



UNDP Project Document

PDF B Project

Government of Panama

United Nations Development Programme

UNESCO-Intergovernmental Oceanographic Commission (IOC)

Centre for Resource Management and Environmental Studies (CERMES), University of West Indies (UWI)

Sustainable Management of the Shared Marine Resources of the Caribbean Large Marine Ecosystem (CLME) and Adjacent Regions

PIMS 2193

Brief description

The overall objective of the project is the sustainable management of the shared living marine resources of the Caribbean LME and adjacent areas through an integrated management approach that will meet the WSSD target for sustainable fisheries. The expected outputs include an analysis of the transboundary LMR issues (Transboundary Diagnostic Analysis- TDA) and an agreed preliminary Strategic Action Program (SAP) for Caribbean LME shared living marine resources during PDF-B. The project will also fill knowledge gaps, implement sustainable legal, policy and institutional reforms and put in place LME level monitoring, evaluation and reporting processes for shared LMR ecosystem management.

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Acronyms

APR	Annual Progress Report
CARICOM	Caribbean Community
CEHI	Caribbean Environmental Health Institute
CEP	Caribbean Environment Programme of the United Nations Environment Programme (UNEP)
CERMES	Centre for Resource Management and Environmental Studies, University of West Indies
CLME	Caribbean Large Marine Ecosystem
EA	Executing Agency
EEZ	Exclusive Economic Zone
FAO	Food and Agriculture Organization
GIWA	Global International Waters Assessment
GOOS	Global Ocean Observing System
IA	Implementing agency
ICCAT	International Commission for the Conservation of Atlantic Tunas
IOC	Intergovernmental Oceanographic Commission of UNESCO
IOCARIBE	IOC Sub-commission for the Caribbean and Adjacent Regions
IR	Inception report
IW	International waters, one of UNDP's focal areas
LME	Large marine ecosystem
MPA	Marine protected area
NFPs	National Focal Points
NGO	Non-governmental organization
NOAA	National Oceanic and Atmospheric Administration (U.S.)
OECS	Organization of Eastern Caribbean States
SAP	Strategic Action Plan
SIDS	Small island developing states
TDA	Transboundary Diagnostic Analysis
UNCLOS	United Nations Convention on the Law of the Sea
UNESCO	United Nations Educational, Scientific and Cultural Organization
UWI	University of West Indies
WECAFC	Western Central Atlantic Fishery Commission
WSSD	World Summit on Sustainable Development

SECTION I : Elaboration of the Narrative

PART I: Situation Analysis

Overall Context- the Wider Caribbean

The Wider Caribbean Region extends from the mouth of the Amazon River, Brazil, in the south, through the insular Caribbean, Central America, the Gulf of Mexico and north along the east coast of North America to Cape Hatteras and includes three large marine ecosystems (LMEs): The Gulf of Mexico LME, the Caribbean Sea LME, and the North Brazil Current LME. This project excludes the Gulf of Mexico LME as this is being addressed by another project. The region includes 26 countries and 19 dependent territories of four other countries.

Throughout the region, the majority of the population inhabits the coastal zone, and there is a very high dependence on marine resources for livelihoods from fishing and tourism, particularly among the small island developing states (SIDS), of which there are 16. The diversity of countries and dependent territories in the region, reflected in national and regional governance and institution arrangements, translates into an extremely wide range in their capacities for living marine resource management. Furthermore, the Exclusive Economic Zones (EEZs) of the Caribbean region form a mosaic that includes almost the entire region, resulting in a high incidence of transboundary resource management issues.

The Caribbean Sea has been severely impacted by a variety of human uses. These include overexploitation of most coastal and offshore living marine resources, destruction of coastal habitats by tourism, industrial and urban development, and degradation of the marine environment by pollution from land and ship-based sources. The marine environment is critical to the economic, nutritional and cultural well-being of Caribbean coastal states. Small-scale fisheries play a particularly important role in the region. In response to the depletion of the near-shore resources and the increasing demand for fish products, attention has turned to offshore resources, which are inevitably shared and already fully exploited by the major fishing nations.

The oceanography of the Caribbean region is highly variable both spatially and temporally. Those islands with appreciable shelf area exhibit significant coral reef development. The Wider Caribbean region is a biogeographically distinct area of coral reef development, within which the majority of corals and coral reef associated species are endemic. As a whole, the region is of considerable global biodiversity significance. The Meso-American Barrier is the second longest barrier reef system in the world.

There is considerable spatial and seasonal heterogeneity in productivity throughout the region. Trophic connections between the productive and less productive areas, and food chain linkages between resources with differing scales of distribution and migration, are still poorly understood but are critical management considerations to prevent stock depletion.

Transboundary Living Marine Resources in the Caribbean Region

The fisheries of greatest importance are for offshore pelagics, reef fishes, lobster, conch, shrimps, continental shelf demersal fishes, deep slope and bank fishes and coastal pelagics. These fishery types vary widely in state of exploitation, vessel and gear used, and approach to their development and management. They are primarily artisanal, or small-scale, using open, outboard powered vessels 5-12 m in length, with a few exceptions. Most coastal resources are considered to be overexploited and there is increasing evidence that pelagic predator biomass has been severely depleted (FAO 1998, Mahon 2002, Myers and Worm 2003).

The large, pelagic species that are assessed and managed by the International Commission for the Conservation of Atlantic Tunas (ICCAT) are the most “high-profile” species with ocean-wide distribution sustaining the largest catches, often by distant water fleets. Few countries of the region presently participate in ICCAT’s activities, mainly because many of the countries only take a small proportion of the catch of species managed by ICCAT. A strategic approach must be developed in order for these countries, particularly SIDS, to take part more effectively in ICCAT (Chakalall *et al.* 1998, Singh-Renton *et al.* 2003, FAO 2002, 2003).

