified by 24 countries, 15 of which on the American continent,[78] where it is binding. Among others, the Convention comprises two basic postulates: the indigenous peoples' right to maintain and strengthen their own cultures, ways of life and institutions, and their right to participate effectively in the decisions that affect them. Regarding the right to participate, it should be noted that, in its articles, the Convention recognizes the rights to consultation, participation and the right of peoples to FPIC. Where the PROCARIBE+ Project is concerned, the convention is in force in Brazil, Colombia, Costa Rica, Guatemala, Honduras and Venezuela.

The United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP)

The UNDRIP is the principal instrument affirming minimum standards on the rights of indigenous peoples. It establishes a series of mandatory norms regarding the rights of indigenous peoples, including the right to self-determination; rights over their lands, territories and resources; the preservation of their traditional knowledge; and, prior consultation and FPIC. Among the PROCARIBE+ Project countries where there is a registry of Indigenous Peoples, Guatemala, Honduras, Costa Rica, Belize, Trinidad and Tobago, Antigua and Barbuda, Jamaica, the Bahamas, Venezuela, Guyana, Suriname, Saint Lucia and Brazil voted for the adoption of UNDRIP. Colombia abstained from voting.[79]

The American Convention on Human Rights (ACHR) and the jurisprudence of the Inter-American Court of Human Rights (IACHR)

The ACHR is the main treaty for the protection of human rights in the American region. The evolutionary interpretation of the IACHR has made it possible to protect a series of rights of indigenous peoples

[78] Normlex - Information System on International Labour Standards. Ratification of C169 – Indigenous and Tribal Peoples Convention, 1989 (No. 169). Available at: https://www.ilo.org/dyn/normlex/en/f?p=NORMLEXPUB:11300:0::NO:11300:P11300_INSTRUMENT_ID:312314:NO

[79] United Nations Declaration on the Rights of Indigenous Peoples: resolution / adopted by the General Assembly. Available on: https://digitallibrary.un.org/record/609197?ln=en

concerning their participation and political rights; the protection of their lands, territories and resources; and consultation and FPIC. The jurisprudential progress in terms of recognizing the collective rights of indigenous peoples is part of the inter-American *corpus juris* and has influenced the internal norms of various States.

This said, strictly speaking, the jurisprudence of the IACHR, is applicable and binding only for the countries party to the contentious case in question. For instance, the *Case of the Garífuna Community of Triunfo de la Cruz and its members vs. Honduras* is binding and of mandatory compliance for Honduras. However, the interpretation put forth by the Court in the case at hand is also relevant for the other American countries.

Thus, in some of its judgments the IACHR has summarized the range of indigenous peoples' rights in terms of rights of participation and consultation. In particular, it is worth mentioning the case of the *Garífuna Community of Triunfo de la Cruz and its members vs. Honduras*, where the IACHR summarizes some of the main rights regarding participation and consultation. Among these, it reaffirms that "the right to consultation of indigenous and tribal peoples, in addition to being a treaty-based provision, is also a general principle of international law that is based, among others, on the close relationship said communities have with their land and on the respect of their rights to collective property and cultural identity".[80] Therefore, the State has an obligation "to ensure that indigenous and tribal peoples may participate in the decisions regarding measures that could affect their rights, especially their right to communal property, pursuant to their values, customs, and forms of organization".[81]

It also emphasizes that "the State must guarantee these rights to consultation and participation at all stages of the planning and implementation of a project or measure that may affect the territory […] or other rights essential to their survival as people. This must be conducted from the first stages of the planning or preparation of the proposed measure or project, so that the indigenous peoples can truly participate in and influence the decision-making process, in accordance with the relevant international standards".[82] Likewise, the State has the obligation to see that these rights "are not ignored in any other activity or agreement reached with private individuals, or in the context of decisions of the public authorities that would affect their rights and interests".[83]

The following annexes were delivered along with this document:

- a summary of the binding rulings on indigenous peoples in countries participating in the PROCARIBE+ Project and which could influence its implementation, namely for Guatemala, Honduras, Panama, Belize, Brazil and Suriname;
- an analysis of the national and international normative framework on indigenous peoples and human rights applicable to the PROCARIBE+ participating countries.

Indigenous peoples in the PROCARIBE+ Project participating countries

This section lists the indigenous and tribal peoples present in the coastal zones of the CLME+ region for the countries that will participate in the PROCARIBE+ Project. It is important to point out that the following criteria were used to identify the indigenous peoples: a) Indigenous and Tribal Peoples whose lands and territories are located in the coastal zones of the CLME+ Region; and, b) Indigenous and Tribal Peoples who, despite not being located in the coastal zones of the CLME+ region, **make use** of lands,

[80] *Case of the Garífuna Community of Triunfo de la Cruz and its members vs. Honduras*, paras. 158-160. *Cf.* https://www.corteidh.or.cr/docs/casos/articulos/seriec_305_ing.pdf

[81] *Idem.*

[82] *Ibid.*, §160

[83] *Idem.*

territories and their coastal and/or marine resources.[84] If other indigenous communities are identified during Project implementation, the IPPF will be updated.

According to these criteria, indigenous peoples were identified in:[85]

1. Guatemala: Garífuna and Q'eqchi';
2. Belize: Garífuna, Q'eqchi'/ Kekchi and Mopan;
3. Honduras: Miskitu, Pech, Tawahka and Garífuna;
4. Costa Rica: Bribri and Cabécar;
5. Panama: Ngöbe-Buglé, Guna Wargandi, Guna Madungandí, Guna Yala, Emberá Wounaan, Naso Teribe, Bribri, Bokotá;
6. Colombia: Barí, Arhuacos, Chimila, Emberá, Kankuamo, Kogui, Mokaná, Zenú/Senú, Tule/Kuna, Wayuu, Wiwa and Yuko/Yukpa;
7. Venezuela: Añú/ Paraujanos, Kumanagoto, Kari'ña and Warao;
8. Brazil: Galibi-Marworno, Karipuna, Palikur, Galibi do Oiapoque/ Kalina, Wajãpi/ Waiãpy and Potiguara;
9. Guyana: Arawak, Carib, Warrau and Akawaio;
10. Suriname: Kaliña, Lokono, Trio and Wayana;
11. Trinidad and Tobago: Santa Rosa First Peoples Community-SRCC;
12. Saint Lucia: Kalinago or Caribs;
13. Dominican Republic: Taíno.[86]

A repository of the indigenous peoples identified in the PROCARIBE+ participating countries, who meet the criteria established above, was handed-in as additional documents to this IPPF for reference during the implementation of the project.

[84] It should be noted that not all of the indigenous peoples present in each country are documented, but only those who come within the aforementioned criteria.

[85] No registry of indigenous peoples was found in Antigua and Barbuda, Cuba, Haiti, Jamaica, the Bahamas and St. Kitts and Nevis, therefore, according to the criteria used, these countries do not have indigenous peoples that may be influences by the Project.

[86] There is a group of people claiming the identity of the Taino indigenous people. No records were found of, among others, their territories, governance structures, or representation.

Potential impacts of the Project on indigenous peoples

The PROCARIBE+ Project aims to enable and develop sustainable and resilient ocean-based (blue) economies, through marine protected areas, marine conservation, sustainable fisheries and addressing land-based sources of pollution, while taking into account cross-cutting issues such as climate change, gender and post COVID-19 recovery. The table below presents an analysis of the potential impacts, both negative and positive, that the Project could have on indigenous peoples.

Table 9. Potential negative and positive impacts of the PROCARIBE+ Project components on the indigenous peoples of the PROCARIBE+ participating countries

Component	Outcomes	Outputs	Expected Impacts		Countries
			Negative	Positive	
COMPONENT 1: Region-wide multi-stakeholder cooperation, coordination, collaboration and communication for the protection, restoration and sustainable use of marine and coastal ecosystems in the Caribbean and North Brazil Shelf Large Marine Ecosystems (EBM approach)	Outcome 1. Coordinated, collaborative and synergistic implementation of regional, sub-regional and national (Strategic) Action Programmes and Plans in support of the CLME+ Vision, enabled through the OCM and partnerships, and a regional programmatic approach	1.1.1. Ocean Coordination Mechanism (OCM), and wide-ranging multi-stakeholder partnership(s) operational by latest 2024	Possible violation due to the adoption of new public policies through strategic action plans and programs that, for instance, could restrict access to and use of certain marine resources. Risk of exclusion of indigenous peoples' perspective in the operations of the OCM.	Possible improvement in the: i) conservation of marine resources; ii) reduction of pollution of marine areas; iii) degradation of marine ecosystems (loss of biodiversity and effects of climate change). Possible reduction of the impacts of natural disasters on indigenous territories in coastal areas.	Regional
		1.1.2. New 10-year multi-stakeholder regional Strategic Action Programme (2025-2034), endorsed at ministerial level	Risk of exclusion of indigenous peoples' perspective in the development of the SAP.	Possible improvement in the participation and inclusion in the SAP at different levels.	Regional
COMPONENT 2: Enabling national environments for the protection, restoration and sustainable use of coastal and marine resources (EBM/EAF)	Outcome 2. National-level capacity, enabling conditions and commitments for EBM/EAF and marine-based, climate and disaster-resilient "green-blue" socio-economic development	2.1.1. National Intersectoral Coordination Mechanisms (NICs) operational in at least 75% of OCM member countries, connected to the OCM (supporting national-level BE and MSP efforts)	Not applicable	The project will focus its activities on the promotion of the NICs, within the OCM framework and in the countries of the CLME+ region. No impacts are expected for indigenous peoples.	Regional
		2.1.2. National integrated "State of the Marine Environment" (SOMEE)	Not applicable	The reports and studies will provide additional	1 Blue Economy Scoping Study in

		reports, with Blue Economy (BE) Scoping/Natural Capital Accounting, delivered in min 5 countries by 2025 (supporting national-level BE and MSP efforts)		information and tools that may support the work and livelihoods of indigenous peoples.	Costa Rica and other countries to be defined
		2.1.3. Training delivered and/or made permanently accessible for all 44 CLME+ OCM States & Territories, supporting the integration of IWRM/IRBM, ICZM/MSP and Natural Capital Accounting, and underpinning the implementation of the LBS and SPAW Protocols, the source-to-sea approach, NDCs, 30x30 conservation targets, and related Regional and National Action Plans (RAPs) (in collaboration with IW:LEARN, CapNet, ESA, NDC partnership and UNDP Climate Promise): (incl. min. 30 trainers-of-trainers, targeting key stakeholders engaged in: MSP, SOMEE and NDC development, and IRBM (with special attention to gender balance and including practitioners from min. 10 of the 23 transboundary river basins draining into the CLME and NBSLME)	Risk of excluding indigenous peoples from training processes.	Capacity-building for indigenous peoples on IWRM/IRBM/ICZM/MSP and Natural Capital Accounting.	Regional
		2.1.4. Marine and coastal natural capital/Blue Carbon integrated in national-level climate change mitigation and adaptation commitments/efforts: (a) integration of coastal and marine natural capital/blue carbon in 2025 NDC's in min. 5 OCM member countries; (b) early delivery (by 2024) of 1 "best practice" NDC with fully developed marine component, + dissemination and promotion of wide-spread	Risk of exclusion of indigenous peoples by countries in the elaboration processes of the NDCs.	Possible improvement in the conservation of marine/coastal resources if countries are able to implement blue carbon projects.	Countries to be defined

		regional replication through the OCM and partnership(s); (c) integration of NDC, MSP/MPA and BE development efforts demonstrated in at least 1 country.			
COMPONENT 3: Catalyzing actions by all sectors of society, at different spatial scales, for the protection, restoration and sustainable use of marine and coastal natural capital ("blue economies")	Outcome 3.1 Civil Society and MSME contributions to ocean conservation and ocean-based sustainable development & livelihoods/blue economies, upscaled	3.1.1. Micro-financing schemes, supporting the implementation of key regional/national ocean instruments (SAPs, RSAPs, marine/coastal component of NDCs, ...) through Civil Society and MSME action: (a) delivery of min. USD 2.5 million (of which USD 1 million from UNDP/GEF SGP) in (replicable) small grants/micro-finance initiatives; (b) on-the-ground stress reduction/restoration and/or enhanced management practices at min. 30 coastal/marine sites, in min 7 countries. Priorities: nature-based solutions, ecosystem conservation/restoration, sustainable harvesting of ecosystem goods (incl. small-scale fisheries), development of sustainable "blue" businesses (incl. technological innovation), post-covid and post-hurricane, post-earthquake recovery, climate change mitigation and adaptation/resilience, and enhanced/alternative livelihoods; with special attention to gender, youth and households.	Possible exclusion of indigenous peoples from the benefits stemming from the micro-financing scheme. Potential risk of projects impacting indigenous peoples negatively.	Microfinance can facilitate the development, scaling or improvement of initiatives that contribute positively to stress reduction/the blue economy. Could increase the participation of indigenous peoples in productive activities	Countries with indigenous peoples: Saint Lucia.
	Outcome 3.2. Increased private capital supporting environmental stress reduction and sustainable climate-smart blue economy initiatives, supporting CLME+ SAP implementation and post COVID-19 recovery	3.2.1. Enabling conditions to implement carbon credits-based sustainable financing instruments for seagrasses and tropical peatlands: (pre-)feasibility studies including carbon stock assessments developed in 1 country (Panama, 3 pilot sites); methodologies tested and fine-tuned	Risk of exclusion of indigenous peoples' in the activities of the project. Enabling the subsequent development and	The blue carbon projects improve the health of marine/coastal resources. Capacity is developed among indigenous peoples to improve the	Countries: Panama

		for blue carbon project development and regional replication/up-scaling	deployment of a sustainable financial instrument based on carbon credits may affect the indigenous peoples' collective rights, which could range from the simple access to said areas through to the exploitation of their resources. I	health of marine/coastal resources.	
	Outcome 3.3. Expansion and integration of "Blue Economy", Marine Spatial Planning and MPA/OECM efforts across the region (ecosystem approach), supporting ocean-based socio-economic development, recovery and resilience (covid19, hurricanes) and progressive delivery on international targets in the fields of: marine conservation and climate change mitigation and adaptation	3.3.1. (a) BE and MSP planning in at least 8 countries, integrating blue economy (incl. sustainable fisheries and post-covid19 recovery), climate change mitigation and adaptation and ocean conservation objectives, and source-to-sea considerations; (b) regional target of at least 10% of CLME area under MSP enabled through the OCM and partnerships (2020 baseline = 5%)	Risk of imposing limitations on the use and control of indigenous peoples' traditional areas.	The MSPs result in better management of coastal-marine resources in indigenous territories.	Countries with indigenous peoples: Dominican Republic, Colombia, Venezuela, and Mesoamerican Barrier Reef (Belize, Guatemala, Honduras)
		3.3.2. Enhanced area-based ocean conservation (MPA/OECM) in at least 5 countries, covering at least 1,000,000 ha of coastal/marine space (expansion of, or newly created MPA's, and/or MPA's with increased protection levels/demonstrated enhanced management effectiveness, and/or equivalent* amounts of marine space under Other Effective Conservation Measures (OECMs))	Limitations on the indigenous peoples' use of traditional resources due to the enforcement of replenishment/no-take zones without the indigenous peoples having been duly consulted. Risk of harming indigenous peoples' livelihoods.	Improved conservation and sustainability of marine resources in indigenous territories.	Countries with indigenous peoples: Mesoamerican Barrier Reef (Belize, Guatemala, Honduras), Dominican Republic, Venezuela and Colombia.
	Outcome 3.4. Generalized implementation across the	3.4.1. (a) traceability systems in place for 3 selected key fisheries and 1	Risk that traceability measures could have a	The traceability standards have positive impacts on	Countries with indigenous

	Wider Caribbean/WECAFC region of traceability systems is enabled for key fisheries and seafood products, as a key measure for sustainability and against IUU	aquaculture products in min. 8 countries; by Project End % of exports (and equivalent approx. volume) from WECAFC region commercialized under regional traceability standard: min. 30% of regional spiny lobster exports (approx. 5,200 tons/yr) + min 39% of queen conch exports (approx. 400 tons/yr) + min 31% of shrimp (fisheries & aquaculture) exports (approx. 50,300 tons/yr); total = 55,900 tons/yr	negative impact on indigenous peoples participating in these fisheries, or making use of the same marine space where these fisheries take place . Risk that the associated public policies do not include the perspectives of indigenous peoples.	the indigenous peoples' productive activities.	peoples: Belize, Guatemala, Honduras, Brazil (tentative), Panama, Guyana, Suriname (tentative).
		(b) region-wide capacity generated to replicate/expand the traceability systems to min. 8 additional WECAFC countries, with the aim of achieving a total export volume of 94,800 tons/yr traceable by 2030 (i.e. 52% of all regional spiny lobster+queen conch+shrimp exports)	Risk that indigenous peoples' do not benefit from the generation of capacity on traceability measures Risk that the associated public policies do not include the perspectives of indigenous peoples.	The traceability standards have positive impacts on the indigenous peoples' productive activities.	Regional
	Outcome 3.5. Region-wide reduction of ghost fishing and habitat impacts from unsustainable spiny lobster fishing gear & practices, enabled	3.5.1. (a) on-the-ground solutions developed and tested to reduce negative environmental, fish stock and socio-economic impacts from unsustainable fishing gear and practices in industrial spiny lobster fisheries (with special attention to "ghost fishing"/lost and abandoned fishing gear);	The perspective of indigenous peoples is not included for the elaboration of measures/solutions to reduce unsustainable fishing practices. The proposed measures/solutions to reduce unsustainable fishing practices may impact indigenous peoples participating in these fisheries, or making use of the same marine space	Indigenous peoples' perspectives are included in the elaboration of solutions/measures to reduce the impact of unsustainable fishing practices. The expected outcome of the proposed measures/solutions has a positive impact on the sustainability and utilization of marine resources.	Countries: Honduras

			where these fisheries take place.		
		(b) provisions for the implementation of measures against ghost fishing and negative habitat impacts from spiny lobster fishing gear and practices, covering all countries active in the fishery in the WECAFC region (annual total catch volume of approx. 28.000 ton)	The indigenous peoples are not included in the participation spaces for elaborating measures/solutions to reduce unsustainable fishing practices.	The indigenous peoples participate in the elaboration of solutions/measures to reduce the impact of unsustainable fishing practices. The expected outcome of the proposed measures/solutions has a positive impact on the sustainability and utilization of marine resources.	Regional
COMPONENT 4: Region-wide data/knowledge generation, management and sharing mechanisms supporting cooperation, coordination, collaboration and synergistic action	Outcome 4.1 A well-articulated marine data, information and knowledge management infrastructure/network is enabled, (a) providing a science-policy interface; (b) supporting the development/updating, implementation and M&E of regional Action Programmes and Plans; (c) boosting and increasing the impacts of marine & coastal investments	4.1.1. Online HUB fully developed and operational, facilitating collaborative knowledge management by the OCM and partnerships (with well-articulated linkages to third-party data/information/knowledge sources/products)	Not applicable	The indigenous peoples have access to information and resources related to their territories.	Regional
		4.1.2. (a) Formally adopted "blueprint" for a regional Marine Data/Information/Knowledge Infrastructure (MDI); (b) MDI implementation enabled, and key elements put in place, through commitments and collaborative action by the Secretariat and Members of the OCM and partnership(s)	Not applicable	The indigenous peoples have access to information and resources related to their territories.	Regional
		4.1.3. Comprehensive, updated regional Transboundary Diagnostic Analysis: fully developed regional "State of the Marine Environment and associated Economies" (SOMEE), finalized by 2024 and informing preparation of the new 2025-2034 SAP	Not applicable	The SAP includes elements relating to the needs and aspirations of indigenous peoples.	Regional

	Outcome 4.2. Increased regional and global impacts from GEF IW investments through global dissemination and sharing of experiences, and by forging synergies with other Regional Seas/LME/Regional Fisheries programmes and the wider community of International Waters/Ocean practitioners & stakeholders	4.2.1. Strategic Alliance with IW:LEARN developed and implemented, piloting innovative approaches within the IW Portfolio and providing means for its replication (e.g. data & information management (DIM), use of Remote Sensing, integrated environmental & socio-economic assessments, TDA paradigm shift and BE, SAP implementation progress tracking, etc. (to be further fine-tuned/prioritized during PPG phase)	Not applicable	knowledge development for indigenous peoples.	Regional
		4.2.2 Support for and participation in GEF IW:LEARN and other Global Marine/LME community events (e.g. IW:LEARN conferences and workshops, twinning exchanges)	Not applicable	knowledge development for indigenous peoples.	Regional
		4.2.3. At least 6 best/good practice examples in coastal and marine ecosystem management and blue economies showcased/documented, exchanged and promoted through IW:LEARN (e.g. experience notes)	Not applicable	The good practices/lessons learnt are success stories to be replicated in other indigenous territories.	Regional

Procedures

Screening

In its scope of application, the UNDP Social and Environmental Standards Policy (SESP) and specifically "Standard 6: Indigenous Peoples" establishes the following:

> "The applicability of this Standard is established during the social and environmental screening, categorization and assessment process. This Standard applies to all projects that may affect the human rights, lands, natural resources, territories, Cultural Heritage and/or traditional livelihoods of indigenous peoples regardless of whether (i) the project is located within or outside of the lands and territories inhabited by the indigenous peoples in question, (ii) a title is possessed by the affected indigenous peoples over the lands and territories in question, or (iii) the indigenous peoples are recognized as indigenous peoples by the country in question".[87]

During the PROCARIBE+ Project's PPG stage, three risks relevant to indigenous peoples were identified in the SESP. Given that the Project activities will be defined in greater detail during the project's implementation, the evaluation of the risks and possible management measures to address them are preliminary.
As part of the Project monitoring process, the SESP will need to be updated periodically to inform any required additional management measure that needs to be taken into consideration in the Project's activities. For more details on the risks, see the ProDoc in Annex 6 (SESP).

During the screening process for project activities, if it is known that certain indigenous peoples will be impacted, then early consultations will be initiated in order to establish whether FPIC may be needed. This will be important to determine if relevant FPIC protocols/processes already exist and to communicate with the concerned indigenous peoples that their FPIC will be sought in accordance with international standards.

[87] https://info.undp.org/sites/bpps/SES_Toolkit/SitePages/Standard%206.aspx

Table 10. Preliminary risks, preventive controls and proposed management measures related to indigenous peoples

Risks related to indigenous peoples identified in the SESP	Preventive controls to mitigate the risks	Proposed management measures
Risk 1: Given the variety of political regimes and regulatory frameworks in the CLME+ region, and constraints with human and financial capacities, there is a risk that the project does not use an inclusive approach towards engaging stakeholders, including indigenous and local communities, which could potentially limit the capacities and opportunities of those stakeholders to exercise their rights and to actively participate in decision-making processes that may affect them.	The indigenous peoples have been duly mapped in the IPPF, as, too, the applicable legal frameworks to guide measures to reduce the risks of exclusion and encourage the participation and/or perspective of indigenous peoples in Project activities. The following steps should be followed regarding the indigenous peoples' participation: a) The actions that are to be undertaken and which could affect indigenous peoples should be evaluated, as well as whether these envisage their participation and/or FPIC; b) The participation of indigenous peoples, in particular of indigenous women and youth, should be promoted by public institutions and other interested parties that will collaborate in the Project.	The Stakeholder Engagement Plan (ProDoc Annex 9) and the Gender Action Plan (ProDoc Annex 11) will be used to ensure the engagement and participation of the relevant stakeholders, including the indigenous peoples, so as to make sure that all the interested parties are adequately consulted on the Project's activities. The Project's Monitoring Plan (Section VI Monitoring and Evaluation (M&E) Plan) defining the activities and indicators to be implemented and reported by the PMCU will support actions of inclusion, gender perspective and cultural relevance in the Project's activities. An Indigenous Peoples' Plan will be elaborated if it is considered that the activities of the project will affect indigenous communities. This plan will detail the activities that should be coordinated with the different countries, as well as with the indigenous peoples and their representative structures.
Risk 3: The initiatives proposed for Component 3, which focus on catalyzing actions for the protection, restoration and sustainable use of marine and coastal natural capital, may take place within or adjacent to critical habitats, sensitive areas, areas important to indigenous or local communities, or areas designated as Cultural Heritage sites. If poorly designed or implemented, those initiatives carry potential risks related to economic and physical displacement, as well as risks of limiting access to natural resources	To ensure compliance with the UNDP's SES, certain types of activities will not be financed or supported by the Project: ● Any activity that might adversely affect cultural heritage. ● Activities causing the physical displacement of local communities. ● Activities that could cause economic displacement without providing equivalent alternatives (Standard 5). ● Any activity that occurs in places where indigenous peoples live or with which they have a relationship, if there is no consultation (or FPIC process, as appropriate), through which the affected indigenous community has given their consent to the Project. The steps to be followed once the activities' scopes have been defined are: 1) In the early stages of the process, potential restrictions to the rights of indigenous peoples, including rights on the use and enjoyment of natural resources need to be identified.	An Indigenous Peoples' Plan will be elaborated if it is considered that the activities of the project will affect indigenous communities. This plan will detail the actions that need to be coordinated with the different countries, as well as with the respective peoples. It is important that the following elements be addressed: 1) The possible affectation of indigenous peoples' rights of access and use of resources is a high risk that requires undertaking a process of consultation or of FPIC. 2) Institutional arrangements need to be made that include, among others, the potential of recruiting personnel with expertise in indigenous peoples' rights, and training for project staff. 3) Possible actions that are culturally appropriate for indigenous peoples should be identified. The elaboration process of the SAP will use a Strategic Environmental and Social Assessment (SESA) to identify and manage potential economic displacement risks and other potential risks. The mitigation measures resulting from the

	2) In the case of MPAs, the IUCN classification and associated guidance related to indigenous peoples[88] should be considered 3) In the early stages of the process, the indigenous peoples that may potentially be affected by Project activities must be identified. To do so, the criteria established in this document for the "Identification of the Indigenous Peoples in the PROCARIBE+ participating countries" can be used. In the event that one or more indigenous peoples are identified, the measures indicated in the "Management Measures" column of this table should be implemented	SESA analysis will be integrated into the SAP development process.
Risk 5: There is a risk that some of the activities defined under the project could result in discrimination against women, marginalized youth and vulnerable communities, including indigenous communities, and limit their active participation in project design and implementation, as well as in the distribution of benefits derived from the Project. Also, affected stakeholders might voice grievances or objections to the project which, if not properly managed, could lead to resistance to the project and implementation delays.	The micro-financing scheme may exclude indigenous communities from appropriate benefits although it is noted that the only intervention country for this output where indigenous communities were identified is St-Lucia and this may therefore reduce the associated risk of exclusion. It is necessary to identify early whether the project's areas of impact can include: i) technical and financial support for indigenous-led initiatives; ii) projects which can be directed and implemented by indigenous peoples that contribute to PROCARIBE+' objectives. By identifying whether indigenous peoples could be potential recipients of the grants, affirmative actions can be taken to ensure that they are not excluded from any potential benefits.	The Stakeholder Engagement Plan (ProDoc Annex 9) and the Gender Action Plan (ProDoc Annex 11) will be used to ensure the engagement and participation of the relevant stakeholders, including indigenous peoples, so as to make sure that all the interested parties are adequately consulted about the Project's activities. The Project's Monitoring Plan (ProDoc Section VI Monitoring and Evaluation (M&E) Plan) defining the activities and indicators to be implemented and reported by the PMCU will support actions of inclusion, gender perspective and cultural relevance in the Project's activities. The implementation of the small-grants scheme should consider taking into account the principles and guidelines of the Global Environment Facility related to the engagement of indigenous peoples.[89]

[88] A series of guidance related to protected areas and indigenous peoples has been developed by the International Union for Conservation of Nature (IUCN). Among these, it is worth noting the Environmental and Social Management System (ESMS), including the Standard on Indigenous Peoples. Likewise, Resolution 4.052 from the 2018 World Conservation Congress calls for "mechanisms to address and redress the effects of historic and current injustices against indigenous peoples in the name of conservation of nature and natural resources".

[89] The Global Environment Facility. Principles and guidelines for engagement with indigenous peoples. https://www.thegef.org/sites/default/files/publications/Indigenous_Peoples_Principle_EN.pdf.

Additional evaluation and elaboration of an Indigenous Peoples Plan
Once the Project's implementation begins, new information will be gathered to update the SESP findings, to identify and assess potentially new risks, and to establish appropriate management measures, which will be taken into consideration when elaborating the Indigenous Peoples Plan (IPP), if said plan is deemed necessary following the updated SESP's findings.

As the planning and elaboration of the activities to be implemented progress, including an updated version of the stakeholder analysis, it will be determined whether indigenous peoples could be affected and whether FPIC processes should be triggered. The eligibility criteria for carrying out specific activities will rule out interventions where significant negative impacts on indigenous peoples are identified. If, during implementation, the Project's activities are found to have potential (low or moderate) negative impacts on the indigenous peoples or their lands, culturally appropriate consultations will be initiated with a view to reaching an agreement and FPIC, and an Indigenous Peoples Plan will be elaborated.

Appropriately scoped ESIA, ESMP or ESMF will be developed, as appropriate, for activities considered as Substantial or High risk.

If deemed necessary, the IPP will be elaborated by a specialized Social and Environmental Safeguards Specialist, the Project Management and Coordination Unit, and relevant stakeholders, with guidance from UNDP. The additional processes are described in section 4 of the ESMF.

Participation, Consultation and FPIC Processes
The GEF and UNDP recognize the importance of incorporating indigenous peoples through an intercultural approach based on their rights. This recognition should serve the purpose of ensuring that the interventions do not have negative impacts on them and that they are considered as stakeholders during the Project's formulation and implementation. This will be achieved by recognizing their traditional management practices, as well as identifying the communities whose identity and culture are linked to the land, territories and natural resources on which they depend. All of this needs to be managed within the framework of international agreements and international standards. The UNDP SES and in particular Standard 6 on Indigenous Peoples must be followed at all times during project implementation.
In the areas where there are indigenous peoples, the Project's actions aim to recognize the contributions and knowledge of the indigenous people and organizations present regarding the biodiversity in these territories and the practices linked to their conservation and sustainable use. To achieve this, the Project will apply a culturally relevant approach, when appropriate and needed, namely by:

- Taking into account the authorities and forms of organization that are specific to the peoples or organizations concerned;
- Taking into account the temporal aspects of the actions relating to the group's productive activity and cultural ceremonies, as well as other aspects relevant to it;
- Becoming familiar with the decision-making process and incorporating it into the Project's timelines and procedures to ensure optimal participation;
- Identifying the use and cultural significance given to certain areas of the territory that should be taken into account in the Project's actions;
- Incorporating the ways of treating men and women, adults and young people, girls and boys; and,
- Identifying and incorporating a language the group considers appropriate, so as to ensure its full understanding of the Project, its objectives and expected outcomes.

The rights to land, territories, waters and coastal seas (habitat)
According to UNDRIP, indigenous peoples have the right "to maintain and strengthen their distinctive spiritual relationship with their traditionally owned or otherwise occupied and used lands, territories,

waters, coastal seas and other resources and to uphold their responsibilities to future generations in this regard".[90] Among others, in its Article 27, it specifies that "States shall establish and implement, in conjunction with indigenous peoples concerned, a fair, independent, impartial, open and transparent process, giving due recognition to indigenous peoples' laws, traditions, customs and land tenure systems, to recognize and adjudicate the rights of indigenous peoples pertaining to their lands, territories and resources, including those which were traditionally owned or otherwise occupied or used". Similarly, the ILO stipulates that "the rights of the peoples concerned to the natural resources pertaining to their lands shall be specially safeguarded. These rights include the right of these peoples to participate in the use, management and conservation of these resources".[91]

In the same vein, in its Article 13, Convention 169 states that "governments shall respect the special importance for the cultures and spiritual values of the peoples concerned of their relationship with the lands or territories, or both as applicable, which they occupy or otherwise use, and in particular the collective aspects of this relationship," and interprets the concept of "lands" and "territories" as **"the total environment of the areas which the peoples concerned occupy or otherwise use**".

The aforementioned standards make it possible to affirm that the indigenous peoples settled in the CLME+ region of the countries participating in the PROCARIBE+ Project have a relationship with the habitats of the Wider Caribbean, which is part of their traditional "lands" and "territories", and they also have a relationship with the resources found in these areas. Thus, the activities and interventions of the PROCARIBE+ Project and the possibility of indigenous communities being subject to processes of participation, consultation and FPIC of the affected indigenous peoples must be analyzed in light of this relationship.

On the indigenous peoples' right to participation

In all the standards, the right to participation has a broad and transversal approach. A review of some of the most relevant articles of Convention 169 and the UNDRIP shows that, in general, indigenous peoples have the right to participate in the adoption of decisions, programs, policies, norms and, in general, state actions that affect their rights. In the case of the UNDRIP, there are multiple references to the indigenous peoples' right to participation which, in general, imply the right to participate fully in the political, economic, social and cultural life of the State;[92] to participate in decision-making in matters affecting their rights,[93] and, to participate in the elaboration and determination of economic and social programs that concern them.[94] For its part, Convention 169 also considers a series of cases in which participation is indicated as a suitable means. This is the case of participation in the development of coordinated and systematic actions to protect the rights of indigenous peoples and guarantee respect for their integrity;[95] participation at all levels of decision-making in elective institutions and administrative and other bodies responsible for policies and programmes which concern them;[96] participation "in the formulation, implementation and evaluation of plans and programmes for national and regional development which may affect them directly;[97] and, participation in the use, administration and conservation of the natural resources existing on their lands.[98]

[90] United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP), art. 25.

[91] Art. 15, Convention 169.

[92] Art. 5, UNDRIP.

[93] Art. 18, UNDRIP.

[94] Art. 23, UNDRIP.

[95] Art. 2.1, Convention 169.

[96] Art. 6.1b, Convention 169.

[97] Art. 7.1, Convention 169.

[98] Art 15.1, Convention 169.

On the right to consultation and the duty to obtain FPIC when collective rights are affected

The right to consultation is a mechanism of dialogue and political participation for indigenous peoples, which is applicable whenever "legislative or administrative measures likely to affect them directly are envisaged". In this sense, the concept of being affected should be understood as a change to the status of a right, i.e., its elimination, modification, extension, or any form of change in the status of a collective right. According to Convention 169, the purpose of consultation is to reach agreements or obtain FPIC. However, in some specific cases, FPIC is mentioned as a condition of the consultation's outcome, that is to say that the outcome and purpose of the consultation is to obtain the affected peoples' FPIC.

UNDP defines FPIC as a principle and a legal norm that was developed to protect indigenous peoples' collective rights, and specifically their right to self-determination, their right to be consulted, their right to participate in decisions that may affect them, and most importantly their rights to their lands and resources. In practical terms for development projects, FPIC may be understood as a process where indigenous peoples who may be affected by a project are meaningfully engaged in project design, implementation and decision-making, are fully informed and are able to grant or deny consent prior to implementation of any activities that may affect them.

Historically, indigenous peoples around the world have commonly experienced discrimination, land dispossession, and marginalization from decisions that affect them. In response to this, indigenous representatives and their advocates have campaigned for decades to have their rights recognized, particularly their rights to their lands and resources, and their right to determine their own developmental priorities. FPIC is derived from these rights and is a safeguard to ensure that indigenous peoples' rights are respected in practice, and not just in theory.

In order to comply with the UNDP SES, "meaningful, effective and informed stakeholder engagement in the design and implementation of all UNDP projects" is required throughout the programming cycle. Whereas consultation is always a key component of an FPIC process, consultation alone does not always require some of the key elements of FPIC, such as consent.

FPIC is a process of good faith consultation, between a project developer/team and project affected indigenous peoples, that includes outcomes of agreement or consent, or the withholding of consent. In practice this translates into a process of dialogue, between a project developer/team and project affected indigenous people, based on full project information disclosure, and key criteria such as transparency, respect for the indigenous peoples decision-making processes, inclusiveness, and cultural sensitivity. This type of consultation should be underpinned by a genuine objective of ensuring that project affected indigenous peoples meaningfully and effectively participate in decision-making on project matters that may affect them, and ultimately agree to the project components that will affect them. The key parameters of the FPIC process (for example, who will be consulted, on what and how often) are agreed as early as possible with the affected indigenous people as an outcome of early engagement with those communities. FPIC also opens the possibility that consent might not always be achieved in which case the relevant activities cannot be initiated. The overall objective of this kind of engagement is to ensure that project affected indigenous peoples' rights are respected, that their feedback has been included in the project design, and that the project components that affect them do not proceed without their consent.

In the case of Convention 169, certain measures are foreseen for which the States must obtain FPIC, but it also regulates, through a series of safeguard measures, the assumption that consent is not obtained. This is the case if they are forcibly removed from their lands and territories,[99] which, although prohibited by Art.10 of the UNDRIP, Convention 169 exceptionally admits such displacements as long as the safeguards mentioned in Convention 169[100] are taken into account. For its part, the UNDRIP considers a series of suppositions, as in the case of consultation mechanisms regarding legislative or administrative

[99] Art. 10, UNDRIP.

[100] Art. 16.1 and 16.2, Convention 169.

measures that affect them, in order to obtain their FPIC;[101] reparation mechanisms for the dispossession without their consent of their lands, territories, resources, cultural, intellectual, religious, or spiritual property;[102]; or, the banning of the storage of hazardous materials in indigenous lands and territories.[103]

In the case of the jurisprudence of the Inter-American Court of Human Rights, it is relevant to take into account the ruling in the *Case of the Saramaka People v. Suriname*, which establishes the State's duty to consult and obtain FPIC in cases of large-scale development or investment plans that would have a major impact within a territory.[104]

In the aforementioned standards, there are multiple references to the duty of the State to obtain FPIC, resulting from a consultation process, in those cases where indigenous peoples are displaced or deprived of access to their lands, territories and resources; this said, the standards also consider the eventuality that FPIC is not obtained and that the States decide to go ahead with the initiatives at the center of the consultation. In this case, the aforementioned Article 16 of Convention 169 establishes safeguards, mentioning that the peoples' displacement or relocation "shall take place only following appropriate procedures established by national laws and regulations, including public inquiries where appropriate, which provide the opportunity for effective representation of the peoples concerned".

In practice, however, the implementation of participatory consultation and FPIC processes depends on the elaboration and existence of consultation mechanisms, which normally consist of administrative or legislative norms regulating consultation procedures and the obtention of FPIC. The absence of such mechanisms often represents the main obstacle to carrying out adequate consultation and FPIC. In the CLME+ region, only a few States have regulated this type of mechanism, such as Costa Rica and Colombia.

All the aforementioned standards are aimed at guaranteeing: the indigenous peoples' participation in all matters of interest to them; the right to consultation in any initiative, public or private, that affects their collective rights; and, the State's obligation to obtain their FPIC on those occasions when the standards require it.

In practice, the States that are party to Convention 169 have the duty to consult the peoples concerned, through appropriate procedures and in particular through their representative institutions, whenever legislative or administrative measures are envisaged that are likely to affect them directly. The consultations that are carried out "shall be undertaken, in good faith and in a form appropriate to the circumstances, with the objective of achieving agreement or consent to the proposed measures".[105]

The consultations must be carried out by the State and its agencies, and cannot be delegated to third parties. The appropriate procedures imply that the consultations have to be adapted to the particularities of each indigenous people. The consultations must be conducted through the indigenous peoples' representative institutions, which is a challenge in those States where there are no official mechanisms for the recognition of such representative institutions. As for the type of measures requiring consultation, it is important to emphasize that the term "affected" refers to a change or modification brought about to indigenous peoples' collective rights. Therefore, it is not any and every measure that is subject to consultation, but only those that modify or imply changes in a right's legal status.

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[101] Art. 19, UNDRIP.

[102] Art. 11.1 and 28.1, UNDRIP.

[103] Art. 29.2, UNDRIP.

[104] Inter-American Court of Human Rights. *Case of the Saramaka People v. Suriname*. (Preliminary Objections, Merits, Reparations, and Costs). Judgment of November 28, 2007. Serie C No. 172, § 134. *Cf.* https://www.corteidh.or.cr/docs/casos/articulos/seriec_172_ing.pdf.

[105] International Labour Organization, C169 - Indigenous and Tribal Peoples Convention, (No. 169), 1989. Art. 6.

The consultations can be about legal measures, such as norms that emanate from the legislative powers; they can concern executive or regulatory norms generated by the executive powers; and they may also concern measures of a judicial nature, usually relating to the access to justice for indigenous people.

States can regulate consultation mechanisms in various ways. Some States adopt laws, while other States adopt administrative measures, such as decrees or regulations. In practice, this depends on the circumstances of each State, but it is important to point out that these consultation mechanisms cannot and should not emanate unilaterally from the State, but rather, as participation mechanisms; they should also be the result of consultations with the peoples these measures are targeted at. These "consultation of consultation" mechanisms have started being called "consultation on the consultation". This introduces a variable for the legitimacy of the consultation processes, since, if the indigenous peoples participate in their formulations, it is probable that there will be a greater possibility of them participating in future consultations.

A fundamental element has to do with the purpose of the consultation as such. In the case of the UNDRIP, it states that the objective of consultations is to obtain the FPIC of indigenous peoples.

Participation, Consultation, and FPIC in the PROCARIBE+ Project

The PROCARIBE+ Project comprises a series of measures and actions that could affect the collective rights of the indigenous peoples located in the coastal areas of the CLME+ region. Depending on the intensity of their impacts and the rights affected, they may involve the obligation to carry out participation processes, consultations and the obtention of FPIC.

For all project activities where potential impacts on indigenous peoples are foreseen, an FPIC process will be initiated with the following principle, as per the UNDP SES Standard 6:

At the core of FPIC is the right of the peoples concerned to choose to engage, negotiate and decide to grant or withhold consent, as well as the acknowledgement that under certain circumstances, it must be accepted that the activities (or project) for which FPIC could not be ascertained will not proceed and/or that engagement must be ceased if the affected peoples decide that they do not want to commence or continue with negotiations or if they decide to withhold their consent to the activities and/or project.

