



Caribbean Large Marine Ecosystem (CLME) Project

CLME Full Project component 3: Implementing the governance framework



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1 Introduction

This project component is aimed at promoting and enabling the implementation of the governance framework primarily at subregional and regional/LME levels. This will require a considerable degree of interaction with organizations operating at these levels and integration of their activities. These organizations may be technical and/or political entities. Their primary focus may be aspects of marine resource use or they may have a wider mandate for sustainable development. Understanding the current roles in transboundary living marine resource governance of these organizations, exploring their potential roles and engaging them in adopting and adapting to these roles will be a major part of the work addressed by this component. This clarification of roles and relationships is essential if duplication of effort and/or major governance gaps within the proposed framework are to be avoided, and also if optimal use is to be made of existing organizations and processes.

This project component comprises five proposed subcomponents:

- Promoting ocean governance
- Advancing the Caribbean Sea Initiative
- Sustainable regional management of large pelagics
- Incorporating fisheries NGOs into regional governance
- LME level monitoring and reporting

2 Subcomponent - Promoting ocean governance

- Possible lead – Cropper Foundation
- Partners – OECS, CRFM, CERMES, OSPESCA

2.1 Objectives:

- Get the CARSEA and CLME concepts and framework onto the agendas of regional and subregional organizations.
- Make policy inputs for organisations to adapt to and facilitate framework
- Increase public awareness of the importance of ocean governance

2.2 Description

Lack of political will is often cited as a main factor influencing the failure to implement effective ocean governance (Kooiman *et al.* 2005). Considering the frequency of such allegations there has been surprisingly little analysis in natural resource governance of what it is and how to influence it. There is the need to pursue an understanding of what engenders political will at all levels in the LME governance framework, from local to international, and to pursue activities that will increase the political will to make decisions that lead to reversal of present trends in degradation and overexploitation.

Enlightening decision makers and intensive lobbying are typically perceived as the main means of influencing political will. Another perspective might place emphasis on activities aimed at enlightening and empowering the electorate, whom politicians will seek to please, whether they are themselves enlightened or not. This channel for influencing political will is bottom-up through the electoral process. It has been argued that another channel for influencing political will that has perhaps not been explored as fully as it should be is the role of government

departments. Appropriately structured departments adopting a serious, documented, custodial approach to participatory ocean governance based on clear principles can serve to reduce much of the political expediency or, conversely, inaction that presently characterises government. This approach can also be shared to some extent by non-governmental actors who participate in governance processes. Clearly, a multiplicity of approaches is required within the CLME Project. National level activities towards building political will must be appropriate to the political and cultural circumstances in each country. Whereas the CLME Project can play a supporting role in these activities by making information available, it will be the responsibility of the stakeholders in the National Intersectoral Committees to pursue this facet of governance at national levels. This subcomponent will seek to promote political awareness and will at regional and subregional levels through inputs to policy cycles at these levels. This will be approached through two main activities:

- Promoting CARSEA/CLME concepts and framework with regional/subregional organizations.
- Increasing public awareness of the importance of ocean governance

2.2.1 Promoting concepts and framework with regional/subregional organizations

Regional and subregional organizations that have decision-making capacity for ocean governance matters will be identified and their roles analyzed. Proposals will be developed in collaboration with directorates of the organizations regarding ways that their roles could be adapted to best serve the development and implementation of the LME governance framework. These will be shared and discussed with members at meetings.

2.2.2 Increasing public awareness of the importance of ocean governance

This activity will focus of preparation and delivery of materials that can serve to increase public and key stakeholder awareness of the importance of ocean governance. In particular, information will be prepared that can be used to inform private and professional sector entities at appropriate gatherings with the aim of engaging their cooperation and even active promotion of ocean governance. Primary targets will be groups such as Chambers of Commerce, Rotary Clubs, professional societies (engineers, lawyers, doctors) at their gatherings.

Partner	Role	In-kind	Cash
Cropper Foundation	Overall coordination of subcomponent		
OECS	Coordination among OECS countries and technical input via ESDU		
SICA	Coordination among SICA countries and technical input via OSPESCA		
CARICOM	Coordination among CARICOM countries and		

	technical input via CRFM		
CERMES UWI	Technical inputs		
Countries	Technical inputs		
Target groups	opportunities for sharing at gatherings		\$\$

3 Subcomponent - Advancing the Caribbean Sea Initiative

3.1 Objective

- Support to the ACS Caribbean Sea Commission and other regional institutional arrangements in establishing full policy cycles for living marine resources

3.2 Description

As described in the report on non-extractable resources there is the need for policy cycles at all relevant levels. At present in the Wider Caribbean there is no active region-wide policy cycle that can be used to address governance of transboundary living marine resources. The Association of Caribbean States (ACS) with support from a variety of sources (United Nations Economic Commission for Latin America and the Caribbean, UNECLAC, The Cropper Foundation, the CARSEA Project) has been pursuing the declaration of the Caribbean Sea as a special area under UNCLOS. Most recently in December, 2006 the UN General assembly adopted UN resolution A/C.2/61/L.67 ‘Towards the sustainable development of the Caribbean Sea for present and future generations’. This resolution “recognizes that the unique biodiversity and highly fragile ecosystem of the Caribbean Sea require that Caribbean States and relevant regional and international development partners work together to develop and implement regional initiatives to promote the sustainable conservation and management of coastal and marine resources including, *inter alia*, the further development of their concept of the designation of the Caribbean Sea as a special area in the context of sustainable development”.