Numerous other large migratory pelagic species that are not managed by ICCAT, such as dolphinfish and blackfin tuna, are important to the fisheries of Caribbean countries, but the information base for the management of these species is very limited. These are species for which a regional effort at cooperative management is critical (Mahon 1996, FAO 2003).

Recreational fishing, an important but unknown contributor to tourism economies, is an important link between shared resource management and tourism, as the preferred species are mainly predatory migratory pelagics. This aspect of shared resource management has received minimal attention in most Caribbean countries (FAO 2002).

In addition to large pelagic fishes, reef organisms, lobster, conch and small coastal pelagics are also likely to be shared resources by virtue of planktonic larval dispersal. They are the resources that have been the most heavily exploited by Caribbean countries and are severely depleted in most areas. These early stages are impacted by habitat destruction and pollution as well as overfishing of the spawning stock. Practical knowledge of how physical and biological processes, as well as human impacts on these processes, are shaping larval populations is needed. Marine Protected Areas (MPA) may play an important role as sources of output but their effectiveness is influenced by many factors. Both improved knowledge and institutional arrangements are required to effectively manage these species.

Large Marine Ecosystems as Marine Resource Management Units

The case for addressing living marine resource management at the scale of the LME has been well developed through a number of initiatives (Sherman 2001). Typically, the LME approach includes five modules that focus on different aspects of the ecosystem: (1) productivity, (2) fish and fisheries, (3) pollution and health, (4) socioeconomic conditions and (5) governance (Sherman 2001). The incorporation of ecosystem level considerations into marine resource management has been widely accepted globally.

At the scale of the LME, living marine resource management issues in the Caribbean include:

- Migratory resources (mainly large pelagics, but also some coastal pelagics)
- Resources with transboundary distribution as adults (various demersal fishes)
- Resources with transboundary larval dispersal (lobster, conch, reef organisms)
- Dispersal of pathogens, pollutants and invasive species
- Resources with transboundary trophic linkages.

Governance Context: Legal, Policy and Institutional

The need for attention to the management of shared marine resources in the Wider Caribbean Region is well documented and has been recognized at various fora such as the CARICOM symposium on the Sustainable Utilization of Fisheries and Other Ocean Resources in 1999. A number of regional and global agreements exist which seek to address the social, economic and governance issues related to shared marine resource management. These include UNCLOS, the UN Fish Stocks Agreement, the FAO Compliance Agreement and the FAO Code of Conduct for Responsible Fisheries (United Nations 1983, United Nations 1995, FAO 1995a, 1995b). The national level implications of the latter three include (a) the need for capacity building at the national level to take part in international and regional level management of shared resources, and (b) the need for strengthening and expanding the scope of regional institutions to undertake this function.

Institutional arrangements for the management of transboundary living marine resources in the Caribbean region have been emerging, de facto, from the ongoing efforts of various institutions. These reflect the fact that the Caribbean does not have any major fish stocks attracting large commercial fleets, revenues from which could otherwise be expected to support a fisheries management institution.

The emerging approach in the Caribbean is more suited to the large diversity of resources that are already mostly exploited by indigenous fleets so that the issues relate primarily to conservation, optimization and intra-regional equity. The arrangements are flexible and involve networking and adaptation of existing institutions and a number of fledgling initiatives for various types of resources. For example, for shrimp/ groundfish and flyingfish, WECAFC ad hoc Working Groups are the lead agencies.

While some limited progress has been made, a number of gaps and needs remain, including: (a) strengthening national level capacity to participate in regional level management processes (b) strengthening emerging regional arrangements and organizations to play the role of ‘competent organizations’ as defined by the UN Fish Stocks Agreement, and (c) developing linkages among these arrangements. This strengthening must span the full range of activities required for collaborative management of shared resources, including: information gathering and sharing, analysis and interpretation, provision of advice, management decision making and implementation. In most cases, there is adequate information for preliminary planning that identifies the strategic approach to be adopted, the information needs of that approach and interim management actions that can be taken while the information/advisory base is being strengthened. The approach that is considered to be most likely to be successful in the context of the emerging Caribbean model for shared living marine resource management is that of “strengthening by doing”. By taking this approach, information, advisory, decision-making and implementation capacity can be strengthened in parallel.

Problem synthesis

Many living marine resources in the Caribbean Region are in crisis. Most of the fishery resources are coastal and are intensively exploited by large numbers of small-scale fishers. The majority of the human population in the Caribbean region lives in coastal communities and there is high dependence on living marine resources for employment and food. There is also high demand for seafood in the tourism industry, a mainstay of the economy in many of the region's countries. Some species, such as lobster and conch, are in high demand for export. These pressures have led to widespread depletion of these resources, a situation that must be reversed in accordance with the targets identified at the WSSD. This depletion has led to increased dependence and fishing pressure on offshore resources, which are already considered to be fully or overexploited. Living resources such as coral reefs that are not exploited, but extremely important for tourism economies and coastal defense against sea level rise are also severely degraded by human activity and require urgent attention for restoration. The current state of the Caribbean Sea requires immediate attention and action. As the recent Scientific Consensus Statement on Marine-Ecosystem Based Management affirmed, "Solutions based on an integrated ecosystem approach hold the greatest promise for delivering desired results". They further emphasized the need for long-term programs to collect and integrate biogeophysical, social and economic data in order to understand better the workings of the marine ecosystems, changes in ocean dynamics (e.g. climate and productivity) and the effectiveness of management decisions so that adaptive ecosystem management can be optimized.