The points below outline the Project activities where the participation and/or consultation of indigenous peoples is expected:

- The elaboration of the new 10-year Strategic Action Programme (SAP) and the operationalization of the OCM need to give consideration to and be reflective of the interests/stakes of the indigenous peoples from the CLME+ region, and of their (potential) role in achieving the CLME+ Vision through the new SAP and operations of the OCM.
- In the case of capacity building activities, an affirmative action approach should be taken so as to encourage the participation of indigenous peoples from the project area. Likewise, within these actions, it is necessary to promote the participation of young people and women.
- The territories where the small grants output would be implemented and the type of activities to be financed could possibly affect, or not, the collective rights of indigenous peoples. Determining this can be done by analyzing the activities that would be financed and the eventual impact they could have. In the event that the collective rights of the identified peoples are affected, a consultation process followed by the potential need to obtain their FPIC would be the appropriate way of

proceeding. However, determining the type of participation that corresponds to each case can only be done by knowing the projects that would benefit from the small grants output.

- The implementation of the "blue carbon" activities under Output 2.2.1 aimed at enabling the subsequent development and deployment of a sustainable financial instrument based on carbon credits in Panama may affect the indigenous peoples' collective rights, which could range from the simple access to said areas through to the exploitation of their resources. In this event and depending on the scope of the financial instrument's actions, should these entail affecting or restricting the traditional lands and resources of the indigenous peoples, it is expected that the State would carry out consultation processes and, as appropriate, obtain the FPIC of the peoples affected by its implementation.
- Marine Spatial Planning and the establishment of Marine Protected Areas may affect the indigenous peoples' collective rights, which could range from the simple access to said areas through to the exploitation of their resources. In this case, in the countries where these activities will be implemented, it is expected that consultation processes are conducted and/or FPICs obtained, as appropriate, from the indigenous peoples that might be (negatively) impacted by these activities.
- Activities to be conducted, and measures to be adopted and subsequently implemented under PROCARIBE+ Outputs 3.4.1 and 3.5.1 on traceability and fishing gear and practices may potentially, either directly or indirectly, impact indigenous peoples participating in these fisheries, or making use of the same marine space where these fisheries take place; such impacts could be both positive and/or negative. A screening process will be applied prior to the start of these activities to identify/anticipate any potential effects on indigenous peoples. If it is determined that indigenous peoples may be negatively impacted, management measures will be applied as specified in the ESMF (Annex 10).

Potential Project Benefits

The following project benefits were identified:

1) Improved coordination for: i) the conservation of marine resources; ii) the reduction of pollution of marine areas; iii) the degradation of marine ecosystems, including biodiversity loss and climate change effects; and iv) the reduction of impacts from natural disasters in coastal areas. (Output 1.1.1. - Ocean Coordination Mechanism and Output 1.1.2. - SAP)
2) Indigenous peoples could benefit from capacity-building efforts and from benefits derived from ecosystem-based management initiatives and the promotion of a "blue-green" socio-economic development. (Component 2. Strengthening National Capacity and Enabling Conditions)
3) Capacity-building and knowledge generation through participation and learning opportunities with innovative approaches for indigenous peoples. (Output 2.1.3 Training on IWRM/IRBM/ICZM/MSP and natural capital accounting)
4) Microfinance can facilitate the development, scaling or improvement of initiatives of indigenous peoples that contribute positively to the development of the blue economy. (Output 3.1.1 Microfinance and MSME support measures that drive regional strategies and action plans)
5) Sustainability actions and increased participation in value/production chains that help generate higher incomes for indigenous peoples who depend on marine resources. (Element (b) of Output 3.4.1 Regional Capacity to replicate/expand traceability systems)
6) If properly managed, MSP can benefit indigenous peoples who use marine areas as part of their traditional territories. (Output 3.3.1 Marine spatial planning and blue economy)
7) Improved management approaches can mean better conservation of marine resources and improvements towards these resources' sustainability. However, it is important to consider the possible impacts of protecting ecosystems on indigenous peoples. (Output 3.3.2 MPA/OECMs)
8) Good practices in participation and the management of knowledge in conjunction with indigenous peoples, which can be shared and adapted to different regions. (Component 4. Marine data infrastructure and regional knowledge sharing)

9) The alliance with IW:LEARN could offer indigenous peoples participation and learning opportunities with innovative approaches (Output 4.2.1: Partnership with IW:LEARN: test innovative approaches and provide means for replication)
10) Learning, capacity building and knowledge development opportunities for indigenous peoples at workshops, events, exchanges, etc. (Support for and participation in GEF IW:LEARN and other Global Marine/LME community events).

Grievance Redress Mechanism

The project will establish a grievance redress mechanism applicable for all project stakeholders, including indigenous peoples. According to IHRL, "any violation of an international obligation that has caused harm entails the obligation to make adequate reparation, and that this provision reflects a customary norm that constitutes one of the fundamental principles of contemporary international law on State responsibility."[106] Within the countries participating in the PROCARIBE+ Project, we come across various reparation mechanisms that are judicial and non-judicial mechanisms. Other reparation mechanisms are international. Individuals can file claims arising from human rights violations within this range of available mechanisms.

In the case of the PROCARIBE+ Project, the Grievance Redress Mechanism (GRM) will be an accessible instrument that is aimed at provided an effective response for any person, group, sector or organization that considers that the actions of the PROCARIBE+ Project affect or may affect their interests. Should they have a concern regarding the activities of the PROCARIBE+ Project, the indigenous communities have the right to bring it to the attention of the PMCU. Section 7 of the ESMF presents the Project's Grievance Redress Mechanism.

The GRM will act as a resource for situations where, despite their proactive participation, indigenous peoples seek to provide information on the potential impacts of the project, or on decisions generated under the project, on their lands, resources or territories.

Institutional Arrangements

Section VII of the ProDoc on Governance and Management Arrangements provides the general roles and responsibilities for project implementation. The Implementing Partner for this project is the United Nations Office for Project Services (UNOPS). Other entities will be engaged as responsible parties for certain project outputs. In this respect, it is important to emphasize that both UNOPS, as the Implementing Partner, and the other responsible partners have a role to play with respect to the implementation of the IPPF corresponding to the Project activities they will be executing.

Roles and responsibilities related to the IPPF

Implementing Partner (UNOPS) and co-executing partners:

- Shall plan, coordinate, manage, monitor, evaluate and report on the Project, including measures related to indigenous peoples' participation and consultation.
- Provide all necessary information and data on activities related to indigenous peoples for timely, complete and evidence-based Project reporting.
- Draft terms of reference for services and consultancies which, where appropriate, include culturally relevant indications related to indigenous peoples and actively participate in the selection of consultants and/or Project staff.
- Manage the risks described in the ProDoc's Annex 6 SESP, including those relating to indigenous peoples.

[106] Inter-American Court of Human Rights. Case of Manuela* *et al.* v. El Salvador. Judgement of November 2, 2021, § 268. *Cf.* https://www.corteidh.or.cr/docs/casos/articulos/seriec_441_ing.pdf

- Approve the multi-year work plan, ensuring the inclusion of activities related to the participation of indigenous peoples when appropriate.
- Ensure that all UNDP SES requirements have been addressed, as well as relevant national normative/policy frameworks and international standards.
- Establish and support the mechanism for the submission and resolution of complaints.
- Provide strategic guidance for Project implementation, including monitoring safeguards and the implementation of the IPPF.

Project Steering Committee:

- Provide overall guidance and direction to the Project, including provisions for the participation of indigenous peoples.
- Provide guidance on possible new risks related to indigenous peoples and agree on possible mitigation and management measures to address them.
- Provide guidance on minor or major modifications to the Project and help to identify any potential unintended consequences for indigenous peoples.
- Review the progress of the Project, evaluate performance and approve the Annual Operating Plan and the budget for the following year (Project Implementation Reports - PIF), with special attention to the involvement of indigenous peoples.
- Provide instructions and recommendations to ensure that the agreed outcomes are satisfactorily achieved according to plan and in compliance with all provisions to safeguard the interests of indigenous peoples.
- Address any grievances at the Project level.

GEF Agency (UNDP):

- Oversee all matters related to safeguards, including those relating to indigenous peoples.
- Inform all stakeholders or parties that could be positively or negatively affected about the UNDP Accountability Mechanism.
- Ensure that the Social and Environmental Compliance Review and the Stakeholder Response Mechanism are operational for the duration of the Project.
- Provide technical guidance on the implementation of risk-management measures.

Project Management and Coordination and Unit:

- Oversee and manage the implementation of the measures defined in this IPPF.
- Assign specific responsibilities for the implementation of the IPPF, including monitoring.
- Keep records on social and environmental risk management, including updated SESP, evidence of consultations and FPIC if required, complaints and document the management measures implemented.
- Inform UNOPS, other responsible/co-executing partners, the Steering Committee and UNDP on the implementation of this IPPF.

Monitoring and reporting

The Project has developed a strategy for monitoring and evaluation that fulfills the UNDP and the GEF requirements as described in Section VI. Monitoring and Evaluation (M&E) Plan. All the requirements and steps described in the M&E Plan apply to the IPPF, as a relevant element of the Project.

Implementation of the M&E Plan is under the responsibility of the PMCU which will monitor and evaluate the appropriate implementation of activities and their compliance with all legal and UNDP SES requirements, as well as the multi-year Work Plan (Annex 4 of the ProDoc), safeguarding progress and the achievement of outcomes, continuous management improvement, the execution of corrective measures, and budget management.

The PMCU will develop Annual Work Plans that include Project activities and expected outcomes. These Plas will integrate activities for the implementation of the IPPF and IPP, should the development of an IPP be deemed necessary.

The Project will carry out an inception workshop to inform countries and co-executing agencies about the Project. The inception workshop will include a review of the identified risks and the management mechanisms established during the PPG. The UNDP Regional Technical Advisor from the Regional Office for Latin America and the Caribbean will offer support to the PMCU for permanent risk monitoring, and the results will be collected and distributed within the UNDP's internal risk monitoring system.
The IPPF/IPP and associated procedures will be assessed periodically by the Project Steering Committee. The purpose of this assessment will be to update the IPPF/IPP to reflect knowledge gained during implementation and incorporate lessons learnt. The IPPF/IPP will be reviewed and modified under the following conditions:
If new environmental or social risks are discovered including those that were not identified previously; or
If the information from Project monitoring indicates that present control measures require changes in order to be effective; or
If there are changes in environmental or social legislation that are relevant to the Project; or
If there are claims made by indigenous peoples or concerning indigenous peoples under the GRM; or
If there is any other change that will be implemented in the Project that could affect indigenous peoples.
The M&E Plan considers the generation of annual monitoring reports that include the M&E of the Stakeholder Engagement Plan, the Gender Action Plan and the Indigenous Peoples Plan. Table 6 of the ESMF provides further guidance related to the development and implementation, where needed, of ESMF/ESMP and the IPPF/IPP.

Budget and Financing
The budget to implement the IPPF is part of the total project budget and the associated activities will be covered by the outputs and activities programmed under each component. Specifically, some of the costs of the activities of this Plan will be distributed to the co-executing partners that will lead the specific intervention in the countries where indigenous peoples could be affected.

In addition, a Gender and Safeguard Specialist(s) (GSS) will be engaged and will guide effective gender and cultural pertinent approaches during the implementation of the project. A list of activities where the participation of indigenous peoples' could be included and the associated estimated costs of the activities, are presented in the Table below.

Budget for the Indigenous Peoples Planning Framework

The budget for the IPPF is part of the total project budget and is associated with the different activities of the Project under each output. The activities of the IPPF are aligned with the project's Multi-Year Work Plan (Annex 4 of the ProDoc).

Project Outcomes/Outputs

Outcome 1. Coordinated, collaborative and synergistic implementation of regional, sub-regional and national (Strategic) Action Programmes and Plans in support of the CLME+ Vision, enabled through the OCM and partnerships, and a regional programmatic approach						
Outputs 1.1.2 New 10-year multi-stakeholder regional Strategic Action Programme (2025-2034), endorsed at ministerial level						
Activity	Indicator	Target	Baseline	Budget USD	Timeline	Responsibility
Development of an inclusive approach, including gender and cultural considerations, towards the development of the SAP *Cross-reference to Stakeholder Engagement Plan	Level of development of the approach 1- An approach for inclusive participation has been developed 2- The approach includes gender and cultural considerations 3- The approach is implemented for the development of the SAP	3	0	appx. 3,000 (Portion of the salaries of the Senior Project Officer(s) and GSS) Integrated in budget for output 1.1.2	Year 1	PMCU / GSS

Outcome 2. National-level capacity, enabling conditions and commitments for EBM/EAF and marine-based, climate and disaster-resilient “green-blue” socio-economic development						
Output 2.1.3. Training delivered and/or made permanently accessible for all 44 CLME+ OCM States & Territories, supporting the integration of IWRM/IRBM, ICZM/MSP and Natural Capital Accounting, and underpinning the implementation of the LBS and SPAW Protocols, the source-to-sea approach, NDCs, 30x30 conservation targets, and related Regional and National Action Plans (RAPs) (in collaboration with IW:LEARN, CapNet, ESA, NDC partnership and UNDP Climate Promise): (incl. min. 30 trainers-of-trainers, targeting key stakeholders engaged in: MSP, SOMEE and NDC development, and IRBM (with special attention to gender balance and including practitioners from min. 10 of the 23 transboundary river basins draining into the CLME and NBSLME)						
Activity	Indicator	Target	Baseline	Budget USD	Timeline	Responsibility

Affirmative actions to include participants in the trainings from a wide-range of stakeholders, including from indigenous communities and vulnerable communities. *Cross-reference to Stakeholder Engagement Plan	Number of people from indigenous and/or vulnerable communities in trainings	5% of the participants in the trainings are from indigenous and/or other vulnerable communities	0	appx. 2,000 (Portion of the salaries of the Senior Project Officer(s), GSS and/or Staff of the Co-executing Partners) Integrated in budget for output 2.1.3	Year 5	PMCU / GSS

Outcome 3.3. Expansion and integration of "Blue Economy", Marine Spatial Planning and MPA/OECM efforts across the region (ecosystem approach), supporting ocean-based socio-economic development, recovery and resilience (covid19, hurricanes) and progressive delivery on international targets in the fields of: marine conservation and climate change mitigation and adaptation						
Output 3.3.2. Enhanced area-based ocean conservation (MPA/OECM) in at least 5 countries, covering at least 1,000,000 ha of coastal/marine space (expansion of, or newly created MPA's, and/or MPA's with increased protection levels/demonstrated enhanced management effectiveness, and/or equivalent* amounts of marine space under Other Effective Conservation Measures (OECMs))						
Activity	Indicator	Target	Baseline	Budget USD	Timeline	Responsibility
Support to Indigenous fisherfolk association/groups for the development of new fishery replenishment zones in the Meso-American Reef region	Number of indigenous fisherfolk associations/groups receiving support for the development of new fishery replenishment zones in the Meso-American Reef region	2 *Note: Fisherfolk associations/groups may include people from more than one ethnic group	0	TBD during implementation Included in budget for Output 3.3.2	Year 5	Co-executing agency(ies) responsible for output 3.3.1

Outcome 4.1 A well-articulated marine data, information and knowledge management infrastructure/network is enabled, (a) providing a science-policy interface; (b) supporting the development/updating, implementation and M&E of regional Action Programmes and Plans; (c) boosting and increasing the impacts of marine & coastal investments						
4.1.1. Online HUB fully developed and operational, facilitating collaborative knowledge management by the OCM and partnerships (with well-articulated linkages to third-party data/information/knowledge sources/products)						
Activity	Indicator	Target	Baseline	Budget USD	Timeline	Responsibility
Inclusion of information that promotes gender and cultural inclusiveness in the OCM Hub *Cross-reference to Stakeholder Engagement Plan	Number of sections on the HUB that include information that promotes gender and cultural inclusiveness	At least 2 sections of the HUB	0	appx. 3,000 (Portion of the salaries of the Communication Specialist and GSS) Included in budget for Output 4.1.1	Year 5	PMCU/ Communications Specialist / GSS

Project Team

Activity	Indicator	Target	Baseline	Budget USD	Timeline	Responsibility
Integration of appropriate gender and cultural advice for the implementation of the project through a person specialized in gender and participation. *Cross-reference to Stakeholder Engagement Plan	Support from a dedicated gender and safeguard specialist	One person	0	Included in budget for PMCU	Year 1	Project Coordinator
Establishment of a communications group to coordinate the dissemination of information on the project, ensuring the full implementation of the stakeholder engagement plan.	Level of development of operation of the Communications Group 1- Group established 2- Group has a work plan that includes actions for the implementation of the	3	0	appx. 10,000 (Portion of the salaries of the Communication Specialist and other PCMU staff members part of the Group)	Year 1	Communications Specialist / GSS

Activity	Indicator	Target	Baseline	Budget USD	Timeline	Responsibility
*Cross-reference to Stakeholder Engagement Plan	stakeholder engagement plan 3- Group has implemented the stakeholder engagement plan					
Inclusion of gender equality and generational equity and inclusiveness in the Project's communication strategy for the dissemination of information on the project (inclusive language, examples, data). *Cross-reference to Stakeholder Engagement Plan	Level of integration of gender equality and generational and inclusiveness approach in project communication strategy 1= Not integrated 2= Integrated through the design in the document strategy	2	0	appx. 2,000 (Portion of the salaries of the Communication Specialist and GSS) Integrated in budget for communication strategy.	Year 1	Communications Specialist / GSS

Monitoring

Activity	Indicator	Target	Baseline	Budget USD	Timeline	Responsibility
Periodic evaluation of the incorporation of indigenous peoples in Project activities	Evaluations of the incorporation of indigenous peoples in Project activities carried-out	At least 3 evaluations done during the project	0	Integrated in budget for communication strategy.	Year 5	Communications Specialist / GSS

Protecting and Restoring the Ocean's natural Capital, building resilience and supporting region-wide investments for sustainable blue socio-economic development (PROCARIBE+)

GEF Project ID 10800 | PIMS 6290
Project Preparation Grant Phase (PPG)

Annex 11.
Gender analysis and action plan

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Contents

Executive Summary

This document provides technical elements of gender equality for the implementation of the project "Protecting and Restoring the Ocean's natural Capital, building resilience and supporting region-wide investments for sustainable blue socio-economic development (PROCARIBE+)" (GEF ID 10800)[107].

Section 1 offers a Gender Analysis developed under the UNDP guidelines for conducting a Participatory Analysis and Developing a Gender Action Plan for projects and the Gender Equality Strategy which recognize gender equality and women's empowerment as a requirement to accelerate the achievement of the Sustainable Development Goals (SDG), particularly the SDG 5. It also considers the GEF's policy to ensure that all programs and projects carry out activities that contribute to equal access and control over resources and decision making, while empowering women and girls.

The starting point of the analysis is **the policy context for gender equality**. It includes the international policy frameworks, such as: the Convention on the Elimination of All Forms of Discrimination Against Women (CEDAW), the Inter-American Convention on the Prevention, Punishment and Eradication of Violence against Women, the FAO's Voluntary Guidelines for Securing Sustainable Small-Scale Fisheries in the Context of Food Security and Poverty Eradication, and similarly the Gender Policy of the Organization of Eastern Caribbean States (OECS) and the Regional Policy of Gender Equality and Equity of the Central American Integration System (SICA) at the regional level.

At the national level, it reviews the policy developed by countries to recognize gender equality from the political constitutions to the existence of national gender plans or strategies. Evidently, some of these plans need to be updated and reinforced due to the impact of the COVID 19 pandemic that greatly affected women and their economic and social conditions. Gender based violence and domestic violence are also crucial problems in some countries, and several countries have developed specific policies and protocols to protect women and girls.

Continuing with the analysis, the document presents **women's condition** in different regards, such as: (i) time use allocation, reflecting the time spent on domestic chores and care work unpaid; (ii) women labor conditions, showing the gender gap disadvantaging women; (iii) education versus labor force, presenting the progress made in women's access to education (with the exception of Haiti) but without much influence in the access to the labor market; (iv) economic opportunity and empowerment, demonstrating that the time needed for closing the global gender gap has increased to six generations; (v) political empowerment and representation, illustrating that only Costa Rica and Cuba are close to reaching parity between men and women.

The CLME+ region is considered as one of the most vulnerable to the effects of climate change. With regards to the matter of **gender conditions relevant to the project's interventions**, the analysis considers women's condition on biodiversity and climate change, blue economy, tourism, fisheries, and data and information.

The findings of the analysis highlight the importance of including the special circumstances of women in national climate change policies to help strengthen the response of countries in the region to the challenges posed by climate risks. Regarding economic activities, women often receive lower-end salaries and face more challenges with achieving socio-economic security. In tourism, the analysis shows that unpaid work is very common for women, and they also often lack adequate workspaces and training which creates additional

[107] This document was written during the PPG phase and only includes the countries that have endorsed the project as of 6 March 2022. The analysis would need to be updated if additional countries decide to take part in the project.

barriers for women in the sector in general. In the fisheries sector, women's contribution is often not considered despite the role they play in the pre- and post-resources extraction phases. Also, being a family activity, all associated activities are carried out without payments or are poorly remunerated as they are considered an extension of household activities.

Information is key for development. In the context of the PROCARIBE+ project, particularly in Caribbean countries, the Caribbean Regional Fisheries Mechanism cited that country-level data gaps, including those related to gender and age, are a major challenge across the Caribbean, and that there are general inadequacies related to the collection and availability of timely, robust, and high-quality data to inform policies and decision making on economic and social development.

The analysis includes a list of institutions with which coordination and alliances should be established. These **institutions for supporting women's participation and representation in the CLME+** region, are: the SICA's Council of Ministers for Women Affairs, the Organization of Fisheries and Aquaculture Sector of the Central American Isthmus (OSPESCA) and its Regional Working Group on Gender Equality and Equity in Fisheries and Aquaculture, the Caribbean Community (CARICOM), the Organization of Eastern Caribbean States (OECS), the Caribbean Regional Fisheries Mechanism (CRFM), and a list of public institutions working on gender issues in the CLME+.

The gender analysis finalizes with several **conclusions and recommendations** to help improve the life conditions of women and girls and support their empowerment throughout the implementation of the project.

Section 2, describes the action plan which has been designed based on the recommendations of the Gender Analysis. The Gender Action Plan has a descriptive section on the 15 specific activities that have been proposed to be implemented during the project to ensure that gender equality has been mainstreamed.

Among these actions are:

- the establishment of a **Project Gender Working Group (PGWG)** with the aim of coordinating gender-related actions between the various participating institutions and thereby contributing to strengthening the information, participation and representation of women in the governance and implementation of the PROCARIBE+ project;
- the **integration of gender equality and youth equity into the Regional SOMME report** to inform the new Strategic Action Programme (2025-2034);
- promote women's interest, participation and empowerment in technical issues as well as integrating affirmative actions that aims at ensuring that at **least 30% of the participants in all capacity/building activities are women and that 10% are young people**, ensuring adequate representation and the support to build-up a new generation of leaders;
- affirmative actions to integrate gender and youth participation in the selection of initiatives to receive **financial support under the small grants/micro-finance schemes;**
- **integration of gender aspects into at least one national Marine Spatial Planning (MSP) process**;
- the generation of **learnings from mainstreaming gender into ocean governance mechanisms of the CLME+ region which will** be documented and shared through the GEF IW Learn (Gender Hub) platform;
- the integration of **a Gender Equality and Safeguards Specialist(s)** as part of the project implementation team which will provide technical support for the project, assist with training, and assess progress of gender mainstreaming throughout the project.

The gender action plan, integrates a summary matrix which facilitates the understanding of the actions that will be implemented including indicators, budget, timeline and responsibilities.

Introduction

This document has been prepared to provide technical elements of gender equality for the implementation of the project "Protecting and Restoring the Ocean's natural Capital, building resilience and supporting region-wide investments for sustainable blue socio-economic development (PROCARIBE+)" (GEF ID 10800). This project has a regional scope and its purpose is protecting, restoring and harnessing the natural coastal and marine capital of the Caribbean and North Brazil Shelf Large Marine Ecosystems (CLME+ region) to catalyse investments in a climate-resilient, sustainable post-covid Blue Economy, through strengthened regional coordination and collaboration, and wide-ranging partnerships.

Due to time and travel constraints caused by the COVID-19 pandemic, this analysis and action plan has been developed based on the review of information from reports and projects available for the region. I

Section 1: Gender Analysis

1.1. Gender analysis structure

The gender analysis[108] is developed using the guiding questions of the gender analysis template provided by UNDP to examine different contexts, and understand issues around gendered division of labour and time use, access and control, power and decision making. The structure of this analysis is the following:

a) What is the policy context for gender equality? Describes institutional, international, regional and national policies that support gender mainstreaming in the region.
b) Who does what? Describes general information about time-use allocation and labour conditions.
c) Who has access? Describes women empowerment conditions in terms of access to education and labour force participation.
d) Who decides? describes political empowerment and representation in ministerial and parliamentary positions.
e) Gender conditions relevant to the project intervention. Describes how women conditions are regarding topics that the project will address, these being biodiversity and climate change, tourism, fishing and data and information.

Additionally, it includes a review of gender institutions for participation and representation under the PROCARIBE+ project and presents conclusions and recommendations.

1.2. What is the policy context for gender equality?

a) GEF and UNDP institutional policies

The Global Environment Facility's (GEF) Policy on Gender Mainstreaming seeks to ensure equal opportunities for women and men to participate, contribute and benefit from GEF-financed activities. GEF raises the importance of moving from a gender-aware, "do no harm" approach, to a gender-responsive "do good" approach and it proposes the integration of gender-sensitive actions, from project design to implementation, monitoring and evaluation. This is to ensure that GEF programs and projects are not only designed with a good understanding of gender differences, roles, interests and relevant needs, but also that they carry out activities that contribute to equal access and control over resources and decision making, while empowering women and girls. The GEF implementing strategy identifies three gender gaps most relevant to tackle: unequal access to and control of natural resources, unbalanced participation and decision making in environmental planning and governance, and uneven access to socio-economic benefits and services (GEF, 2018).

[108] Analysis developed using the "Guide to Conducting a Participatory Gender Analysis and Developing a Gender Action Plan for projects supported by UNDP with financing from environmental vertical funds".

UNDP recognizes Gender Equality and Women's Empowerment as a Principle[109] which is an indispensable requirement and an accelerator for achieving the Sustainable Development Goals, and therefore is committed to promote and mainstream gender equality in all its activities. (UNDP, 2021).

The UNDP Gender Equality Strategy 2018-2021, shows that its approach to gender mainstreaming is a dual one: UNDP supports the empowerment of women and girls through targeted gender-specific interventions and also addresses gender concerns in developing, planning, implementing and evaluating all policies and programmes. UNDP views all women and men as active agents of change and thus focuses on ensuring that those marginalized and left behind are empowered and have the agency to make decisions over their lives and participate in the development of their societies. As such, interventions supported by UNDP will go beyond counting numbers of beneficiaries by sex and will focus on empowering and creating agency for women and men and closing gender gaps (UNDP, 2018).

b) Gender International policy framework for the PROCARIBE+ project

The 2030 Agenda for Sustainable Development and the Sustainable Development Goals adopted by all United Nations Member States in 2015 conforms a universal framework to be attained through 17 Sustainable Development Goals (SDGs)[110] with an urgent call for action for ending poverty, improving health and education, reducing inequality and enforcing economic growth while tackling climate change and working to preserve oceans and forests. Particularly, SDG 5 aims to achieve gender equality and empower all women and girls, that can be attained through accomplishing five targets including the recognition of unpaid care and domestic work, ensure full and effective participation and equal opportunities in decision making and access equal rights to economic empowerment[111].

The Voluntary Guidelines for Securing Sustainable Small-Scale Fisheries in the Context of Food Security and Poverty Eradication is an internationally agreed instrument that promotes improved governance of small-scale fisheries, including value chains, post-harvest operations and trade. Among its principles is equity and equality where the differences between women and men are recognized and the need to adopt specific measures to accelerate de facto equality, or preferential treatment when necessary to achieve equitable results (FAO, 2015).

The Convention on the Elimination of All Forms of Discrimination Against Women (CEDAW) approved in 1979 by the United Nations[112], is the most relevant instrument on the principles Internationally accepted about women's rights, it entered into force in 1981 and has 99 signatory countries[113]. All countries from the PROCARIBE+ region are parties to the CEDAW. Afterwards, in 1999, the UN General Assembly adopted the Optional Protocol for CEDAW (OP-CEDAW), a separate treaty that CEDAW signatories can sign on to and ratify which provides an international process for taking legal action on violations of CEDAW[114].

b) Gender regional policy framework for the PROCARIBE+ project

At the regional level, under the scope of the Organization of American States (OAS), the Inter-American Convention on the Prevention, Punishment and Eradication of Violence against Women, Belém do Pará, was

[109] Principle 3. Gender Equality and Women's Empowerment. https://sdgs.un.org/goals/goal5

[110] To access SDG 5 Gender equality and empower all women and girls: https://sdgs.un.org/goals/goal5

[111] Complete target description: 5.4. Recognize and value unpaid care and domestic work through the provision of public services, infrastructure and social protection policies and the promotion of shared responsibility within the household and the family as nationally appropriate; 5.5. Ensure women's full and effective participation and equal opportunities for leadership at all levels of decision-making in political, economic and public life; 5.a. Undertake reforms to give women equal rights to economic resources, as well as access to ownership and control over land and other forms of property, financial services, inheritance and natural resources, in accordance with national laws.

[112] Most countries signed on July 18, 1980, and 96% of existing countries ratified it.

[113] CEDAW signatory countries: https://treaties.un.org/Pages/ViewDetails.aspx?src=TREATY&mtdsg_no=IV-8&chapter=4&clang=_en#EndDec

[114] According to CRFM, Only Antigua, Barbuda, Belize and St. Kitts and Nevis have signed and ratified the OP-CEDAW.

signed in 1994 by OAS member states (except by Cuba and Puerto Rico), constituting a milestone to protect the rights of women and eliminate situations of violence. In 2004, a Convention Follow-up Mechanism[115] (MESECVI for its acronym in Spanish) was put in place through a technical body of experts with the aim of making a systematic and permanent multilateral evaluation methodology, based on the exchange and technical cooperation between the Parties of the Convention and a Committee of Experts. From the 35 member states, most of the experts come from countries of the CLME+ region[116].

The Central American Integration System (SICA for its acronym in Spanish)[117] considers gender issues under its Council of Ministers for Women Affairs of Central America and the Dominican Republic (COMMCA) and has adopted the SICA Regional Policy of Gender Equality and Equity (PRIEG / SICA 2014-2025) in 2013. This mandatory mechanism aims that by 2025, the States Parties to SICA have incorporated the necessary measures to ensure the full development and advancement of women in Central America and the Dominican Republic, in conditions of equality and equity, in the political, social, economic, cultural, environmental, and institutional spheres, both at the regional level and at national scope.

The Organisation of Eastern Caribbean States (OECS) published a Gender Policy[118] in November 2021 with the purpose of supporting the commitment to advance gender equality in the OECS Commission and OECS member states, and sets the priorities to be undertaken in this regard for the next five years. The Gender Policy integrates core principles to guarantee that the policies and programmes under the OECS are gender-responsive; to create a visible institutional culture of gender equality by mainstreaming gender responsive actions into daily practices; to strengthen the capacity to examine and address gender issues; to ensure equal participation of men and women, boys and girls in OECS policies and programmes; and to promote values leading to a culture of gender justice, mutual care, peace, harmony and freedom from violence in the home, communities and institutions.

b) Gender national policy frameworks from countries participating in the PROCARIBE+ project

Countries from the CLME+ region participating in the project have national regulations that protect and promote the enforcement of women's rights and gender equality. The most relevant policies in each country are detailed below:

The Constitution of **Antigua and Barbuda** (1981) protects the rights and freedom of individuals regardless of race, place of origin, political opinions or affiliations, colour, creed or sex, and extends to a positive obligation on the State to protect women and girls from domestic violence and sexual violence. The country developed a Strategic Action Plan to End Gender-based Violence (GBV) 2011-2015 which has the goal of eliminating gender-based violence through multi-sectoral, and multi-dimensional approaches, and to provide appropriate care and services to survivors of GBV. The Government has prioritized access to justice and non-discrimination under the law, therefore has made amendments to local legislation including Domestic Violence Act (2015) to improve both rights of women and girls under the law and their access to justice. The country also has a National Gender Equality Action Plan and a Gender Policy (2018) developed by the Department of Environment.

The National Constitution of **Belize** (1980) establishes in Part II: Protection of fundamental rights: 3. Whereas every person in Belize is entitled to the fundamental rights and freedoms of the individual, that is to say, the right, whatever his race, place of origin, political opinions, colour, creed or sex, but subject to respect for the rights and freedoms of others and for the public interest. The first National Gender Policy was developed in

[115] To Access to MESECVI: https://www.oas.org/en/mesecvi/about.asp

[116] The experts come from: Antigua and Barbuda, Bahamas, Belize, Brazil, Costa Rica, Colombia, Dominican Republic, Guatemala, Haiti, Jamaica, Panama, Saint Lucia, Saint Kitts and Nevis, Suriname, and Trinidad and Tobago.

[117] SICA is integrated by Costa Rica, El Salvador, Guatemala, Honduras, Nicaragua, Panama, Belize and Dominican Republic.

[118] To access to OECS Gender Policy: https://www.oecs.org/en/our-work/knowledge/library/gender/oecs-commission-gender-policy

2002. The Revised version (2013) identifies and examines the inequities experienced by both men and women and suggests strategies to correct gender disparities. It has 5 policy priority areas: Health, Education and Skills Training, Wealth and Employment Generation, Violence Producing Conditions and Power and Decision-Making.

The Constitution of the Federative Republic of **Brazil** (1988) guarantees legal equality between men and women specifically in the family sphere, prohibits discrimination in the labour market due to sex, and establishes that it is the State's duty to curb violence within family relationships, among other achievements. The most recent National Plan for Women's Policies 2013-2015 seeks to contribute to the strengthening and institutionalization of the National Policy for Women approved in 2004 and endorsed in 2007 and 2011. The country also has legislations at a federal level that deal with various topics about women - violence, discrimination, cybercrime, civil, labour, political, and social security rights.

The Constitution of **Colombia** (1991) states in its article 43 that women and men have equal rights and opportunities, and women may not be subjected to any kind of discrimination. In March 2013, The National Council for Economic and Social Policy approved the document "Gender Equality for Women" as the National Public Policy on Gender Equity. This policy contributes to guarantee the full enjoyment of the rights of Colombian women by applying the principles of equality and non-discrimination.

The Constitution of **Costa Rica** (1949) in its article 33 recognizes that “every person is equal before the law and no discrimination contrary to human dignity may be practiced". There is as well the Law 7142 on the Promotion of Women's Social Equality (1990), that promotes and guarantees equal rights between men and women in the political, economic, social and cultural fields. There is also a National Policy for Effective Equality between Women and Men 2018-2030.

The Constitution of **Cuba** (2019) recognizes equality between men and women in its article 43 where women and men have equal rights and responsibilities in economic, political, cultural, labour, social, family and any other sphere. The State guarantees that both are offered the same opportunities and possibilities. The State promotes the integral development of women and their full social participation. On March 8, 2021, the government published a Presidential Decree 198/2021 (GOC2021-2015-EX14) which institutionalizes the rights of women through the approval of a "National Program for the Advancement of Women'', conceived as the "Agenda of the Cuban State for the Advancement of Women, that Integrates actions and measures that correspond to the principles of the Constitution. Also, Cuba developed Guidelines for mainstreaming gender issues in efforts to mitigate and adapt to climate change in 2014.

In **Guatemala**, the Constitution of the Republic (1993) establishes that men and women have equal opportunities and responsibilities before the state. A national policy also exists for the promotion and integral development of women, called the Equity of Opportunities Plan (PEO) 2008-2023 that promotes the process of application of the economic, social, political and cultural rights of Mayan, mestizo women, Garífunas and Xinkas, as a way for girls, adolescents, adults and older adults to have real and effective access to development opportunities. Guatemala also has a Gender Equality and Equity Policy for the Executive Secretariat of CONRED (2016-2020), which addresses gender policies for risk reduction.

The political Constitution of the Cooperative Republic of **Guyana** (1980) promotes that all women have equal rights and status with men in the political, economic and social spheres. It prohibits any form of discrimination against women based on sex or gender. As part of their principles, Women’s participation in the various management and decision-making processes, whether private, public or state, shall be encouraged and facilitated by laws enacted for that purpose or otherwise. The Commission for Women and Gender Equality (2010) was created with the aim of promoting the recognition and acceptance of women's rights as human rights and that the achievement of gender equality must be respected and protected.

Haiti’s current constitution (amended in 2012) established equality between men and women by law. The country has developed a Gender Action Policy (*Politique d’égalité femmes-hommes 2014-2034*). The policy

intends to promote the effectiveness of women's rights in all areas of economic, political, social and cultural life. It is based on the Strategic Development Plan of Haiti, which aims to make Haiti an "emerging country" by 2030 through four main areas of work: territorial, economic, institutional and particularly social reconstruction, of which program 9 "Ensuring gender equality" constitutes its central axis. Also, Haiti has a National Strategy for the generation of gender-based analyses.

The Constitution of **Honduras,** in its article 8 mentions: "The state recognizes equal rights between men and women, in their relationships, regardless of their marital status". There is also the Law on Equal Opportunities for Women (2000) which aims to integrate and coordinate all State and civil society actions regarding gender topics, as well as to influence the National Plan, the public agenda, State planning and budgeting. In addition, the country also has a Plan for Gender Equality and Equity (2010-2022).

The Constitution of **Jamaica** (amended in 2011) in Section 13(3)(i) establishes the right to freedom from discrimination on the ground of being male or female, and race, place of origin, social class, colour, religion or political opinions. The country has a National Policy for Gender Equality (2011) which primarily aims at: "mainstreaming gender, within a human rights-based framework, in all State institutions and their apparatuses, in partnership with private sector, non-governmental and civil society organizations, to ensure that females and males have equal access to opportunities, resources, and rewards in order to eliminate discrimination based on gender and to promote sustainable human development."

The Constitution of **Panama** (2004) mentions in its article 19 "There will be no personal privileges or discrimination based on race, birth, social class, sex, religion or political ideas". Panama has Law No. 4 (1999), which establishes equal opportunities for women and the subsequent Public Policy on Equal Opportunities for Women (PPIOM) (2012), which seeks to eradicate the structural cause of gender inequality. It also has the Equal Opportunity Action Plan for Women (2016 - 2019).

The Constitution of **St Kitts and Nevis** (1983) mentions in its Chapter II of Protection of fundamental rights and freedoms, whereas every person is entitled to the fundamental rights and freedoms, that is to say, the right, whatever his race, place of origin, birth, political opinions, colors, creed or sex, but subject to respect for the rights and freedoms of others and for the public interest. There is also the National Gender Policy (2018) which assists with the mainstreaming of gender in all sectors of government and civil society. The policy will ensure that men and women have equal access to resources, participate equally in every area of national endeavor, and that cultural barriers to the realization of equality are addressed. The protection of complainants has been strengthened by the Domestic Violence Act, 2014. Additionally, there is the Domestic and Sexual Violence Complaints and Response Protocol, launched in 2018, which sets out the roles and responsibilities of the key agencies involved in Domestic Violence matters.

The Constitution of **Saint Lucia** (1978) safeguards the human rights of all persons within the country and holds the State accountable for violation of human rights. "Gender equality and the advancement for women and girls is subsumed in pillar #5 *Social transformation: building social resilience and social capital* of the six pillars established for the long-term national development of Saint Lucia. The country has a Division of Gender Relations (DGR), as part of the Ministry of Education, Innovation, Gender Relations and Sustainable Development. This entity is responsible for driving gender equality in country institutions and policies.

The Constitution of **Suriname** (1987) states in article 8:2 that no one shall be discriminated against on the grounds of birth, sex, race, language, religious origin, education, political beliefs, economic position or any other status. The Bureau of Gender Affairs of Suriname developed a Gender Vision Policy Document 2021 – 2035, which aims to achieve gender equity within Labour, education, health, power and decision-making, gender-based violence, legal and regulatory framework and environment and climate change. Along with this policy, Suriname also developed the 2019 – 2020 Gender Action Plan.

The Constitution of **The Bahamas** mentions "whereas every person in The Bahamas is entitled to the fundamental rights and freedoms of the individual, that is to say, has the right, whatever his race, place of

origin, political opinions, colour, creed or sex, but subject to respect for the rights and freedoms of others and for the public interest. The country has established a Strategic Plan to Address Gender-Based Violence in 2015 to develop effective and comprehensive systems, programmes and services for the management and elimination of Gender-based violence (GBV). The Department of Gender and Family Affairs is the entity that coordinates, advocates and informs policy for and on behalf of women and girls, men and boys as well as the family unit, ensuring a comprehensive and inclusive approach towards educational programmes and the implementation of international conventions to which the country is a state party.

The **Dominican Republic's** Constitution in article 39, speaks about the right to equality, to enjoy rights, freedoms and opportunities, without any discrimination for reasons of gender, colour, age, disability, nationality, family ties, language, religion, political or philosophical opinions, social or personal status. In addition, through Law no. 86-99 of the National Congress (1999), the Secretary of State for Women was created as the body responsible for establishing standards and coordinating the execution of policies, plans and programs at the sectoral, inter-ministerial and civil society levels, aimed at achieving gender equality and the full exercise of citizenship by women. The Dominican Republic has a Gender and Climate Change Action Plan (CCGAP-RD) since 2018.

The Constitution of **Trinidad and Tobago** (1976) states in its Chapter 1 the recognition and protection of fundamental human rights and freedoms and in article 4, that Trinidad and Tobago there have existed and shall continue to exist without discrimination by reason of race, origin, colour, religion or sex, the following fundamental human rights and freedoms…". They have developed the National Policy on Gender and Development (green paper) in 2018. It provides a framework for including gender perspectives in all activities of government and civil society, thereby promoting the full and equal participation of men and women in the development process.