The living marine resources of the Caribbean LME are often shared between countries and the ecosystem management and the recovery of depleted fish stocks will require cooperation at various geopolitical scales, but there are at present inadequate institutional, legal and policy frameworks or mechanisms for managing shared living marine resources across the region. There is a lack of capacity at the national level and information is lacking, particularly with relation to the transboundary distribution, dispersals and migrations of these organisms and the impact of changes in productivity and climate. This lack of knowledge represents a major barrier to sustainable ecosystem management of these shared marine resources, even if an adequate mechanism for effective region-wide ecosystem-based management were in place. The establishment of an effective mechanism will be the major challenge for ecosystem management of transboundary resources and achievement of the WSSD targets.

PART II: Strategy

Project Goal, Objective, Outcomes and Outputs/activities

The overall goal of the project is the sustainable management of the shared living marine resources of the Caribbean LME and adjacent areas through an integrated management approach that will meet the WSSD target for sustainable fisheries.

The specific outcomes of the project are:

1. To identify, analyze and agree upon major issues, root causes and actions required to achieve sustainable ecosystem management of the shared living marine resources in the Caribbean Sea LME;

2. To improve the shared knowledge base for sustainable use and ecosystem management of transboundary living marine resources;
3. To implement legal, policy and institutional reforms to achieve sustainable transboundary living marine resource ecosystem management; and,
4. To develop an institutional and procedural approach to LME level monitoring, evaluation and reporting.

In order to achieve this, the proposed GEF Full project will take the following approach:

1. Preparation of a preliminary Transboundary Diagnostic Analysis (TDA) and of a preliminary Strategic Action Programme (SAP) for Caribbean LME shared living marine resources;
2. Compilation and sharing of existing information and filling critical data gaps through targeted assessments, using new and improved information to update the TDA and SAP;
3. Implementation and building of capacity for legal, policy and institutional reforms for sustainable ecosystem management of Caribbean LME shared marine resources; and,
4. Development and institutionalization of process, stress reduction and environmental status indicators to track effectiveness of actions taken through the SAP.

The expected duration of the Full project is 5 years and it is anticipated that the project will be submitted to the November 2007 GEF Work Program.

Specific components and related activities during the PDF-B phase will include:

Component 1. Analysis of transboundary LMR issues and needed actions

Activity 1.1

Conduct an initial (PDF-B) Transboundary Diagnostic Analysis (TDA) in which existing information will be reviewed and analyzed to fully characterize the nature, scope and root causes of transboundary living marine resource issues in Caribbean LME; update TDA with new information gathered in Component 2. Utilize results of GIWA Assessment of Caribbean LME if available

Activity 1.2

Prepare an agreed initial (PDF-B) Strategic Action Program (SAP) for Caribbean LME shared living marine resources that identifies and outlines approaches to addressing necessary resource and oceanographic assessments, legal, policy and institutional reforms at national and regional levels; update SAP following revision of TDA in 1.1 and adaptive management approach

Outcome 1. Transboundary LMR issues analyzed and needed actions agreed upon

- i. A preliminary Transboundary Diagnostic Analysis (TDA) that fully characterizes the nature, scope and root causes of transboundary living marine resource issues in Caribbean LME will be completed during the PDF-B. It will be updated towards the end of the full project, reflecting improved information base (Component 2), and agreed among the participating countries and institutions.
- ii. An agreed preliminary Strategic Action Program (SAP) for Caribbean LME shared living marine resources will be completed during the PDF-B. Following an adaptive ecosystem management approach, the SAP will be updated towards the end of the full project and agreed

among the nations, specifying necessary legal, policy and institutional reforms at national and regional levels and means of achieving these.

Component 2. Filling knowledge gaps and sharing information needed for ecosystem management

Activity 2.1

Compilation and sharing of existing information through support for information compilation efforts by established regional management bodies and for new bodies required for resources presently not covered, and through establishment of regional shared living marine resources information nodes and/or networks based on meta-database concepts

Activity 2.2

Fill knowledge gaps on resources and biophysical processes including productivity, fish and fisheries, pollution and ecosystem health required for ecosystem-based living marine resource management as identified by PDF-B review and by the ongoing governance reforms established or enhanced in component 3.

Activity 2.3

Conduct pertinent assessments of LMRs and related productivity and oceanographic processes through joint international data collection cruises and data syntheses and analyses

Outcome 2. Knowledge and information gaps for living marine resources ecosystem management filled

- i. Improved quality and availability of data and information in support of policy and management decision-making.

Component 3. Implementation of necessary governance reforms (institutional, legal, and policy)

Activity 3.1

Enhance institutional structures that provide living resource ecosystem management advice to the bodies with responsibility for management decision-making (based on the principles of using existing international, regional and sub-regional institutions with a mandate for management of shared resource wherever possible, 'strengthening by doing')

Activity 3.2

Link these advisory institutions together for a region-wide ecosystem approach by networking and where necessary establishing regional cross-sectoral committees among them.

Activity 3.3

Use and strengthen existing institutional (political) structures with responsibility for management decision-making, and facilitate the establishment within these bodies of competent management authorities for various subsets of shared resources as prescribed by the UN Fish Stocks Agreement, WSSD and other relevant international agreements and to ensure effective regional participation in the international management authorities responsible for Caribbean resources, e.g. the International Commission for the Conservation of Atlantic Tunas (ICCAT). Establish linkages among these institutional structures for effective cooperation in ecosystem management of transboundary resources.

Activity 3.4

Promote increased ratification and implementation of relevant international agreements (UNCLOS, FAO Code of Conduct, UN Fish Stocks Agreement, etc.) by Caribbean countries.

Activity 3.5

Improve implementation of ecosystem management measures and reform supporting policy and legal instruments by: promoting harmonization of national (with regional and international) and regional (with international) policy and legislation for shared living marine resource ecosystem management; building capacity for implementation of management measures, legal, policy and regulatory reforms and by developing a concept for a compact between management bodies to achieve the coordination necessary for recovery of depleted fish stocks.