The Constitution of the Bolivarian Republic of **Venezuela** mentions in its article 21. "All people are equal before the law; on consequence: 1. Discrimination will not be allowed based on race, sex, creed, social status, or those that, in general, have as their object or result nullify or impair the recognition, enjoyment or exercise in conditions of equality, of the rights and freedoms of every person". Venezuela published Its Programmatic Agenda for Women and Gender Equality, as part of the National Economic and Social Development Plan, in 2018. This agenda has a national objective (2.2) of guaranteeing the complete inclusion of all sectors of society in the integral development of democracy in its five dimensions. Regarding gender, it has the strategic objective (2.2.1) to consolidate gender equity with socialist values, guaranteeing and respecting the rights of all, and social diversity to incorporate the perspective of gender equality in public policies that guarantee the rights of women and promote non-discrimination and protection of socially vulnerable groups.

1.3. Who does what?

Women Time use allocation: domestic chores and care work

Women face challenges in achieving their autonomy due to barriers to participation and the time constraints they have to specialize in productive activities in order to diversify their income. Concerning allotment of time, the indicator of time-use life-course- gender gap has been used (SDG 5.4) (UNDP, 2020)[119] to explain the time allocation and unpaid domestic and care work, generally assigned to women for their gender roles. In the CLME+ region, there are nine countries that report on this index. Costa Rica, Cuba, Guatemala, Colombia, Panama, Dominican Republic, Honduras have similar indexes that correspond to about 5 hours from the 24 hour-day (between 21,3% and 16.7%) that women typically spend on unpaid domestic chores. Brazil has a

[119] UNDP (2020) Human Development Report. Life-course gender gap. http://hdr.undp.org/en/composite/Dashboard2

lower index 11.6% (2.78 hours). This UNDP report only contains information on 10 countries of the CLME+ region[120].

Women labour conditions and access to credits

In general, women do not have equal access to the workforce as they tend to dedicate more time to family duties and make more compromises to accommodate household chores. For women to diversify their income, they require support for the household and access to working capital.

Women generally have fewer options when it comes to accessing credits and are often forced to accept informal sources of credit at exorbitant rates of interest. Access to capital, even if minimal, is necessary if women are to effectively participate in the growing blue economy. Considering this important barrier and the potential for women to contribute significantly in blue economy sectors, micro-financing for women activities working in ocean sectors is considered as an important step towards ensuring women receive a fair share of the benefits generated from the blue economy.

Women also disproportionately lack capacity, training, and alternative sources of income which can lead to women being part of exploitative relationships in order to maintain livelihood options. In such cases, external capacity support can help to improve and expand work opportunities and living conditions.

As mentioned before in the SDG Report (2021)[121], the COVID-19 pandemic has interrupted essential health services which pose major health threats beyond the disease itself. Notably, this report identified that the pandemic has disproportionately affected women's well-being worldwide. This group has suffered a disproportionate share of job losses and increased care work at home.

1.4. Who has access and control of what?

Education versus labour force

The Gender Inequality Index (GII)[122] measures inequality in three aspects of Human Development: reproductive health, empowerment, and economic status among 189 countries (UNDP, 2020)[123]. For describing empowerment conditions, the indices of the countries in the CLME+ region have been given a rank according to the GII, described in Table 1.

Table 1. Gender Inequality Index and Global Gender Gap Index for countries participating in the PROCARIBE+ Project

No.	Country	GII	GII- Empowerment			GGGI- Economic Status	
		Rank	Share of seats in parliament	Population with at least some secondary education (% ages 25 and older)	Labour force participation rate (% ages 15 and older)	Economic participation and opportunity	Political empowerment

[120] The countries that do not report are: Trinidad and Tobago, St. Kitts and Nevis, Antigua and Barbuda, Guyana, St. Lucia, Suriname, Jamaica, Belize, Bahamas, Haiti, and Venezuela.

[121] SDG´s Report 2021 (SDG 5): https://unstats.un.org/sdgs/report/2021/goal-05/

[122] GII measures: *Reproductive health* measured by maternal mortality rates and adolescent fertility rates; E*mpowerment*, measured by the proportion of parliamentary positions held by women and the proportion of adult women and adult men (aged 25 years and over) with at least some level of secondary education; and *Economic status*, expressed in the participation in the labour market of men and women over 15 years.

[123] UNDP Human Development Report 2020. Gender Inequality Index. http://hdr.undp.org/en/composite/GII

			(% held by women)	Female	Male	Female	Male	Score	Score
1	Antigua and Barbuda	--	31,4	--	--	--	--	--	--
2	Bahamas	77	21,8	88	91	68,1	81,6	0.857	0.064
3	Belize	97	11,1	79	78,9	49,9	80,6	0.749	0.075
4	Brazil	95	15	61,6	58,3	54,2	74,1	0.665	0.138
5	Colombia	101	19,6	55,7	53	57,3	80,9	0.708	0.216
6	Costa Rica	62	45,6	55,4	53,3	48,1	76,2	0.624	0.545
7	Cuba	67	53,2	85,8	89,1	40,7	66,8	0.630	0.382
8	Dominican Republic	112	24,3	59,7	56,1	51,4	77,4	0.646	0.172
9	Guatemala	119	19,4	38,6	37,5	39,9	86,3	0.560	0.112
10	Guyana	115	31,9	70,9	56,4	43,9	68,5	0.638	0.310
11	Haiti	152	2,7	26,9	40	61,9	72,8	--	--
12	Honduras	100	21,1	32,2	29,6	52	85,9	0.721	0.179
13	Jamaica	88	19	70	62,4	59,8	72,5	0.768	0.230
14	Panamá	94	21,1	74,8	68,6	53,4	79,9	0.731	0.252
15	Saint Kitts and Nevis*	--	13,3	--	--	--	--	--	--
16	Saint Lucia	90	20,7	49,2	42,1	59,5	75	--	--
17	Suriname	105	31,4	61,5	60,1	38,8	63,7	0.703	0.252
18	Trinidad and Tobago	73	32,9	74,5	71,2	50,1	70,2	0.703	0.319
19	Venezuela	119	22,2	71,7	66,6	45,4	74,9	0.617	0.119

Source: UNDP, 2020; World Economic Forum, 2021. Author adaptation, 2021.

The figures for access to education show that in most countries of the CLME+ region, men and women have similar opportunities with regards to accessing education, and that in most countries, women have more access to secondary education than men. This shows the progress that has been made in women's access to education in the last years. It is worth highlighting the exception of Haiti, which has very low percentages of access to education for both sexes, and that the access of women (26,95%) to education is very low compared to that of men (40%).

To complement the empowerment landscape, indices of access to education should be linked to the composition of and access to the labour workforce. The figures show that men have higher access than women to the labour force in all countries participating in the PROCARIBE+ project. Countries that have large gaps with access to the labour workforce between both sexes (up to 30 points of difference) are: Belize (49,9% vs. 80.6%); Guatemala (39,9% vs. 86,3%), Honduras (52% vs. 85,9%); and Venezuela (45,4% vs. 74,9%).

Those differences show that the route from education to economic empowerment is truncated by gender inequality barriers. It can be assumed that this is due to situations related to the lack of opportunities, limited access to professionalization, and barriers derived from motherhood.

1.5. Who decides?

Economic opportunity and empowerment

The Global Gender Gap Index (World Economic Forum) is measured among four key dimensions: economic participation and opportunity, educational attainment, health and survival, and political empowerment.

In general terms, according to the Global Gender Gap Index Report 2021, another generation of women will have to wait until gender parity can be achieved due to the impact of the COVID 19 pandemic, as new predictions demonstrate that the time needed for closing the global gender gap has increased from 99.5 to 135.6 years. At the same time, the projections from the International Labour Organization (ILO) suggests that 5% of all employed women lost their jobs, compared with 3,9% of employed men.

Additionally, Ipsos (Global Market Research and Public Opinion Specialist) data from January 2021, shows that a longer "double shift" of paid and unpaid work in the context of school closures and limited availability of care services have contributed to an overall increase of stress and anxiety around job insecurity and difficulty in maintaining work-life balance among women with children (WEF, 2020)[124].

The GGGI indicators on economic opportunity for CLME+ countries show that Bahamas stands out with a higher score of 0.857 which means that women have more economic opportunity in this country, but on the contrary, countries such as Belize (0.075), Guatemala (0.112) and Brazil (0.138) have very low scores showing the very limited opportunities that women have. These data show a general lag in this vital indicator for the economic empowerment of women. It is also important to mention that several Caribbean countries do not report data on these indicators.

Political empowerment and representation

As presented in the Sustainable Development Goals Report[125], the pandemic has exacerbated gender inequalities more than ever before and data as of 1 of January 2021 show that women representation was far from parity when it came to political empowerment. In this regard, the global average of women in single or lower chambers of national parliaments was only 25.6 per cent, and 36.3 per cent in local deliberative bodies, continuing a slow upward trend in women participation. At the current rate, it will take no fewer than 40 years to achieve gender parity in national parliaments (UN, 2021).

Table 1 shows the CLME+ region's trends related to women political participation and the share of seats per sex in Parliaments[126]. For this index, there are only two countries that have a percentage close to parity between men and women: Costa Rica (45.6% held by women) and Cuba (53,20%). For most other countries, the range varies between 30% and 40% of women's participation, this being low in terms of parity in political representation. There are also 5 countries that have surprisingly low scores, only around 15%: Belize (11,1%); St. Kitts (13,3%); Brazil (15%), and Haiti with a very scarce 2%. It is therefore evident that many countries in the region still have a long way to go in order to attain parity when it comes to the representation of women in parliament.

Referring to the representation of women in decision-making positions, at the Ministerial level, according to the map of Women in Politics issued by UN Women and the Interparliamentary Union (UIP) in 2019[127], among the countries of the CLME+ region, Colombia and Costa Rica with 52,9% and 51,9 % respectively, have more women than men in their total of ministers. These countries are exceptional among the others that have varied percentages of participation that goes from 33,3% to 22.2% of women in ministerial positions. Countries like the Bahamas (5.6% of 18 ministers), Guatemala (6.7% of 15 ministers), Brazil (9.1% of 22 ministers), St. Kitts and Nevis (11.1% of 9 ministers), Antigua and Barbuda (15,4% of 13 ministers) and

[124] To Access GGGI Report: https://www.weforum.org/reports/global-gender-gap-report-2021/digest

[125] SDG´s Report 2021 (SDG 5): https://unstats.un.org/sdgs/report/2021/goal-05/

[126] The term Parliament is used in this case as a synonym for Assembly or Congress, which means the instance of representation of the legislative power of the states.

[127] UN Women: Map of Women in Politics 2019. To Access: https://www.unwomen.org/es/digital-library/publications/2019/03/women-in-politics-2019-map

Dominican Republic (16.7% from 24) have very low representation of women as ministers within their government.

1.6. Gender conditions relevant to the project's interventions

Women, biodiversity and climate change

As cited by the Convention on Biological Diversity, biodiversity conservation is part of the solution to climate change. For men and women in developing countries, particularly in the least developed countries, biodiversity is vital for their survival. Because the current rate of loss of biodiversity is severe, there is a risk of exacerbating the detrimental impacts of climate change, initiating further conflicts over limited natural resources and accelerating widespread poverty. As with the loss of biodiversity, climate change does not affect women and men in the same way and has a gender-differentiated impact (CBD, 2009).

In areas subject to periodic natural hazards such as droughts, landslides, flooding and hurricanes, it has been shown that men and women have different knowledge, management practices and response capacities, and that women are more vulnerable in this respect (IUCN, 2000).

To remediate the discrepancy between the capacity of women vs men to adapt to the challenges caused by climate change, gender aspects have been progressively integrated into climate change policies and interventions. However, important challenges still remain to ensure that gender aspects are systematically integrated in the data and technical information documenting the impacts of climate change. Unequal participation, representation and decision-making often prevent women from highlighting their needs and specific conditions, as they generally do not fully contribute to the planning, formulation and implementation of climate-related policies.

As mentioned in the Global Gender Environmental Outlook, the adaptation options and suitable gender responsive early warning systems can provide necessary alerts to trigger pre-emptive rather than reactive responses (GGEO, 2016). Therefore, climate change mitigation, adaptation, policy development, and decision making, should include a gender perspective (CBD, 2009).

The CLME+ region is considered as one of the most vulnerable to the effects of climate change. Ensuring that national climate change policies include the particular circumstances of women could help strengthen the countries' response to the challenges posed by climate risks. An overview of national gender strategies and action plans from countries in the CLME+ region demonstrate that the following countries have integrated gender into their climate and/or environmental policies: **Antigua and Barbuda** has a National Gender Equality Action Plan and a Gender Policy (2018) which seeks to mainstream gender nationally and achieve the active involvement of men and women in environmental management and implementation. It also seeks to better understand and mitigate risks associated with the differentiated vulnerabilities to climate change events between both sexes; Suriname has developed the Gender Vision Policy 2021-2035 aiming to achieve gender equity and focusing on environment and climate change. The **Dominican Republic**, considered among the ten most affected countries by climate change events (IUCN, 2018) has a Gender and Climate Change Action Plan (CCGAP-RD)[128] since 2018 that provides orientation for planning, coordination, mobilization of resources and transparency in the implementation of its NDC[129] and identifies country priorities for the 2019-2021 period regarding legislation, finance and budgeting, monitoring and evaluation, and capacity building to strengthen climate action; **Cuba** developed through a broad consultation process Guidelines for mainstreaming the gender issue in efforts to mitigate and adapt to climate change[130] in 2014 and took in consideration theoretical studies of relevant country reports, publications, websites, surveys and interviews; and **Haiti** developed the National Strategy for the generalization of analysis according to gender[131], with a view to

[128] To Access: https://genderandenvironment.org/plan-de-accion-genero-y-cambio-climatico-de-republica-dominicana-pagcc-rd/

[129] NDC: Nationally Determined Contributions.

[130] To Access: https://genderandenvironment.org/es/cuba-ccgap/

[131] To Access: https://genderandenvironment.org/es/haiti-ccgap/

integrating gender considerations in efforts to combat climate change in Haiti. The strategy is the result of a series of initiatives and consultations with actors at the national, departmental and community levels.

Women and the Blue Economy

For billions of people, the ocean is a life-support system that provides food, jobs and resources. Considering economically important sectors, such as fisheries, maritime shipping, deep-sea mining, renewable energy and tourism, the potential return on investment in the blue economy is huge. The role of women and men in the blue economy, and the challenges they face, are different (Merayo,E., 2019), but for many blue economy sectors, women earn less than men. For example, while women working in the maritime transportation industry only account for 2% of the global workforce, their salaries are 45% less than men (ROBLUE-WB, 2021).

Access to social and economic benefits of the blue economy is different depending on the role women and men play in the workforce and according to the sexual division of labour. Therefore, a vision of equality must be integrated in ocean-related sectors to ensure that there are no gender-related boundaries. According to IIED, there is growing pressure to put gender-related issues high on research and policy agendas with a view to boost gender equality in the blue economy and positively contribute to the achievement of SDG 5. Increasing gender equality in the blue economy is estimated to have the potential to contribute USD 13 trillion to global GDP by 2030 (UNCTAD, 2021).

Women in Tourism

Tourism has been one of the most affected productive sectors of the COVID-19 pandemic, and its effects have been devastating for many businesses related to this sector. Women make up the majority of the tourism workforce, and as a result the impact of the pandemic has been detrimental for them and their families (UNWTO, 2022).

The Second Global Report of Women and Tourism found that worldwide 54% of people employed in tourism are women. However, they earn 14,7% less than men for equivalent work, they have the lowest status jobs, they often run their own small-scale tourism enterprises, they do a large amount of unpaid work in family tourism businesses and they are generally underrepresented in senior management positions (UNWTO, 2019).

Specifically in the context of CLME+ countries, the gender pay gap in tourism (2014-2018) shows that in Brazil (9.11%) and the Dominican Republic (39.23%) men earn more than women, while in Costa Rica (-7.11%); Guatemala (-24.07); and Panama (-26.21%) women earn more than men (UNWTO, 2019). According to the UNWTO, these figures reveal that the gender pay gap is smaller in tourism than it is in the broader economy. In addition, only 23% of women were reported as Tourism Ministers in the same report. [132]

Further, as reported in the Global Report on Women in Tourism 2010, tourism can generate benefits for women by including them in the formal labour force. However, there is a high amount of unpaid work of women in tourism household enterprises as well as unpaid work in general. Research on the impact of tourism on social reproduction in Central America (Costa Rica and Belize) shows how childcare and parenting become neglected in tourism communities due to the demands of employment in the tourism sector. Additionally, women's burden from social reproduction increased without any revision to reduce the responsibility assumed as part of their work in the tourism sector (UNWTO, 2019).

A lack of education or formal context specific training, as well as information and access to communication technologies, particularly digital tourism platforms, jeopardizes women's active participation in tourism. On the contrary, it's known that ensuring equal access, skills and awareness to women in these areas may contribute to maximizing tourism's contribution to women empowerment.

[132] Note: several of the figures included in this report are related to tourism in general, no distinction is made in tourism activities on the coasts and seas.

Women in Fisheries

According to the Food and Agriculture Organization (FAO), approximately 60 million people work indirectly or directly in the primary sector of capture fisheries and aquaculture worldwide, and 14% of the global population of individuals directly involved in the fisheries and aquaculture sector are women (FAO, 2000). The contributions of women to fisheries represent 47% of the global fisheries workforce, but it is often unrecognized (Solano et al., 2021).

As determined by FAO, small-scale fisheries contribute about half of global fish catches in developing countries and employ more than 90 percent of the world's fishers and fish workers, about half of whom are women. These small-scale fishing communities are largely marginalized and tend to have limited or disadvantaged access to resources and markets. The situation has been compounded by the COVID-19 crisis, which has triggered reduced global demand and transportation restrictions (SDG Report, 2021). About half of countries worldwide have adopted specific initiatives to support small-scale fishers.

Women participate mainly in the pre and post extraction phases. Nevertheless, the lack of formal recognition of women's work at different levels, poor and limited data collection systems, cultural conceptions about fisheries as only a man's job and sexism, results in common incorrect assumptions of the gender division of labour, making invisible and misunderstood the contributions women make in the fisheries sector. This lack of recognition is a central cause of women's exclusion from governmental programmes and schemes, and it also prevents adequate regulation of their work and inclusion for their participation.

Fishing is a productive family activity, where, in the various associated tasks (preparation, repair of fishing gear, feeding, purchase, landing, processing) women and children participate. Depending on the fishing gear used, the labour requirements can be demanding, and therefore, various family and community members tend to participate. The associated activities are carried out without payments or are poorly remunerated as they are considered an extension of household activities. According to Solano et al. (2021), the demand for work in fisheries could be equivalent to a second working day and despite this, their contribution to the sector is still not recognized.

Women and Marine Spatial Planning

Marine spatial planning (MSP) is a process that brings together relevant authorities to better coordinate how we use and manage marine spaces to achieve ecological, economic, and social objectives. MSP is a public process that should be participatory, transparent, adaptive, inclusive and balance social, economic and environmental needs. MSP processes are often interconnected with conservation planning and can lead to the creation of new marine protected areas. While MSP aims at balancing conservation and socio-economic objectives, the end result of a marine spatial plan can affect the livelihoods of people working in ocean-related sectors and/or in communities bordering the planning area. Special attention should be given to marginalized groups while designing and implementing an MSP process, and planning for new protected areas.

MSP must be built on collaborative action between the various stakeholders involved, however the people who depend on marine resources for their incomes and livelihoods often have their views and needs ignored in decision-making processes. Women and other marginalized groups are frequently considered unimportant or unaffected by marine planning decisions despite playing a key role in many ocean-producing sectors. Many of the decisions regarding fisheries or ocean related activities are made in institutions which do not integrate women's interests and needs, and women may not be adequately represented. Having an inclusive MSP process is important because it can help create jobs and economic opportunities for communities in new and existing coastal and maritime sectors, and enable governments to meet their social targets and employment goals.

In order for a marine spatial plan to be legitimate and successful in the long-term, it is essential that the planning process be designed and implemented using gender mainstreaming as a key principle. Including women can lead to better outcomes by generating a diversity of perspectives, new ideas, and innovative solutions to address the problems identified. MSP can also be an important opportunity to increase the

understanding of gender conditions in the sectors involved in the planning that could unlock potential opportunities for women (PROBLUE-WB, 2021).

While several countries participating in the PROCARIBE+ project have made some progress on marine spatial planning, the level of integration of gender aspects is unclear. It is also unclear whether the results of marine spatial planning and the decisions related to marine protected areas have differentially affected men and women.

Women data and information

The Global Gender and Environment Outlook highlights the importance of including gender information in environmental reports to determine and understand the gender-and-environment nexus. Environmental analyses are considered more robust if they include gender-specific information about the different and diverse realities women and men face (UNEP, 2016). In the context of the PROCARIBE+ project, particularly in Caribbean countries, the CRFM gender analysis (CRFM, 2020) cited that country-level data gaps, including those related to gender and age, are a major challenge across the Caribbean, and that there are general inadequacies related to the collection and availability of timely, robust, and high-quality data to inform policies and decision making on economic and social development (United Nations Population Fund -UNFPA-Caribbean Sub-Regional Office, cited in CRFM gender analysis).

This situation makes it very difficult to identify in which part of the production chains women participate in Caribbean societies and particularly, what are their contributions. In the same CRFM gender analysis, it is mentioned that without records and data of the entire fisheries value chain, the role of women is masked. This makes women more vulnerable to livelihood loss from disruptions in fisheries, as registering with the government facilitates access to benefits and financial support for lost wages during disasters, including hurricanes and, as a more recent, COVID-19 pandemic effects. The CRFM gender analysis also mentions that climate change issues require gender-differentiated data to address planning aspects of disaster prevention and the innumerable limitations faced in this sector. Similarly, the Global Report on Women and Tourism mentions the limited availability of national sex-disaggregated quantitative data on tourism. This scarcity of quantitative data is highlighted in the report and included in the recommendations in order to improve data collection and reporting from national tourism administrations, national statistics institutes and other relevant entities regarding future research and knowledge on gender equality in tourism.

To expand examples, according to the GEF TDA/SAP methodology,[133] the Transboundary Diagnostic Analysis (TDA) has to integrate a technical study on gender equality in order to adequately inform the prioritization of actions to be selected and implemented during the Strategic Action Plan (SAP). During the UNDP/GEF CLME project, three comprehensive diagnosis analyses were conducted that address aspects of governance, reef and pelagic ecosystems, as well as a general analysis of the CLME+ region. In all of them, they briefly cover the available socio-economic data of the CLME+ region, but they make only a very brief reference to aspects of women's conditions. In this context, despite the existing institutional guidelines for developing the TDA/SAP, the lack of integration of a gender equality technical analysis, resulted in an SAP that does not include actions related to the role of gender in the context of ocean governance in the region.

This situation is frequently repeated where the lack of data and information is coupled with the lack of systematization of projects regarding gender aspects. Lessons learned from the integration of gender equality should be highlighted whenever possible so that projects are able to capitalize from the experiences gained.

1.7. Regional and national institutions supporting women's participation and representation in the CLME+ region

[133] To Access to TDA/SAP Methodology: https://iwlearn.net/manuals/tda-sap-methodology

Balanced participation and representation of women throughout the PROCARIBE+ project will be necessary to ensure that the socio-economic benefits to be derived from the project are distributed in an equitable way. Gender balance will also be key in achieving one of the main outputs of the project which is improving regional coordination and collaboration on ocean governance issues in the region.

The present analysis has revealed large information and reporting gaps on gender issues from countries in the CLME+ region, as well as limitations to identify institutions that work and can promote the integration of gender at the regional level. In the desk documentation review, regional level organizations working on gender issues have been identified; these have developed various instruments and plans which can be articulated with the project to generate results on gender equlity and mainstreaming. Even though none of these institutions have a scope of work for the entire CLME+, coordination and collaboration are essential. The institutions are described below:

a) SICA – COMMCA (Council of Ministers for Women Affairs)

SICA is the Central American Integration System[134] whose institutional framework ensures the effectiveness and efficiency of the functioning of its organs and institutions, which work together in the integration of policies and initiatives among countries. SICA's governance comprises president's meetings, ministers' Councils, Executive Committee and a General Secretariat.

The ministers' Council integrates the Council of Ministers for Women Affairs of Central America and the Dominican Republic (COMMCA for its acronym in Spanish), formally represented by the Technical Secretariat (STM-COMMCA). This is a political body specialized in the field of gender and women's human rights. The COMMCA promotes policy proposals at the regional level aimed at transforming the status, situation and position of women in the region and the adoption of a sustainable gender equity policy and strategy, fostering the development of the countries that make up SICA and supporting each other at the level of women's organizations in member states[135]. It has adopted the Regional Policy of Gender Equality and Equity (PRIEG / SICA) approved in 2013, as a mandatory mechanism to promote equal representation and a broad political and technical process of participation of the regional institutions and the states parties.

b) OSPESCA GT-IEG

A key actor from SICA, is the Organization of the Fisheries and Aquaculture Sector of the Central American Isthmus (OSPESCA, for its acronym in Spanish)[136]. This specialized organization was created with the aim of coordinating the definition, execution and monitoring of policies, strategies and projects related to the regulatory framework of regional scope that leads to the sustainable development of fishing and aquaculture activities.

OSPESCA is integrated by the Council of Ministers, the Deputy Ministers Committee, and the Committee of Directors of Fisheries and Aquaculture, which is in charge of the regional scientific and technical aspects of OSPESCA. This institution has made progress in integrating gender equality issues through the institutionalization of OSPESCA´s Regional Working Group on Gender and Equality and Equity in Fisheries and Aquaculture (GRT-IEG for its acronym in Spanish). The GRT has an action plan for women in artisanal fishing in the Central American Isthmus.

[134] As mention before SICA is composed by Costa Rica, El Salvador, Guatemala, Honduras, Nicaragua, Panama, Belize and Dominican Republic. Information taken from the official SICA website. To access: https://www.sica.int/estructura.

[135] Being the following: INAMU- Instituto Nacional de las Mujeres de Costa Rica; ISDEMO- Instituto Salvadoreño para el Desarrollo de la Mujer; SEPREM-Secretaría Presidencial de la Mujer de Guatemala; INAM-Instituto Nacional de la Mujer de Honduras; INMUJERES de México; MINIM-Ministerio de la Mujer de Nicaragua.

[136] Information taken from the official website of SICA-OSPESCA. To access: https://www.sica.int/consulta/entidad.aspx?IdEnt=47&Idm=1&IdmStyle=1

c) CARICOM

The Caribbean Community (CARICOM or CC) is an intergovernmental organisation of 15 member states (14 nation-states and one dependency) throughout the Caribbean having as primary objectives to promote the economic integration and cooperation among its members, to ensure that the benefits of integration are equitably shared, and to coordinate foreign policy.

CARICOM´s governance is composed of the Organs which are assisted by the CARICOM Secretariat, Bodies, Institutions, and other Stakeholders. The CARICOM Secretariat and the UN Women Multi-country Office developed a CARICOM Gender Equality Indicators Model in 2015, to measure progress on gender equality. This tool provides support for CARICOM Member states to assess the gender situation and increase understanding of the impact of developing adequate policies, as well as the dissemination of socio-economic data.

d) OECS (Organisation of Eastern Caribbean States)

The Organisation of Eastern Caribbean States (OECS) is an intergovernmental Organization dedicated to the regional integration of the Eastern Caribbean States. It was established through the signature of the Treaty of Basseterre in 1981, by seven Eastern Caribbean countries[137], with the purposes of economic harmonization and integration, protection of human and legal rights, and encouragement of good governance among independent and non-independent countries in the Eastern Caribbean.

The OECS has a both a specific commission for gender issues and a Gender Policy[138] . The Gender Policy of the Commission of the Organization of Eastern Caribbean States (OECSC) builds on the organizational Gender Mainstreaming Policy of 2013 (GEM) and will boost efforts to achieve the Sustainable Development Goals. This policy is intended not only to promote gender equality in the Eastern Caribbean, but also to define key commitments, principles and expected outcomes. It is to be aspirational, inspirational and practical for both the internal operations of the OECS Commission and its external relations, including those among Member States.

e) CRFM (Caribbean Regional Fisheries Mechanism)

The Caribbean Regional Fisheries Mechanism (CRFM) is an intergovernmental organization which aims 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 consists of three bodies: the Ministerial Council, the Caribbean Fisheries Forum and the CRFM Secretariat. CRFM is committed to promoting and driving sustainable development solutions in fisheries that benefit from and contribute to gender equality, youth empowerment and decent work in the Caribbean.

Under the Gender Mainstreaming in Fisheries of the Caribbean initiative within the Caribbean and North Brazil Shelf Large Marine Ecosystem (CLME+), the CRFM developed a Gender Analysis with the support of the Global Affairs Department of the Canadian Government. It consists of a Strategy and a Five-Year Gender Action Plan (Gender ASAP) for supporting its Member States in their efforts to develop strategic focus areas and activities for gender mainstreaming into fisheries for the Caribbean. This strategy has been endorsed by CRFM Member States[139] to support their regional coordination, engagement, support and coordination through their national Gender Focal Points. The CRFM report recognizes it as a foundational work that has created a momentum on gender equality.

[137] The states are: Antigua and Barbuda, Commonwealth of Dominica, Grenada, Montserrat, St. Kitts and Nevis, Saint Lucia, St Vincent and The Grenadines, British Virgin Islands, Anguilla, Martinique, and Guadeloupe.

[138] To access to OECS Gender Policy: https://www.oecs.org/en/our-work/knowledge/library/gender/oecs-commission-gender-policy

[139] The Gender ASAP drew on information from six flying fish CRFM Member States (Barbados, Dominica, Grenada, St. Lucia, St. Vincent and the Grenadines, and Trinidad and Tobago) with outreach, information and feedback from all 17 CRFM Member States where possible and relevant (CRFM, 2020).

The Five-Year Gender Action Plan for CRFM outlines regional and national activities that will contribute to meeting regional strategic outcomes for each of the four focus areas: i) Enhance collection and analysis of comprehensive sex-disaggregated socioeconomic data in fisheries; ii) Increase understanding of the differentiated social and cultural factors impacting labour and poverty of women, men, and youth in fisheries, and gender-responsive approaches to address these issues; iii) Enhance cross-sectoral collaboration and knowledge generation on gender equality and youth engagement in fisheries; iv) Strengthen engagement with fisherfolk organisations and local level stakeholders on implementing gender-responsive approaches in fisheries.

f) Other organizations working in the CLME+ region

There are some public organizations that work in the region where the project will be implemented on the issues of governance, fisheries, tourism and gender, which can be considered as potential allies for project execution. Table 2 integrates the names of these public institutions:

Table 2. Public institutions that work on gender issues in PROCARIBE+ participating countries[140].

Institution	Country	Headquarter
Directorate of Gender Affairs / Ministry of Social Transformation, Human Resource Development and the Blue Economy	Antigua & Barbuda	Saint John
Women and Family Support Department /Ministry of Human Development	Belize	Belmopán
National Women's Commission	Belize	Belize City
Women's Issues Network of Belize	Belize	Belize City
Consejería Presidencial para la Equidad de la Mujer	Colombia	Bogotá
Instituto Nacional de las Mujeres INAMU	Costa Rica	San José
Instituto Costarricense de Pesca y Acuicultura (INCOPESCA)	Costa Rica	San José
Departamento de Derechos Económicos, sociales y culturales - Ministerio de la Mujer	Dominican Republic	Santo Domingo
Consejo Dominicano de Pesca y Acuicultura – CODPESCA	Dominican Republic	Santo Domingo
Alianza ONG	Dominican Republic	Santo Domingo
Dirección de Pesca y Acuicultura - Ministerio de Agricultura, Ganadería y Alimentación (MAGA)	Guatemala	Guatemala City
Secretaría Presidencia de la Mujer	Guatemala	Guatemala City
Minister of Social Protection	Guyana	Georgetown
Instituto Nacional de la Mujer	Honduras	Tegucigalpa
Ministry of Culture, Gender, Entertainment and Sport	Jamaica	Kingston
Instituto Nacional de la Mujer	Panama	Panama City
Autoridad de los Recursos Acuáticos de Panamá	Panama	Panama City
Ministry of Community Development, Gender Affairs and Social Services	St. Kitts & Nevis	Basseterre
Ministry of Education, Innovation, Gender Relations and Sustainable Development	St. Lucia	Castries
Department of Gender and Family Affairs	The Bahamas	Nassau
Bahamas Maritime Authority (BMA)	The Bahamas	Nassau
Gender Affairs Division	Trinidad & Tobago	Port of Spain
Interior Ministry	Suriname	Paramaribo

There are also NGOs and International Cooperation agencies that may be considered as part of the institutions that can be allies for project implementation in relation to gender. *Please refer to Annex 9 Stakeholders Engagement Plan*.

[140] The names of the institutions are written in the original language.

The organizations are the following:
Caribbean Natural Resources Institute (CANARI) from Trinidad & Tobago; Comunidad y Biodiversidad (COBI-Mexico); IUCN Regional Office for Mexico, Central America and the Caribbean Region Office (IUCN – ORMACC); International Institute for Sustainable Development (IISD); UN Women Latin America and the Caribbean Regional Office in Panama, country offices in Brazil, Colombia, Guatemala, Haiti, and the Caribbean Multi-country office in Brazil.

1.8. Conclusions

There is an appropriate international and regional policy framework for the promotion of gender equality in the CLME+ region. International Agreements such as the UN 2030 Agenda for Sustainable Development and Sustainable Development Goals, and the FAO Voluntary Guidelines for Securing Sustainable Small- Scale Fisheries are internationally agreed instruments and provide guidance on how to promote gender equality in the context of achieving environmental sustainability.

In addition, all CLME+ countries have ratified the Convention on the Elimination of All Forms of Discrimination against Women (CEDAW), with the exception of Cuba, and the Inter-American Convention on the Prevention, Punishment, and Eradication of Violence against Women Convention (Belém do Pará, 1994). In addition, SICA´s Regional Policy on Equity and Gender Equality is mandatory to its parties (COMMCA, 2013), and the Organization of Eastern Caribbean States (OECS) has a Gender Policy developed to support the commitment to advance in gender equality in its commissions and member states (OECS, 2021).

Regarding time use allocation, in PROCARIBE+ participating countries, Costa Rica, Cuba, Dominican Republic, Guatemala, Colombia, Panama and Honduras have a similar index that shows that women work approximately 5 hours more than men in unpaid domestic chores.

Enabling conditions for diversifying income requires special processes and support for the distribution of household chores, but mainly it is necessary to have access to working capital and training processes to diversify options for economic autonomy. In blue-economy related activities, women need to have access to working capital, even if this capital is minimal in order to successfully participate in ocean sectors and reduce the gap in salaries between women and men.Increasing gender equality in the blue economy is estimated to have the potential to contribute USD 13 trillion to global GDP by 2030 (UNCTAD, 2021).

The Gender Inequality Index (GII) regarding women empowerment has shown that access to education in the CLME+ region is similar between men and women; and in most countries, women even have better access to secondary education than men, with the exception of Haiti, which has very low percentages in many of the reported indices.

The important progress with access to education for women is in contrast to the indices on composition and access to the labour workforce, where the indices of PROCARIBE+ participating countries demonstrate that there still are significant challenges for women to access the workforce in all of them, with Belize, Guatemala, Honduras, and Venezuela showing a greater inequity of up to 30 points of difference in percentages. This situation demonstrates that the route from education to economic empowerment is truncated by gender inequality barriers.

With regards to parliamentary representation, the GII shows women's participation has a long way to attain parity in the region with the exception of Costa Rica, Cuba, and Nicaragua that have indicators close to parity with men. On the other hand, with surprisingly low scores less than 13%, are Belize, St. Kitts; St. Vincent and the Grenadines; and Brazil. Standing out is Haiti with a score of 2%.

The panorama for the representation of women in decision-making positions at the Ministerial level according to UN Women, is pretty similar in countries from the region, where Colombia, and Costa Rica are exceptions and have more women than men in the total number of ministers. The majority of the countries go from

33,3% to 23,5% of women as Ministers. The Bahamas, Guatemala, Brazil, St. Kitts and Nevis, Antigua and Barbuda, and the Dominican Republic have very few women in Ministerial positions with their scores ranging from 15% down to 6,7%.

The conditions of gender inequality are diverse in the 19 countries participating in PROCARIBE+ project. In some indices the trends are similar between countries and in others, some countries do significantly better with gender parity than others. However, it is important to note that the levels of inequity in terms of access to employment and economic opportunity is high in several countries of the region, such as in Guatemala, Honduras, Belize, Venezuela and Brazil. In several aspects, Haiti is evidenced as a country for priority attention.

The following countries in the region have gender strategies and/or action plans that integrate gender and climate change policy: Antigua and Barbuda, Suriname, Dominican Republic, Cuba and Haiti.

Tourism has been one of the most affected productive sectors by the COVID-19 pandemic and as women make up the majority of the tourism workforce the impact has been great for them and their families. In the context of the CLME+ region in several countries such as Costa Rica, Guatemala, and Panama, women earn more than men in this sector, this being a development opportunity for them. However, women entrepreneurs running small-scale tourism operations, often conduct unpaid work in family tourism businesses and are often underrepresented in senior management positions in the sector. A lack of education or formal technical training, as well as lack of information and communication technologies, particularly digital tourism platforms, jeopardizes women's active participation and representation in tourism.

Fishing is a productive family activity where the various associated tasks are considered an extension of household activities and are therefore unremunerated which makes women economically dependent and renders them in a more vulnerable situation compared to men. Women also face challenges in achieving their autonomy due to barriers related to time constraints for participating in and accessing specialisation on productive activities that would help diversify their income.

For the various issues to be addressed under the PROCARIBE+ project, there is a lack of gender-specific information and mainstreaming. Such information is necessary to understand the contributions of women to various sectors, to be able to adequately inform decision-making and develop safe planning processes that contribute to tackling inequality. These aspects allow better gender-information at the country level, high-quality data on women participation in the fisheries value chains, tourism and other economic activities, to provide information disaggregated by gender to address disaster prevention issues and to favor the integration of gender aspects into MSP processes.

In the same way, the strategic planning instruments for GEF projects such as the TDA/SAP, do not count with the technical basis of gender issues due to the lack of proper integration from its initial approach. The lack of data and information is coupled with the lack of systematization of projects regarding gender aspects.

The CLME+ region does not appear to have gender-focus institutions that would address gender issues for the entire context of the PROCARIBE+ project SICA-COMMCA, OSPESCA WG-IEG, OECS, CARICOM and the CRFM have institutionalized gender equality and count with specific gender plans to be implemented in the region. Despite the existing initiatives, a greater articulation at the regional scale is required to achieve a broader impact and ensure collaborative results to influence existing governance processes in the region with regards to gender equality aspects.

1.9. Recommendations

Derived from this analysis, the following recommendations are proposed:

1. The establishment of a gender working group is recommended to achieve greater participation and representation of women in the PROCARIBE+ project. This working group can summon the different institutions, projects and initiatives that have action on gender equality in the issues addressed by the project. This working group can articulate the different existing institutional plans, support the reports of specific technical information with a gender perspective at the country and regional level, contribute to increasing the relevance of gender data and information, address technical needs, and establish a route to achieve other gender-specific results that may be required for the CLME+ region in this respect.

2. The generation of specific information on socio-economic and gender aspects related to tourism, fisheries, and climate change are required to inform decision-makers in PROCARIBE+ participating countries.

3. Gender mainstreaming must be technically addressed into national and regional reporting mechanisms in order to generate adequate information and thus attempt to redress existing inequality. Gender should be adequately integrated in the TDA/SAP, SOMEE, NICS, and other reports to be developed during project execution, either by adding a specific section on gender or mainstreaming gender across the documents. It is important that the strategic planning instruments developed under the project TDA/SAP include gender equality to achieve a greater impact with the project interventions.

4. At the same time, gender mainstreaming in MSP should be considered to attain a sustainable participatory, transparent, adaptive, inclusive and balanced process that will increase the understanding of gender conditions and unlock potential opportunities for women. The following suggested considerations could ensure a gender inclusive approach for MSP: consultations to better understand local conditions and in particular the conditions and contributions of women in marine-related sectors involved in the planning effort; the generation of sex-disaggregated data to understand the rate of participation between women and men in the various MSP engagement opportunities; gender mainstreaming thoughout the MSP effort; analyze, through a gender-lense, working opportunities that may be affected or influenced in the MSP process; give particular attention to ensuring that women are equally represented in the decision-making processes.

5. It is important that the project supports the generation of lessons learned from the integration of gender equality aspects in order to capitalize, replicate and disseminate the learnings. In this regard, the collection of socio-economic and gender information under the project could support the development of national and global reports on gender , such as the Human Development Report, reports from theWorld Economic Forum, and others, thus providing additional information for decision-making.

6. Specific access to training processes must be facilitated and minimum participation levels for women must be established. The promotion of women's interest in technical issues contributes to their empowerment and can diversify economic options for them. It is also recommended that affirmative actions be taken to facilitate women’s access to the various technical and political spaces on ocean governance issues to be addressed under PROCARIBE+.

7. Affirmative actions with technical support should be promoted to develop gender sensitive micro-finance experiences, which may have specific results that facilitate participation, access to benefits, and economic empowerment within a blue economy scheme for women in the region as well as in MSP processes. With these actions, relevant learnings can be generated and promoted for replication and escalation. These potential results can be considered as a contribution of the project to mainstreaming women participation in the context of LMEs and for the blue economy in general.

8. It is recommended that the project, in all its phases, integrate affirmative actions as much as possible to achieve results for gender equality and in this way, can be progressively integrated into the context of the project interventions. To ensure this, specialized gender personnel should be engaged. It is important that a specialist be hired within the project team or, if not possible, that technical support on gender be available for project execution. It is recommended that at the inception phase, project personnel understand gender equality approaches, and develop, with some support, the project activities ensuring that gender aspects are adequately integrated.