Activity 3.6

Ensure sustainability and replicability of project interventions by identifying and implementing measures (financial, institutional, etc.) to sustain the reforms (e.g. fees on fishing/tourism, trust funds, government contributions, etc.).

Activity 3.7

Disseminate and share project results, best practices and lessons learned with appropriate target audiences through wide range of mechanisms (publications, Internet incl. IW:LEARN, twinning, GEF IW Conferences, etc.).

Outcome 3. Legal, policy and institutional reforms for shared LMR ecosystem management implemented and sustainable

i. Institutional

- a. Management advisory bodies and processes strengthened or established and providing timely and accurate advice to decision makers.
- b. Existing institutional (political) structures for decision-making strengthened, where appropriate by establishing competent management authorities within them, and will be active.
- c. Linkages among these advisory and decision-making bodies strengthened to ensure a Caribbean-wide ecosystem-based approach to living marine resource ecosystem management.

ii. Legal/Policy

- a. Increased ratification and implementation of relevant international agreements (UNCLOS, UN Fish Stocks Agreement, FAO Compliance Agreement, etc.) by Caribbean countries
- b. Supporting national policy and legal frameworks reformed and harmonized regionally and internationally

iii. Sustainability

- a. Regional management institutions have capacity to participate in the activities of international FMOs responsible for resources of interest to Caribbean countries.
- b. Increased national and regional capacity for implementation of ecosystem management measures and for legal, policy and regulatory reforms
- c. Sustainability and replicability of the project interventions ensured.
- d. Development and operationalization of system to implement the Precautionary Principle and Code of Conduct for Responsible Fisheries.

Component 4. LME level monitoring, evaluation and reporting

Activity 4.1

Identification, establishment and operation of an institutional arrangement that will be responsible for assembling and reporting on agreed indicators for monitoring and evaluation

of the status of the Caribbean LME shared living marine resources, e.g. through a tripartite mechanism comprising FAO/WECAFC, IOC/IOCARIBE and UNEP/CEP.

Activity 4.2

Development of a suite of process, stress reduction and environmental status indicators (GEF International Waters Indicators), for the Caribbean LME shared living marine resources using the improved knowledge base and enhanced regional institutional arrangements and including indicators of the five LME modules of ecosystem level productivity, fish and fisheries, pollution and ecosystem health, socioeconomics, and governance.

Outcome 4. LME level monitoring, evaluation and reporting processes in place

Institutional and procedural approach to LME level shared living marine resources monitoring, evaluation and reporting in place, including process, stress reduction and environmental status indicators.

PART III : Management Arrangements

Implementation/ Execution Arrangements

UNDP will act as the implementing agency, and IOC (UNESCO), through its Regional Sub-Commission for the Caribbean and Adjacent Regions - IOCARIBE, will act as the Executing Agency of the PDF. Reflecting the close collaboration that has characterized the preparation of the PDF, the project will take advantage of the opportunities for synergy and complementarity between these agencies, given their respective comparative advantages. UNDP brings its long established network of country offices in the region and its experience in implementing GEF IW projects. The proposed execution arrangements benefit from the recognized expertise of IOCARIBE in the promotion, development and coordination of marine scientific research programs and ocean services in the Caribbean Sea and adjacent areas.

Technical support for the project will be provided by the Centre for Resource Management and Environmental Studies (CERMES), University of West Indies (UWI), where the Project Coordinating Unit will be located. Sustainability of project benefits at the regional level will be enhanced through these arrangements.

A regional Steering Committee for the PDF will consist of National Focal Points (NFPs) from each GEF-eligible country, representatives from other Caribbean states and territories, representatives from the Implementing and Executing Agencies, CERMES, and other relevant agencies (e.g. NOAA, FAO, CEHI) and NGOs as agreed by the countries, the IA and the EA.

Institutional arrangements for co-operation between the countries for the protection of the Caribbean LME will be further defined as soon as the project activities are launched. One of the first tasks of the PDF-B will be to initiate discussions on such a coordinating mechanism, initially for the purpose of implementing the PDF-B itself, as a first step towards development of a regional framework for ecosystem management of shared transboundary resources.

Consultation, Coordination and Collaboration between and among implementing agencies, executing agencies and the GEF Secretariat, if appropriate

This project has been designed and developed in close partnership between the Executing Agency and the Implementing Agency which began their collaboration in 2000 with an application for PDF-A funding. A workshop held with PDF-A funds in 2001 included experts from several countries and regional agencies including FAO and CARICOM. The subsequent development of the Project Concept and PDF-B proposal involved a high degree of collaboration and interaction among the EA, IA and other regional agencies.

Core Commitments and Linkages

A number of GEF projects or other projects by GEF implementing agencies are in progress or in preparation. These will require explicit linkages with the proposed Caribbean LME project in order to identify synergies, coordinate activities and share knowledge. For a list of these projects, please see section E.1. of the PDF-B proposal. The majority of them has a national level coastal focus and do not explicitly consider transboundary issues at the scale of the Caribbean LME. Several of the projects listed, and/or the follow-on activities to which they will give rise, may be dependent on an appreciation of the transboundary linkages that affect them and on the capacity to make decisions and take actions that incorporate these transboundary realities. Consequently, in several cases, they can be viewed both as clients of the proposed LME project and as sources of detailed information on local-scale processes and needs.

Additionally, at the 10th Session of the FAO Western Central Atlantic Fishery Commission, October 2001, FAO recognized the potential value of the proposed project to support the WECAFC program, and welcomed the initiative.

As an initiative targeting integrated and sustainable management of the shared marine resources of the Caribbean LME, this project supports UNDP focus areas of environment, governance and poverty reduction.

Stakeholder Involvement/ Intended Beneficiaries

The major stakeholders in this project are:

- National government departments responsible for fisheries, marine affairs, and environment;
- National and regional marine research institutions, and universities;
- Regional and international fisheries management and development organizations, e.g. FAO, ICCAT, CARICOM, OECS;
- Donor agencies that are active in the Caribbean region;
- Non-governmental organizations involved in Caribbean LME transboundary living marine resource issues;
- Private sector organizations involved in Caribbean LME shared living marine resource issues; and
- Communities involved in harvesting and marketing of transboundary living marine resources.

Consistent with other GEF requirements, project preparation will examine the role of various stakeholder communities and determine appropriate involvement as part of the full project; the latter will include a full stakeholder involvement plan.

GEF Logo

In order to accord proper acknowledgement to GEF for providing funding, a GEF logo should appear on all relevant GEF project publications, including among others, project hardware and vehicles purchased with GEF funds. Any citation on publications regarding projects funded by GEF should also accord proper acknowledgment to GEF. The UNDP logo should be more prominent -- and separated from the GEF logo if possible, as UN visibility is important for security purposes.

PART IV: Monitoring and Evaluation.

Project monitoring and evaluation will be conducted in accordance with established UNDP and GEF procedures and will be provided by the project team and the UNDP Country Office (UNDP-Panama) with support from UNDP/GEF. The Logical Framework Matrix provides *performance* and *impact* indicators for project implementation along with their corresponding *means of verification*. These will form the basis on which the project's Monitoring and Evaluation system will be built.

The following sections outline the principle components of the Monitoring and Evaluation Plan.

1. Monitoring responsibilities and events

A detailed schedule of project reviews meetings will be developed by the project management, in consultation with project implementation partners and stakeholder representatives and incorporated in the Project Inception Report. Such a schedule will include: (i) tentative time frames for Tripartite Reviews, Steering Committee Meetings, (or relevant advisory and/or coordination mechanisms) and (ii) project related Monitoring and Evaluation activities.

Day to day monitoring of implementation progress will be the responsibility of the Project Coordinator, Director or CTA (depending on the established project structure) based on the project's Annual Workplan and its indicators. The Project Team will inform the UNDP-PA of any delays or difficulties faced during implementation so that the appropriate support or corrective measures can be adopted in a timely and remedial fashion.

Periodic monitoring of implementation progress will be undertaken by the UNDP-PA through quarterly meetings with the project proponent, or more frequently as deemed necessary. This will allow parties to take stock and to troubleshoot any problems pertaining to the project in a timely fashion to ensure smooth implementation of project activities.

2. Project Monitoring Reporting

The Project Coordinator in conjunction with the UNDP-GEF extended team will be responsible for the preparation and submission of the following reports that form part of the monitoring process.

(a) *Inception Report (IR)*

A Project Inception Report will be prepared immediately following the Inception Workshop. It will include a detailed First Year/ Annual Work Plan divided in quarterly time-frames detailing the activities and progress indicators that will guide implementation during the first year of the project. This Work Plan would include the dates of specific field visits, support missions from the UNDP-PA or the Regional Coordinating Unit (RCU) or consultants, as well as time-frames for meetings of the project's decision making structures. The Report will also include the detailed project budget for the first full year of implementation, prepared on the basis of the Annual Work Plan, and including any monitoring and evaluation requirements to effectively measure project performance during the targeted 12 months time-frame.

The Inception Report will include a more detailed narrative on the institutional roles, responsibilities, coordinating actions and feedback mechanisms of project related partners. In addition, a section will be included on progress to date on project establishment and start-up activities and an update of any changed external conditions that may effect project implementation.

When finalized the report will be circulated to project counterparts who will be given a period of one calendar month in which to respond with comments or queries. Prior to this circulation of the IR, the UNDP Panama Country Office and UNDP-GEF's Regional Coordinating Unit will review the document.

(b) *Quarterly Progress Reports*

Short reports outlining main updates in project progress will be provided quarterly to the local UNDP Country Office and the UNDP-GEF regional office by the project team. See template attached.

(c) *Technical Reports*

Technical Reports are detailed documents covering specific areas of analysis or scientific specializations within the overall project. As part of the Inception Report, the project team will prepare a draft Reports List, detailing the technical reports that are expected to be prepared on key areas of activity during the course of the Project, and tentative due dates. Where necessary this Reports List will be revised and updated, and included in subsequent APRs. Technical Reports may also be prepared by external consultants and should be comprehensive, specialized analyses of clearly defined areas of research within the framework of the project and its sites. These technical reports will represent, as appropriate, the project's substantive contribution to specific areas, and will be used in efforts to disseminate relevant information and best practices at local, national and international levels.

(d) *Project Publications*

Project Publications will form a key method of crystallizing and disseminating the results and achievements of the Project. These publications may be scientific or informational texts on the activities and achievements of the Project, in the form of journal articles, multimedia publications, etc. These publications can be based on Technical Reports, depending upon the relevance, scientific worth, etc. of these Reports, or may be summaries or compilations of a series of Technical Reports and other research. The project team will determine if any of the Technical Reports merit formal publication, and will also (in consultation with UNDP, the government and

other relevant stakeholder groups) plan and produce these Publications in a consistent and recognizable format. Project resources will need to be defined and allocated for these activities as appropriate and in a manner commensurate with the project's budget.

Audit Clause

The Government will provide the Resident Representative with certified periodic financial statements, and with an annual audit of the financial statements relating to the status of UNDP (including GEF) funds according to the established procedures set out in the Programming and Finance manuals. The Audit will be conducted by the legally recognized auditor of the Government, or by a commercial auditor engaged by the Government.

PART V: Legal Context

This Project Document shall be the instrument referred to as such in Article I of the Standard Basic Assistance Agreement between the Government of Panama and the United Nations Development Programme, signed by the parties on August 23 1973, and ratified through Law 9 of November 8, 1973 and Letter of Agreement signed in August 20, 2002. The host country implementing agency shall, for the purpose of the Standard Basic Assistance Agreement, refer to the government co-operating agency described in that Agreement.