9. Finally, it is recommended that gender equality qualitative and quantitative monitoring be carried out in project evaluations such as the PIR, MTR, TE, as well as in any communication or knowledge product generated during project implementation.

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Section 2: Gender Action plan

2.1. Introduction

This section has been developed to propose the integration of gender equality activities for the implementation of the project "Protecting and Restoring the Ocean's natural Capital, building resilience and supporting region-wide investments for sustainable blue socio-economic development (PROCARIBE+)".

The conceptual approach to gender equality in this plan is based on the institutional principles of UNDP and GEF which focuses on the empowerment of women and girls. This document was made based on the findings of the gender analysis (Section 1.) and its purpose is to support the management of gender activities that have been integrated into the project design.

It is important to mention that some activities referring to youth participants have been integrated into the plan. Since the consideration of youth is included within the gender equality approach, this plan integrates initial activities and indicators as affirmative actions to promote the progressive participation of youth in the project.

2.2. Gender plan content

The plan contains the following:

a) A descriptive section about the gender activities of the gender plan.
b) A gender action plan matrix that contains the following:
    - Proposed activities for project components and project implementation
    - Indicators and targets
    - Proposed budget
    - Timeline
    - Responsibility
c) A Budget Summary that describes the activities that require budget allocation.

2.3. Implementation plan

This plan integrates 15 gender specific activities to be developed during project implementation. Many of them are *affirmative actions* to particularly promote women participation[141]. These activities will fall within the responsibilities of a Gender and Safeguards Specialist(s) (GSS) hired to follow-up and assess progress related to the project's safeguards.

[141] Affirmative action refers to actions aimed at accelerating de facto equality between women and men that may, in the short term, favor women. Other terms that are often used to refer to such "special measures" in their corrective, compensatory and promotional sense are the terms "affirmative action", "positive action", "positive measures", "reverse discrimination", and "positive discrimination".

The activities presented below are explained in general terms and detailed in the gender plan matrix (2.4) where the activity, indicators, target, timeline and budget are described:

- Establishment of a **Project Gender Working Group** (PGWG) (potentially to be merged into a wider-ranging "Gender and Youth in Oceans Governance" Working Group under the OCM, subject to related decisions by the OCM EG/SG - see Output 1.1.1). The GSS will lead this activity and will invite the different institutions working under the scope of the PROCARIBE+ project and/or the OCM to nominate gender-focal points as part of the PGWG. This group will aim to coordinate gender-related actions between the various participating institutions.

  It is proposed that the PGWG build a work plan that articulates the existing gender plans of the relevant institutions participating in the PROCARIBE+ project (e.g., CFRM Gender Plan, SICA-OSPESCA Regional Working Group on Gender Equality and Equity, others); identify gaps and opportunities for increasing gender participation and representation in the PROCARIBE+ governance mechanisms, such as the Ocean Coordination Mechanism, and propose specific actions for advocacy. In addition, the PGWG should support the elaboration of indicators for gender equality and generational equity for inclusion, where relevant, in the reporting schemes supported under the PROCARIBE+ project, such as the regional and national SOMEE reports and others, and identify other areas where gender actions could be developed. The inclusion of indicators on gender and youth in these reports will generate useful information that can inform the next TDA/SAP and support the integration of these issues in the strategic actions to be developed.

- **Affirmative actions for promoting women participation and representation in all project activities**. The PGWG shall propose specific areas to increase women participation in the project under its work plan. For example, a specific gender line of work will be proposed under at least one of the marine spatial planning initiatives to be supported or as part of the work on marine protected areas/OECM. The Project Management and Coordination Unit with the support of the GSS shall take affirmative actions to ensure that a minimum of 30% of the participants that attend the different meetings and consultations organised by the project are women. The GSS will be responsible to ensure that sex disaggregated data is collected and reported.

- **Integration of gender equality and youth equity into the Regional SOMEE Report to inform the new Strategic Action Programme (2025-2034).** (Output 4.1.3)
  The GSS will follow-up on this activity and will support the PGWG with the integration of gender in the SOMEE report and propose gender-specific indicators for more inclusive and gender-sensitive reporting to be used in the update of the next SAP. The integration of gender aspects is proposed to be cross-cutting in sections 2, 3 and 4 of the SOMEE[142]. This activity will include a short consultancy assignment that will propose a series of indicators to be included in the reporting (SOMMES, NICS, others). Whenever possible, the development of National SOMEEs (Output 2.1.3) should also mainstream gender. Lessons learned from the integration of gender in the regional SOMEE could be extracted and used for replication by countries in their national SOMEEs.

- **Capacity Building will Promote women's interest, participation and empowerment in technical issues.** (Output 2.1.3).
  As an affirmative action, **capacity building training** must be gender-sensitive and promote equitable participation of women and youth. For capacity-building activities organised under the project, the aim will be to ensure that at least 30% of the participants are women and 10% are young people. It

[142] The Structure of SOMME has four sections: 1. What is the status of the marine environment? 2; How does the current status contribute to human well-being (socio-economics) and how does this current status of socio-economic benefits deviate from our societal aspirations? 3.What is causing this difference between what we currently have, and what we aspire to have? 4. What needs to be done now, to close the gap between reality and societal aspirations.

is important that these training processes be promoted focusing on attracting women's and youth organizations, so that over time an adequate representation in the trainings can be achieved[143].

As well as an affirmative action for mainstreaming gender in the project activities, in the **training-of-trainers** integrated in Output 2.1.3, it is proposed to establish a minimum number of women (9 trainers out of 30 (30%), and a minimum number of youth participants (3 out of 30 (10%)), which will allow women and youth to become active within the activities of the project. The follow-up and the promotion of these activities must have the support of the GSS.

To attract and involve the interest of women and youth to be part of the training processes, the design of capacity-building activities in the project should use **inclusive language and ensure gender and generational equity as a cross-cutting approach**, including examples, data, and information. For this action, the GSS in coordination with the person that will design the trainings and the person that will be in charge of communication of the project, will identify information, data and examples derived from the reports that are generated in the other components of the project (Output 2.1.2) and to integrate and use them for this purpose.

- **Affirmative actions will be taken to integrate gender and youth participation in the selection of initiatives to receive financial support under the small grants/micro-finance scheme (Output 3.1.1).**
  This activity will set a target of financing, as an affirmative action, a minimum of 30% of the funds for small grants/micro finance to women-led projects, and a 10% to youth-led projects. With this affirmative action, the participation, access to benefits and economic empowerment of women and young people will be facilitated.

  In order to effectively attract the submission of women and youth-led project proposals, the call for proposals, guidelines and specific information related to the small grants programme should be tailored to the needs and interests of women and youth. To this end, specific guidelines must be developed and aligned with the financing principles of the SGP. The GSS will actively participate and support these affirmative-actions.

- **Integration of gender aspects into national MSP processes** (Output 3.3.1).
  This activity will aim to support the mainstreaming of gender into the national MSP processes to be pursued under the project. A consultant will be hired to develop guidelines to promote the full integration of gender in the design and implementation of the planning processes, including aspects of inclusive-consultations, production of sex-disaggregated data, analysis of socio-economic outcomes, and recommendations on opportunities for the engagement of women in the process, as well as supporting their integration in decision-making opoprtunities. The guidelines will be shared to the national level authorities and responsible parties responsible for the MSP processes. The GSS will support the development of the guidelines and assist the countries with their full integration into the MSP initiatives.

- **Learnings from mainstreaming gender in ocean governance mechanisms in the CLME+ region** (Outputs 4.2.2 and 4.2.3)
  The project will generate **learnings from mainstreaming gender** into the project and the regional ocean governance mechanism and will document and share the results in the GEF IW Learn (Gender Hub) platform. It is proposed that a consultancy supports the systemization of the experiences gained and helps with the development of outreach materials. To disseminate the learnings, a

[143] The category of young people according to the United Nations is made up of the age group between 15 and 24 years old. For the context of this project, it is recommended to refer to the legal age of 18 years. Then the concept of youth within the project will range from 18 to 25 years. For their identification, the exact age record is not required, but it is requested of the participants to determine if they belong to the following segments: youth (18-24); young adults (25-34); adults (35-64) and, senior (65 and older).

Webinar on gender and ocean management (suggested title) to reflect on the processes that have been carried-out under the Project will be organized. It is suggested that the development of the webinar, including the production of content, design and associated communication materials also be supported by a consultant. In addition, one of the Experience Notes to be developed under the PROCARIBE+ project, using the IW-Learn methodology and template, will be on the experience of **mainstreaming women participation in the project** (Output 4.2.3). This experience note will document the process of gender integration throughout the activities of the project, the challenges, the learnings and the achievements. These activities will be guided by the GSS in coordination with the person in charge of communication and supported through a consultancy.

- **Project implementation**

  The Project Management and Coordination Unit will achieve gender balance, making sure that at least 30% of the staff are women. The project team will hire a **Gender Equality and Safeguards Specialist(s)** (GSS) which will provide technical support for the implementation of the gender action plan and all safeguards related actions (SESP, IPPF, ESMF and others as required). At the beginning of the project, the **Project Management and Coordination Unit will be trained** on how to ensure gender equality in the activities of the project.

  Wherever possible, project activities will integrate affirmative actions in order to mainstream gender equality and youth as a cross-cutting issue. It will record **sex and age disagregated data** in participation, include gender considerations in **procurement processes, and in reporting**. There will be special attention given to **gender-inclusive language** in all the documents and communications under the project.

2.4. Gender action plan matrix

Project Components

COMPONENT 1: Region-wide multi-stakeholder cooperation, coordination, collaboration and communication for the protection, restoration and sustainable use of marine and coastal ecosystems in the Caribbean and North Brazil Shelf Large Marine Ecosystems (EBM approach)						
1.1. Coordinated, collaborative and synergistic implementation of regional, sub-regional and national (Strategic) Action Programmes and Plans in support of the CLME+ Vision, enabled through the OCM and partnerships, and a regional programmatic approach.						
Gender-related activity	Indicator	Target at the end of the project	Baseline	Budget USD	Timeline	Responsibility
Establishment of a Project Gender Working Group (PGWG) for the PROCARIBE+ project to strengthen gender information, participation and representation in the project's scope of action.	Level of development of operation of the PGWG of the PROCARIBE+ project (output 1.1.1)[144]	4	No existing gender working group for the PROCARIBE+ project.	0	Year 1	GSS
Affirmative actions of promoting participation of	Percentage of women participating in all project meetings (e.g., percentage of women participating in OCM activities).	At least 30% of participants are women.	Not developed.	0	Throughout project implementation.	GSS

[144] Six-point scale: 0=Gender working group for the PROCARIBE+ project does not exist. 1= there has at least been a call to coordinate the different existing institutions collaborating under the PROCARIBE+ scope of action and a PGWG has been constituted; 2= The PGWG has at least developed a work plan that articulates the existing gender institutional plans, identifies gaps to tackle for increasing gender participation and representation in the PROCARIBE+ governance schemes and proposes some specific mechanisms to follow (e.g., specific gender working group at OCM, or others); the workplace supports the development of gender and generational technical reporting, and identifies other gaps to develop gender equality under the scope of PROCARIBE+. 3= The PGWG has at least developed guidelines to strengthen information, participation and representation of gender in the PROCARIBE+ activities (e.g., Guidelines to address the gender and generational aspects in technical reporting and information generation with the development of key-gender and youth related indicators are developed for SOMME reporting and other for other relevant reports); 4= The PGWG work plan and guidelines have at least been assessed and updated; 5 = The lessons obtained have been identified.

women in all project activities.						
Integration of gender equality and intergenerational equity in the Strategic Action Programme (2020-2034).	Level of inclusion of gender equality and youth equity in the SAP . (output 1.1.2)[145]	3	Not developed.	0	*year 3 (2023-2026 SAP)*	GSS

COMPONENT 2: Enabling national environments for the protection, restoration and sustainable use of coastal and marine resources (EBM/EAF)						
2.1. National-level capacity, enabling conditions and commitments for EBM/EAF and marine-based, climate and disaster-resilient "green-blue" socio-economic development						
Gender-related activity	Indicator	Target at the end of the project	Baseline	Budget USD	Timeline	Responsibility
Affirmative actions to conduct capacity building processes to promote interest in technical issues that are gender sensitive and ensure equitable participation of women and youth.	Percentage of women and youth with a training completion certificate (Output 2.1.3).	At least 30% of trainees are women. At least 10% of trainees are young people.	Not developed.	0	Throughout project implementation.	GSS
Affirmative action to promote women and youth trainers-of-trainers.	% of women with a training completion certificate (Output 2.1.3). % of young people with a training completion certificate (Output 2.1.3).	At least ≥ 9 women trainers. At least ≥ 3 youth trainers	Not developed.	0	Throughout project implementation	GSS

[145] Four-point scale: 0 = not developed; 1= At least SAP integrates gender as a cross cutting element in all the text; 2 = At least the SAP has gender expressed in its vision and mission; 3 = At least the SAP has integrated gender equality in its results and has indicators to be assessed.

Affirmative action to promote gender and generational equity as a cross-cutting approach in training (inclusive language, examples, data).	Level of integration of gender mainstreaming in the project's training (Output 2.1.3).[146]	2	No particular attention is given to gender aspects in the training material	6,000,00	Throughout project implementation	GSS to coordinate with the training development team(s)

COMPONENT 3: Catalysing actions by all sectors of society, at different spatial scales, for the protection, restoration and sustainable use of marine and coastal natural capital ("blue economies")						
3.1. Civil Society and MSME contributions to ocean conservation and ocean-based sustainable development & livelihoods/blue economies, upscaled						
Gender-related activity	Indicator	Target at the end of the project	Baseline	Budget USD	Timeline	Responsibility
Affirmative actions to integrate gender and youth participation in the procedure, call and selection of small grants for civil society and micro-small-medium sized enterprises to contribute to ocean conservation, ocean based sustainable development/recovery and blue economies.	Percentage of small grants for women-led projects financed (Output 3.1.1.) Percentage of small grants youth-led projects financed (Output 3.1.1.)	At least 30% of the small grants given to women projects. At least 10% of small grants given to youth projects.	0	0	Throughout project implementation	GSS
Development of guidelines on the Integration of gender aspects into national MSP processes	Number of national MSP processes with full gender mainstreaming (Output 3.3.1)	All national MSP processes have included gender mainstreaming in the MPS initiatives.	0	9.000	Throughout project implementation	Consultant with support from GSS

[146] Three points-scale: 0 = No particular attention is given to gender aspects in the training material; 1= Basic information related to gender equality and youth equity; 2= Gender and youth Inclusive Language, examples and data are included in the training.

COMPONENT 4: Region-wide data/knowledge generation, management and sharing mechanisms supporting cooperation, coordination, collaboration and synergistic action						
4.1 A well-articulated marine data, information and knowledge management infrastructure/network is enabled, (a) providing a science-policy interface; (b) supporting the development/updating, implementation and M&E of regional Action Programmes and Plans; (c) boosting and increasing the impacts of marine & coastal investments						
Gender-related activity	Indicator	Target at the end of the project	Baseline	Budget USD	Timeline	Responsibility
Integration of gender equality and youth equity into the Regional SOMME Report to inform the Strategic Action Programme (2026-2035).	The SOMME report integrates Gender and youth indicators and statistics (Output 4.1.3).[147]	3	No progress on development of set of key gender and youth-related indicators	6.000,00	Year 2	GSS
4.2. Increased regional and global impacts from GEF IW investments through global dissemination and sharing of experiences, and by forging synergies with other Regional Seas/LME/Regional Fisheries programmes and the wider community of International Waters/Ocean practitioners & stakeholders						
Learnings from mainstreaming gender within the PROCARIBE+ project.	Number of lessons learned from mainstreaming gender within the PROCARIBE+ governance schemes. 1) Number of gender and ocean management webinars (output 4.2.2). 2) Number of Experiences Notes on mainstreaming women participation in the PROCARIBE+ project (output 4.2.3).	One webinar of gender and ocean management. One project experience note document.	0	10,500,00	Year 4	Person in charge of project communication with the support of GS

[147] Four-point scale: 0= The SOMEE does not have a set of key gender and youth-related indicators; 1= Set of key gender- and youth related indicators-variables developed by PGWG and agreed to be used in the SOMEE; 2= Key gender-related indicators-variables embedded into the regional report; 3 = Regional SOMME includes reports on gender and youth related information.

Project Implementation

Gender-related activity	Indicator	Target at the end of the project	Baseline	Budget	Timeline	Responsibility
Establishment of quotas to ensure participation of women in the Project Management and Coordination Unit (PMCU)	Percentage of women in the PMCU.	At least 30% women in the project team.	0	0	At the start of the project	Project Coordinator
Integration of appropriate gender advice for the implementation of the project through a person specialized in gender and participation.	Number of persons supporting a dedicated gender and safeguard specialist	One person	0	*20% of the budget of the position*	At the start of the project	Project Coordinator
Conduct a capacity building process to broaden the understanding in the project's team about the relevance of gender and youth integration in the execution of the project.	Number of capacity building activities developed with the project team	At least 3 capacity building trainings developed to support gender and youth integration in the execution of the project .	0	0	Year 1	GSS
Integration of the gender equality and generational equity inclusion approach in all project reporting	Level of integration of age[148] and sex-disaggregated data in project reporting mechanisms of participation and reporting records.[149]	2	0	0	Year 1 up to Year 4	Person in charge of project monitoring with the support of GSS

[148] The United Nations, for statistical purposes, defines "youth", as those persons between the ages of 15 and 24 years, without prejudice to other definitions by Member States. The age registry must be established by segments (e.g., young, adult, older adult) and must not request exact age.

[149] Two points-scale: 1= Sex and age disaggregated data in participation data is registered; 2= Gender and youth data and analysis is registered and included in all formats and reports.

mechanisms (where relevant).						
Project communication strategy includes a gender equality and generational equity approach (inclusive language, examples, data).	Level of integration of gender equality and generational approach in project's communication strategy[150]	2= Integrated through the design in the strategy document	0	0	At project start	Person in charge of project communication with the support of GSS

[150] Two points-scale: 1= Not integrated; 2= Integrated through the design in the strategy document.

2.4. Budget Summary

The activities of the plan that require a specific budget are listed below:

Output	Gender Activity	Budget Note	Total USD
2.1.3.	Promote gender and generational equity as a cross-cutting approach in training (inclusive language, examples, data).	Consultant for developing content of gender equality and generational equity and for integrating related information and data. Design costs should be included in the design of the training materials for the training process.	6.000,00
3.1.1.	Development of guidelines on the integration of gender aspects into national MSP processes	Consultant for development of guidelines and technical support for gender mainstreaming into MSP processes.	9.000,00
4.1.3	Integration of gender equality and youth equity into the Regional SOMME Report to inform the Strategic Action Programme (2026-2034).	Consultant for developing guidelines and indicators.	6.000,00
4.2.2 4.2.3	Generation of learnings of practices and processes from mainstreaming gender in the PROCARIBE+ project and regional ocean governance mechanism.	A) Consultancy for Webinar design and content. B)Consultancy for sistemation of experiences	10.500,00
	Gender Safeguards Specialist (GSS)	part-time (20%) support of a dedicated gender specialist for the implementation of the gender action plan	
		Total	**31.500,00**

2.5. Gender Monitoring Plan

Monitoring	Indicators	Targets	Description of indicators and targets	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Risks/Assumptions
Gender Action Plan (Gender Action Plan Indicator GAPI)	GAPI 1. Level of development of operation of the Project Gender Working Group (PGWG) of the PROCARIBE+ project (Output 1.1.1).	**Mid-term** Level 2. PGWG developed a work plan. **End-of-project** Level 4. The PGWG work plan and guidelines have at least been assessed and updated.	Level of development: Scale: 0.Gender working group for the PROCARIBE+ project does not exist. 1.At least been a call to coordinate the different existing institutions collaborating under the PROCARIBE+ scope of action and a PGWG has been constituted; 2. The PGWG has at least developed a work plan that articulates the existing gender institutional plans, identifies gaps to tackle for increasing gender participation and representation in the PROCARIBE+ governance schemes and proposes some specific mechanisms to follow; the workplace supports the development of	Document level of development of the indicators according to the scale.	Annually	Gender and Safeguards Specialist(s) (GSS)	Progress report prepared by GSS Document with key indicators Board decision adopting the set of indicators	R. No progress or delays in conforming the PGWG. A. Project Board and Project Management and Coordination Unit (PMCU) support women participation and integration.

Monitoring	Indicators	Targets	Description of indicators and targets	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Risks/Assumptions
			gender and generational technical reporting, and identifies other gaps to develop gender equality under the scope of PROCARIBE+. 3.The PGWG has at least developed guidelines to strengthen information, participation and representation of gender in the PROCARIBE+ activities 4.The PGWG work plan and guidelines have at least been assessed and updated. 5. The lessons obtained have been identified.					
	GAPI 2. Percentage of women participating in all project meetings (e.g., percentage of women participating in OCM activities).	**Mid-term** ≥30% **End-of-project** ≥30%	Percentage of women that participate in all project meetings.	Record sex of every project meeting and report.	Continuous data collection, monthly processing.	GSS	Event registration forms. Progress reports	A. The project support women participation. A. Women participation on each event is duly recorded. R. Not enough effort made by the project to include women in all project meetings.

Monitoring	Indicators	Targets	Description of indicators and targets	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Risks/Assumptions
	GAPI 3. Level of inclusion of gender equality and youth equity in the SAP (output 1.1.2).	**Mid-term** Level 1. SAP integrates gender **End-of-project** Level 3. SAP integrates gender equality in its results and has indicators to be assessed.	Level of inclusion: Scale: 0. Not developed 1.At least SAP integrates gender as a cross cutting element in all the text. 2.At least the SAP has gender expressed in its vision and mission. 3.At least the SAP has integrated gender equality in its results and has indicators to be assessed.	Document level of development of the indicators according to the scale. Document level of inclusion of key gender/youth-related indicators in the SAP.	During year 3	GSS	Progress report prepared by Gender and Participation Specialist Document with key indicators	A.The governments of the participating countries support women participation A. The project support women participation
	GAPI 4. Percentage of women and youth with a training completion certificate (Output 2.1.3).	**Mid-term** ≥30% of trainees are women / and ≥10% of trainees are young people. **End-of-project** ≥30% of trainees are women / and ≥10% of trainees are young people.	Percentage of women and young participants in the training activities that have obtained a completion certificate.	Record of sex /age segment in trainings. Records of Completion certificates.	Data collection after training programmes.	GSS	Document-report women and youth participation with completion certificates.	R. Not enough effort made by the project to include women/young people in project trainings.
	GAPI 5. At least 9 trainers out of 30, are women; and 3 young persons, have a training completion	**Mid-term** At least >9 women trainers. At least ≥ 3 youth trainers. **End-of-project** At least >9 women trainers.	Number of trainers-of- trainers are women / Number of trainers-of-trainers are young persons.	Record of sex /age segment in trainings. Records of Completion certificates.	Data collection after training programmes.	GSS	Document-report women and youth participation with completion certificates of trainers of trainers.	R. Not enough effort made by the project to include women/young persons in project trainers-for-trainers training processes.

Monitoring	Indicators	Targets	Description of indicators and targets	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Risks/Assumptions
	certificate (Output 2.1.3).	At least ≥ 3 youth trainers.						A. There is interest among women and young people in being trainers of trainers.
	GAPI 6. Level of integration of gender mainstreaming in the project's training (Output 2.1.3).	**Mid-term** 1.basic information related to gender equality and youth equity. **End-of-project** 2. Gender and youth Inclusive Language, examples and data are included in the training.	Level of integration Scale: 0.No particular attention is given to gender aspects in the training material. 1.Basic information related to gender equality and youth equity. 2.Gender and youth Inclusive Language, examples and data are included in the training.	Document level of integration of gender equality and youth equity in the use of language, examples and data in the trainings.	Throughout project implementation.	GSS with the training development team(s).	Progress report prepared by Gender and Participation Specialist	R. Not enough effort made by the project to include women/young persons in project training processes. A. There is interest among women and young people in the project trainings.
	GAPI 7. Percentage of small grants for women-led projects and youth-led project financed (Output 3.1.1).	**Mid-term** At least 15% of the small grants given to women projects / 5% of the small grants given to youth projects. **End-of-project** At least >30% of the small grants given to women projects / ≥10% of the small grants given to youth projects.	Percentage of women and young persons as beneficiaries of small grants	Document the assignation of grants to women-led and youth led projects.	Throughout project implementation	GSS	Progress report.	A. There is interest among women and young people in presenting proposals to be financed. A. The project makes enough efforts to promote gender and youth participation in the procedure, call and selection of small grants.

Monitoring	Indicators	Targets	Description of indicators and targets	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Risks/Assumptions
	GAPI 8. Number of national MSP processes with full gender mainstreaming. (Output 3.3.1).	**Mid-term** Three national MSP process **End-of-project** All national MSP process	All national MSP process have included gender mainstreaming in the MPS initiatives.	Document the national MSP gender integration.	Throughout project implementation	Consultant with the support of the GSS	Progress report from national MSP process that integrates gender.	A. Standard methodology is used in all sites.
	GAPI 9. The SOMME report integrates Gender and youth indicators and statistics (Output 4.1.3).	**Mid-term** 1.Set of key gender and youth related indicators developed by PGWG and agreed to be used in the SOMME report. **End-of-project** 3. Regional SOMME includes reports on gender and youth related information.	Level of integration Scale: 0. The SOMEE does not have a set of key gender and youth-related indicators. 1. Set of key gender- and youth related indicators-variables developed by PGWG and agreed to be used in the SOMEE. 2.Key gender-related indicators-variables embedded into the regional report. 3.Regional SOMME includes reports on gender and youth related information.	Document level of development of key gender and youth-related indicators.	Throughout project implementation	GSS	Progress report prepared by Gender and Participation Specialist Document with indicators PGWG adopting the set of indicators to be used in the SOMEE.	R. Delays in development and agreeing indicators R. Lack of interest or support from countries to integrate the key gender and youth-related indicators.
	GAPI 10. Number of project lessons learned from mainstreaming gender within the	**Mid-term** a) Zero / b) Zero **End-of-project** a) One webinar	One webinar of gender and ocean management. One project experience note document.	Register the process of preparing the webinar and the project experience note document.	During year 4	Person in charge of project communication with the support of GSS	Report of regional webinar. Project learning document	None

Monitoring	Indicators	Targets	Description of indicators and targets	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Risks/Assumptions
	PROCARIBE+ governance schemes: a) number of gender and ocean management webinars (Output 4.2.2). b) Number of experiences notes on mainstreaming women participation in the PROCARIBE+ project (Output 4.2.3).	b) One project experience note document.						
	GAPI 11. Percentage of women in the PMCU.	**Mid-term** ≥30% **End-of-project** ≥30%	The Project Management and Coordination Unit includes at least 30% of women among its members	Record each person contracted as member of the Project Management and Coordination Unit. Record dates of contract start and end.	Annually	Project Coordinator	Contracts	A.The implementing agency and the implementing partner support women participation
	GAPI 12. Gender and Safeguards Specialist(s) is part of the PMCU.	**Mid-term** **at least o**ne **End-of-project** **at least** one	PMCU includes at least one person specialized in gender, safeguards, and participation.	Record dates of contract start and end.	Annually	Project Coordinator	Contracts Curriculum vitae	A.The implementing agency and the implementing partner support women participation

Monitoring	Indicators	Targets	Description of indicators and targets	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Risks/Assumptions
	GAPI 13. Number of capacity building activities developed with the project team (PMCU)	**Mid-term** Three **End-of-project** Three	Three trainings conducted for capacity building.	Register the process of training.	Year 1.	GSSe	Memoirs	None
	GAPI 14. Level of integration of age segment and sex disaggregated data in project reporting mechanism of participation and reporting records.	**Mid-term** 2. Gender and youth data and analysis is registered and included. **End-of-project** 2. Gender and youth data and analysis is registered and included	Level of integration Scale: 1.Sex and age disaggregated data in participation data is registered. 2.Gender and youth data and analysis is registered and included in all formats and reports.	Record of sex /age segment in project reporting mechanisms and reporting records.	Throughout project implementation	GSS	Reports of results of sex disaggregated data and age-segments.	None
	GAPI 15. Level of integration of gender equality and generational approach in project´s communication strategy.	**Mid-term** 2. Integrated through the design in the strategy document **End-of-project** 2. Integrated through the design in the strategy document	Level of integration Scale: 1.Not integrated. 2.Integrated through the design in the strategy document.	Strategy including a gender equality and generational equity approach (inclusive language, examples, data).	At project start	Person in charge of project communication with the support of the GSS	Communication Strategy	None

ANNEX 12

Memoirs of engagement processes held during the UNDP/GEF PROCARIBE+ Project Preparation Phase (PPG phase)

June 2022

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Summary of engagement process

The Stakeholder Analysis and Engagement Plan (Annex 9), makes reference to the engagement process carried-out during the PPG and PIF development process.

The main engagement activities that were implemented are:

- PPG Preparatory Meeting (held virtually on 14-15 July 2021)
- Establishment of PPG Thematic Groupings and a PPG Development Committee to provide guidance on the development of the project design. Those groups were invited to respond to a series of questionnaires on different thematic issues and participated in the review and validation process of the ProDoc online.
- Regional Dialogue on Marine Spatial Planning and Blue Economy
- Pre-validation Workshop
- Bilateral Engagements (Meetings, Calls, written dialogue).

Questionnaires on MSP, MPA and Blue Economy

A total of 8 questionnaires were developed and distributed to relevant Thematic Groupings on the topics of Marine Spatial Planning, Marine Protected Areas / Other Effective Conservation Measures and the Blue Economy to inform the development of the PROCARIBE+ Project design. The links to each questionnaire are provided below.

1) Developing the baseline on the status of Marine Spatial Planning in the CLME+ region to inform the identification of concrete Project Activities and Targets under UNDP/GEF PROCARIBE+ PIF Project Outputs 2.1.3. and 3.3.1
   (For Countries)
   (For NGOs)
   (For IGOs)
2) Developing the baseline on Marine Conservation through Marine Protected Areas (MPA's) and Other Effective (Area-Based) Conservation Measures (OECM) in the CLME+ region (wider Caribbean) to inform the identification of concrete Project Activities and Targets under UNDP/GEF PROCARIBE+ PIF Project Output 3.3.2
   (For Countries)
   (For Organizations)
3) Developing the baseline on the status of Blue Economy Planning in the CLME+ region to inform the identification of concrete Project Activities and Targets under UNDP/GEF PROCARIBE+ PIF Project Output 3.3.1
   (For Countries)
   (For NGOs)
   (For IGOs)

Virtual Meetings

PPG Preparatory Meeting

Agenda

14-15 July 2021
Convened Virtually

Time (Colombia time)	**Agenda Items**
DAY ONE	
9:30-9:50	Welcome and review of the Meeting Objectives and Agenda. Presentation of PPG Team
Agenda Item 1: Overview of the PROCARIBE+ Concept Note and Approach for Execution of PPG Phase	
9:50-10:20	1. Objectives, geographic scope, results framework, and budget (GEF grant, co-financing) of PROCARIBE+
10:20-10:30	2. From PPG release to Project start: Process, timeline and milestones
10:30-10:45	Questions and Answers, Comments from participants
10:45-11:00	**BREAK**
Agenda Item 2: Approach towards Project Governance and Management	
11:00-11:30	1. Proposed approach to Project Governance and Project Management: a. Lessons learnt from the CLME and CLME+ Projects; b. Proposal for PROCARIBE+. c. Coordination with other projects & initiatives.
11:30-12:00	Questions and Answers, Comments from participants
12:00-12:10	Closure Day 1

Time (Colombia time)	**Agenda Items**
DAY TWO	
9:30-9:45	Welcome and summary of main outcomes from Day 1
Agenda Item 3: Development of the Project Document and GEF Submission Package	
9:45-10:15	1. Proposed approach towards development of the Project Document and the GEF CEO endorsement package (including proposed approach for selecting the project's intervention sites)
10:15-10:30	2. Proposed approach to regional and country-level stakeholder mapping and engagement
10:30-11:00	Questions and Answers, Comments from participants
11:00-11:15	**BREAK**
Agenda Item 4: Country and (prospective) Partner Engagement during PPG	
11:15-11:30	1. Overview of what is needed from countries and prospective partners during PPG
11:30-11:50	2. Ensuring ownership and participation during the PPG: use of digital technology (proposed approach)
11:50-12:05	Questions and Answers, Comments from participants
12:05-12:20	Summary and next steps
12:20-12:30	Meeting closure

Meeting Materials

https://clmeplus.org/procaribe-plus-project-meetings-and-documents/

List of Participants

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CLME+ PCU	Sofia	Serrano	
CLME+ PCU	Martha	Prada	
CLME+ PCU	Claudia	Beltran	

UNDP/GEF PROCARIBE+ Project PPG Preparatory Meeting
Project Preparation Phase

14-15 July 2021
Convened Virtually

SUMMARY REPORT

BACKGROUND

At its 60th Meeting celebrated in June 2021, the Global Environment Facility (GEF) approved the Concept note (PIF) for the proposed five-year UNDP/GEF Project: *Protecting and Restoring the Ocean's natural Capital, building Resilience and supporting region-wide Investments for sustainable Blue socio-Economic development (PROCARIBE+)*, for a total financial contribution from the GEF Trust Fund (International Waters Focal Area) of USD 17,2 million (GEF Project ID 1080 | PIMS 6290).

The project is now entering into the one-year project document formulation phase (PPG) and with a view to set the path forward for collaboratively developing the project document (ProDoc) and GEF information package, the United Nations Development Programme, as the responsible GEF Agency, along with the United Nations Office for Project Services (UNOPS), as the Executing Agency, organized the PROCARIBE+ Project PPG Preparatory Meeting convened virtually on 14-15 July 2021.

The objectives of the Meeting were to inform and -where relevant- obtain initial feedback from countries and prospective partners on:

- The proposed project objective, results framework and budget
- The proposed process, timeline and milestones towards project operationalization
- The proposed approach to Project Governance and Project Management (enabling country ownership and mainstreaming of the project in ongoing regional processes)
- The proposed approach to regional and country-level stakeholder mapping and engagement, for the different project components and outputs
- The proposed approach towards the development of the detailed project proposal, including the proposed approach for selecting the project's intervention sites; and
- Overview of what is needed from countries and prospective partners during PPG

A total of 110 participantes joined the virtual meeting, representing 24 countries and territories from the CLME+/Wider Caribbean region and 20 from organizations, projects and other initiatives.

AGENDA AND MEETING MATERIALS

All documentation related to the meeting can be found on the PROCARIBE+ webpage at www.procaribeplus.org. Recordings of the meeting, divided by agenda topic, are also available.

MAIN MESSAGES

The following provides the main messages of each agenda item as presented during the meeting. For more information, please refer to the presentations and/or recordings for each agenda topic available at www.procaribeplus.org.

Agenda Item 1. Overview of the PROCARIBE+ Concept Note and Approach for Execution of PPG Phase

The PROCARIBE+ Project Aims at:

- Implementing integrated ocean management arrangements (regional and national)
- Enabling and developing sustainable and resilient ocean-based (blue) economies (through MSP, marine conservation, sustainable fisheries and addressing land-based source of pollution), and taking into account cross-cutting issues such as climate change, gender, post COVID-19 recovery.
- Catalysing next iteration of key regional processes such as TDA/SAP

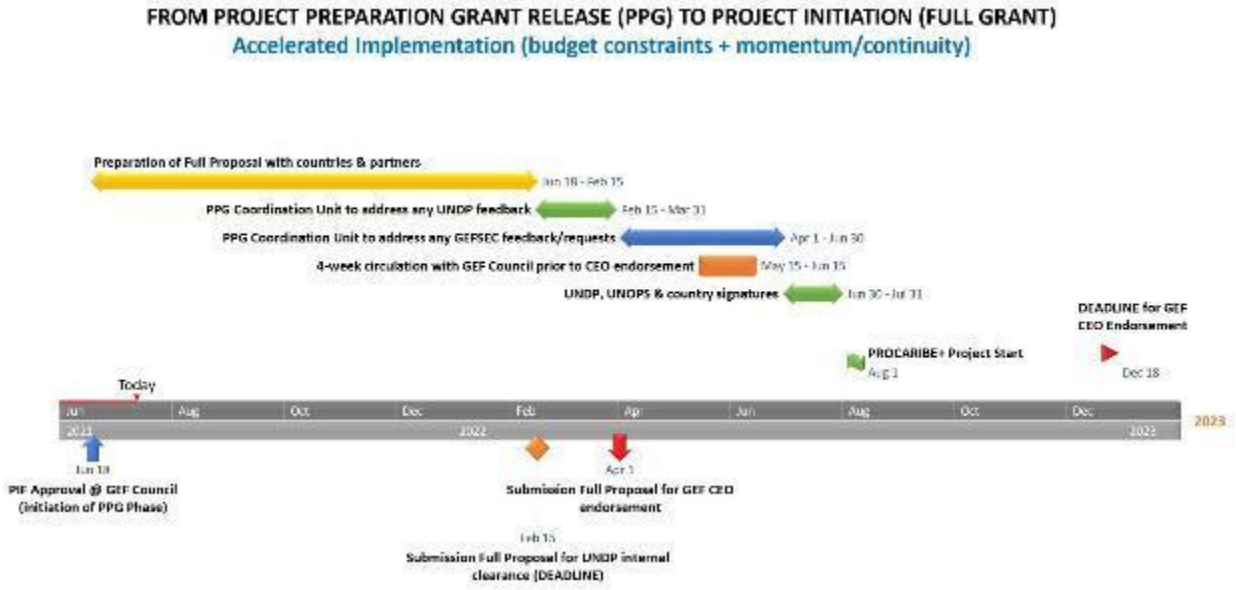
The Objective of the project is: Protecting, restoring and harnessing the natural coastal and marine capital of the region to catalyze investments in a climate-resilient, sustainable post-covid Blue Economy, through strengthened regional coordination and collaboration, and wide-ranging partnerships.

The Project has the following components:

Component 1: Enhanced regional coordination and collaboration
Component 2: Enhanced national capacity and enabling conditions
Component 3: Key actions by all sectors of society in support of the CLME+ Vision: a healthy marine environment supporting human well-being (focus on blue economy, MSP, MPA's, sustainable fisheries, micro- and innovative financing)
Component 4: Regional Knowledge Management and Marine Data Infrastructure + global LME community

In its review of the PIF, the GEF highlighted the importance for all countries that endorsed the CLME+ Strategic Action Programme (SAP) to participate in PROCARIBE+ during which the next iteration of the Transboundary Diagnostic Analysis / SAP will be developed. The PROCARIBE+ Project will aim at collaborating closely with other projects and initiatives in the region to ensure complementarity between initiatives and minimize the duplication of efforts.

The following accelerated timeline was proposed to operationalize the PROCARIBE+ Project.



Questions and Answers:

- The representative of the Government of Panama asked why the lobster fishery indicator is based only on the amount of exports instead of total production volumes? The regional director of OSPESCA explains that, since exportable products must meet traceability requirements, it is possible to monitor the entire

value chain, where exports have great importance. Although possible, lobster production data collection is difficult and at the moment there are no reliable capture and marketing statistics, particularly for artisanal fishing. The traceability analyzes have been carried out jointly with other institutions such as the International Regional Organization for Agricultural Health (OIRSA) in the Central American region. The CLME+ Project produced spiny lobster traceability results, but obtaining catch and trade information from all producing countries in the region can be quite challenging.

- The representative of the United Nations Caribbean Environment Program (UNEP/CEP) expresses her satisfaction with the results obtained in SOMEE, the efforts regarding the regional coordination mechanism and the attention given to the issue of the blue economy. She asks, what actions will PROCARIBE+ take to advance the reduction of stress associated with marine pollution and restoration of marine habitats? Mr. Patrick Debels responds that progress will be made in Marine Spatial Planning (MSP), micro-financing schemes and with the implementation of national and regional Strategic Action Programmes. The technical team will analyze how these actions and strategies will be implemented in the Project. The aspiration is that all the countries benefit from all these areas of action, but achieving this can be challenging because it will depend on the progress that each one achieves in each of the thematic areas referred to.
- The executive director of the CRFM states that the review process of the PIF was limited due to the tight time constraints, but he considers that the PPG will offer a longer consultation process, despite the restrictions in terms and available financial resources. Although he acknowledges that the Overseas Territories are not eligible by the GEF, he asks: How could their participation in the Project be ensured and how could we obtain the respective letters of endorsement? Mr. Patrick Debels states that this has been a challenge since the CLME and CLME+ projects, but he hopes that the experience gained will help overcome these obstacles and allow for the active participation of Overseas territories in PROCARIBE+. The IOC-UNESCO representative seconded the importance of the consultation process.
- The representative of Saint Lucia expressed the high vulnerability of the Caribbean in the face of natural disasters such as hurricanes that threaten the fishing sector and asked: Will PROCARIBE+ include provisions to minimize the impacts of these natural events, and if so, is there an opportunity to define actions that could be taken? Mr. Patrick Debels responds that the Project has already set its objectives, which at this time could not be modified, but the actions planned in terms of restoration of marine ecosystems, MSP and on the blue economy, can contribute to reducing the impact of these events. This reaffirms the need to connect all the initiatives that are being carried out in the region to develop joint strategies and strengthen synergies.
- The representative of the World Conservation Monitoring Center (WCMC) congratulates the PROCARIBE+ proposal and informs that WCMC will develop a multisectoral coordination and cooperation project in the Pacific Ocean (2022-2027), which could facilitate cooperation and exchanges of experiences between the two projects. Mr. Patrick Debels added that, in a similar way, the IWLEARN program plans to promote the exchange of experiences among all the projects promoted by the GEF under the International Waters portfolio.

Agenda Item 2. Approach towards Project Governance and Management

Taking into consideration lessons learnt from the CLME and CLME+ projects on the role and responsibilities of the Project Steering Committee, a new approach towards project governance and Management is being proposed for PROCARIBE+. During CLME and CLME+, the PSC was given the mandate to provide strategic policy and management oversight to the project. Due to the complexity and wide-thematic range of the CLME and CLME+ projects, challenges were encountered with this approach as it was difficult to find one person that could cover all

thematic areas. The CLME+ Project tried to address this challenge by 1) requesting the nomination of more than one focal point, 2) collaborating with regional IGOs 3) creating the Interim Coordination Mechanism for cross-cutting issues that went beyond the mandate of individual IGOs 4) Organizing virtual meetings of the PSC that allowed for larger delegations.

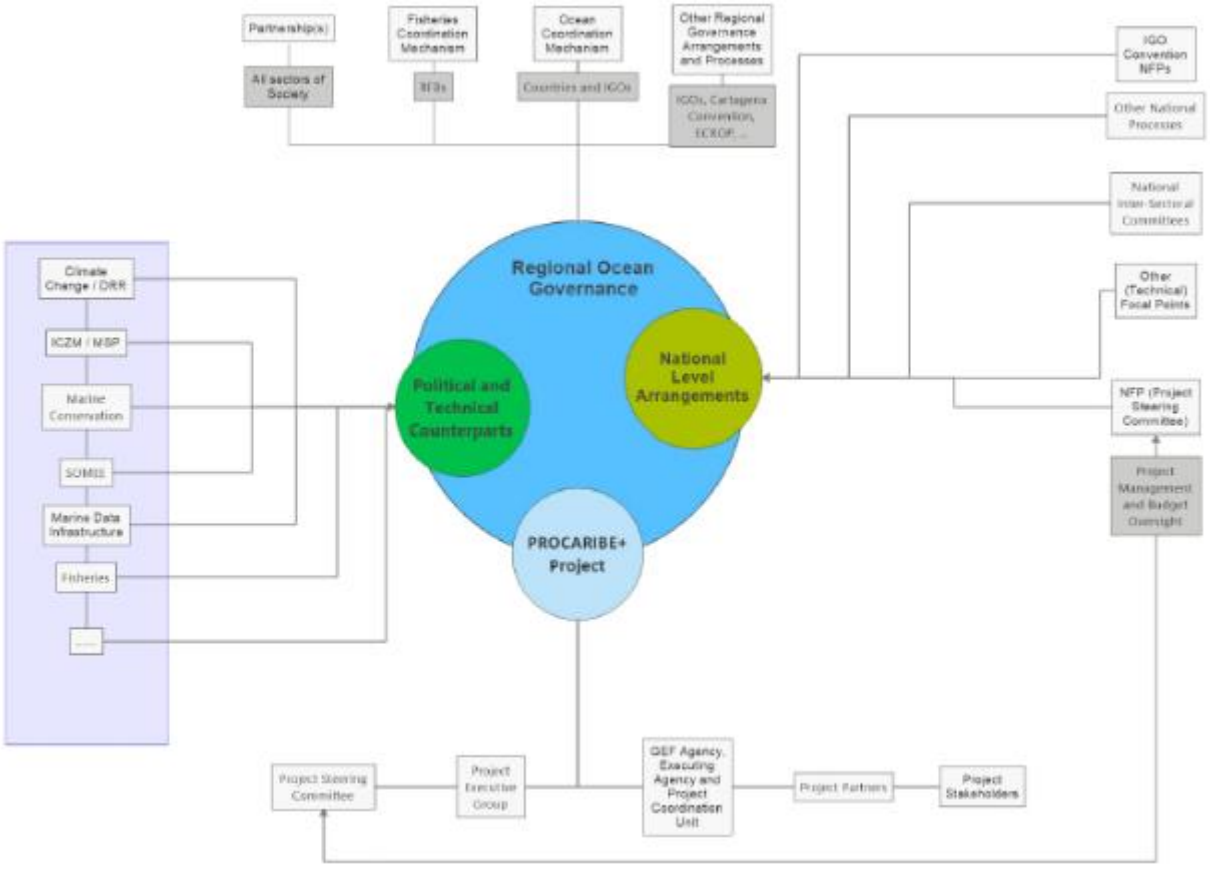
Those progressively implemented solutions were partially successful, but some shortcomings are notable such as the fact that participation in the ICM is limited to IGOs and countries do not participate.

Based on the lessons learnt during the CLME and CLME+ Projects, the following is being proposed for the PROCARIBE+ Project:

- The role of the PSC would be (mostly) limited to providing Project Management Oversight: Review, comment on and approve (as applicable) Work Plans, Implementation Progress and Proposals for remediation actions
- The Regional Ocean Coordination Mechanism (OCM), individual IGOs and other relevant groupings/mechanisms (e.g. OCM Partnership) would be engaged for the delivery, review and approval/endorsement of technical and political project activities/outputs
- Continue the use of virtual platforms

The following proposal would promote ownership of the work delivered under the Project and give sustainability and continuity to the outcomes.

The proposed Project and Governance Management approach for PROCARIBE+ was summarized in the following schema:



Questions and Answers

- The representative of the Gulf and Caribbean Fisheries Institute (GCFI) asks: Although it was agreed in the CLME+ Project that NGOs would not be part of the Project Steering Committee (PSC), is it possible that they could be part of the PROCARIBE+ PSC? Mr. Patrick Debels responds that there is still no certainty about that, since the GEF will have to decide if the co-financing parties will have the right to vote in the PSC or not, however, regardless of the confirmation from the GEF, NGOs would be allowed to participate as observers.
- The representative of Suriname draws attention to the construction of the map that indicates the MSP projects, which does not include his nation, and invites it to be updated. He recognizes that MSP projects help improve the understanding of the marine environment, and draws attention to the issue. He therefore welcomes the implementation of integrated marine planning and management actions under PROCARIBE+. Mr. Patrick Debels appreciates their contribution and invites the participants to provide data to update the baseline information used for the PIF, including projects underway or about to start, as a strategy to promote synergies and strengthen collaboration between partners.
- The representative of UNEP/CEP comments that together with IUCN they developed the Biodiversity and Protected Areas Management Programme (BIOPAMA), that contains information on conservation measures for protected areas. Through synergies with PROCARIBE+, there seems to be a good opportunity to monitor progress on the management effectiveness of marine protected areas in the Caribbean. Mr. Patrick Debels agrees with his opinion and adds that for this reason UNEP/CEP has been invited to this informative meeting, since all the parties interested in the protection of marine resources and ecosystems should work in harmony. In this way, it would be possible to optimize the use of the different platforms already created and ensure the sustainability over time of these infrastructure and their information beyond each project, instead of creating new platforms, thus duplicating efforts. Strategies like this one are highly important for the GEF, which pays special attention to taking advantage of the different platforms and initiatives developed in the region.
- The UNDP representative in Trinidad and Tobago asks: Considering that the countries will want to know the role and decision-making capacity of their representatives in the Project, are the National Focal Points expected to lead the activities at the national level? Mr. Patrick Debels answers that it is expected that one representative of the National Government of each country would have comprehensive knowledge of the Project; but that acknowledging that that this person would not be a specialist in all of the technical issues that will be addressed under PROCARIBE+,it is proposed that each country designate different Focal Points, according to the specialty required.
- The representative of UNEP-CEP referred to the importance of joining efforts between the various projects and platforms that work around the management of MPAs and the collection and management of regional data; also to the need to establish a connection between the different thematic areas of PROCARIBE+. Mr. Patrick Debels invites us all to pay special attention to the formation of these working groups and their methodologies to work actively and efficiently.
- The representative of the Dominican Republic states that the information presented on the governance structure of PROCARIBE+ requires time to be assimilated because it is dense, in particular to recognize the needs for participation and coordination between the regional and national levels, as well as to identify the potential local partners. Countries will need help to understand the exact role they will have to play and how that regional governance scheme will be reflected at the national level. Mr. Patrick Debels takes note of the comment and adds that these concerns will be part of the topics that will be developed in detail during the preparation phase of the project, while welcoming suggestions on the best ways to develop collaborative work.

- The Executive Director of the CRFM reiterates the importance of building on the basis of the methodologies that have worked and the achievements made in terms of governance during the CLME and CLME+ projects. He reminds the participants that the National Intersectoral Committees have been working for some time now, but that challenges remain with their implementation and it is necessary to continue strengthening them.

Agenda Item 3. Development of the Project Document and GEF Submission Package

The list of deliverables for the PROCARIBE+ project PPG are the following:

- UNDP-GEF Project Document (ProDoc - *a "fully" detailed project proposal; min. ENG/SPA*)
- Mandatory annexes to the ProDoc, e.g.:
    - Project Budget
    - Multi-year work plan
    - Monitoring Plan
    - UNDP Social and Environmental Screening Procedure (SESP) - see next slides
    - Gender and Stakeholder Analysis and Action Plan
    - Overview of project staff profiles and technical consultancies
    - Procurement Plan
    - Co-financing Commitment Letters
    - UNDP, UNOPS and Country Signatures for the UNDP ProDoc
- GEF CEO Endorsement Request and all mandatory annexes; and
- Validation Workshop report

The UNDP HQ will act as the GEF Agency and UNOPS as the Executing Agency for the PPG.
Country and partner feedback will be sought through a:

1) A Development Committee that will:
    - Oversee, guide and advise on the project development process
    - Review (as applicable*) and endorse the GEF PPG deliverables
    - Ensure deadlines and GEF/UNDP/UNOPS and country/partner requirements are met
2) Thematic Groupings that will:
    - Support/work with the PPG CU on specific elements of the Project Proposal (e.g. develop the baseline, select intervention sites, define SMART targets, identify co-financing, pursue synergies/complementarity among projects/initiatives, etc)
    - Review and issue advice on (thematic) GEF PPG deliverables
    - Adhere to PPG timeline with a view of meeting all deadlines
    - Meet UNDP and GEF requirements for thematic project components

It was suggested that the following meetings be organized during the PPG:

- Project PPG Preparatory Meeting: Information on PPG timeline and process, and suggested way forward for successful conclusion of PPG
- Mid-Term Review Meeting: Interim review of progress made on Results Framework, ProDoc and associated PPG products - mid-way during PPG
- Final Validation Workshop: Near the end of the PPG to validate ProDoc
- Thematic Groups' meetings - as needed - to discuss specific technical matters on selected project outputs with country experts, representatives from partner organisations, other international experts….

The use of a virtual platform was suggested as a way to conduct consultations on specific thematic issues.

The following overarching principles were proposed for selecting PROCARIBE+ intervention sites:

- Region-wide progress towards full implementation of the SAP: PROCARIBE+ is one project amongst many supporting the implementation of the CLME+ SAP. The aim must be for all projects to collectively maximize progress under the SAP, across the wider region.
- Benefits for all countries in the region: Ensure that all (participating) countries stand to benefit substantially from the project

Questions and Answers

- The representative of the Government of Panama asks if the final draft of the ProDoc will have a Spanish version, since it will be necessary to facilitate its analysis and approval by the country, as well as to issue the co-financing confirmation letter. Mr. Patrick Debels responds that he agrees with the need and that efforts will be made, but that the budget for translations is limited and therefore the support of the participants in this task would be welcome.
- The representative of Suriname asks what will be the role of NGOs in the Project? Mr. Patrick Debels responds that NGOs will participate as co-executing and/or co-financing partners.
- The executive director of the GCFI recognizes that within each thematic area a diversity of experts with experience in specific areas is required and asks: How will the experts for the thematic groups be selected? Mr. Patrick Debels responded that as this process is in its early stages, refinement is expected as a result of stakeholder consultations and nominations, and efforts will be made to include more details in the questionnaires that will be shared to the GEF Focal Points.
- The representative of the Dominican Republic confirmed that the country had already sent the letter of endorsement and indicative co-financing during the FIP stage, but requested more information on the confirmation of co-financing and participation in the working groups. The representative from UN-ECLAC also requested clarification on the difference between the indicative letter and the co-financing confirmation letter. Mr. Patrick Debels and Ms. Ana María Núñez comment that the specific interventions of the project and the countries that will participate in each of them will be defined during the PPG. Once this is defined, countries should send their co-financing letter detailing the contributions in “Grant” and “In-kind”. The Project could be canceled by the GEF if, on the established dates, the final proposal is not accompanied by the co-financing letters from all participating countries. Regarding the applications for the working groups, it is reiterated that the nominations will be received until the end of August 2021.
- The executive director of the CRFM mentions that, since the gender/youth component is transversal, he asks if a specific group will be formed on this or if each working group will address it? Mr. Patrick Debels confirms that, in effect, given the cross-cutting nature of the gender and youth component, each group will incorporate it according to the specific nature of the issues they are working on.
- The representative of the FAO/WECAFC expressed that the FAO sees synergies with different issues that PROCARIBE+ will address, taking advantage of the experiences that are being developed in fisheries issues such as: 1) the effects of bycatch on marine ecosystems; 2) artisanal fishing technologies used in Suriname, Barbados, Trinidad and Tobago; 3) artisanal fishing in northern Brazil, Guyana, Suriname, Trinidad and Tobago.
- The representative of the Government of Panama asks: Will the nominations to participate in the PROCARIBE+ working groups be made through a formal letter sent by the countries, or will it be through

an invitation from the Project? Mr. Patrick Debels mentions that these considerations will be included when the invitations are sent.

- The representative of Colombia expresses his country's interest in participating in PROCARIBE+, appreciates the information provided and requests that it be shared after the meeting to analyze it in greater detail. Question: How will the participation of the countries in each of the thematic areas be defined? Mr. Patrick Debels acknowledges that the information presented is dense, although all the material from this meeting is already available at the following link within the CLME+ hub: https://clmeplus.org/procaribe-plus-project/. Regarding the participation of the countries by thematic areas and the selection of the sites where PROCARIBE+ will work, the criteria that Ms. Sonia Gautreau presented in presentation 3.1 will be taken as a basis. It is also important to highlight that under the umbrella of the GEF SAP, synergies are sought with sister projects to optimize the coverage of topics and the use of available resources, in as many countries as possible.

Agenda Item 4: Country and (prospective) Partner Engagement during PPG

The following was requested by countries to ensure their participation in the PPG (and in the PROCARIBE+ Project)**:**

<u>Confirming participation in PROCARIBE+</u>

- (New) participating countries to send GEF OFP endorsement letter
- Co-financing commitment letter (e.g. confirm/update/further detail prior indicative co-financing; mobilize additional co-financing (as applicable))
    - Tie co-financing more concretely/specifically to Outputs and SMART targets under the Project Results Framework
- Country signature for the finalized UNDP PROCARIBE+ Project Document

<u>Details of Results Framework, Selection of Intervention Sites, ProDoc development</u>

- Participation in meetings and/or consultations/discussions of Thematic Groupings to build baseline information, review/provide feedback on development of the Results Framework, the setting of SMART targets, identification of activities needed to deliver the project outputs etc.
- Help identify synergies with other related initiatives (incl. pooling of resources) to maximize project outputs, impacts, sustainability

<u>Social and Environmental Screening Procedure</u>

- Provide information when requested related to gender, stakeholder engagement, indigenous communities...
- Assist PPG CU and/or consultants identify potential environmental and social risks, as well as related management measures to mitigate the identified risks, associated with proposed PROCARIBE+ activities

<u>ProDoc Finalization</u>

- Provide Feedback on ProDoc and GEF CEO Package prepared by the PPG Team.
- Participate in the final Validation Workshop with the aim of endorsing the full PROCARIBE+ package for submission to UNDP and the GEF Secretariat.

Questions and Answers

- Mrs. Ana María Núñez mentions that a GANTT diagram has been prepared to facilitate the integral planning of the Project and visualize the dates in which the most relevant activities, results and products must be completed during the PPG.

- The representative of the Dominican Republic expresses her satisfaction with the use of information technologies to share project information. She suggests using Loomio to create the various thematic groups and/or for the discussions for each of the components of the project. Mr. Patrick Debels highlights the dynamic nature of the Loomio platform and agrees with this proposal. Likewise, at the request of the representative of Panama, the Project Coordination Unit will share the tutorials to learn how to use Loomio.
- The representative of the CCAD reaffirms that this meeting has provided clarity on the way forward for the development of PROCARIBE+ and expresses his support to bring it to a successful conclusion. Currently, the CCAD executes various projects, whose experiences and results are put at the disposal of PROCARIBE+.

Regional Dialogue on MSP and Blue Economy

Agenda

13 of December 2021
Convened Virtually

Agenda item	Time	Agenda Items
1	9:00 - 9:15	Welcome and review of the objectives of the meeting and draft agenda.
2	9:15 - 9:25	Context and Background: - Importance of MSP, global targets - Consultation process for upcoming PROCARIBE+ Project - Collaboration between IOC and PROCARIBE+ PPG
MSP support from IOC-UNESCO: MSPGlobal and IW:LEARN Projects		
3	9:25 - 9:40	IOC-UNESCO's contribution to MSP, BE, the road map towards and the achievement of the SDGs and the new International Guidelines on MSP
4	9:40 - 9:50	IW:LEARN's Transboundary MSP Guidelines and accompanying training course
Future support for MSP and BE in the CLME+ Region		
5	9:50 - 10:05	MSP and BE elements in the upcoming UNDP/GEF PROCARIBE+ Project
6	10:05 - 10:15	Future support for MSP and BE in the region from other initiatives and projects
Coffee Break 10 Min		
The status of MSP and BE in the CLME+ Region		
7	10:25 - 10: 40	Review of the responses to the IOC-UNESCO survey and the PROCARIBE+ PPG questionnaires on MSP
8	10:40 - 11:00	Progress on MSP and the development of BE strategies/plans/protocols in the CLME+ region, including related initiatives and projects
9	11:00 - 11:45	**Breakout Session** Completing the baseline on MSP and BE for the CLME+ region

Lunch Break 30 Min		
10	12:15 - 12:30	Report back from Breakout Groups
Supporting MSP and BE under the PROCARIBE+ Project		
11	12:30 - 12:45	Preliminary options for country interventions on MSP and BE during the PROCARIBE+ Project
12	12:45 - 1:30	**Breakout Session** Identifying potential intervention sites for MSP under PROCARIBE+ project (and future IOC-UNESCO MSP initiatives)
13	1:30 - 1:45	Report back from Breakout Groups
14	1:45 - 2:00	Next Steps/Closure

List of Participants

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Meeting Report

SUMMARY REPORT

VIRTUAL DIALOGUE ON

"Current status and opportunities for advancing Marine Spatial Planning and the Blue Economy through the UNDP/GEF PROCARIBE+ and IW:LEARN projects"

Organised jointly by

IOC-UNESCO and the UNDP/GEF PROCARIBE+ Project PPG Coordination Unit

13 of December 2021

Introduction

Marine Spatial Planning (MSP)

Marine spatial planning (MSP) is a process that proposes a more integrative, multi-sector approach to managing marine spaces and resources. It can be defined as a process that brings together relevant authorities to better coordinate how marine spaces are used and managed to achieve ecological, economic, and social objectives.

MSP initiatives exist in about 70 countries worldwide due to increasing demand for ocean space and marine resources, such as offshore wind, aquaculture, tourism, marine transport, fishing, and the resulting potential for conflicts between competing activities. MSP can improve decision-making and provides a framework for reconciling competing human activities within social and ecological limits. The overall objective of MSP is to balance sectoral interests and achieve the sustainable use of marine resources.

MSP and IOC-UNESCO

The Intergovernmental Oceanographic Commission of UNESCO (IOC-UNESCO) and the European Commission adopted in March 2017 a Joint Roadmap to accelerate marine spatial planning processes worldwide. As a result of this successful partnership, the International Forum for MSP and the MSPglobal Initiative were established a year later.

The results of this framework are a joint contribution of IOC-UNESCO and the European Commission to the joint voluntary commitment #OceanAction15346 presented by both institutions during the United Nations Conference on Oceans in June 2017. The MSP project is also a major contribution to the UN Decade of Ocean Sciences for Sustainable Development (2021-2030), adopted by the 72nd UN General Assembly on 5 December 2017.

In 2019, the IOC Executive Council at its 53rd Session adopted Decision IOC-XXX/10.2 on Implementation of the Integrated Coastal Area Management (ICAM) Program Strategy, including Marine Spatial Planning (MSP), Sustainable Blue Economy and Large Marine Ecosystems. The Assembly was informed of the progress made in the implementation of the joint IOC/European Commission Roadmap to accelerate marine/maritime spatial planning processes worldwide and its corresponding commitment to the first United Nations Conference on the Oceans (2017) and the Our Ocean Conference (Malta, 2017).

As of 2021, the MSPglobal project - co-funded by the European Union - has mostly completed its activities including a final conference event to launch the new flagship "International Guide on Marine/Maritime Spatial Planning". In the intervening years, the MSPglobal project supported a variety of dialogue activities at the national and regional levels to support MSP processes. With additional funding provided by the Government of Sweden, the project ran activities to further define the opportunities for the integration of coastal area management (ICAM), marine spatial planning (MSP), coastal adaptation, sustainable blue economy and the importance of environmental and socio-economic data, information and knowledge in this integration. The funds were earmarked to support some Member States to take the necessary governmental actions to define integrated marine/maritime policies through inter-ministerial workshops and intersectoral dialogues towards a clear action plan to be endorsed by beneficiary countries. The activities foreseen in the context of this activity and meeting are a part of furthering those aims.

UNDP/GEF PROCARIBE+ Project

The Council of the Global Environment Facility (GEF) adopted the concept note for a new UNDP/GEF Project for the Caribbean and North Brazil Shelf Large Marine Ecosystems called, "Protecting and Restoring the Ocean's natural Capital, building Resilience and supporting region-wide Investments for sustainable Blue socio-Economic development (PROCARIBE+)" (GEFID: 10800). The PROCARIBE+ Project is currently in its preparatory phase (PPG) and is meant to start at the end of 2022.

PROCARIBE+ has the following aims:

- Implementing integrated ocean management arrangements (regional and national)
- Enabling and developing sustainable and resilient ocean-based (blue) economies (through Marine Spatial Planning, marine conservation, sustainable fisheries and addressing land-based sources of pollution); while taking into account cross-cutting issues such as climate change, gender and post COVID-19 recovery.

- Catalysing the next iteration of key regional processes such as the Transboundary Diagnostic Analysis (TDA) / Strategic Action Programme (SAP).

One of the sub-components of the proposed PROCARIBE+ project will focus on Expansion and integration of "Blue Economy", Marine Spatial Planning and MPA/OECM efforts across the region (ecosystem approach), supporting ocean-based socio-economic development, recovery and resilience (covid-19, hurricanes) and progressive delivery on international targets in the fields of: marine conservation and climate change mitigation and adaptation.
In this overall context, the PROCARIBE+ PPG Coordination Unit (PPG CU) has made a call to States, Territories and Inter-Governmental Organizations of the CLME+/wider Caribbean region interested in participating in the PROCARIBE+ Project to nominate representatives for a list of thematic groupings covering the wide-ranging scope of the project. One of the proposed groupings is on marine spatial planning and is meant to support the PPG CU develop the MSP elements of the PROCARIBE+ Project Proposal, including the development of baseline information, the identification of possible intervention sites and specific activities on MSP for project implementation.

Concept/Rationale

Within the context of the MSProadmap and the upcoming PROCARIBE+ project, the IOC-UNESCO MSP project, along with regional institutions and organizations, supported a virtual dialogue on Marine Spatial Planning including its links to the Blue Economy. Experts and participants exchanged information regarding any MSP-related activities or plans in their countries working towards regional sustainable development and the management of marine resources.

The dialogue will support the initial convening of the aforementioned thematic grouping on MSP established under the PROCARIBE+ project. The meeting was meant to help advance the mutual goals of both the PROCARIBE+ project as well as those of the MSProadmap in terms of taking steps to advance marine spatial planning in the region, first by updating the baseline on MSP for the wider Caribbean-CLME+ region, including assessment of national capacity, political willingness and levels of progress. The dialogue also helped assess where other projects/initiatives may be supporting MSP in the coming years (as part of building baseline information) in order to determine where interventions may be best suited under the PROCARIBE+ Project, as well as to identify the need for eventual support from future IOC MSP projects.

Objectives of the virtual dialogue

- Inform on opportunities to further advance Marine Spatial Planning (MSP) and the Blue Economy (BE) in the CLME+ region
- Assess the status of MSP and the development of BE strategies/plans/protocols in the CLME+ region
- Determine where country interventions on MSP and BE may be best suited under the UNDP/GEF PROCARIBE+ Project and identify the need for eventual support from future IOC-UNESCO MSP initiatives

Organisers:

- IOC-UNESCO MSPglobal project
- UNDP/GEF PROCARIBE+ PPG Coordination Unit
- Consultants from the Universidade Federal de Santa Catarina in Brazil
- Facilitator: Leena Wokeck

Summary of dialogue

Opening

Ms. Leena Wokeck welcomed the participants to the dialogue and reviewed the objectives and draft agenda.

Context and background

Mr. Mish Hamid of the MSPglobal project highlighted the importance of the collaboration between IOC and PROCARIBE+ project in the context of the overall GEF IW-portfolio. He provided some information on the support provided for MSP in recent years from IOC-UNESCO under the MSPGlobal and IW:LEARN Projects.

Mr. Patrick Debels, Coordinator of the UNDP/GEF PROCARIBE+ PPG Coordination Unit gave an overview of the objectives of the PROCARIBE+ project and the process established to develop a participatory approach to the development of PROCARIBE+.

MSP support from IOC-UNESCO: MSPGlobal and IW:LEARN Projects

Mr. Ivica Trumbic, International Consultant of IOC-UNESCO provided an overview of the contributions from IOC-UNESCO supporting MSP and the BE, including the road map towards the achievement of the SDGs and the new International Guidelines on MSP.

He also presented key materials developed under the MSPglobal project on MSP such as the IW:LEARN's Transboundary MSP Guidelines and accompanying training course.

Future support for MSP and BE in the CLME+ Region

Ms. Sonia Gautreau of the PROCARIBE+ PPG Coordination Unit gave a general overview of the PROCARIBE+ Project including the outputs related to MSP and BE elements.

In addition to support from the PROCARIBE+ project, Ms. Gautreau also provided a list of initiatives/projects either in progress or upcoming that are also supporting MSP and BE in the CLME+ region.

The status of MSP and BE in the CLME+ Region

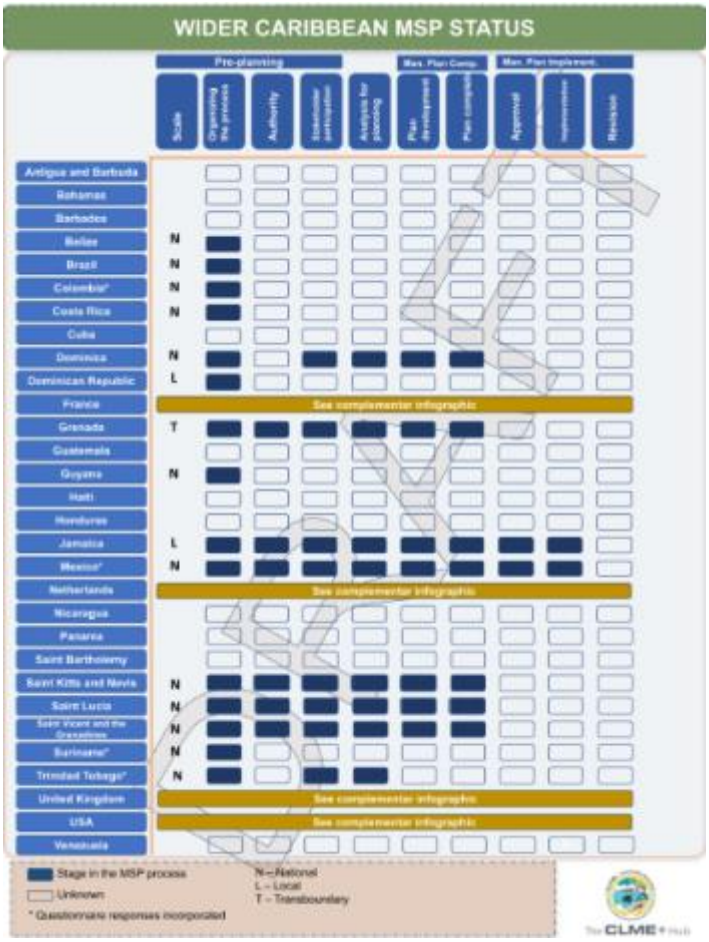
Ms. Gautreau then proceeded to present the process undertaken by IOC-UNESCO and the PROCARIBE+ PPG CU to collect information from countries in the CLME+ region on the status of MSP and BE Planning. This included the development of questionnaires sent to countries under the MSPglobal and PROCARIBE+ projects to gather information on the status of MSP and BE in the region.

Ms. Marinez Scherer gave a presentation demonstrating the results from a baseline study on the progress on MSP and the development of BE strategies/plans/protocols in the CLME+ region, including related initiatives and projects.

Completing the baseline on MSP and BE for the CLME+ region

Participants were then asked to separate in breakout groups to collect information on any gaps identified from the baseline information generated from the baseline analysis and questionnaires. The participants were asked to answer the following questions:

1- Does anyone identify any missing or incorrect information in the infographic?


WIDER CARIBBEAN MSP STATUS
Pre-planning
Man. Plan Comp.
Man. Plan Implement.
Scale
Organizing the process
Authority
Stakeholder participation
Analysis for planning
Plan development
Plan completion
Approval
Implementation
Revision
Antigua and Barbuda
Bahamas
Barbados
Belize
Brazil
Colombia*
Costa Rica
Cuba
Dominica
Dominican Republic
France
Grenada
Guatemala
Guyana
Haiti
Honduras
Jamaica
Mexico*
Netherlands
Nicaragua
Panama
Saint Barthelemy
Saint Kitts and Nevis
Saint Lucia
Saint Vincent and the Grenadines
Suriname*
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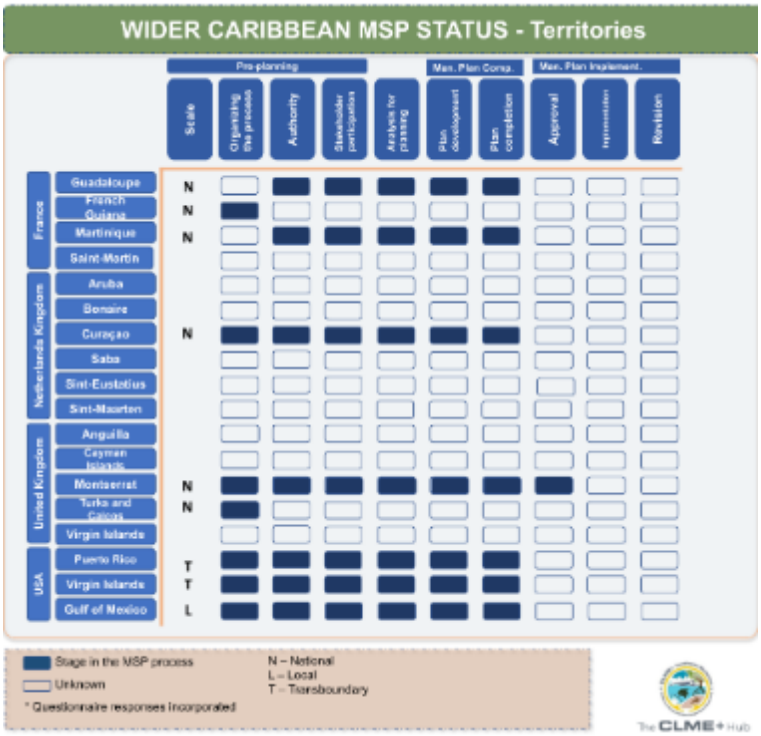
Stage in the MSP process
Unknown
* Questionnaire responses incorporated
N – National
L – Local
T – Transboundary
The CLME+ Hub


WIDER CARIBBEAN MSP STATUS - Territories
Pre-planning
Man. Plan Comp.
Man. Plan Implement.
Scale
Organizing the process
Authority
Stakeholder participation
Analysis for planning
Plan development
Plan completion
Approval
Implementation
Revision
France
Guadaloupe
French Guiana
Martinique
Saint-Martin
Netherlands Kingdom
Aruba
Bonaire
Curaçao
Saba
Sint-Eustatius
Sint-Maarten
United Kingdom
Anguilla
Cayman Islands
Montserrat
Turks and Caicos
Virgin Islands
USA
Puerto Rico
Virgin Islands
Gulf of Mexico
N
T
L
Stage in the MSP process
Unknown
* Questionnaire responses incorporated
N – National
L – Local
T – Transboundary
The CLME+ Hub

2- Can you share specific information on the MSP activities undertaken in your country?

3- We have listed some enabling conditions for MSP for countries where we could find information. Could you share any information that may be missing from this analysis?

4- Do you know of any other Blue Economy (BE) Planning activity underway in the region that is not mentioned in the tables below?

Blue Economy Strategies and Plans	
Regional Blue Economy Protocol with Ridge to Reef Approach 2021	Belize, Dominican Republic, Nicaragua, Costa Rica, Honduras, Panama, Guatemala
National Maritime Policy and Strategy for Trinidad and Tobago - draft (stakeholder consultation phase 2021)	Trinidad and Tobago
Antigua and Barbuda Maritime Economic Plan 2021	Antigua and Barbuda
Maritime Economy Plan 2021 **Blue Growth Coastal Management Plan 2016**	Grenada
National Maritime Policy 2015	Bahamas
National Maritime Policy and Action Plan 2015	St. Kitts and Nevis
National Policy of Seas and Coasts 2012 (Blue Economy?)	Mexico

Roadmaps, reports and scoping studies on Blue Economy	
British Virgin Islands (BVI) Strategic Blue Economy Roadmap	British Virgin Islands
Blue Economy Scoping Study	Barbados, Dominica, Montserrat
Blue Economy Roadmap Realising the Potential of the Overseas Countries and Territories for Sustainable Blue Growth (Blue Economy)	Aruba, Bonaire, Curaçao, Saba, Saint Barthélemy, Sint Eustatius, Sint Maarten
A Sustainable Blue Economy for Trinidad and Tobago	Trinidad and Tobago

5- Do you know of any other Blue Economy (BE) Project/Initiative underway or to be started in the near future supporting BE planning?

6- Do you know whether any country in the region has the intention to initiate BE planning activities in the near future?

All answers were documented in a Google Sheet where participants could modify either during the session or after. Notes were also taken from the responses provided verbally and inserted into the sheet after the meeting. The responses to the questions are available here.

Supporting MSP and BE under the PROCARIBE+ Project

Mr. Patrick Debels presented preliminary options for country interventions on MSP and BE during the PROCARIBE+ Project. This included the proposed interventions on MSP and BE under the PROCARIBE+ project and criteria to help define in which countries those outputs may be best suited.

After the presentation, the participants were then asked to separate for another breakout session that focused on identifying potential intervention sites for MSP under PROCARIBE+ project (and future IOC-UNESCO MSP initiatives). The participants were asked the following questions:

Q1. What capacities are lacking in the region to undertake MSP?

Q2. What kind of support could be provided to best support MSP in the region (e.g. specific activities, region where progress is lacking)?

Q3. For countries that already started MSP: what is lacking to advance further?

Q4. For countries that have not started MSP: Is your country interested in undergoing MSP? If so, what is needed to start the process?

Q5. Are you aware of co-financing opportunities for MSP (either from governments or organizations)?

Q6. Could you suggest potential implementing partner(s) to support MSP activities in the region?

The results of the discussions are available here.

Next Steps/Closure

The dialogue was helpful to gather additional information not available from the baseline study and to create awareness on the upcoming projects/initiatives that will support MSP and BE in the CLME+ region. The dialogue was also a good opportunity to learn about the current status of MSP and BE planning in the CLME+ region.

As next steps, the PROCARIBE+ PPG CU will continue to analyze the results obtained from the questionnaires, baseline study and from the discussions at the dialogue, to refine its proposal for country interventions on MSP and BE under the upcoming PROCARIBE+ project. It is anticipated that bilateral consultations with countries and partner organizations will be undertaken to further develop the proposed list of countries where MSP and BE could be pursued. The list of interventions and activities to be included in the final project proposal for PROCARIBE+ will be presented during a validation workshop to be organised prior to the submission of the ProDoc to the GEF Secretariat.

Additional workshops/dialogues will be useful in the future to ensure coherence between the different projects that will be supporting MSP and BE in the region and to continue helping countries make progress on these important issues. Continued collaboration between the IWLearn, MSPglobal and the PROCARIBE+ projects could help support such efforts.

UNDP/GEF PROCARIBE+ Project Validation Process: Regional Workshop

Agenda

15-16 March 2022
10:00 am to 3:00 pm (Colombia Time)
Convened Virtually

Time	Agenda Items	
DAY ONE		
10:00-10:10	Welcome and review of the Meeting Objectives and Agenda.	UNDP/Facilitator
10:10-10:20	Brief recap: the PROCARIBE+ Proposal: Objective and main project components and outputs	PPG CU
Agenda Item 1: **Status of the PROCARIBE+ PPG process: timeline, progress to date, pending matters, role and scope of the validation process, challenges & risks**		
10:20-10:40	1. From PPG release to Project start: tentative timeline (target dates)	PPG CU
10:40-11:10	2. Status of the PPG Process: Main activities to date. Overall status of the development of the Submission (Project Document, CEO Endorsement Request, Annexes). Challenges and Risks	PPG CU
11:10-11:25	3. The review and validation process explained. The Proposed Way Forward	PPG CU
11:25-12:00	Questions and Answers, Comments from participants	All participants
BREAK (45 min)		
Agenda Item 2: Presentation (for (pre-)Validation) of substantial/key elements of the project proposal		
12:45 - 1:00	1. Selection of the proposed PROCARIBE+ intervention sites: Logic and criteria	PPG CU
1:00-1:20	2. Results Framework: Outcomes, Outputs, Proposed Activities and Stakeholders/Beneficiaries: Components 1 and 4	PPG CU
1:20-2:00	Questions and Answers. (Pre-)Validation and/or identification of pending matters (as applicable). Identification of way forward	All participants
2:00-2:20	3. Results Framework: Outcomes, Outputs, and Proposed Activities and Stakeholders/Beneficiaries: Component 3	PPG CU

2:20-3:00	Questions and Answers. (Pre-)Validation and/or identification of pending matters (as applicable). Identification of way forward	All participants
Closure of Day 1		

Time	Agenda Items	
DAY TWO		
10:00-10:10	Welcome and quick recap of agenda items of Day 2	
Agenda Item 2 continued: Presentation (for Validation) of substantial/key elements of the project proposal		
10:10-10:25	4. Results Framework: Outcomes, Outputs, and Proposed Activities and Stakeholders/Beneficiaries: Component 2	PPG CU
10:25-11:00	Questions and Answers. (Pre-)Validation and/or identification of pending matters (as applicable). Identification of proposed way forward	All participants
11:00-11:20	5. Project Governance and Management Arrangements	PPG CU
11:20-12:00	Questions and Answers. (Pre-)Validation and/or identification of pending matters (as applicable). Identification of way forward	All participants
BREAK (45 min)		
12:45:1:00	6. Development of the project budget: Status and proposed way forward	PPG CU
1:00-1:30	Questions and Answers. (Pre-)Validation and/or identification of pending matters (as applicable). Identification of way forward	All participants
1:30-1:45	7. Co-financing commitments: Status and proposed way forward	PPG CU
1:45-2:15	Questions and Answers. Identification of pending matters & way forward.	All participants
Agenda Item 3. Decision on the Way Forward ("ensuring the successful submission and endorsement of PROCARIBE+")		
2:15-2:30	1. Consolidated proposal on the way forward	PPG CU
2:30-3:00	Questions and Answers. Comments from participants. Agreement on the way forward (including key milestones & responsibilities)	All participants
Closure of the workshop		

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Meeting Report

UNDP/GEF PROCARIBE+ Project Validation Process Regional Workshop Summary

15 – 16 March 2022

Convened Virtually

Introduction

This summary captures the discussions held at the regional workshop on the validation process for the United Nations Development Programme/Global Environment Facility "Protecting and restoring the ocean's natural capital, building resilience and supporting region-wide investments for sustainable blue socio-economic development" (UNDP/GEF PROCARIBE+) Project. As part of the overall Project validation effort under the project preparation grant (PPG) phase, the workshop provided an important opportunity to accelerate and advance the overall project preparation and validation process. The workshop facilitated the review and (pre-)validation of substantial or key elements of the Project draft for submission to the United Nations Development Programme (UNDP), for internal review and clearance, and subsequently the Global Environment Facility (GEF) Secretariat, for the GEF Chief Executive Officer (CEO) endorsement, and facilitated the identification and agreement on the approach and timeline for the completion of the project preparation and validation process..

Materials for the meeting are available here.

The list of participants is presented in Annex 1.

Welcome, Review of Agenda and Meeting Objectives and a Brief Recap of the PROCARIBE+ Proposal

The meeting was opened by Ms. Ana María Núñez of UNDP, who welcomed participants. Ms. Núñez encouraged active discussion during the workshop and emphasised the importance of the preparation of key elements of the documentation package (project document, annexes and GEF CEO endorsement request) by the Project

Coordination Unit (PCU), the progress that has been made to date and what else will be asked from participating countries and partners.

The moderator, Ms. Leena Wokeck, provided an overview of the agenda.

PROCARIBE+ PPG Coordination Unit Senior Technical Specialist, Ms. Sonia Gautreau, provided a brief history and background of milestones leading to the development of the PROCARIBE+ Project and a recap of the Project's objectives.

Agenda Item 1: Status of the PROCARIBE+ PPG process: timeline, progress to date, pending matters, role and scope of the validation process, challenges & risks

Agenda item 1 consisted of 3 presentations, the first and last provided by Mr. Patrick Debels, acting Coordinator for the PROCARIBE+ PPG phase and the other one by Ms. Gautreau. Below are summaries of each presentation. After the presentations, comments and questions from participants were received and answered.