The UNDP Resident Representative in Panama is authorized to effect in writing the following types of revision to this Project Document, provided that he/she has verified the agreement thereto by the UNDP-GEF Unit and is assured that the other signatories to the Project Document have no objection to the proposed changes:

- a) *Revision of, or addition to, any of the annexes to the Project Document;*
- b) *Revisions which do not involve significant changes in the immediate objectives, outputs or activities of the project, but are caused by the rearrangement of the inputs already agreed to or by cost increases due to inflation;*
- c) *Mandatory annual revisions which re-phase the delivery of agreed project inputs or increased expert or other costs due to inflation or take into account agency expenditure flexibility; and*

SECTION II: STRATEGIC RESULTS FRAMEWORK

Table 1: Activities and PDF B workplan - (part D of approved Concept/PDF B proposal)

PDF Block A activities began in September 2001 and the Concept was admitted into the GEF pipeline in June 2003. The PDF-B is expected to begin in February 2006 and to be completed by April 2007. The GEF project would be presented to GEF Council in November 2007.

Activity	Month																	
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Establish management structure	x																	
Establish Steering Committee		x																
Initial Steering Committee meeting			x															
Task groups on regional transboundary issues (Guianas/Brazil, Eastern Caribbean, West Central Caribbean, Central/South America)				x	x	x	x	x	x	x	x							
Task groups on technical/governance issues (Coral reef governance, Fisheries governance, Oceanography and interface with GOOS, CLME monitoring and reporting)								x	x	x	x							
National review of task group reports												x						
Workshop on TDA and SAP (TAG)													x					
Preparation of GEF Executive Summary and UNDP Project Document																		
First drafts															x			
National review																x		
Revision																	x	
Final Steering Committee meeting																		x
Final submission																		x

NOTE: Outputs and activities will be verified and confirmed during Inception and yearly Meetings/workshops

SECTION III: Total Budget and Workplan

Award: 00041833

Award Title: 2193/IW/OP9/PDFB: Caribbean LME

Project ID: 00047861

Project Objective (Atlas Output/Project): Sustainable Management of the Shared Marine Resources of the Caribbean Large Marine Ecosystem (CLME) and Adjacent Regions.

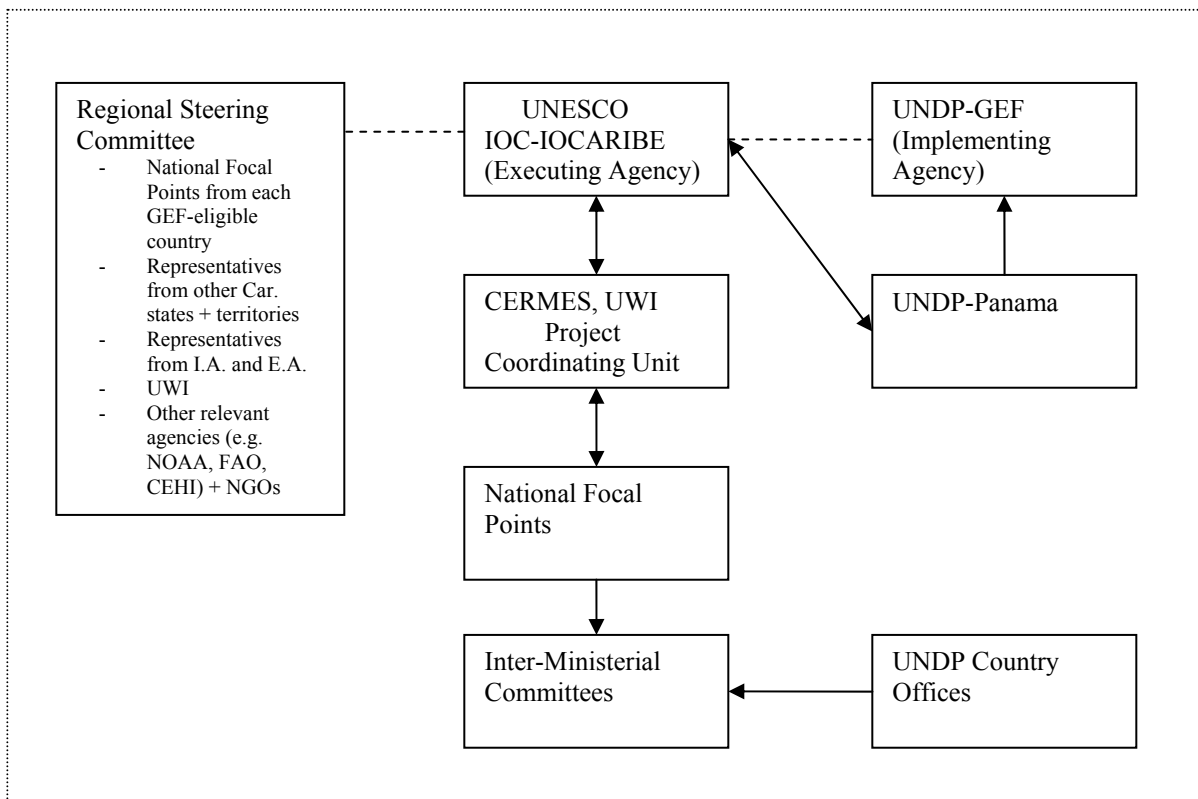
Project Outcomes /Atlas Activity	Resp. Party	Source of Funds	PLANNED BUDGET & WORKPLAN				
			ERP/Atlas Budget Code	ERP/Atlas Budget Description	2006	2007	Total
					US\$	US \$	Amount
1.0 Agreement among countries, IAs, EA, other donors and participating institutions, etc. on project coordination and implementation arrangements.	UNESCO	GEF-10003	71200	INT. CONL.	97,200		97,200
			71400	CONTRACT. SERV.	32,400		32,400
			72200	EQUIP	12,960		12,960
			72400	COM&AV	15,120		15,120
			72500	SUPPLIES	3,240		3,240
			74200	PRINT PROD COST	8,640		8,640
			71600	TRAV	68,580		68,580
			74500	MISC	5,400		5,400
			TOTAL OUTCOME 1	243,540		243,540	
2.0 Information Synthesized and Interpreted (Preliminary TDA) to provide recommendations (Preliminary SAP) on the work to be done in the FSP.	UNESCO	GEF 10003	71300	LOC. CONL.	101,520		101,520
			71200	INT. CONL.	127,980		127,980
			71600	TRAV	123,120		123,120
			74500	MISC	1,620		1,620
			72400	COM&AV	12,960		12,960
			72500.	SUPPLIES	756		756
			74200	PRINT PROD COST	3,024		3,024
			TOTAL OUTCOME 2	370,980		370,980	
3.0 Complete GEF Executive Summary and UNDP Project Document including objectives, components, outcomes, outputs, activities, budget, full incremental cost analysis, log frame, STAP review, monitoring and evaluation plan, public involvement plan, co-finan. docs, & endorsements from recipient govns. GEF OFPs.	UNESCO	GEF-10003	71200	INT. CONL.		6,480	6,480
			71600	TRAV		72,900	72,900
			74500	MISC		6,100	6,100
						TOTAL OUTCOME 3	
			TOTAL GEF	614,520	85,480	700,000	
			IOCARIBE			56,500	
			US NOAA			20,000	
			Participating GEF eligible countries			92,500	
			UWI, CERMES			38,000	
			Countries hosting meetings			6,000	
			Total Co-Financing			213,000	
			Grand Total			913,000	
* Agency Execution Fee is \$51,852							

SECTION IV: ADDITIONAL INFORMATION

PART I:

1. **Approved Concept/PDF B or PDF B proposal or PDF C proposal.**
2. **Other agreements**
 - Endorsement letters of 19 countries are attached in separate file.

PART II: Organigram of Project



PART III: Terms of References for key project staff and main sub-contracts

Project Manager

PDF-B Phase of the project: Sustainable Management of the Shared Marine Resources of the Caribbean Large Marine Ecosystem (CLME) and Adjacent Regions

Work location: Centre for Resource Management and Environmental Studies (CERMES)
University of the West Indies, Cave Hill Campus, Barbados

Period: 15 months fixed-term contract

The CLME Project: The living marine resources of the Caribbean LME are often shared between countries, and the management and the recovery of depleted fish stocks will require cooperation at various geopolitical scales. However, there are at present inadequate institutional, legal and policy frameworks or mechanisms for managing shared living marine resources across the region. There is a lack of capacity at the national level and information is lacking, particularly with relation to the transboundary distribution, dispersals and migrations of these organisms. This lack of knowledge represents a major barrier to sustainable management of these shared marine resources, even if an adequate mechanism for effective region-wide ecosystem-based management was in place. The establishment of an effective mechanism will be the major challenge for management of transboundary resources and achievement of the WSSD targets

The proposed GEF project on the Sustainable Management of the Shared Living Marine Resources of the Caribbean Large Marine Ecosystem (CLME) and Adjacent Regions will take the following approach:

1. Preparation of a preliminary Transboundary Diagnostic Analysis (TDA) and of a and later updating of a Strategic Action Programme (SAP) for Caribbean LME shared living marine resources;
2. Compilation and sharing of existing information and filling critical data gaps through targeted assessments, using new and improved information to prepare the TDA and SAP;
3. Implement and build capacity for legal, policy and institutional reforms for sustainable management of Caribbean LME shared marine resources;
4. Develop and institutionalize process, stress reduction and environmental status indicators to track effectiveness of actions taken through the SAP.

The PDF-B stage that the PM will manage will be fully consultative and participatory, leading to submission of the GEF Project Proposal for the CLME Project to the GEF Council. The major outputs of this phase are:

1. Project coordination and implementation arrangements as well as co-financing options.
2. Information synthesized and interpreted (preliminary TDA) to provide recommendations (preliminary SAP) on the work to be done in the full project.
3. Complete GEF Executive Summary and UNDP Project Document including objectives, components, outcomes, outputs, activities, budget, full incremental cost analysis, log frame, STAP review, monitoring and evaluation plan, public involvement plan, documentation of co-financing, and endorsements from recipient governments' GEF Operational Focal Points.
4. Capacity built among regional participants to participate in future project activities, through use of national consultants in the process, and optimum use of experts from the region as international consultants. Broad stakeholder involvement in the development and planned implementation of the project.

Responsibilities:

General: Under the general direction of the Executive Secretary, IOCARIBE, and the IOCARIBE Regional Project Coordinator, the Project Manager will lead the day-to-day implementation of the PDF-B project

workplan for the project ‘Sustainable Management of the Shared Marine Resources of the Caribbean Large Marine Ecosystem (CLME) and Adjacent Regions’ (CLME Project). *Inter alia*, the RPC is responsible for the implementation of the workplan in respect of the allocated budget and timetable by the following:

- Day-to-day technical inputs into various project planning and implementation processes;
- Coordinating and facilitating the work of the Project Steering Committee and any Subcommittees;
- Coordinating and facilitating the work of technical teams that will be established to address aspects of the project;
- Coordinating and facilitating the work of consultants;
- Organising the technical aspects of workshops and meetings as required;
- Organising the reporting activities to the Executing and Implementing Agencies (IOCARIBE and UNDP), the GEF and to the Project Steering Committee, and ensuring adherence to the Implementing and Executing Agencies’ administrative, and technical reporting requirements;
- Liaising, consulting with and networking with national and regional stakeholders;
- Promoting actively the CLME project in all relevant media and fora.