1. From PPG release to Project start: tentative timeline (target dates)

Mr. Debels began his presentation by reminding the workshop participants of key decisions from the October 2021 final Caribbean and North Brazil Shelf Large Marine Ecosystems (CLME+) Project Steering Committee Meeting that related to the Ocean Coordination Mechanism (OCM) and the PROCARIBE+ PPG phase. He presented a tentative timeline, which began with the preparation phase for the full proposal and ended with the Project start date in 2023. The tentative timeline attempts to balance, a) the number of tasks that are to be completed before submission of the Project proposal, b) the reality that a no-cost extension is likely required to complete the preparation of the project and c) a reasonable Project start date that does not compromise continuity from the CLME+ Project. The balancing of these matters can be successful if due diligence and pragmatism are practised. It was proposed that a request be submitted to the GEF to push back the deadline for the submission of the full project proposal by 2 months (from June 18, 2022 to August 18, 2022).

2. Status of the PPG Process: Main activities to date. Overall status of the development of the Submission

Ms. Gautreau provided an overview of the achievements so far in the PPG phase, what remains to be completed and the challenges and risks during this stage of the process.

3. The review and validation process explained. The Proposed Way Forward

Mr. Debels gave a detailed explanation of the review and validation process, why it is necessary for strong stakeholder buy-in and the scope and role of those involved in the review process versus the validation process. The proposed progressive review and (pre-clearance and (pre-)) validation approach was presented for feedback, and ultimately adoption by the meeting participants. Mr. Debels suggested that the Loomio platform be used for this process. In addition, it was mentioned that the key to ensure a timely conclusion of the review and validation process, and a successful and prompt mobilisation of the full Project grant, is the adoption and commitment to 1) pragmatism, 2) the application of the "no-objection" principle and 3) firm deadlines.

Comments from Participants

Clarification on the signing of the Ocean Coordination Mechanism (OCM) Memorandum of Understanding was provided by Mr. Debels given the role it can play leading up to the start of the PROCARIBE+ Project. It was reaffirmed that committing to a 2 months extension request to the GEF offers the most balanced way forward. Mobilising additional resources does present higher risk because a search for funding, to which success is not guaranteed,

would be time not spent on work towards submitting the full proposal. Mr. Debels noted that a larger PPG was requested, but this request was not accepted.

The suggested approach towards the review and (pre-)validation of the Project submission package was seen by the meeting as an innovative approach. However, the question was raised with regards to holding a final validation workshop. Mr. Debels stated that a final validation workshop can be considered as an option and that this should be raised again at the final stages of the workshop.

Participants asked whether changes could be made to the list of nominations made for the thematic groups and Mr. Debels confirmed that there was still an opportunity to do so by contacting the PPG Coordination Unit. It was noted that few Intergovernmental organisations (IGOs) were represented within the thematic groups and that their participation was key to ensure proper integration between the PROCARIBE+ Project with the work of the IGOs of the region. The Dominican Republic suggested that the PPG Development Committee Members be copied on communications occurring within the thematic working groups. It was suggested that the participants come back to this later in the workshop to make a final decision as copying PPG Development Committee members might overwhelm them with too much correspondence.

Agenda Item 2: Presentation (for (pre-)Validation) of substantial/key elements of the Project proposal

Agenda item 2 consisted of 7 presentations, the first 6 being provided by Ms. Gautrau and Mr. Debels. The last presentation was provided by Mr. Ivan Pavletich, Project Management Officer for the PROCARIBE+ PPG. A summary of each presentation is below. The presentations were followed by an answer and question period.

1. Selection of the proposed PROCARIBE+ intervention sites: Logic and criteria

Ms. Gautreau and Mr. Debels gave an explanation of the criteria being used for the selection of intervention sites under the PROCARIBE+ Project and how benefit sharing among countries will be maximised. The example of the selection process used for the countries that will likely participate in the fisheries traceability sub-component was provided. For this intervention, countries in the region that have high export values of queen conch, spiny lobster and shrimp were pre-selected in order to achieve the target set in the PIF. Additional baseline information on the blue economy, marine protected areas (MPAs), marine spatial planning (MSP) and other effective area-based conservation measures across the region was gathered through questionnaires in order to inform the selection of intervention sites.

2. Results Framework: Outcomes, Outputs, Proposed Activities and Stakeholders/Beneficiaries: Components 1 and 4

Mr. Debels presented the outcomes, outputs, proposed activities and stakeholders and beneficiaries of components 1 and 4 of the PROCARIBE+ Project proposal. Component 1 deals with enhancing regional coordination and collaboration, principally through the OCM. Component 4 relates to regional knowledge management and marine data infrastructure (MDI) and the global large marine ecosystem community. These two components were combined into this one presentation because of how strong they both relate to the operation of the OCM.

Several of the questions raised after the presentation related to matters that are more appropriately addressed through the OCM or the existing thematic working groups. It was explained that gender should be mainstreamed in the Project proposal. With regards to the science-policy interface and reaching policy makers, it was stated that such work would not be a major focus during the PPG phase. However, it was questioned if a gender and science-policy interface working group should be added to the existing list of working groups.

The issues surrounding the availability of data to inform regional and national reporting processes and its access from information systems was raised. It was mentioned that data collection is not something that receives a great deal of funding, either from GEF or the countries. However, funding for information systems to store such data,

appears to be more widely funded, as evidenced by the multiple existing initiatives for data platform development. This should be considered during the development of component 4 and discussions should be carried-out under the knowledge management and MDI working group.

Other than the above comments and questions, there were no objections to moving forward with the key elements presented and thus components 1 and 4 were considered pre-validated.

3. Results Framework: Outcomes, Outputs, and Proposed Activities and Stakeholders/Beneficiaries: Component 3

Mr. Debels presented the outcomes, outputs, proposed activities and stakeholders and beneficiaries of component 3, the component with the largest budget under the Project, which relates to work on the blue economy, MSP, MPAs, sustainable fisheries and micro- and innovative financing.

Clarification was provided regarding the participation in the small grants components and it was noted that most countries to participate in this sub-component would be Eastern Caribbean countries since several of those countries were already receiving support for MPA and MSP under other regional initiatives. The Caribbean Regional Fisheries Mechanism mentioned that it is interested in seeing traceability work increased in the Eastern Caribbean and that it hoped that additional funds could be mobilised to support additional countries with the implementation of traceability schemes.

There were no objections to moving forward with the key elements presented and thus component 3 was considered pre-validated.

4. Results Framework: Outcomes, Outputs, and Proposed Activities and Stakeholders/Beneficiaries: Component 2

Ms. Gautreau presented the outcomes, outputs, proposed activities and stakeholders and beneficiaries of component 2, which relates to enhancing national capacity and enabling conditions through national intersectoral coordinating mechanisms (NICs), national state of marine environment and associated economies (SOMEE) reports, trainings and nationally determined contributions (NDCs).

There are serious structural and capacity shortfalls for national monitoring and reporting that exist in the region. The United Nations Environment Programme - Caribbean Environment Programme (UNEP CEP) stated that addressing this issue is a core focus for them. The effort to resolve such issues will likely stretch beyond the life of the PROCARIBE+ Project, but Project outputs that focus on institutionalisation of national SOMEEs, the OCM, the NICs and the MDI blueprint should provide significant support in this area.

It was noted that NICs were also an output under the Caribbean Large Marine Ecosystem (CLME) and CLME+ Projects, however they do not appear to have much allocated funding under the PROCARIBE+ Project. It was mentioned that guidance was developed on the formation and operation of NICs, but not on how to finance them. The point was also made that the countries of the Mesoamerican Reef region through the "Integrated Ridge-to-Reef Management of the Mesoamerican Reef" Project (Mar2R) and those participating in the Caribbean Regional Oceanscape Project have made notable progress in the formation of NICs.

Other than the above exchange, there were no objections to moving forward with the key elements presented and thus component 2 was considered pre-validated.

5. Project Governance and Management Arrangements

Mr. Debels provided a detailed explanation of governance and management arrangements under the Project. The documentation of such in the Project Document will be reviewed and validated by the PPG Development Committee.

It should be carefully reflected on whether the presented project governance and management arrangements will provide sufficient capacity to successfully tackle the challenging work that could potentially be undertaken by the OCM in parallel with Project tasks constrained by the 5 year timeframe. Fortunately, the region has the experience from the CLME and CLME+ Projects, and now additional support from the PROCARIBE+ Project that will help move the OCM forward.

UNDP noted that the 2 senior technical officers will have environmental backgrounds and the gender specialist will take on many of the social components of the PROCARIBE+ Project, including compliance with UNDP's environmental and social safeguard procedures.

6. Development of the project budget: Status and proposed way forward

Mr. Debels gave a quick overview of the development status of the Project budget, the work plan and on financial planning and management. These elements are the least advanced within the PROCARIBE+ Project submission package to date. As with project governance and management arrangements, the budgeting and work plan elements are to be reviewed and validated by the PPG Development Committee, to whom they will be sent as soon as they are ready to be shared. It was highlighted that Project management costs are now limited to a maximum of 5% on top of the cost of Project activities.

7. Co-financing commitments: Status and proposed way forward

Mr. Pavletich presented information on the co-financing commitments, including what is and is not considered as co-financing. The PCU requested that countries confirm or modify the co-financing commitments presented at the PIF stage for submission with the full project proposal and reminded participants that another letter needed to be sent prior to submission. Mr. Pavletich mentioned that the co-financing commitment letter template had already been sent out. A link to the co-financing commitment letter template was also in the presentation. It is not necessary to combine co-financing commitments in a single letter if they are coming from several entities of a particular country. They can be sent to the PCU separately. UNDP reminded everyone that reporting on co-financing does occur at the Project's mid-term and terminal evaluations and in the annual project implementation reports.

It is necessary for the co-financing commitments to match what was stated in the project identification form (PIF) and strategically participants were asked to aim for a number slightly higher than what was indicated in the PIF to ensure the minimum requirement is met. For this reason it was emphasised that it is important that all possible co-financing commitments, whether large or small, are received.

Participants were reminded that the co-financing commitment letters are not directing a transfer of resources to the Project, but rather represent a demonstration to the GEF that parallel programming and work exists in the region that the PROCARIBE+ Project can build from.

It is hoped that countries will see their NICs and other national activities that contribute to the overall objective of PROCARIBE+ as co-financing elements.

Countries and organisations were kindly requested to confirm co-financing amounts as soon as possible, and well in advance of the deadline on June 8th, 2022.

Agenda Item 3: Decision on the Way Forward ("ensuring the successful submission and endorsement of PROCARIBE+")

Mr. Debels delivered a presentation under agenda item 3, after which there was a question and answer session.

1. Consolidated proposal on the way forward

Mr. Debels reviewed a couple of slides that were previously presented on the goals and the main steps of the review and validation process, which will continue through the end of May, 2022, at which point the full submission package is to be sent to the PPG Development Committee. Mr. Debels then gave a summary of the proposed way forward with dates.

Ideally, the PPG Development Committee would be reviewing the texts after the review by the thematic working groups, but due to time constraints, some of this work may be done in parallel. The PPG PCU will aim at submitting the full project package by June 18, 2022.

A live demonstration of Loomio was done after Mr. Debels' presentation, and participants were informed that guidelines were sent to the workshop participants on how to use the platform. It was agreed that email notifications would be sent out to the members of the thematic working groups for every upload to and for every comment made on Loomio. The Dominican Republic requested that members of the Development Committee receive notifications when text is uploaded for the individual thematic groups. There were no objections to this. However, if all notifications from a thematic working group are desired, that would also include notifications when members comment on the text, then that individual will need to request specific membership to that thematic group.

Honduras requested a table which identifies what is required by each country, with deadlines and the progress they have made to date on the requirements. The PCU indicated that it would circulate such a table after the workshop.

Participants were informed that countries may still send letters of endorsement to participate in the Project, however countries are encouraged to send the letters as soon as possible in order to allow for the finalisation of the design of the project. It was noted that countries will not need to participate in all of the activities of the project, but endorsement would ensure that the countries would receive some of the benefits from the project, such as being part of the OCM.

Doubts were raised on the capacity of the PCU to sufficiently carry out the required tasks derived from the project. It was mentioned that in comparison to CLME+, the proposal is to have 2 full-time technical project officers in the PCU, in addition to the Project Coordinator. The project will also transfer responsibilities to co-executing agencies for some of the components so the PCU will not be implementing all of the activities directly. The issue of the GEF 5% cap on management costs was also briefly discussed and it was suggested that some of the meetings of the Steering Committee be organised through virtual means and that the use of virtual platforms such as Loomio continue to be used for engagement.

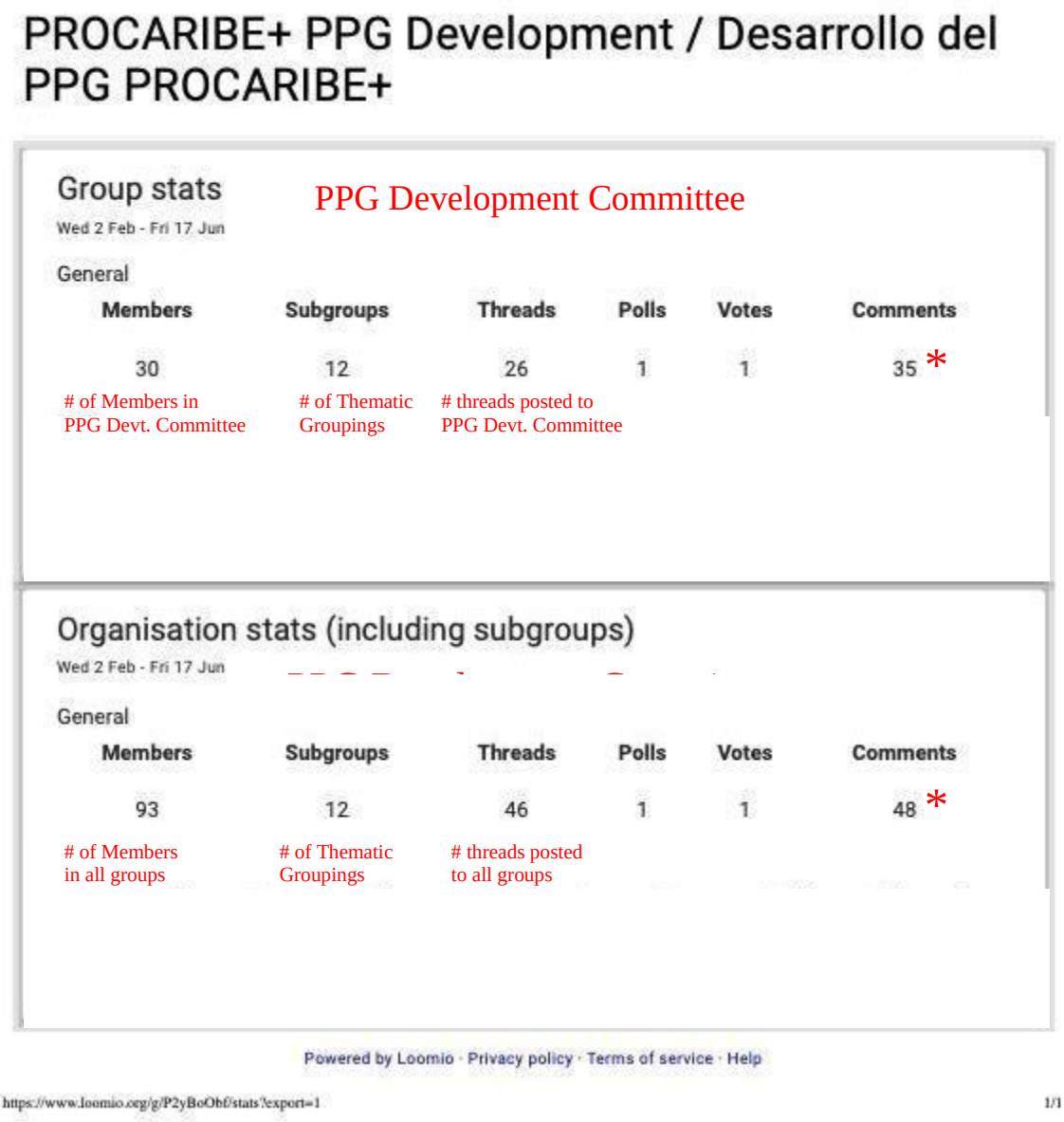
There were no objections to the proposed way forward.

Closure of the workshop

The workshop was closed by UNDP and Mr. Debels. UNDP thanked those in attendance and the PCU. UNDP reaffirmed its commitment to support the Project validation process and confirmed their availability to address any expressions of doubts. Mr. Debels also thanked participants and reminded everyone that the PCU remains available to address any issues that may arise, Loomio-related or otherwise. He also thanked those behind the scenes that made the workshop possible.

Summary and statistics on the review and validation process

Statistics from the Loomio Platform



PROCARIBE+ PPG Development / Desarrollo del PPG PROCARIBE+

Group stats

Wed 2 Feb - Fri 17 Jun

PPG Development Committee

General

Members	Subgroups	Threads	Polls	Votes	Comments
30	12	26	1	1	35 *
# of Members in PPG Devt. Committee	# of Thematic Groupings	# threads posted to PPG Devt. Committee			

Organisation stats (including subgroups)

Wed 2 Feb - Fri 17 Jun

General

Members	Subgroups	Threads	Polls	Votes	Comments
93	12	46	1	1	48 *
# of Members in all groups	# of Thematic Groupings	# threads posted to all groups			

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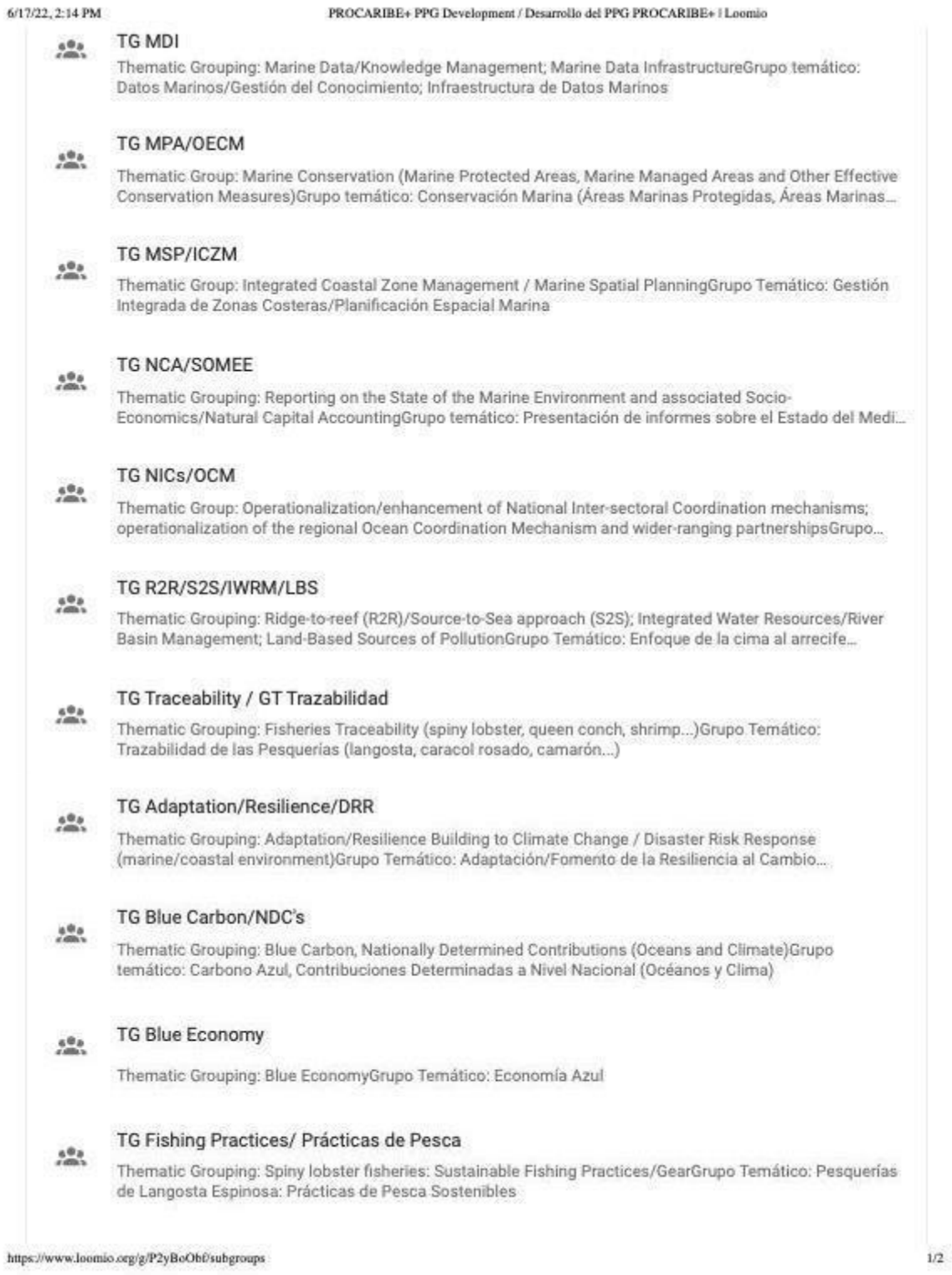
https://www.loomio.org/g/P2yBoObf/stats?export=1 1/1

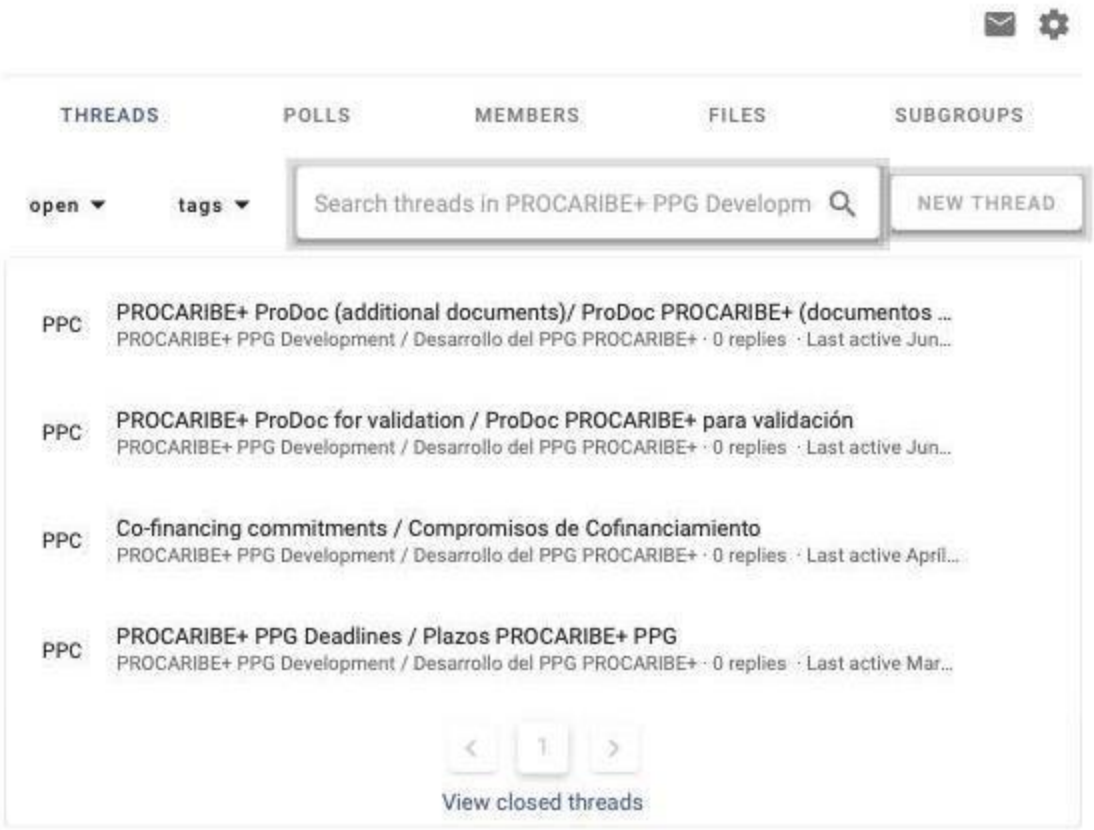
*Note that these statistics do not consider the suggestions, revisions and comments made to the individual Google documents posted on Loomio, but rather only provide the numbers of comments made directly in the discussion threads of the Loomio platform.

List of Thematic Groupings as displayed on Loomio

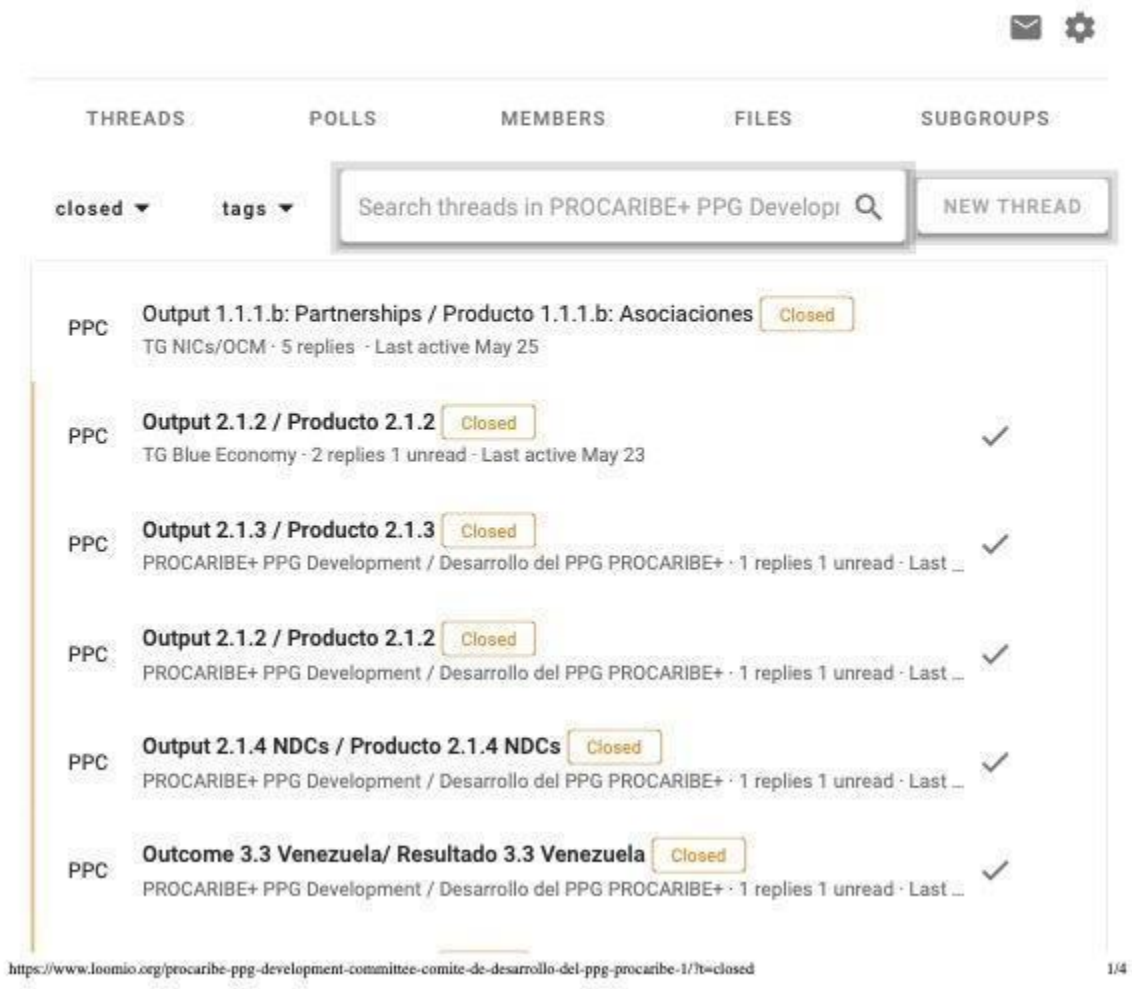


List of threads opened on Loomio during the revision and validation process

PROCARIBE+ PPG Development / Desarrollo del PPG PROCARIBE+



PROCARIBE+ PPG Development / Desarrollo del PPG PROCARIBE+



https://www.loomio.org/procaribe-ppg-development-committee-comite-de-desarrollo-del-ppg-procaribe-1/?t=closed 1/4

PPC **Outcome 4.1 / Resultado 4.1** Closed
PROCARIBE+ PPG Development / Desarrollo del PPG PROCARIBE+ · 1 replies 1 unread · Last ...

PPC **Output 1.1.1.b: Partnerships / Producto 1.1.1.b: Asociaciones** Closed
PROCARIBE+ PPG Development / Desarrollo del PPG PROCARIBE+ · 1 replies 1 unread · Last ...

PPC **Outcome 3.3 Dominican Republic / Resultado 3.3 República Dominicana** Closed
PROCARIBE+ PPG Development / Desarrollo del PPG PROCARIBE+ · 1 replies 1 unread · Last ...

PPC **Outcome 3.3 Colombia/ Resultado 3.3 Colombia** Closed
PROCARIBE+ PPG Development / Desarrollo del PPG PROCARIBE+ · 1 replies 1 unread · Last ...

PPC **Outcome 3.3 MAR Subregion / Resultado 3.3 Subregión MAR** Closed
PROCARIBE+ PPG Development / Desarrollo del PPG PROCARIBE+ · 1 replies 1 unread · Last ...

PPC **Output 2.1.3 / Producto 2.1.3** Closed
TG MSP/ICZM · 5 replies 1 unread · Last active May 17

PPC **Outcome 3.3 Dominican Republic / Resultado 3.3 República Dominicana** Closed
TG MSP/ICZM · 5 replies 1 unread · Last active May 17

PPC **Output 3.2.1 Blue Carbon / Producto 3.2.1 Carbono Azul** Closed
PROCARIBE+ PPG Development / Desarrollo del PPG PROCARIBE+ · 1 replies 1 unread · Last ...

PPC **Output 3.2.1 Blue Carbon / Producto 3.2.1 Carbono Azul** Closed
TG Blue Carbon/NDC's · 1 replies 1 unread · Last active May 16

PPC **Outcome 3.3 Trinidad and Tobago/ Resultado 3.3 Trinidad y Tobago** Closed
PROCARIBE+ PPG Development / Desarrollo del PPG PROCARIBE+ · 3 replies 2 unread · Last ...

PPC **Output 2.1.3 / Producto 2.1.3** Closed
TG R2R/S2S/IWRM/LBS · 1 replies 1 unread · Last active May 13

PPC **Output 2.1.3 / Producto 2.1.3** Closed
TG NCA/SOMEE · 1 replies 1 unread · Last active May 13

PPC **Output 2.1.2 / Producto 2.1.2** Closed
TG NCA/SOMEE · 1 replies 1 unread · Last active May 12

PPC **Output 2.1.4 NDCs / Producto 2.1.4 NDCs** Closed
TG Adaptation/Resilience/DRR · 1 replies 1 unread · Last active May 12

PPC **Output 2.1.4 NDCs / Producto 2.1.4 NDCs** Closed
TG Blue Carbon/NDC's · 1 replies 1 unread · Last active May 12

PPC **Outcome 3.3 Venezuela/ Resultado 3.3 Venezuela** Closed
TG MSP/ICZM · 1 replies 1 unread · Last active May 11

PPC **Outcome 4.1 / Resultado 4.1** Closed
TG MDI · 1 replies 1 unread · Last active May 10

PPC **Outcome 4.1 / Resultado 4.1** Closed
TG NCA/SOMEE · 1 replies 1 unread · Last active May 10

PPC **Outcome 4.1 / Resultado 4.1** Closed
TG NICs/OCM · 1 replies 1 unread · Last active May 10

PPC **Outcome 3.3 Dominican Republic / Resultado 3.3 República Dominicana** Closed
TG MPA/OECM · 1 replies 1 unread · Last active May 9

PPC **Outcome 3.1 / Resultado 3.1** Closed
PROCARIBE+ PPG Development / Desarrollo del PPG PROCARIBE+ · 4 replies · Last active May 9

PPC **Outcome 3.3 Colombia/ Resultado 3.3 Colombia** Closed
TG MPA/OECM · 1 replies 1 unread · Last active May 4

PPC **Outcome 3.3 Colombia/ Resultado 3.3 Colombia** Closed
TG MSP/ICZM · 1 replies 1 unread · Last active May 4

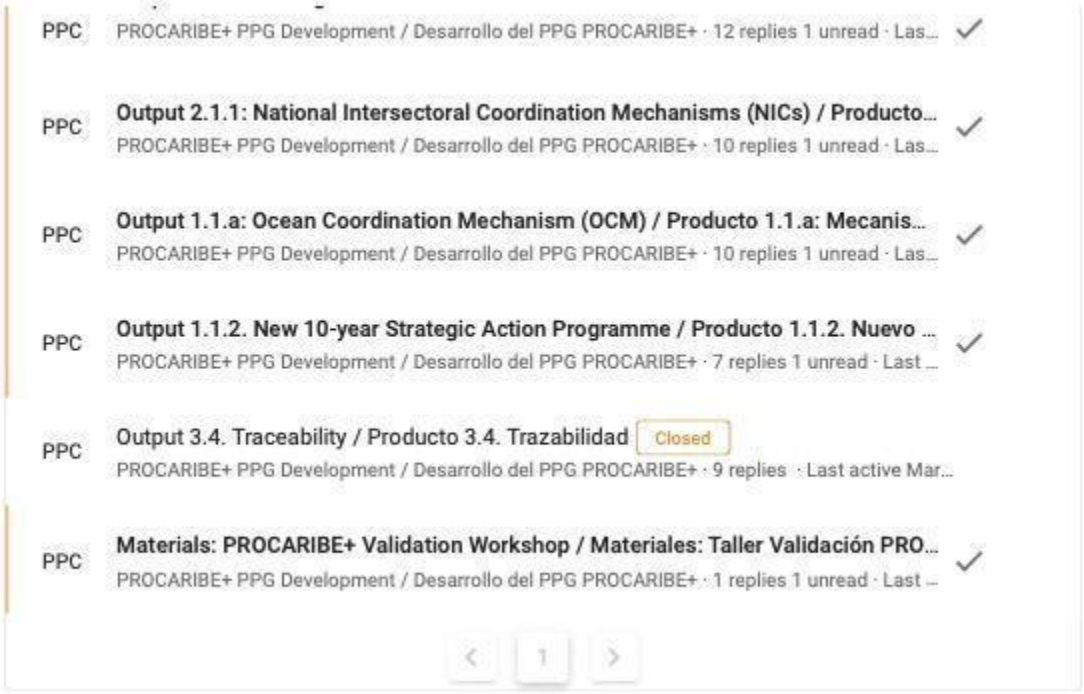
PPC **Outcome 3.3 MAR Subregion / Resultado 3.3 Subregión MAR** Closed
TG MPA/OECM · 1 replies 1 unread · Last active May 4

PPC **Outcome 3.3 MAR Subregion / Resultado 3.3 Subregión MAR** Closed
TG MSP/ICZM · 1 replies 1 unread · Last active May 4

PPC **Annex 11. Gender Analysis and action plan / Anexo 11. Análisis de género y plan...**
PROCARIBE+ PPG Development / Desarrollo del PPG PROCARIBE+ · 1 replies 1 unread · Last ...

PPC Output 3.5. Spiny lobster fishing gear & practices/ Producto 3.5. Artes y prácticas d...
PROCARIBE+ PPG Development / Desarrollo del PPG PROCARIBE+ · 5 replies · Last active April...

Output 4.2.1. Strategic Alliance with IW:LEARN / Producto 4.2.1. Alianza estraté...


PPC
PROCARIBE+ PPG Development / Desarrollo del PPG PROCARIBE+ · 12 replies 1 unread · Las...
PPC
Output 2.1.1: National Intersectoral Coordination Mechanisms (NICs) / Producto...
PROCARIBE+ PPG Development / Desarrollo del PPG PROCARIBE+ · 10 replies 1 unread · Las...
PPC
Output 1.1.a: Ocean Coordination Mechanism (OCM) / Producto 1.1.a: Mecanis...
PROCARIBE+ PPG Development / Desarrollo del PPG PROCARIBE+ · 10 replies 1 unread · Las...
PPC
Output 1.1.2. New 10-year Strategic Action Programme / Producto 1.1.2. Nuevo ...
PROCARIBE+ PPG Development / Desarrollo del PPG PROCARIBE+ · 7 replies 1 unread · Last ...
PPC
Output 3.4. Traceability / Producto 3.4. Trazabilidad
Closed
PROCARIBE+ PPG Development / Desarrollo del PPG PROCARIBE+ · 9 replies · Last active Mar...
PPC
Materials: PROCARIBE+ Validation Workshop / Materiales: Taller Validación PRO...
PROCARIBE+ PPG Development / Desarrollo del PPG PROCARIBE+ · 1 replies 1 unread · Last ...
1

Bilateral Engagements

Non-exhaustive list of bilateral engagements (Meetings, Calls, written dialogue) done during PPG

Category	Name of Country/Organization
GEF COUNTRY	Barbados
	Belize
	Brazil
	Colombia
	Costa Rica
	Cuba
	Dominican Republic
	Guatemala
	Guyana
	Honduras
	Mexico
	Panama
	Suriname
	The Bahamas
	Trinidad and Tobago
	Venezuela
NON-GEF COUNTRY	The Netherlands
	USA
IGO	CARICOM Secretariat
	CCAD
	CRFM
	FAO-WECAFC
	Fisheries Interim Coordination Mechanism
	CLME+ Interim Coordination Mechanism
	OIRSA

	OSPAR Commission
	OSPESCA
	UN ECLAC
	UNDP
	UNEP
	UNESCO
NGO	CI
	IUCN
	GCFI
	WWF
PROJECTS	AIO SIDS
	BE CLME+
	Blue Nature Alliance
	Caribbean BLUEFIN/CRAB
	GOMLME
	IW:LEARN
	MAR2R
	CREW+
OTHERS	AFD
	Blue Nature Alliance
	CAPNET
	CATIE
	ESA
	GIZ
	NDC Partnership
	Pew Charitable Trusts
	Silvestrum Climate Associates
	Summit Foundation
	KfW

Annex 13. Theory of Change

ANNEX 13
to the PROCARIBE+ Project Document

Theory of Change and Project Strategy & Design:
underlying assumptions, risks that the assumptions may not hold, and associated preventive, remedial and/or mitigative actions