Administrative: The PM will operate from a small Technical Secretariat that will be established at CERMES, UWI, and will be staffed by the PM, a Secretary and the Regional Project Coordinator (part-time). The financial administration and arrangements for the project will be based at the headquarters of IOCARIBE in Cartagena, Colombia. The PM will therefore work closely with the staff at IOCARIBE to ensure smooth and effective implementation of the project

Qualifications: Post Graduate Degree in natural resources management or related field

Work Experience: At least 5 years experience working on living marine resource management issues at national and international levels and demonstrated understanding of sustainable development, including institutional arrangements for governance. Track record in implementing change. A good knowledge of the Caribbean context is a strong asset. Experience in implementing UN or GEF funded projects is also an asset

Languages: English, Spanish and French are the working languages of the participating countries. For this post fluency in oral and written Spanish and English is a requirement. Knowledge of French language an advantage.

Geographical distribution: Preferences will be given to the nationals of the members states of IOCARIBE.

Other Skills: Proven leadership skills and ability to facilitate the work of multidisciplinary teams, in a large scale project is essential. Effective oral and written presentation skills. Experience in administration for budget and human resources management required. Good professional knowledge of main office computer applications desired.

Salary and allowances

Appointment will be on a consultancy basis, with a monthly salary of \$US 5,000. Although not subject to Barbados income tax, other tax exemption privileges do not apply.

Project Document

Sustainable Management of the Shared Marine Resources of the Caribbean Large Marine Ecosystem (CLME) and Adjacent Regions PIMS 2193



Outcome and Indicator of MYFF

Outcome: Energy and Environment for Sustainable Development

Expected Outputs(s):

- Agreement among countries, IAs, EA, other donors and participating institutions, etc. on project coordination and implementation arrangements.
- Information synthesized and interpreted (preliminary TDA) to provide recommendations (preliminary SAP) on the work to be done in the full project.
- Completed GEF Executive Summary and UNDP Project Document including objectives, components, outcomes, outputs, activities, budget, full incremental cost analysis, log frame, STAP review, monitoring and evaluation plan, public involvement plan, documentation of co-financing, and endorsements from recipient governments' GEF Operational Focal Points.
- Capacity built among regional participants to participate in future project activities, through use of national consultants in the process, and optimum use of experts from the region as international consultants. Broad stakeholder involvement in the development and planned implementation of the project.

Execution Agent: UNESCO -IOCARIBE

Other Partners: UNDP, University of West Indies - Barbados

Programme Period:	2004-2007
Programme Component:	Energy and Environment for Sustainable Development
Project ID:	PIMS 2193, Atlas Project 47861, Award 41833
Project Duration:	Feb 2006 to April 2007
Management Agreement:	Agency Execution

Budget:	
2006	US\$614,520
2007	US\$85,480
Total Budget:	US\$ 700,000
Allocated Resources:	
GEF	US\$700,000
Others	US\$213,000

Institutions	Name	Cargo	Signature	Date
UNESCO-IOCARIBE				
UNDP-Panama-Lead Country Office				
Government of Panama				

* Below is a signature list of all countries that participate in this project.

Sustainable Management of the Shared Marine Resources of the Caribbean Large Marine Ecosystem (CLME) and Adjacent Regions-PIMS 2193

	Countries	Government Representatives	Signature	Date
1	Antigua and Barbuda	Diann Black-Layne Chief Environment Officer/GEF OFP Ministry of Public Works, Transportation and Environment		
2	Bahamas	Donald Cooper Undersecretary Ministry of Health and Environment		
3	Barbados	Lionel Nurse Permanent Secretary/GEF OPF Ministry of Housing, Lands and The Environment		
4	Belize	Hugh O'Brien Chief Executive Officer/GEF OFP Ministry of National Development		
5	Brazil	Carlos Eduardo Lampert Costa Coordenador Peral de Projetos do Sector Publico Ministerio do Planeamiento, Orcamento e Gestao		
6	Colombia	*		
7	Costa Rica	Ricardo Ulate Punto Focal GEF Ministerio del Ambiente y Energía		
8	Cuba	Jorge Luis Fernández Chamero Director, Dirección de Colaboración Internacional/GEF OPF Ministerio de Ciencia, Tecnología y Medio Ambiente		
9	Dominica	Claudia Bellot Permanent Secretary Ministry of Agriculture & The Environment		
10	Dominican Republic	Max Puig Secretario de Estado Secretaria de Estado de Medio Ambiente y Recursos Naturales		
11	Grenada	*		
12	Guatemala	Juan Mario Dery Fuentes Ministro Ministerio de Ambiente y Recursos Naturales		
13	Guyana	Doorga Persaud Executive Director/GEF OFP Environmental Protection Agency		
14	Haiti	Yves-Andre Wainright GEF OFP Ministere de L'Environment		
15	Honduras	*		
16	Jamaica	L. Barnaby for Permanent Secretary Ministry of Land & Environment		
17	México	*		

18	Nicaragua	José Santos Mendoza GEF OFP Ministerio del Ambiente y los Recursos Naturales		
19	Panamá	Ligia Castro de Dones Administrador General Autoridad Nacional del Ambiente	* As lead Country, it signs in above signature page	
20	St. Kitts and Nevis	Hilary Hazel GEF OFP Ministry of Sustainable Development		
21	St. Lucia	Marcia Philbert-Jules Permanent Secretary Ministry of Physical Development, Environment & Housing		
22	St. Vincent & the Gre.	Edmund Jackson Environmental Services Coordinator GEF OFP Ministry of Health & Environment		
23	Suriname	*		
24	Trinidad and Tobago	Dave Melntosh Managing Director/CEO-GEF OFP Environmental Management Authority		
25	Venezuela	*		

*pending endorsement letters