COMPONENT 1 - Enhanced long-term and region-wide multi-stakeholder cooperation, coordination, collaboration and communication (EBM/EAF approach)	
Assumptions	**Risks, and preventive/remedial/mitigation action**
momentum for positive action on oceans continues to grow and spread across all societal sectors; openness and interest from all sector of society to jointly engage in the development of the new SAP	risk: the growing momentum fails to reach all sectors that are ideally to be mobilized and engaged in the development of the new SAP; resources available to the project are insufficient to engage the full range of stakeholders in SAP development; prevention/remediation/mitigation: PROCARIBE+ to expand its reach in terms of the wider stakeholder community, with due/priority attention to actors/sectors that can play key roles in the development of the new "healthy oceans for blue economies" SAP; apply pragmatism and adjust expectations in terms of the range of stakeholders to be engaged in this second iteration of the TDA/SAP process, as a function of available resources and "stakeholder readiness", and bearing in mind the longer-term goals and objective - acknowledging that the TDA/SAP process is meant to be a long-term process that follows a cyclical approach; where deemed beneficial: consider use of flexible statements/commitments for those parts of the new SAP where the use of such flexible statements may allow additional stakeholders to join in at a later stage; in such cases, consider also the possibility of complementing the SAP with additional, sectoral action plans, "when time is ripe". *Apply adaptive management.*
NICs will be duly linked to the OCM	risk: while the PROCARIBE+ Project Management and Coordination Unit (PMCU) in its quality of Secretariat for the Ocean Coordination Mechanism (OCM) can advocate for strong linkages between the OCM (through the OCM Steering Group) and National Intersectoral Committees (NICs), country-level representation on the OCM is a sovereign decision of each country and as such adequate linkages between the OCM and the NICs of OCM member countries can be reasonably anticipated, but not fully guaranteed; prevention/remediation/mitigation: in case adequate linkages between the OCM and NICs in all OCM member countries cannot be achieved upfront: seek to identify champions and apply continued advocacy through the OCM Secretariat, the IGO membership and "champion" OCM member countries, to progressively pursue and enable the desired/required linkages. *Apply adaptive management.*

importance of the OCM mandate, and its complementarity to that of existing IGOs and national Governments is well understood	risk: lack of understanding of the complementary role of the OCM, and fear for "competition" affect buy-in and support, and hampers operationalization/levels of membership prevention/remediation/mitigation: make formal OCM mandate highly visible, e.g. on CLME+ Hub; a strong PMCU, ideally engaging team members with strong institutional memory and pre-established relationships/networks with key regional stakeholders, continues its advocacy efforts to make sure the OCM mandate is well understood (no competition but complementarity; OCM = to empower its membership in the exercise of their respective mandates); strategic approach: seek to operationalize OCM as soon as possible, pursue "low-hanging fruit" to immediately demonstrate its added value; mitigation: in case OCM cannot be immediately made operational, use the existing Interim Coordination Mechanism (ICM) to advance activities until the OCM is put in place. *Apply adaptive management.*
combined environmental+socio-economic assessments will facilitate consensus and support for new SAP	risk: data/information/knowledge may be lacking to successfully and convincingly link current and future environmental status to socio-economic benefits prevention/remediation/mitigation: fully implementing the concept of integrated reporting on the marine environment and its contributions to human societies is a long-term, interactive process that will gradually and progressive mature over time; ambitions are therefore to be kept within limits for the first iteration(s) of the process; these first iterations are however to be fully used to identify and better understand, and explicitly acknowledge in the integrated assessment, the remaining data/knowledge gaps, so that these can then be progressively addressed; for the shorter-term decision-making in the presence of such gaps, alternatives such as expert judgment, proxies, and information/insights from parallel or prior initiatives in other parts of the world will be used; tying the TDA/SAP process to the OCM will increase support and buy-in, and enable its long-term sustainability. *Apply adaptive management.*
better integration among initiatives will alleviate financial burdens and foster sustainability	risk: conflicting interests (real or presumed), strict donor rules and continued distrust/competition among actors may hamper full integration among all efforts; prevention/remediation/mitigation: advocacy by OCM and the full OCM membership for increasing integration of efforts, in line with the OCM's aim to foster a programmatic approach; pursue gradual progress when/where deemed necessary, identifying champions, low-hanging fruit, visualize and build further on early results from the CLME and CLME+ Projects; keep eyes on the long-term goaL, aim for incremental progress. *Apply adaptive management.*
COMPONENT 2 - EBM/EAF enabled at national level for the protection, restoration and sustainable use of coastal and marine resources	
Assumptions	**Risks, and preventive/remedial/mitigation action**
CLME+ work has built momentum for engagement of wider range of societal	risk: momentum has been lost between CLME+ Project end and PROCARIBE+ Project start; slow start of PROCARIBE+ causes further loss of momentum; vast amount of stakeholders across variety of sector demands strong stakeholder management capacity;

stakeholders	prevention/remediation/mitigation: ensure strong Project Management and Coordination Unit (PMCU) team that can maintain/rebuild momentum; fast-track initiation of PROCARIBE+ Project activities to reduce risk of further loss of momentum; apply advocacy, diplomacy, sound stakeholder management; use "smart" approaches in light of capacity limitations: maintain strong relations with the regional IGO's and engage them in keeping/expanding/re-building momentum; consider the building of wide-ranging alliances/partnerships as a gradual process, aim for visibility and early successes from low-hanging fruit. *Apply adaptive management.*
increasing awareness on the importance of NICs	risk: persistent/lingering distrust among governmental dependencies serving different ocean uses and objectives continues to undermine inter-sectoral coordination efforts prevention/remediation/mitigation: ensure strong Project Management and Coordination Unit (PMCU) team that can support creation/expansion of awareness; engage regional IGO's; coordinate related actions with other regional GEF projects pursuing enhanced NICS, and pursue complementarity of actions; use the OCM platform for related advocacy, engage "champion countries"; use the project's support for country-level multi-sector activities (e.g. MSP) under Component 3 to foster "NIC actions". *Apply adaptive management.*
momentum created for upscaling positive. combined ocean-climate action	risk: momentum still insufficient to trigger the action needed to advance related objectives under Component 2 prevention/remediation/mitigation: ensure strong Project Management and Coordination Unit (PMCU) team that can support creation/expansion of momentum; make use of the OCM; engage strategic partners with related track-records and pre-existing, demonstrable results; disseminate success stories; pursue support from project interventions under Components 1 and 4. *Apply adaptive management.*
adequate country-level representation at OCM enables effective regional and national connection	while the PROCARIBE+ Project Management and Coordination Unit (PMCU) in its quality of Secretariat for the Ocean Coordination Mechanism (OCM) can advocate for strong linkages between the OCM (through the OCM Steering Group) and National Intersectoral Committees (NICs), country-level representation on the OCM is a sovereign decision of each country and as such adequate linkages between the OCM and the NICs of OCM member countries can be reasonably anticipated, but not fully guaranteed; prevention/remediation/mitigation: in case adequate linkages between the OCM and NICs in all OCM member countries cannot be achieved upfront: seek to identify champions and apply continued advocacy through the OCM Secretariat, the IGO membership and "champion" OCM member countries, to progressively pursue and enable the desired/required linkages. *Apply adaptive management.*
the more explicit acknowledgment of the strong linkages between marine and coastal natural capital, and covid recovery, resilience building, climate change	risk: the growing awareness fails to reach sectors needed to successfully enable/exploit the mentioned linkages prevention/remediation/mitigation: PROCARIBE+ to further support related awareness-raising through Components 1 and 4, and, progressively, through the planned country-level activities under Components 2 and 3 ("learning-by-doing"); mobilize stakeholders by raising awareness about pre-existing success stories. *Apply*

and socio-economic development will trigger the actions required	*adaptive management.*
COMPONENT 3 - Actions catalyzed by all sectors of society, at different spatial scales, for ocean conservation and ocean-based sustainable blue economies.	
Assumptions	**Risks, and preventive/remedial/mitigation action**
momentum for positive action on oceans, continues to grow and spread across all societal sectors	risk: the growing momentum fails to reach sectors critically needed to successfully enable and/or materialize the blue economy, and/or advance the project outputs and outcomes under Component 3; prevention/remediation/mitigation: given the wide array of outputs and activities under this Component: seek to manage the assumption, and potential related challenges, together with the different responsible parties to be engaged under Component 3. Pursue the installation of a strong PMCU, that can provide the needed support and leadership, assisting the responsible parties with: pursuing additional advocacy where needed, and/or in developing and implementing adequate stock-taking and monitoring & evaluation approaches, that will support early detection of (potential) risks, and facilitate the identification and agreement on potential adjustments, if needed, to the type, sequence and scope (including geographic) of planned activities, securing as such the project's delivery on related project outcomes through an *adaptive management approach.*
potential and importance of marine natural capital and green-blue investments increasingly understood	risk: the growing awareness fails to reach sectors critically needed to successfully enable and/or materialize the blue economy prevention/remediation/mitigation: PROCARIBE+ to expand its reach in terms of the wider stakeholder community, with due/priority attention to actors key that can play key roles in enabling the blue economy; PROCARIBE+ to further support awareness-raising on linkages between natural capital and sustainable development through Components 1, 2 and 4; if needed, narrow scope of work under an adaptive project management approach, in order to be able to more fully target key stakeholders. *Apply adaptive management.*
enabling conditions put in place	risk: absence of enabling conditions may jeopardize or delay implementation of activities under Component 3 prevention/remediation/mitigation: selection of project intervention sites and identification of project activities under Component 3 was preceded by analysis of enabling conditions to reduce/minimize risks; embrace adaptive planning & management approach at the output level, to manage and remediate/mitigate potential changes in enabling conditions; Components 1, 2 and 4 will support further consolidation/expansion of enabling conditions; pursue early start of activities under Component 3 in order to be able to accomodate for delays, in cases where enabling conditions may need to be (re-)established or restored. *Apply adaptive management.*
no substantial continued disruptions from a prolonged COVID crisis	risk: more moderate/reduced at this point than when the PROCARIBE+ Concept Note (PIF) was originally formulated, but still a risk to be considered; prevention/remediation/mitigation: prompt initiation of project activities especially

	those requiring field work/travel will provide leeway in case re-scheduling/postponement of such activities within the project's 5-year timeframe becomes necessary due to force majeure; critical = to ensure a strong PMCU with solid progress M&E processes and adaptive planning capacity, in line with/building on the pre-established best practice from CLME and CLME+ acknowledged by the respective independent Terminal Evaluations and also recommended by GEF STAP; consider and promote/underbuild and seek support from Project Board for flexibility in pathways towards the achievement of outcomes, as needed or deemed most adequate to optimize project delivery within existing boundary conditions. *Apply adaptive management.*
data and information needed can be provided	risk: issues with availability and/or access to data ideally required to conduct activities under this Component; PROCARIBE+ GEF grant itself would not allow to generate substantive amount of additional data/information (unless where specifically planned as a project activity, see Section IV); prevention/remediation/mitigation: Components 1,2, and 4 all designed to be supportive of enhancing access to data, incl. through trust-building, alliances and partnerships; pragmatic approach to be followed in pursuing outcomes under Component 3: advance the PROCARIBE+ objectives using the available data, even when limited, combined with alternative means to fill data gaps (e.g. expert knowledge); adjust ambitions at the individual output level as may be needed without jeopardizing the overall contributions to the project outcomes and long-term objectives; understand and accept that progress will be gradual, and that several iterations may be required to optimize processes over time; seek alliances to strengthen delivery. *Apply adaptive management.*
pooling of resources, and collaboration, economies of scale, will enable achievement of ambitious targets	risk: lack of trust, competition, donor rules, capacity constraints may hamper full deployment of the pooling approach and the achievement of economies of scale; prevention/remediation/mitigation: given the wide array of initiatives, and solid pre-existing networks built through CLME and CLME+, as well as the solid preparatory networking undertaken during the PPG, proceed gradually (by identifying low-hanging fruit/high impact-high visibility opportunities) to progressively expand the levels of collaboration and synergies - the latter to be triggered by demonstration of and awareness raising on early results. *Apply adaptive management.*
COMPONENT 4 - Solid region-wide marine data, information and knowledge management (KM) landscape/infrastructure (MDI), supporting strategic planning & action	
Assumptions	**Risks, and preventive/remedial/mitigation action**
leadership role of OCM will ensure sustainability, stimulate collaboration, increase efficiency and reduce overlaps/duplication	risk: delays in operationalization of OCM, insufficient capacity of the OCM Secretariat do not allow OCM to exercise the required leadership role; prevention/remediation/mitigation: transitional lead/support role from the CLME+ Interim Coordination Mechanism (ICM) in case of delays in OCM operationalization; secure strong OCM Secretariat by securing strong PROCARIBE+ PMCU; extend collaboration beyond OCM membership (e.g. engaging also partnership members) to further reduce potential for duplicated/"competing" efforts; adjust expectations as necessary, prioritizing (potentially more modest) achievements with highest chances of sustainability (beware of fast-tracking "progress" that that might lead to short-

	term results that might appear more substantial, but that would be unsustainable in time). *Apply adaptive management.*
recognition of the complementarity of mandates and adoption of subsidiarity principle enable collaboration	risk: lack of trust, and (perception of) competing/conflicting interests/overlapping mandates may hamper commitment and full engagement of e.g. different IGO's; prevention/remediation/mitigation: further foster trust through the OCM; engage the OCM Steering Group and Governance Bodies of member IGO's to help resolve potential challenges, and to obtain formal mandates/endorsements for way forward; prioritize (potentially more modest) achievements with highest chances of sustainability -beware of fast-tracking "progress" leading to short-term results that might appear more substantial, but that would be unsustainable in time due to lack of wide-spread buy-in and support; adjust expectations if necessary, keeping over-arching outcomes and longer-term ambitions in mind. *Apply adaptive management.*
recognition of comparative advantages and potential of non-governmental stakeholders helps resolving governmental capacity constraints	risk: lack of trust may hamper full engagement of non-governmental stakeholders; prevention/remediation/mitigation: further foster trust through the partnerships; in case of lack of recognition of comparative advantages/potential of non-governmental stakeholders, adjust course of action and identify best opportunities to demonstrate, through selected pilot efforts the gains to be obtained from wider-stakeholder engagement; subsequently use the OCM to enhance awareness; adjust short-term expectations and pursue gradual progress, keeping longer-term ambitions in mind. *Apply adaptive management.*
adequate linkages between national, sub-regional, regional and global data and knowledge generation and management efforts can be created and maintained	risk: lack of coordination/engagement of global-level stakeholders/initiatives leads to overlap/duplication between regional and global efforts, leading in turn to inefficient use of limited resources, missed opportunities and reduced sustainability; prevention/remediation/mitigation: foster strong linkages between regional and national processes through the OCM-NIC interface (Components 1 and 2); foster coordination with/engagement of global initiatives through the OCM and its IGO membership; measure progress and identify potential bottlenecks to adaptively manage course of action and adjust expectations, pursuing more gradual progress where needed while keeping a firm eye on the longer-term ambitions. *Apply adaptive management.*

Annex 14. Climate Risk Screening

Project Information	
Project Title	*Protecting and Restoring the Ocean's natural Capital, building Resilience and supporting region-wide Investments for sustainable Blue socio-Economic development (PROCARIBE+)*

Project Number	UNDP 6290 / GEF ID 10800
Location (Global/Region/Country)	Antigua and Barbuda, Brazil, Colombia, Costa Rica, Panama, the Bahamas, Belize, Cuba, Dominican Republic, Guatemala, Guyana, Haiti, Honduras, Jamaica, St. Kitts and Nevis, Saint Lucia, Suriname, Trinidad and Tobago, Venezuela non-GEF eligible countries: the Netherlands, the United States of America (USA)

Identifying and Managing Climate Risks

Note1: in column 2, for each exposed element the overall levels of sensitivity are indicated: L = low; M = medium; H = high (rapid preliminary assessment). *Please note that at any given location, levels of sensitivity in the field may deviate from the regional overage(s), as sensitivities may be dependent on specific local conditions*

Note 2: climate proofing will be applied to all project activities to manage climate risks; 2 considerations will be critical in this context: **(1)** is the proposed solution/activity "**robust**" in face of the uncertainties of how climate change will manifest itself in the region; and **(2)** does the proposed solution/activity contribute to **enhanced resilience of the socio-ecological system** targeted by the activity?

Hazards [1]	Sensitivity and Exposure Assessment [2]	Risk Rating [3]	Measures to manage risk
Increase in sea water temperature - both space/time averaged, and local/temporal (extreme) events	Exposure: ● largely stationary marine species, including those important to fisheries and (eco)tourism. **Sensitivity: L-H, depending on species and current population status** ● (highly) mobile/migratory marine species, including those important to fisheries and (ecotourism). **Sensitivity: L-M, depending on species and current population status** ● marine habitats, in particular coral reefs, and associated ecosystem goods & services. **Sensitivity: M-H, depending on species and current habitat conditions/health** ● coastal livelihoods, Blue Economy activities that depend on the 3 aforementioned natural features. **Sensitivity: L-H, depending on type of activity, location, and overall socio-economic conditions and resilience, and preventative/adaptation measures already taken**	ranging from L to H, depending on location, species, habitat type, and associated human activity/ dependence	*Note: considering the cumulative nature of the (potential) impacts from the different hazards, and in light of the need for integrated approaches, the preliminary identification of risk management measures is presented in this matrix as a single list, covering all hazards.* <u>Measures:</u> Promotion of the mainstreaming of ocean-based climate change **mitigation**, **adaptation** and **resilience-building** and of the concept of **"climate proofing"** at the regional/transboundary levels through the **OCM** (component 1) and at the national levels through the **NICs** (component 2)**;** integration of SAP development and implementation and related regional and sub-regional climate initiatives <u>adaptation</u>: i) support for the integration of marine/coastal adaptation measures in NDC's; ii) "climate proofing" of all project interventions; e.g. by: enhanced evaluation of health/conditions of marine
Change in ocean currents	Exposure: ● marine species, e.g. with dispersion (free-floating) larval	ranging from L to H, depending	

	stages affected by currents. **Sensitivity: M-H** ● marine and coastal fisheries. **Sensitivity: L-H, depending on location, species** ● coastal livelihoods, Blue Economy activities that depend on marine species migratory and/or larval settlement & recruitment processes. **Sensitivity: L-H, depending on location, species**	on location, species, habitat type, and associated human activity/ dependence	ecosystems/habitats, fish stocks, their recent trends, pressures, and projections of future conditions (incl. through the use of results from (climate) scenario modeling, expert judgment, etc.), their (potential) impact on socio-economic development and resilience-building (regional and national-level SOMEE reporting) scoping of the potential for sustainable, climate resilient blue economy activities enhanced data/information/knowledge management landscape and infrastructure (MDI), tied to the MOU, as required to support the aforementioned activities and to inform the climate proofing of project activities and investments reducing/eliminating pressures that adversely affect marine ecosystem/habitat/fish stock health, to increase their resilience to external shocks (incl. the identified climate hazards); habitat restoration and stock rebuilding actions prioritize robust investments, i.e. investments that maintain their desired outcome, under different possible manifestations of climate change mainstreaming of climate change scenarios and risk assessments in MSP enhanced/expanded networks of MPAs and other OECM conservation measures, to reduce pressures on and increase health and resilience of key species and habitats and to protect and restore key ecosystem services that contribute to enhanced resilience identification and development of blue economy activities, to support socio-economic development of coastal populations, with special attention to vulnerable communities (enhanced resilience)
Change in water chemistry: acidification	Exposure: ● marine life, in particular calcifying organisms (reef-building corals, shelled organisms, e.g. lobster, queen conch,...). **Sensitivity: M-H** ● marine habitats, in particular coral reefs, and associated ecosystem goods & services. **Sensitivity: M-H** ● physical coastline, especially where it is influenced by the previous point. **Sensitivity: M-H** ● coastal livelihoods, Blue Economy activities that depend on the aforementioned natural features. **Sensitivity: M-H, depending on location, species**	ranging from M to H, depending on location, species, habitat type, and associated human activity/ dependence	
Sea level rise	Exposure: ● coastal habitats, including corals, mangroves, seagrass beds, beaches, deltas and coastal lagoon. **Sensitivity: M-H** ● physical coastline. **Sensitivity: L-H, depending on location** ● coastal infrastructure and populations, including human settlements and tourism amenities. **Sensitivity: L-H, depending on location and socio-economic conditions and resilience/ preventative/adaptation measures already taken** ● coastal freshwater systems & reserves (due to saltwater intrusion). **Sensitivity: L-H, depending on location and extent, and local/regional hydrology**	ranging from L to H, depending on location, species, habitat type, infrastructure type, and associated human activity/ dependence, socio-economic conditions	

Increased frequency and intensity of (extreme) meteorological events: on land, and related processes at the land-sea interface (e.g. runoff)	Exposure: ● coastal habitats, including coral reefs, mangroves, seagrass beds. **Sensitivity: M-H, depending on species** ● coastal human populations and physical infrastructure. **Sensitivity: L-H, depending on location and socio-economic conditions and resilience, and preventative/adaptation measures already taken** ● river basins and associated freshwater inputs into the marine environment. **Sensitivity: L-H, depending on basin characteristics, land cover, adaptation measures in place, etc.**	ranging from L to H, depending on location, habitat type, infrastructure type, and associated human activity/ dependence, socio-economic conditions	prioritization, where possible, of nature-based solutions, for enhanced resilience and to create win-wins broad stakeholder participation and transboundary collaboration wide-spread awareness raising, i.a. through the OCM, the ocean partnerships and the CLME+ Hub <u>mitigation</u>: i) support for integration of marine/coastal mitigation actions in NDC's; e.g. by: blue carbon solutions (to be implemented e.g. with the small-grants component of the project, a.o.); Preparation of blue economy strategies including MRV (measurement, reporting and verification) systems to define the mitigation potential of any intervention; Scoping the mitigation potential for sustainable, climate resilient blue economy activities, Enhanced data/information/knowledge management, as required to support countries in the definitions of theirs MRV systems to inform the NDCs implementation progress; Prioritize low-emissions investments; Mainstream MRV systems in MSP; Identification and development of blue economy activities, to support socio-economic development of coastal populations, with special attention to low-carbon emission interventions; broad stakeholder participation and transboundary collaboration on mitigation actions; wide-spread awareness raising, i.a. through the OCM, the ocean partnerships and the CLME+ Hub
Increased frequency and intensity of (extreme) meteorological events: at sea - storm surges	Exposure: ● coastal habitats, including coral reefs, mangroves, seagrass beds, beaches, deltas, coastal lagoons. **Sensitivity: M-H, depending on species** ● physical coastline. **Sensitivity: L-H, depending on location** ● coastal human populations and physical infrastructure. **Sensitivity: L-H, depending on location and socio-economic conditions and resilience, and preventative/adaptation measures already taken**	ranging from L to H, depending on location, habitat type, infrastructure type, and associated human activity/ dependence, socio-economic conditions	
Shifts in climatic zones (changes in temperature, radiation, rainfall, vegetation type and cover, runoff)	Exposure: ● coastal livelihoods, Blue Economy activities (e.g. coastal zone tourism). **Sensitivity: L-H, depending on type of activity, location, and socio-economic conditions and resilience, and preventative/adaptation measures already taken**	ranging from L to M, depending on location, type of human activity and its climate-dependency, socio-economic conditions	
High seismicity and active tectonic plates movements (earthquakes, tsunamis,	Exposure: *Medium probability of occurrence, within the 2020-2050 time window, at local/sub-regional levels (1 ongoing*	ranging from L to potentially very H, at local/sub-regional	

volcanic eruptions)	*major volcanic event at the time of screening)* ● coastal human populations and physical infrastructure. **Sensitivity: mostly local to sub-regional, and time-bound, L-H, depending on location and magnitude of the event, socio-economic conditions and resilience, and preventative/adaptation measures already taken** ● coastal habitats: **mostly local, L-M, possibly locally H, depending on location**	scale, depending on location, infrastructure, type of human activity, prevailing socio-economic conditions	

[1] **Climate hazard**: A physical process or event (hydro-meteorological or oceanographic variables or phenomena) that can harm human health, livelihoods, or natural resources. A hazard is not simply the potential for adverse effects.
[2] **Exposure**: The presence of people, livelihoods, species or ecosystems, environmental services and resources, infrastructure, or economic, social, or cultural assets in places that could be adversely affected by a hazard.
Sensitivity: The degree to which a system, asset, or species may be affected, either adversely or beneficially, when exposed to climate variability or change or geophysical hazards.
[3] **Potential impact**: The potential effects of hazards on human or natural assets and systems. These potential effects, which are determined by both exposure and sensitivity, may be beneficial or harmful.

Additional Information on the Climate Risks and Scenarios

The Wider Caribbean is believed to be one of the most vulnerable regions in the world. Climate change and natural disasters stressors are impacting the health of its coral reef ecosystem (coral reefs, mangroves, and seagrasses), resulting in environmental degradation, reducing socio-economic output, cultural and local traditions, and the overall development of the region. Therefore, this proposal combines a series of ecosystem resilience and climate change adaptations activities in each of its four components.

For a better understanding of the climate risks, the following table describes the actual conditions and projected scenarios. In addition, Figures 1-2 present regional projections of climate change related environmental change and associated vulnerabilities.

Variable	Actual condition	Projected scenario
Increase in sea water temperature	• Mass coral bleaching events in this region were experienced in 1987, 1995, 2005, 2010, 2015, 2016, and 2017, thus becoming more frequent and intense since they were first observed (Baker, 2001; Riegl 2002; Gilmour et al. 2013; Hughes et al. 2018). • Changes in sea water temperature have the potential to alter ocean currents and inter-habitat connectivity, thus negatively affecting gene flow, biodiversity and the overall ecosystem resilience. • More than 50% reduction in coral reef live tissue in the last 50 years, current dominance of macroalgae (> 30% on average), and prevalence of small sized hard corals being reported across the Wider Caribbean region, accompanied by marked decline in abundance of top predators and in herbivorous coral reef fishes are clear indications of the cascading effects these ecosystems are experiencing at various scales (McManus and Polsenberg, 2004; Mumby et. al, 2012, Steneck and Torres, 2019). • The Stony Coral Tissue Loss Disease is a new disease that is causing significant mortality of almost all hard coral species throughout the region, at a rate not previously seen. • 2020 has been the year with most named storms (30) in history, from which 13 developed to hurricanes and 6 were considered catastrophic. In comparison, 2010 had only a total of 21 named storms, and only 2 considered catastrophic. • Both shallow (1-30 m deep) and mesophotic (30-150 m deep) coral reefs are dominated by scleractinian corals in symbiosis with dinoflagellate, thus likely to be impacted by the same climate change stressors. These two are considered essential fish habitat for most Caribbean fisheries, therefore their degradation could have critical consequences on the environment and the communities that depend on them.	• It is expected that there will be a 2-3 °C increase in sea water temperature by 2080 compared to 1976-2005 values. With an increase of only 1°C in sea water temperature, coral bleaching is projected to happen every 1-2 years. • If the average sea water temperature all year round is higher than 28°C, many biological processes could be disrupted, including the food web, growth and reproductive rates, and larval dispersal, among others. In conjunction, these changes can result in ecosystem shifts and an overall reduction in ecosystem productivity in the short and long-terms. • The success in the design of marine protected area networks in vulnerable areas and the determination of sustainable levels of extraction would require good understanding of the connectivity patterns, which demands good data on climate change and better analysis and modeling. • Mesophotic reefs might be also impacted by increase in sea water temperature, thus their role as a refuge for shallow coral reefs could not be as significant as expected. Research from these environments is at an early stage, and in need of information on the degree of specialization, local adaptation, and speciation need to be incorporated in regional management approaches.
Reduction in ocean pH (ocean acidification)	• Ocean acidification is contributing to erosion of coral reefs, with 37% of Caribbean reefs already being considered net eroding due to low net calcification rates (Perry et al., 2013), as a result their role in protecting shallow and coastal environments is being reduced. • Healthy coral reefs, seagrasses and mangroves are recognized as net carbon sinks (CaCO3 accretion).	• It is estimated that the pH in the Caribbean may be reduced by 0.1 units in this century, and it is projected that it could be further reduced by 0.3-0.4 units in the next century. • It is predicted that in the short term (100 years), coral reefs could sequester an equivalent of 4% of anthropogenic C02. In the long term (several centuries) this

	They can sequester approximately 2% of the anthropogenic CO2, thus playing an important role in counteracting increasing climate change threats. ● Healthy coral reef ecosystems absorb up to 97% of a wave's energy, buffering coastal communities from storms and associated waves, flooding, and erosion.	amount can increase as much as 9% (Harvey et al., 2018).
Sea level rise	● Many coral reefs are unable to keep growing fast enough to keep up with rising sea levels, making low-lying areas more vulnerable to floods, storm surges, erosion, and other coastal hazards (Yates et al., 2017). ● Mangroves are resilient, salt-tolerant and twisty trees that have so far managed to keep pace with rising sea levels, providing a valuable buffer to coastal communities against pounding storm surges. Unfortunately, it appears that they cannot survive in seas rising faster than about 7 millimeters per year (Saintilan et al., 2020). ● Seagrasses are key primary producers, and responsible for creating locally stable conditions and habitat for other species. Under climate change scenarios, the ecosystem would suffer structural changes and variation in its spatial distribution, thus requiring rapid adaptation mechanisms to counteract low oxygen levels, alterations in detrital-based food webs, and other climate change associated stressors. Climate change in general may reduce its major role in carbon sinks.	● The Caribbean region has risen by around 20 cm over the past 100 years, and it could rise 25% higher than the global average due to other physical factors affecting land elevation (CFRM, 2017). ● In the next century, the sea level rise in the Caribbean could increase 26-80 cm. ● The rate of sea level rise has doubled from 1.8 millimeters per year over the 20th century to ∼3.4 millimeters per year in recent years. ● The 7mm threshold is likely to be surpassed on tropical coastlines within 30 years under high-emissions scenarios. ● Losses in seagrass coverage is expected to occur as a result of increased heat stress, increased sedimentation and turbidity, changes in suitable growth sites due to rising sea levels, and more physical damage from the combination of sea-level rise and more severe cyclones and storms.
Increase in extreme rainfall events	● the Caribbean is characterized by subregions exhibiting slightly differing annual cycles and interannual rainfall variability (figure 3). ● Coastal areas are experiencing an increase in sedimentation and turbidity from river basins combined with increasing deforestation, agricultural activities, poor soil management, and urban and industrial (Pollock et al., 2014).	● Annual 5-day maximum rainfall and the maximum number of consecutive dry days are projected to increase over most areas in Central America (50%), Mexico (90%), and Caribbean (3%) using three different horizontal resolutions of the MRI model for the A1B scenario for the 2080s (McLean et al., 2015). ● Short record lengths and inadequate resolution of current climate models in representing small island states limit the assessment of changes in Caribbean extremes.
Moderate earthquakes, and destructive volcano eruptions and tsunamis are generated near the plate boundaries or in faults intra-plate	● Majority of the Caribbean countries and overseas territories lie close to the Caribbean plate boundary. This plate is moving eastward with respect to the adjacent North American and South American Plates at a rate of approximately 20 mm per year. Seismic events in the Caribbean are associated with a subduction zone. The following are the latest seismic associated events: ● Earthquakes: Antigua 1974, Trinidad 1977, Jamaica 1993, Tobago 1997, Cariaco 1997, Guadeloupe, Dominica 2004, Martinique 2007, Venezuela & Trinidad 2018, Puerto Rico 2020. ● Volcano eruptions: La Soufrière (St Vincent) 1979 and 2021; Soufrière Hills (Montserrat) 1995. ● Tsunamis: Dominican Republic 1946, Puerto	● Major earthquakes cannot be predicted. Their occurrences are rare, but perhaps of high sensitivity. Subsidence in several coastal areas is now evident in southwestern Puerto Rico, as a result of a 2019-2020 seismic intense activity. ● Volcano eruptions can be predicted only if they are imminent. Volcano impact may be highest on steep slopes but ash can impact large areas on the land as well as on the marine environment, as is currently observed from the recent eruption in St Vincent and the Grenadines (FIgures 4-5) . ● Tsunami can be predicted only after an earthquake has occurred. its impacts are likely to have severe impacts on coastal plains.

	Rico 1918.	

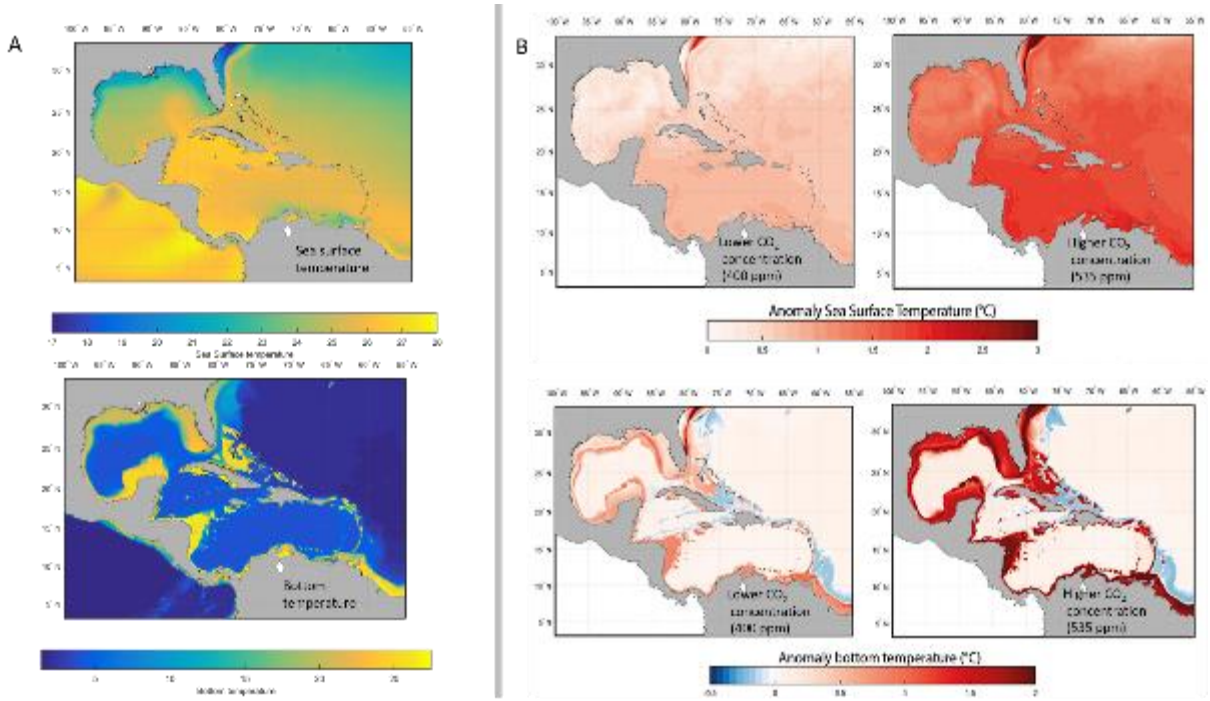


Figure 1. Warmer seas are projected in the Caribbean (GFLD CM 2.6 models), showing high spatial variability (and uncertainties) in anticipated warming - *illustrating the need to express risk ratings across the region as ranges rather than as a single value in the first table under this Annex.* From CFRM Climate change Portal

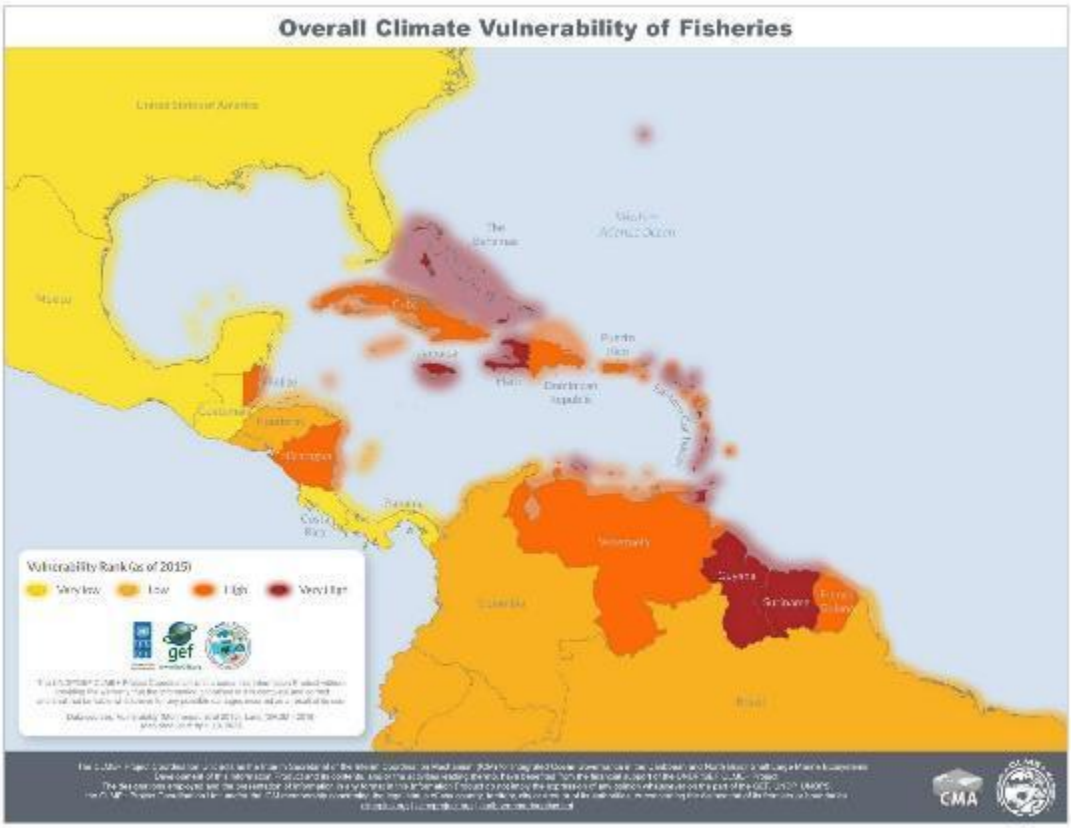


Figure 2. Example of a climate vulnerability map for the Caribbean, to be used during project implementation.

Annex 15. Risks and Opportunities Analysis

Annex 15. Risk and opportunity analysis on the impacts of COVID-19 on PROCARIBE+

(Potential) risks associated with the COVID-19 pandemic

Potential Risk	**Mitigation Measures**
COVID/public health control measures, such as stay-at-home orders, physical distancing and travel restrictions might affect the possibility of conducting face-to-face meetings, stakeholder consultations and field work during the project implementation timeframe (note: at this point - July 2022 - a decrease in/removal of	In its design during the PPG phase, the project work plan development effort has included mitigation and "work-around" solutions to deal with the impacts of potential COVID control measures. The same will be applicable during the project implementation, and will be facilitated by the Project's embracing of an adaptative management approach and early risk detection mechanisms. Consolidation of the use of remote methods, such as online surveys, video-conferencing and emails for communications, and innovative/create solutions such as online progress dashboards and discussion/collaboration

COVID-related measures is expected in the region, for the project implementation timeframe).	platforms will be further explored and deployed, and will provide a buffer against potential new COVID-related contingencies. Working with national partners and/or consultants will be pursued where deemed feasible and beneficial, to limit the effects of potential travel restrictions on project activities. When and where applicable, the project will adhere to COVID bio-security protocols.
Possible delays in execution due to COVID-19 infections of staff members	Key staff to adhere to COVID infection prevention measures. To minimize risks, project activities to the extent possible undertaken in such a way as to reduce/eliminate risk for infection as a consequence of project execution and following bio-security protocols; sound knowledge transfer & management. UNOPS commitment to occupational health and safety and social and environmental aspects across all its projects and facilities is outlined in the UNOPS Policy on HSSE management. Health, Safety and Security (part-time) function contemplated within the PMCU staffing configuration.
COVID-19 can have an aggravating/ escalating effect on the impacts of natural disasters through a reduced capacity to respond to disasters and a corresponding effect on the people and economies affected. Natural disasters may also increase the risk of people becoming infected with COVID-19 as they seek shelters and receive aid supplies.	Through a number of interventions, the project will seek to increase the resilience of local coastal communities to natural disasters by for example providing opportunities to improve their livelihoods and restore the natural capital of certain key areas (Component 3). This is anticipated to help reduce the overall risk of certain communities during climate-related disasters. Overall, the project's support for the development of (diversified) blue economies in the region is expected to contribute to enhanced resilience to external shocks - including but not limited to pandemics.
Some participating countries may decide to make increased investments towards unsustainable practices to allow for short term economic growth post covid-19 which may have negative impacts on coastal and marine habitats, and the people depending on them for	The project will seek to build the case, through the OCM (component 1) and its linkage with the NICS (component 2), the development of a new 10-year SAP and through its support for natural capital accounting, blue economy scoping and planning efforts (component 3), for the importance of sustainability and the longer-term perspective (including the importance of resilience towards future adverse events, drawing upon the lessons learnt from COVID-19), and how the aforementioned does not preclude

livelihoods	post-covid recovery efforts which can also deliver short-term benefits.
The priorities of governments and partners will likely shift towards COVID-19 recovery which may cause delays in providing required inputs for/feedback on project implementation, especially in lower-capacity countries. Project partners (government, private sector and civil society) are anticipated to suffer from resource depletion (staff, funding, time) which could exacerbate the difficulties of actively contributing to the activities of the project. Countries may also request a change in project activities due to shifting priorities.	The project will use flexible approaches while reaching out to countries and partners for feedback and include a clear structure and timeline on when input will be needed. Based on successes and lessons learned from the CLME and CLME+ Projects, the approach to partner with and engage regional IGO's that are knowledgeable about national priorities will be used, and the mainstreaming of project activities in the work programmes of these IGO's will be pursued, as means to achieve more efficient interactions and as such address/compensate for potential limited national-level capacities. In cases where delays/lengthier timeframes cannot be avoided, the project will also seek to consider, to the extent possible, such likely delays when setting its ambitions, and when determining time frames within which information and feedback is to be obtained. The concept of adaptive management will be embraced. See also Annex 13 on the Project's assumptions, and the corresponding preventive, remedial and mitigative actions. During the PPG phase, the project team has undertaken an analysis of COVID-related priorities in the CLME+ region and has tried to incorporate additional post-COVID rebuilding considerations into the fine-tuning of project design as a means to ensure that the project further enhances its alignment with the priorities of the countries and partners involved.
Limited, unreliable internet access and/or lack of capacity to use online tools, and/or resistance to change, may limit the possibility of collaborative work for certain actors.	The project will consider the possibility of working with local organisations for on-the-ground actions where it is anticipated that capacities to use online tools will be limited. This will limit the use of virtual platforms that may not be easily accessible or effective for certain target groups. Advocacy for, and demonstration of the potential of innovative tools and approaches will be conducted in order to promote an incremental up-scaling of their use (including through the engagement of local champions); additional benefits such as reduction of costs and environmental impacts will be highlighted. Where it is deemed that physical presence (meetings, in the field,...) is essential, or highly beneficiary, the risks will be duly assessed, and adequate prevention measures will be

	implemented.
Changes in co-financing sources may occur due to shifting priorities for existing funding and reduced funding availability.	The co-financing scenario for the project was determined during the pandemic and should account for changes related to COVID, at least in the short-term. In that sense, some co-finance were adjusted during project development, new co-finance sources were identified and additional co-financing contributions are expected to materialize during project implementation. The project's awareness raising activities will be used to promote the importance of ocean protection and sustainable use as part of the post-COVID-19 response to 'build back better', keeping ocean-related matters and related sustainability issues high on the region's list of development priorities.
Increased cost of goods and services may occur.	Sound budget planning and implementation tracking/M&E/early risk detection tools will be used to monitor availability of resources versus (potentially changing) needs; the PMCU will use an adaptive management approach to address and resolve changing conditions, in coordination with the Project Board. Timely detection of potential financial shortfalls will allow to conduct prioritization exercises and/or mobilize additional co-financing

(Potential) Opportunities arising from the COVID-19 pandemic

Opportunities	**Project Response**
Opportunity for the introduction/use/consolidation of innovative approaches and new technology, with positive impacts on: wider-ranging outreach and higher levels of participation, stakeholder buy-in and ownership, budgets, environment.	The project will take advantage of the new opportunities generated (and some already successfully demonstrated during the pandemic under the CLME+ Project) through the use of online tools to reach-out in cost-effective ways to more stakeholders for consultations, improve outreach targets and use innovative ways to develop local capacities and increase overall levels of engagement and buy-in. The project will greatly benefit from the use of virtual platforms which will allow for continued engagement for the consolidation of the ocean coordination mechanism (Component 1) and an increased dissemination of all data/knowledge management products developed (Component 4), and for overall project governance and

	progress tracking. Improved online methods and infrastructure for data-sharing will also support the coordinated development of the State of the Marine Environment and Associated Economies (SOMEE) report.
Changes in national priorities and economic sectors	Many countries may wish to restructure their national priorities and economic sectors for COVID recovery. This provides an important opportunity for an increased focus on/prioritization of the sustainable Blue Economy. The project has therefore worked with participating countries during the PPG to fine-tune the project investments in ocean-related sectors with a view to align priorities and promote investments that will support post-covid recovery, climate change considerations and sustainable socio-economic development.
Public and private interest in incorporating sustainable ocean and biodiversity considerations into post COVID-19 recovery strategies and a renewed focus towards the linkages between oceans, the SDG's (e.g. SDG6, SDG14, achieving SDG-6,..) and the climate agenda.	With the pandemic came an increased awareness of the importance of oceans, and of protecting biodiversity and integrating sustainable practices in all aspects of society needed to improve the resilience of our socio-ecological systems. The project will aim to take advantage of the new opportunities created by the pandemic for investing in ocean conservation and restoration, tied to blue socio-economic development and climate change mitigation and adaptation.
Increased awareness of how biodiversity loss can affect human health, well-being and economic prosperity.	The project will seek to make use of this renewed awareness to gather wide-ranging support for the implementation of planning and conservation instruments (e.g. Marine Spatial Planning, Marine Protected Areas and Blue Economy Scoping and Strategies, Natural Capital Accounting) to be implemented under Components 3 and 2.
Greater awareness of the risks of single-sector dependency, and of the need to build increased resilience of the socio-ecological system	COVID-19 has made the risks of single-sector (tourism) dependency in many Caribbean islands extra clear, and can also be seen as an "early warning" of what could happen if loss or degradation of the natural assets on which a substantial part of the tourism sector builds continues to advance (as such making the case for urgent protection and restoration). The increased awareness of these risks will provide an extra impulse to both look at the variety of options provided by the blue economy, as well as to conserve, restore and protect the coastal and marine natural capital.
Overall: Using the Ocean As a	International think tanks and ocean leaders have reflected

Tool for Global Economic Recovery	on, and analyzed the opportunities for sustainable ocean governance, management and use arising from the need to rebuild, after COVID. E.g.: WRI (1) (2); High-level panel for a sustainable ocean economy . Key findings have been considered in the design of PROCARIBE+ (e.g.: ocean partnerships, ocean accounting, ocean startups/innovators, ocean and climate, ocean data and science-based action/UN ocean science decade, linking protection and production through the "Friends of Ocean Action" 3-tiered approach...)

Annex 16. Additional GEF OFP PIF Endorsement Letters (see separate file)

Annex 17. Cofinancing Letters (see separate file)

Annex 18. STAP Review PPG Responses

STAP guidelines for screening GEF projects

Part I: Project Information	Response	Comments/response from the PROCARIBE+ PPG Coordination Unit:
GEF ID	10800	The final STAP comment stating "Further attention to scenarios if assumptions do not hold, and mechanisms for regular stock-taking and adjustment, would strengthen preparedness for adaptive implementation." is duly noted, and has been taken into account during the PPG phase. E.g. a table has been created and added as Annex 13 of the ProDoc, listing each of the assumptions incorporated in the Theory of Change diagram (Section III in the ProDoc), and commenting for each of these assumptions on the associated risks, and corresponding preventive, remedial and mitigative action. It is worth mentioning also in this context that PROCARIBE+ will give continuation to the implementation of the advanced monitoring & evaluation and adaptive management approaches initiated
Project Title	Protecting and Restoring the Ocean's natural Capital, building Resilience and supporting region-wide Investments for sustainable Blue socio-Economic development (PROCARIBE+)	
Date of Screening	24 May 2021	
STAP member screener	Blake Ratner	
STAP secretariat screener	Virginia Gorsevski	
STAP Overall Assessment and Rating	Concur. STAP welcomes this project from UNDP to protect and restore the Ocean's natural capital, build resilience and support region-wide investments for blue socio-economic development in the wider Caribbean. The project encompasses many different issues from unsustainable fisheries to land based marine pollution, to promoting natural capital and blue carbon. It responds well to latest science-based priorities (High Level Panel report) on post-COVID blue recovery. The project is conceived at an ambitious geographic scale (44 states & territories), so learning to deliver systems change at this scale could in itself be innovative. There is also ambitious scope in the integration across sectors and	

	between marine and terrestrial landscapes (S2S), including 23 transboundary river systems. Primary opportunities for scaling entail traction and exchange of lessons and approaches within the region. There is strong recognition of linkages to biodiversity and climate adaptation priorities. Good attention to institutionalization of mechanisms for future regional cooperation beyond the period of the project. A strong climate risk screening included. Further attention to scenarios if assumptions do not hold, and mechanisms for regular stock-taking and adjustment, would strengthen preparedness for adaptive implementation.	through the CLME Project (GEF ID 1032) and further fine-tuned and enhanced through the CLME+ Project (GEF ID 5542), and explicitly commended on in the independent Terminal Evaluation of both projects. See e.g. the sections on "Project Strategy" in both the GEF CEO Endorsement Letter and UNDP Project Document, and Sections 5 (" Institutional Arrangement and Coordination") and VII ("Project Governance and Management Arrangements") in respectively the GEF CEO Endorsement Letter and UNDP Project Document .

Part I: Project Information B. Indicative Project Description Summary	**What STAP looks for**	**Response**	**Comments/response from the PROCARIBE+ PPG Coordination Unit:**

Project Objective	Is the objective clearly defined, and consistently related to the problem diagnosis?	Yes. The goal of this project is to protect, restore and harness natural coastal and marine capital of the Caribbean and North Brazil Shelf LMEs to catalyze investments in a climate-resilient, sustainable post-COVID Blue Economy, through strengthened regional coordination and collaboration, and wide-ranging partnerships. It is a very overarching and comprehensive objective that covers the main problem, which is degraded coastal areas and declining ocean health.	No further response to the STAP comment/remedial action was needed during the PPG
Project components	A brief description of the planned activities. Do these support the project's objectives?	Yes	No further response to the STAP comment/remedial action was needed during the PPG
Outcomes	A description of the expected short-term and medium-term effects of an intervention. Do the planned outcomes encompass important adaptation benefits?	Yes.	No further response to the STAP comment/remedial action was needed during the PPG
	Are the global environmental benefits/adaptation benefits likely to be generated?	Challenging to coordinate such a range of actors, but good potential.	Whereas there was no specific request from STAP to further comment or respond on this, we can confirm that the approach towards tacking this challenge has now been further developed

			and described under corresponding sections of the GEF CEO endorsement letter and UNDP Project Document, and their relevant annexes (in particular: Annex 9 - Stakeholders Analysis and Engagement Plan, Annex 11 - Gender Analysis and Plan and Annex 10 - Environmental and Social Management Framework in which the Indigenous Peoples Framework is included, all these annexes include stakeholders' analysis understanding their context, involvement and participation in the project); the critical importance in this context of a strong Project Management and Coordination Unit (PMCU), as argumented for under both aforementioned documents, is once more highlighted here; it is also pointed out that this was a Key Action point for future projects, emanating from the independent Terminal Evaluation of the predecessor UNDP/GEF CLME+ Project.
Outputs	A description of the products and services which are expected to result from the project. Is the sum of the outputs likely	Yes	No further response to the STAP comment/remedial action was needed during the PPG

	to contribute to the outcomes?		
Part II: Project justification	A simple narrative explaining the project's logic, i.e. a theory of change.		
1. Project description. Briefly describe: 1) the global environmental and/or adaptation problems, root causes and barriers that need to be addressed (systems description)	Is the problem statement well-defined?	Yes. Good distinction between underlying pressures/trends vs. impacts (degradation, pollution) and root causes. Given the complexity of these many and varied issues a graphic showing interlinkages and cause and effect would be helpful	A total of 6 detailed causal-chain analyses have indeed been prepared in the context of the development of the Transboundary Diagnostic Analyses (TDA's) undertaken during the first CLME Project. In order to avoid a further increase of the overall size of the (already voluminous) submission package, we have not directly included these multiple causal chains (1 page each) in the document. Instead, under Section II of the Project Document we now refer to the online versions of 2 of these causal chain analyses. It is to be noted that these documents will remain permanently online, on the CLME+ Hub.

	Are the barriers and threats well described, and substantiated by data and references?	Barriers to be addressed are listed (p. 29) and make sense though they appear tailored to support justification of this project (e.g., barrier is discontinuity of GEF financial support). This section could be improved by stating what, specifically, these are barriers to. It would be extremely helpful if they were incorporated into the TOC, for example.	In the PROCARIBE+ Project Document, the corresponding section (*Section II. Development Challenge -subsection Global environmental problems and root causes; Barriers to be addressed*) has been approved in alignment with the GEF STAP comment: for each barrier listed, it has explained how the barrier can hinder the removal of the root causes to the environmental problems identified in the TDA. The Project has been specifically designed to address these different barriers, through its four thematic, technical Components. It is also noted in this context how, and independent of the fact and the acknowledgment that barrier # 2 (discontinuity, at this stage, of financial support from the GEF) may appear to be tailored to support justification for PROCARIBE+, it remains notwithstanding fully correct to state that in the current ("post-"COVID?) context, and being at the mid-point of the implementation of the first iteration of the regional SAP, without the renewed transitional support from the GEF through PROCARIBE+, many of the initiatives for positive,

			transformational change initiated through the CLME Project and further advanced through the CLME+ Project would come to a halt. Barriers were indeed also incorporated in the TOC (see more details in Annex 13).
	For multiple focal area projects: does the problem statement and analysis identify the drivers of environmental degradation which need to be addressed through multiple focal areas; and is the objective well defined, and can it only be supported by integrating two, or more focal areas objectives or programs?	n/a	n/a
2) the baseline scenario or any associated baseline projects	Is the baseline identified clearly?	This project demonstrates a strong understanding of baseline activities related to regional and national programs and strategy development. Data provided on trends is minimal, with reference instead to prior studies.	The comment from STAP is acknowledged, i.e. both the fact that it was acknowledged by the STAP that the PIF was reflective of a strong understanding of baseline activities, as well as the comment on the limited amount of information on trends that was directly incorporated in the PIF - it is further acknowledged that the latter was due to a variety of factors including: (a) the need to avoid an excessively lengthy project concept note; and the consequential (b) prioritization in

			this context on information considered key to explaining and justifying specifically the proposed project approach and selected interventions, while (c) still providing references to external sources for such information, for those interested; at the same time (d) it is also acknowledged that for some aspects, mechanisms still are to be set up in the region to actively generate and provide access to such information on baseline & trends. The latter element actually underpins parts of the project's strategies, namely those oriented towards forging collaborative arrangements, and to formalize reporting and data management approaches in order to help challenges related to status and trends (see e.g. the efforts related to the formal "SOMEE" reporting mechanisms (Component 4 at regional level, and Component 2 at national level), as a decision-support tool for the future programming of priority actions).
	Does it provide a feasible basis for quantifying the project's benefits?	Yes and importantly, the PIF documents findings from the CLME+ Project Terminal Evaluation to show how work under this project will respond to	The reference to findings from the CLME+ Terminal Evaluation (TE) has been even further expanded in the GEF CEO Endorsement Letter and

		the findings and build on past work.	UNDP Project Document. It is noted in this context how the wider range of findings from the TE have been duly considered, and duly addressed in the project design while taking into account the constraints inherent to budget and timing for project implementation.
	Is the baseline sufficiently robust to support the incremental (additional cost) reasoning for the project?	Yes.	No further response to the STAP comment/remedial action was needed during the PPG
	For multiple focal area projects:	n/a	n/a
	are the multiple baseline analyses presented (supported by data and references), and the multiple benefits specified, including the proposed indicators;	n/a	n/a
	are the lessons learned from similar or related past GEF and non-GEF interventions described; and	n/a	n/a
	how did these lessons inform the design of this project?	n/a	n/a
3) the proposed alternative scenario with a brief	What is the theory of change?	A theory of change is presented (p. 39) which essentially posits that the combination of enhanced regional cooperation combined with national –level planning,	In the PROCARIBE+ Project Document, Section III - Strategy has now indeed been expanded in line with the GEF STAP recommendation. An additional

description of expected outcomes and components of the project		sector specific "blue economy" type activities, supported by better and more data and knowledge sharing will support the overall objective of post-COVID investments initially agreed via the TDA-SAP process. Numerous barriers and assumptions are listed – all of which make sense; however, given the number and types of interventions across such a large and diverse area, it would be helpful to simplify and/or break this TOC down to show specific causal pathways for different sectors or by outcome, etc. For example, what happens if the assumptions don't hold up? What are the alternatives? Which actions address which (clusters of) barriers?	schematic presentation has been included (Figure 7) under this section, showing how the different project components will collectively support the removal of the distinct barriers. A dedicated table has been created and added as an Annex 13 in the submission package, listing, for each project component, the assumptions made that will support its successful implementation; this table now also details the risks that these assumptions may not hold, and provides pathways for both preventive, as well as remedial and mitigation actions, as well as the strong recommendation for an adaptive management approach for PROCARIBE+, the latter in line with the approach followed by the PCU of the predecessor CLME and CLME+ Projects, and explicitly commended on by the independent Terminal Evaluator.
	What is the sequence of events (required or expected) that will lead to the desired outcomes?	Clearly described.	No further response to the STAP comment/remedial action was needed during the PPG
	What is the set of linked activities, outputs, and outcomes to address the project's objectives?	Clearly described.	No further response to the STAP comment/remedial action was needed during the PPG

	Are the mechanisms of change plausible, and is there a well-informed identification of the underlying assumptions?	Mechanisms and assumptions make sense; however, it is not clear what happens if they don't hold. As an example, Outcome 3 depends heavily on the use of spatial data for MSPs and one of the assumptions is that 'data and information needed can be provided.' If not, what is the alternate plan of action? Does this derail the entire effort?	A dedicated table has been created (Annex 13), listing, for each project components, the assumptions made that will support its successful implementation; this table now also details the risks that these assumptions may not hold, and provides pathways for both preventive, as well as remedial and mitigation actions, as well as the strong recommendation for an adaptive management approach for PROCARIBE+, the latter in line with the approach followed by the PCU of the predecessor CLME and CLME+ Projects
	Is there a recognition of what adaptations may be required during project implementation to respond to changing conditions in pursuit of the targeted outcomes?	Some recognition, but further attention to scenarios if assumptions do not hold, and mechanisms for regular stock-taking and adjustment, would strengthen this aspect.	In line with the approach followed by the PCU of the predecessor CLME and CLME+ Projects, PROCARIBE+ will continue to implement strong approaches to monitoring and evaluation and early detection of risks, combined with an adaptive management approach to project implementation. In this context, the Terminal Evaluations of both the CLME and CLME+ Project acknowledged the critical importance of a strong and highly motivated Project Coordination Unit, and commended the CLME PCU for the solid M&E approach. In the design of

			PROCARIBE+, and while facing challenges (given the wide scope of the project, the complexity of the region and the large number of participating countries), substantive efforts have been made to design to the best possible extent, while facing the constraints of the existing caps on project management costs, strong Project Governance and Management, and progress monitoring and evaluation arrangements (see, a.o., Section VII of the Project Document). In this context of adaptive management, Annex 13 specifically deals with the project strategy's different underlying assumptions, specifying for each of these, potential preventive, remedial and mitigative actions

5) incremental/additional cost reasoning and expected contributions from the baseline, the GEF trust fund, LDCF, SCCF, and co	GEF trust fund: will the proposed incremental activities lead to the delivery of global environmental benefits?	Likely, given substantial prior investment to build upon.	No further response to the STAP comment/remedial action was needed during the PPG

financing			
	LDCF/SCCF: will the proposed incremental activities lead to adaptation which reduces vulnerability, builds adaptive capacity, and increases resilience to climate change?	n/a	n/a

6) global environmental benefits (GEF trust fund) and/or adaptation benefits (LDCF/SCCF)	Are the benefits truly global environmental benefits/adaptation benefits, and are they measurable?	Yes – particularly with respect to the MPAs newly created as this is easy to measure.	No further response to the STAP comment/remedial action was needed during the PPG
	Is the scale of projected benefits both plausible and compelling in relation to the proposed investment?	Yes.	No further response to the STAP comment/remedial action was needed during the PPG
	Are the global environmental benefits/adaptation benefits explicitly defined?	Yes.	No further response to the STAP comment/remedial action was needed during the PPG

	Are indicators, or methodologies, provided to demonstrate how the global environmental benefits/adaptation benefits will be measured and monitored during project implementation?	For each Component, many of the related outputs include specific indicators (i.e. natural capital/blue carbon integrated into NDCs)	This approach has been maintained, and, in the case of Component 3, further expanded during the PPG Phase. No further response to the STAP comment/remedial action was needed during the PPG
	What activities will be implemented to increase the project's resilience to climate change?	Intent is to mainstream climate considerations throughout the project.	The intent from the PPG flagged by the STAP indeed continued to be a main consideration during the further development of the proposed project. No further response to the STAP comment/remedial action was needed during the PPG

7) innovative, sustainability and potential for scaling-up	Is the project innovative, for example, in its design, method of financing, technology, business model, policy, monitoring and evaluation, or learning?	Project is conceived at an ambitious geographic scale, so learning to deliver systems change at this scale could in itself be innovative. There is also ambitious scope in the integration across sectors and between marine and terrestrial landscapes (S2S). Primary opportunities for scaling entail traction and exchange of lessons and approaches within the region. Innovation and sustainability appear in the context of the blue economy and planned efforts to work with CSOs and MSMEs to create 'blue' businesses related to sustainable use/harvesting of renewable marine and coastal capital such as mariculture, mangrove products, etc. Under Output 3.2.1, One innovative "private/blended blue financing" instrument (from CLME+ scoping study; to be selected during PPG phase) will be tested at pilot-scale (1 OCM member country) and fine-tuned for region-wide replication/up-scaling. It will be important to	The further development of the proposed project has kept with and further built on the approach towards achieving and promoting innovation that was already described in the PIF. The innovative elements of the project have indeed again been flagged in the dedicated sub-section on "innovativeness" under Section IV of the Project Document as well as in the sections where the project strategy and project outputs and activities are being described. For Output 3.2.1, a choice has now been made to support Panama -as a pilot initiative- in the efforts to quantify their carbon stocks in both seagrass beds (blue carbon) as well as in coastal tropical peatlands; lessons learned from this effort would then be used to support replication and up-scaling; throughout the PPG phase, several discussions have been held between the PROCARIBE+ and the UNEP Caribbean BlueFin PPG development team and future Caribbean BlueFin implementing agency, and the complementary of actions on blue carbon has been confirmed

		coordinate with the UNEP BlueFin project which is similarly working on developing blue financing mechanisms in the CLME.	and articulated; in light of the Caribbean BlueFin efforts to establish a Blue Carbon Facility, and as discussed during the PPG, PROCARIBE+ will seek to further coordinate with Caribbean Bluefin during project implementation with the aim of mobilizing potential financing for marine and coastal ecosystem conservation through this facility and based on the results from PROCARIBE+ work under its Output 3.2.1. Coordination has not only been sought with Caribbean BlueFin, but also for example with the Pew Charitable Trusts, who will be working on similar topics in at least 3 countries in the region in the coming years.
	Is there a clearly-articulated vision of how the innovation will be scaled-up, for example, over time, across geographies, among institutional actors?	This project already encompasses a very large region and is undertaking numerous, diverse activities. In this context, it is important to define exactly what is meant by scaling and how it will be accomplished. Given the complexity of this large effort, it may be that gathering and sharing	The comment from the STAP regarding the importance to provide good insights in terms of what is meant by scaling, and how it will be achieved, is duly noted. It is further observed that, in the particular case of PROCARIBE+, and considering the fact that the opportunities to replicate and

		information including on data and creating and sustaining linkages and achieving results within the area may be more effective than scaling to other parts of the world, though it is critical (and the project acknowledges) to use the IW:LEARN, UNEP Regional Seas and other platforms to exchange lessons.	scale the innovative approaches that will be promoted and implemented by the project are multiple and range from regional approaches aimed at enhanced, integrated ocean governance, to local-level approaches aimed at promoting innovation through civil society action, it would have been difficult to provide a single definition in the PIF of what is to be precisely understood by "scaling and replication" across the full range of activities proposed for the new PROCARIBE+ Project. The PROCARIBE+ Project Document, containing a much more detailed description of activities under each of the Outputs of the Results Framework than was the case in the PIF, therefore now provides a good source of information to better understand what is meant by "scaling and replication", across the wider range and the large variety of innovative approaches that will be supported by the project. It is however to be noted that scaling approaches can and will still further be fine-tuned, and potentially revised, during project implementation, in line with an adaptive management approach

			and with a keen eye for new opportunities that may arise and allow to further expand the reach of scaling and replication efforts.
	Will incremental adaptation be required, or more fundamental transformational change to achieve long term sustainability?	Transformational, systems change is required. Responds well to latest science-based priorities (High Level Panel report) on post-COVID blue recovery.	No further response to the STAP comment/remedial action was needed during the PPG

1b. Project Map and Coordinates. Please provide geo-referenced information and map where the project interventions will take place.		A map is provided as are lat/long coordinates though not clear what they refer to exactly. Would be better to have a bounding box for the entire area.	Maps have been included in Section II (Development Challenge) as well as in Annex 3 to the Project Document. The maps clearly delineate the Caribbean and North Brazil Shelf Large Marine Ecosystems, which, combined, represent the main geographic scope of the PROCARIBE+ Project. The maps also depict the terrestrial contributing drainage areas to both LME's (of relevance for project actions relating to the

			ridge-to-reef/source-to-sea approach), as well as an indication of the coastal zone area of influence, and associated total population. Additional maps have been included in the GEF CEO Endorsement Letter and UNDP Project Document depicting these intervention sites.
2. Stakeholders. Select the stakeholders that have participated in consultations during the project identification phase: Indigenous people and local communities; Civil society organizations; Private sector entities. If none of the above, please explain why. In addition, provide indicative information on how stakeholders, including civil society and indigenous peoples, will be engaged in the project preparation, and their respective roles and means of engagement.	Have all the key relevant stakeholders been identified to cover the complexity of the problem, and project implementation barriers?	Yes. Stakeholders are identified by Component including very useful distinction of expected roles and "means of engagement."	No further response to the STAP comment/remedial action was requested. During the PPG phase, the PPG Coordination Unit built further upon the work already conducted during PIF stage to include additional detail, under both Sections 4 of the Project Document as well as through a dedicated "Stakeholder" Annex 9.

	What are the stakeholders' roles, and how will their combined roles contribute to robust project design, to achieving global environmental outcomes, and to lessons learned and knowledge?	Very broad scope of actors, suitably described at this stage of project development.	

3. Gender Equality and Women's Empowerment. Please briefly include below any gender dimensions relevant to the project, and any plans to address gender in project design (e.g. gender analysis). Does the project expect to include any gender-responsive measures to address gender gaps or promote gender equality and women empowerment? Yes/no/ tbd. If possible, indicate in which results area(s) the project is expected to contribute to gender equality: access to and control over resources; participation and decision making; and/or economic benefits or services. Will the project's results framework or logical framework include gender sensitive indicators? yes/no /tbd	Have gender differentiated risks and opportunities been identified, and were preliminary response measures described that would address these differences?	Good specification of dimensions in which gender priorities will be incorporated, building upon prior analyses, studies and projects. Dedicated gender specialist to be included.	A dedicated gender specialist was indeed engaged during the PPG phase. A gender and safeguard specialist(s) will also be engaged on the Project Management and Coordination Unit (PMCU). A Gender Action Plan has been developed, and its core actions have been mainstreamed into the description of activities under Section IV of the Project Document. Additional opportunities to further strengthen the gender dimension of the project can continue to be pursued, through the active participation of the PMCU Gender Specialist, and the creation of a Gender Working Group. (note: the PMCU budget foresees for the engagement of a specialist function for both

			gender and for social and environmental safeguards - engagement of the required expertise may be achieved through either a single "Gender & Safeguards Specialist" position, or through 2 separate positions ("Gender Specialist" and "Safeguards Specialist") (part-time positions); a related decision will be made during project execution based on the profiles of available candidates.
	Do gender considerations hinder full participation of an important stakeholder group (or groups)? If so, how will these obstacles be addressed?	Yes; reasonably anticipated.	No further response to the STAP comment/remedial action was needed during the PPG

5. Risks. Indicate risks, including climate change, potential social and environmental risks that might prevent the project objectives from being achieved, and, if possible, propose measures that address these risks to be further developed during the project design	Are the identified risks valid and comprehensive? Are the risks specifically for things outside the project's control? Are there social and environmental risks which could affect the project? For climate risk, and climate resilience measures: • How will the project's objectives or outputs be affected by climate risks over the period 2020 to 2050, and have the impact of these risks been addressed adequately? • Has the sensitivity to climate change, and its impacts, been assessed? • Have resilience practices and measures to address projected climate risks and impacts been considered? How will these be dealt with? • What technical and institutional capacity, and information, will be needed to address climate risks and resilience	A reasonable range of risks are identified and rated. Insufficient data is rated as a 'high' risk and this is frequently cited throughout the project including as a barrier. Mitigating measures to 'explore the use of remote sensing' could be further developed prior to CEO endorsement to explain more specifically what type of data, and a strategy for collecting and analyzing it and to what end. Annex H provides a separate Climate Risk Screening which is comprehensive in that it identifies hazards, sensitivity and exposure, an overall risk rating and identifies measures to manage risk. It also includes additional information on projected regional scenarios. These data will be further refined during PPG phase to be more site specific.	While the comment from the STAP alluding to the possibility to "further explore the use of remote sensing prior to CEO endorsement" was duly acknowledged, acting upon this suggestion during the PPG phase itself (i.e. prior to CEO endorsement) was not immediately possible due to the multitude of other activities that were to be completed, and wide variety of stakeholders that were to be involved, and the associated time and funding constraints. However, and more interestingly, the project itself will provide much better opportunities to meaningfully address this suggestion, in a participatory way which will provide for stronger buy-in and regional ownership than if this would have been fast-tracked during the PPG: e.g. in the context of the planned preparatory activities under especially Component 4 leading to the development of a blueprint for the regional marine data/information landscape and infrastructure, as well as the proposed strategic alliance with IW:LEARN (noting in this context that also the new IW:LEARN project is still to be made operational at the moment at which this response to the STAP suggestion is provided -i.e. June 2022). In addition, the PPG Coordination Unit also refers to the fact that also other activities under Components 1 and 4 (e.g. operationalizing the regional coordination mechanism and partnerships, and preparatory actions towards the development of the new TDAs) will create much better enabling conditions to implement the action proposed by the STAP in a much more

	enhancement measures?		meaningful way than would have been possible prior to CEO endorsement. In a similar way, while it is acknowledged that the STAP comments allude to a further refining during the PPG of data on climate risks to make them more site-specific, constraints imposed by the PPG timeline and available resources ultimately did not allow for this; at the same time and from a pragmatic/strategic perspective it is noted that undertaking this effort together with responsible parties and local stakeholders during the project itself will be (a) much more meaningful and cost-effective; (b) promote ownership and enhance capacities among regional stakeholders for replication and more systemic use of such approaches also beyond the project-specific activities themselves. Key to this is that, under the Project Strategy, the systematic screening of proposed project interventions vis-a-vis climate risks has been explicitly recommended as a cross-cutting activity.
6. Coordination. Outline the coordination with other relevant GEF-financed and other related initiatives	Are the project proponents tapping into relevant knowledge and learning generated by other projects, including GEF projects?	Yes	No further response to the STAP comment/remedial action was needed during the PPG
	Is there adequate recognition of previous projects and the learning derived from them?	More information could be provided on lessons learned; however, this project refers to the terminal evaluation of the	References to both the CLME and CLME+ Terminal Evaluations and others lessons learned from the CLME and CLME+ experiences (and beyond), and descriptions of how such has been considered/used in the

		CLME+ project which is a step in the right direction.	project design, have been further expanded across several parts of the Project Document. This includes but is definitely not limited to sections such as “barriers to be adressed”, “PROCARIBE+ approach to adressing the challenge”, “partnerships”, “project governance and management arrangements”, and the description under Section IV of the approach and planned activities relative to outputs such as the new TDA (SOMEE) and SAP, NICs, NDC’s, the regional Knowledge Hub etc.
	Have specific lessons learned from previous projects been cited?	Yes.	The reference to lessons learned and a description of how such has been considered/used in the project design has been further expanded. See also the previous response. No further response to the STAP comment/remedial action was specifically requested.
	How have these lessons informed the project’s formulation?	Characterization of barriers, trends and priorities.	In addition to the characterization of barriers, trends and priorities already mentioned by STAP, the lessons learned have also informed the design of several key elements of the proposed project, e.g relative to the ocean coordination mechanism, knowledge management, the conceptualization of and the approach towards the development of the next iteration of the TDA/SAP process, the project governance and management arrangements and the engagement of responsible parties, as well as the introduction of the concept of a “Project

			Management and Coordination Unit", providing for a clearer distinction between project management and project technical coordination and advisory functions (while highlighting the interconnectedness among both). At a higher level, lessons learned are also reflected in the adoption of the concept of a "programmatic approach" where different projects complement each other in their contributions towards the over-arching regional CLME+ Vision (with this concept now also embedded in the Memorandum (MoU) enabling the establishment of the coordination mechanism), and in the partnership(s) approaches described under both PROCARIBE+ Output 1.1.1.b as well as the sub-section on Partnerships under ProDoc Section IV.
	Is there an adequate mechanism to feed the lessons learned from earlier projects into this project, and to share lessons learned from it into future projects?	Good plan noted during inception phase for in depth review of TDA/SAP process over prior decade and identification of lessons from other regions.	No further response to the STAP comment/remedial action was needed during the PPG

8. Knowledge management. Outline the "Knowledge	What overall approach will be taken, and what knowledge management indicators and metrics will be	Lack of regional data management infrastructure identified as a constraint. Component 4 is devoted to knowledge management, and the CLME+ HUB is highlighted as the main mechanism by which knowledge will be gathered and shared.	No further response to the STAP comment/remedial action was needed during the PPG

Management Approach" for the project, and how it will contribute to the project's overall impact, including plans to learn from relevant projects, initiatives and evaluations.	used?	This is also where lessons learned from prior and similar projects will be shared (see above) as well as through IW:LEARN.	
	What plans are proposed for sharing, disseminating and scaling-up results, lessons and experience?	IW:LEARN; documentation & dissemination of good practices.	Within the region, the consolidation of a regional knowledge management Hub tied to the regional Ocean Coordination Mechanism will help maximizing the exchange of lessons learned and results both among as well as beyond the different GEF IW projects active in the region. At the global level, PROCARIBE+ proposes to further expand this beyond the GEF IW/LME community (Component 4), e.g. through engagement with other global ocean initiatives (regional seas programmes, regional fisheries bodies, CBD Sustainable Ocean Initiative SOI and others). No further response to the STAP comment/remedial action was needed during the PPG

Annex 19. Council Comments (see separate file)

COMPILATION OF COMMENTS

SUBMITTED BY COUNCIL MEMBERS

ON THE GEF

JUNE 2021

WORK PROGRAM

NOTES:

- **This document extracts all comments relevant to PROCARIBE+ from the compilation of comments submitted to the Secretariat by Council members concerning the project proposals presented in the GEF June 2021 Work Program**
- **Responses/explanation of how the comments have been considered/addressed are now incorporated in the document in blue**

✓ ***Comment for all UNDP projects***

In light of the recent audit report by the UNDP Office of Audit and Investigations (OAI) of UNDP GEF Management, all projects included in the Work Program implemented by UNDP shall be circulated by email for Council review at least four weeks prior to CEO endorsement/approval. This shall take place as actions of the Management Action Plan that address the OAI recommendations are being implemented, as well as the independent, risk based third-party review of compliance by UNDP with the GEF Policy on Minimum Fiduciary Standards is being completed. Project reviews will take into consideration the relevant findings of the external audit and the management responses and note them in the endorsement review sheet that will be made available to Council during the 4-week review period.

The comment is duly noted.

21. **Regional, Colombia, Costa Rica, Panama, Bahamas, Belize, Cuba, Dominican Republic, Guatemala, Guyana, Honduras, Jamaica, St. Kitts and Nevis, St. Lucia, Suriname, Trinidad and Tobago, Antigua and Barbuda. Protecting and Restoring the Ocean's natural Capital, building Resilience and supporting region-wide Investments for sustainable Blue socio Economic development (PROCARIBE+) (GEF ID 10800). Agency: UNDP; GEF Project Financing: $15,429,817; Co-financing: $129,822,647.**

✓ ***France Comments***

- For information, the French facility for global environment (the FFEM) and the French Agency for Development (the AFD) are jointly cofinancing the BluEFin project with their CRAB project with the Caribean Biodiversity Fund.

- PROCARIBE+ could overlap BluEFin, even if the purpose is clearly wider both spatially (involving all the wider caribbean countries, including coastal States and North Brazil States) and thematically. It deals with the creation of a big coordination mechanism for the region "ocean coordination mechanism", and includes a lot of technical assistance, for quite an exhaustive list of areas: marine spatial mapping, fisheries, blue economy, mangrove, MPAs, etc…

- However, there should be some concertation between UNDP for the Procaribe+ project and UNEP and CBF for the BluEFin project and the FFEM and AFD financed CRAB project, and probably work in close coordination, in order to maximize effects and synergies and lessons learnt to .

The comments from France relative to the Caribbean Bluefin and CRAB Projects are duly noted. During the PROCARIBE+ PPG phase collaboration took place between the PROCARIBE+ team and the CBD and Caribbean BlueFin PPG teams, to identify options

for synergies and complementarity, and to avoid potential overlaps. Outcomes were positive, with substantial scope for complementarity and synergies, and this is reflected in the PROCARIBE+ Project Document (Section IV, e.g. output on Blue Carbon in Panama, and the description of Partnerships).

- The project is well aligned with the 10-year Strategic Action Programme for the Caribbean and North Brazil Shelf Large Marine Ecosystems (CLME+ SAP) and supports the (partial) implementation of several of the Priority Actions under the SAP.
  Specifically, it is aligned with the strategic elements focusing on the mainstreaming of valuation of ecosystem services in national and regional decision-making and policy development and private sector engagement in ecosystem-based management of shared living marine resources (e.g., seagrass beds, mangroves, and coral reefs).

- The project will contribute in particular to CLME+ SAP Strategies 1, 2, 3 and 4. Additional information regarding how this project will implement these strategies and its actions has been outlined in a table in the proposed alternative scenario.

The comment is duly noted.

- The main focus of the proposed project's on-the-ground activities are centred on 5 out of the 26 CLME+ countries, it will however ensure alignment with CLME+ SAP Strategy 3 and engage with the CLME+ (Interim) Coordination Mechanism and permanent (when established). This can potentially be used as a framework to promote replication, upscaling, political uptake at regional levels and to reduce overlap and duplication.

The comment is duly noted. Already from PIF stage but even more so during further project development, efforts have been made to pursue that all participating countries stand to benefit substantially from the project, seeking also to have the majority of participating countries benefiting in one way or another from national-level/in-country activities. In addition to this, all countries will benefit from the regional-level activities under Components 1, 2 and 4. Through Components 2 and 3, the project will deliver on-the ground activities in a larger number of countries, e.g: support for environmental reporting (2)/blue economy scoping(2)/natural capital account (1); support for integration of the marine capital in the 2025 NDC updates (1-5); small grants support (min 5); carbon stock quantification (1); MSP (7-8); MPA (5-6); traceability (8) and improved fishing practices & gear (1).

Several project outputs have indeed 2 elements, with the first element focussing on on-the-ground implementation in a limited number of selected countries (taking into account the project's budgetary constraints), while the second element then focuses on extraction of best practices and lessons learned, to enable/pursue upscaling and replication.

An overview table has been included under Section IV of the Project Document, showing how the different project outputs target/will benefit all project participating countries.

- The key project activities will be linked and contribute to (a) relevant regional-level initiatives and activities (including knowledge management and exchange through the CLME+ Hub, clmeplus.org; and support for the formal, integrated reporting efforts on the "marine environment and its contributions to socio-economic development in the wider Caribbean" (SOMEE and associated UNEP CEP "State of…" reports); and (b) related activities undertaken by other projects and initiatives in other countries from the region (e.g. through knowledge exchange, harmonized approaches and shared technologies with, BE CLME+, and MAR2R, etc.). The latter will be undertaken with the aim of maximizing overall benefits for both the participating countries and the region as a whole.

- The project will seek to align its activities with the Regional Strategies and Action Plans on (a) the reduction of nutrient inputs into the marine environment, and (b) the protection and restoration of key marine habitats for the wider Caribbean, and their associated regional investment plans, whose development is currently being coordinated by UNEP CEP with the support of the CLME+ Project.

The comments are duly noted and welcomed.

✓ ***Germany Comments***

Germany approves the following PIF in the work program but asks that the following comments are taken into account:

Germany welcomes this proposal, which aims to improve ocean governance and support the ocean economy of the Caribean and North Brazil Shelf Large Marine Ecosystems.

Suggestions for improvements to be made during the drafting of the final project proposal:

- The project aims to improve the traceability of 55,900 tons/yr of fish and shellfish production. However, traceability is not the same as sustainability. Germany suggests to reconsider wether all of the production with improved traceability should be counted under Indicator 8 "Globally over-exploited fisheries moved to more sustainable levels".

The comment from Germany relative to Indicator 8 is duly noted. The PROCARIBE+ PPG team has looked more in depth into this matter, and requested additional data and insights from the regional fisheries experts that provided the data for the PIF. Based on these, the team brings forward the following interpretations/conclusions: (a) the volume of spiny lobster exports to be brought under traceability should be removed from the indicator, as the Caribbean spiny lobster stock would be fully exploited instead of over-exploited; (b) for the other key stocks (queen conch and shrimp), given the over-fished status of the wild-

caught stocks, and taking into account (1) that (in our interpretation and unless this would be challenged/contested by the GEF Secretariat or Council during review) the "GEF Guidelines on Core Indicators (ME/GN/02) refer, for Core Indicator 8, to "more sustainable" levels, together with (2) the multiple literature references to the importance of traceability for advancing the fight against IUU and for sustainability in fisheries; we would hence still interpret that bringing catch volumes under traceability corresponds to a substantial contribution to moving the subject fishery to more sustainable levels.

- For the project activities on marine spatial planning, Germany suggests to consider more explicitly how a fair and equitable representation of different stakeholder groups with different levels of organization and different economic and political influence can be ensured.

The comment is duly noted and welcomed. Following the UNDP procedures for social and environmental safeguards, the following documents were developed relevant to the engagement of stakeholders during the implementation of the project: A Gender Analysis and Action Plan (Annex 11), a Stakeholder Analysis and Engagement Plan (Annex 9) and an Indigenous Peoples Planning Framework (Annex 10). Those documents are meant to provide guidance for the implementation of the Project to ensure adequate representation by all relevant actors in the activities of the project. The documents will be updated as more information becomes available on the specific activities to be executed under the Project. Regarding the interventions on marine spatial planning, more detailed stakeholder engagement plans will be elaborated at the start of the activities to ensure that all possible actors are identified and considered in the design of the processes.

- The proposal states that it will contribute to regional food security and to SDG 2. Germany proposes to strengthen the considerations of regional food supply and food security across all project activities.

The comment is duly noted, and under the description of the project strategy, and at the onset of the "Results" section (detailed description of project structure, outputs and activities) the consideration of regional food supply and food security has been added as a cross-cutting consideration to be mainstreamed across all project activities (as deemed relevant and feasible, taking also into account the project's financial and operational constraints), together with other cross-cutting considerations such as: gender, indigenous people and local communities, climate change.

- Germany welcomes that the proposal addresses gender equality and women's empowerment. Germany suggests to include SDG 5 as one of the global commitments supported by the project activities.

The comment is duly noted and has been addressed in the development of the UNDP PROCARIBE+ Project Document and the PROCARIBE+ GEF CEO endorsement letter. The "wedding cake" representation of the Sustainable Development Goals including SDG 5, developed by the Stockholm Resilience Center and showing how protection and restoration of the biosphere, including through SDG14 (Life below

water), underbuilds successful progress on all other socio-economic SDG's, including SDG5, is now being explicitly referred to as a reference framework for the project, in the Project Strategy. Sections alluding the project's alignment and contributions to global development goals and commitments (e.g. the Project Results Framework) in both the UNDP Project Document and GEF CEO endorsement letter now explicitly include SDG5. A dedicated Gender Action Plan (Annex 11) for PROCARIBE+ has been developed during the PPG phase.

- The project considers economic displacement of coastal people and communities when creating new Marine Protected Areas (MPAs) as one of its risks (Risk 4). Germany suggests that the project ensures that the participating countries collaborate with coastal communities on new MPAs from the outset, not only to avoid displacement, but also to find the ecologically and socially most suitable locations and increase local ownership.

The comment is duly noted. The need for stronger engagement of coastal communities from the onset of efforts to create new MPA's is indeed one of lesson learned and communicated to the PROCARIBE+ PPG team by one of the participating countries, and it is now actually the project's aim to amend for this situation as it will seek to give continuation to the efforts to establish such new MPA. In addition, as part of the efforts under the MPA output, it can be mentioned that, e.g. (a) PROCARIBE+ will seek to directly work with fisherfolk communities, putting these in the lead position to identify and create new Fish Replenishment Zones (FRZ's, Mesoamerican Reef sub-region); (b) dedicated activities to involve local communities in preparatory activities, and in the approval processes for new MPA's have been included; (c) the PROCARIBE+ Project Document and CEO Endorsement Letter acknowledges the soft boundaries between the project's outputs on MSP and on MPA/OECMs, acknowledging that participatory MSP processes can help with zoning for marine conservation/protection. The introductory text under the description of Project Outcome 3.3.1 now explicitly refers to the Project Environmental and Social Management Framework (ESMF)(Annex 10) and refers to local stakeholder engagement as a transversal need for the project interventions under this Outcome.

- Germany suggests to add social risks such as conflict with existing fishing activities to the risks of a mariculture pilot initiative (Risk 5).

The comment is duly noted. The risks in the Social and Environmental Screening Procedure (SESP)(Annex 6) have been updated to include the potential risk of increasing conflicts in the marine space if the Project finances mariculture activities under its micro-financing scheme (see risk 3 in the updated SESP). It should be noted that an Environmental and Social Management Framework (ESMF)(Annex 10) was developed during the PPG with a view to manage potential risks of the Project and propose mitigation measures to be further enhanced during the implementation of the Project. For any activity where potential risks to livelihoods are identified, the required assessments and management plans (such as a Livelihood Action Plan, as part of the

Environmental and Social Management Plan) will be prepared during project implementation based on UNDP's Social and Environmental Standards.

Annex 20. GEF OAI Checklist (see separate file)

Annex 21. Clean MOU (see separate file)

Annex 22. Decisions and Recommendations Special PSC Meeting (see separate file)

Annex 23. Summary of the PROCARIBE+ Project (see separate file)