To further this initiative, the ACS has established the Caribbean Sea Commission to oversee the provisions of this declaration. The establishment of this Commission provides an opportunity to form a full policy cycle that includes all but one coastal state in the region. A proposed policy cycle based on the ACS Caribbean Sea Commission, the ACS Council and partners is depicted in Figure 1. There are other regional arrangements that could contribute to regional governance of transboundary living marine resources (e.g. CARICOM, OECS, SICA). The purpose of this subcomponent is to provide support to the ACS and its Caribbean Sea Commission as well as other potential policy cycle arrangements in establishing and operating a complete policy cycles at the LME level. This will be achieved through the following activities:

- Support with specification and adoption of processes by which the ACS and other arrangements will address transboundary living marine resource issues in the Wider Caribbean.
- Support for the implementation of these processes with regard to selected key issues to be determined during the TDA/SAP process.

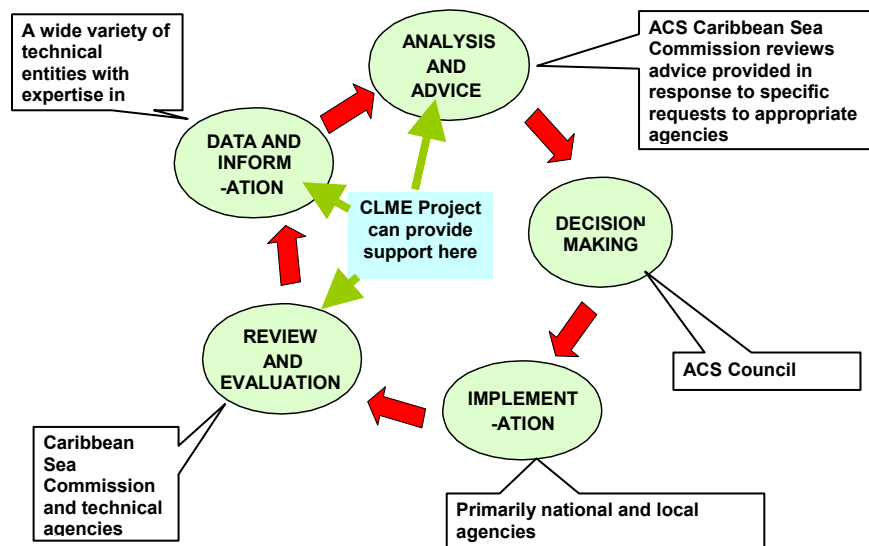


Figure 1. Possible ACS policy cycle for living marine resources

Partner	Role	In-kind	Cash
CERMES UWI, Cropper Foundation	Overall coordination of subcomponent		
ACS	Support process		
WECAFC, IOCARIBE, UNEP, ECLAC	Technical inputs in specialty areas		
OECS, CRFM, OSPESCA	Coordination among Member countries and technical input		
Countries	Participation in process and implementation of decisions		

4 Subcomponent - Sustainable regional management of large pelagics

4.1 Objectives

- Obtain an equitable share of the benefits to be obtained from well-managed large pelagic fisheries

4.2 Description

Large pelagic fishes are important for many Caribbean countries for small-scale, commercial and recreational fisheries. They are seen as an area in which fisheries growth can occur. As most are transboundary, their management requires collaboration among countries. This should be in the context of international fisheries agreements. A recent FAO Technical Cooperation Programme project assisted CARICOM countries with formulating an approach to the development and management of large pelagic fisheries (Mahon and McConney 2004). The way ahead was seen as having two thrusts for the two groups of large pelagics. These are (1) the oceanic species with ocean-wide distribution and that support the major large scale commercial tuna fisheries of the Atlantic (e.g. yellowfin tuna, bigeye tuna, skipjack tuna) and (2) the coastal species that are contained primarily within the Caribbean LME (e.g. dolphinfish, Atlantic bonito, blackfin tuna, skipjack tuna, kingfish). For the oceanic species there is the need to engage in discussions with ICCAT regarding the possible modes of involvement in ICCAT that were identified by the project. The regional arrangement that was identified as needed for coastal large pelagic species could be a subsidiary of ICCAT or a separate entity with close collaboration if ICCAT is willing to delegate responsibility for the coastal species for which it presently has a mandate.

The Caribbean Regional Fisheries Mechanism (CRFM), recently established by CARICOM (Haughton et al 2005) has indicated its interest in playing a key role in both thrusts. For oceanic species this may involve coordinating and providing technical support for participation of CARICOM member countries in ICCAT. It could also involve possible approaches to collective representation. For coastal species, the CRFM's role could involve taking the lead in establishing the regional arrangement and in pursuing the linkages among CARICOM member countries, other regional fishing countries and distant water fishing countries that will be essential for such an arrangement to be successful. It also involves drawing the private sector engaged in the harvest, processing and trade of large pelagics into the governance arena.

Building on the above, the two main activities for this subcomponent would be:

- Getting Caribbean countries involved in ICCAT,
- Establishing a policy cycle for management of regional large pelagics.

4.2.1 Getting Caribbean countries involved in ICCAT

The issues connected with the involvement of Caribbean countries, particularly SIDS in ICCAT have been discussed by Singh-Renton *et al* (2003) and Mahon and McConney (2004). Primary benefits are influence on the process of allocation of resources among fishing countries. Involvement requires membership, provision of timely and accurate information on fisheries, technical capability to understand and/or contribute to assessments, funds to attend technical and decision-making meetings. These requirements have limited participation of small countries.

This activity will explore means of enabling involvement of Caribbean countries in ICCAT by exploring options of collective technical and political representation. Meeting these responsibilities will also involve the need for improved collection and management of information on large pelagics.

4.2.2 Establishing a policy cycle for management of regional large pelagics

This activity will involve pursuit of options for a competent regional entity for management. This will require discussions with ICCAT and with regional organizations involved in fisheries (CRFM, OECS, OSPESCA, OLDEPESCA, WECAFC), to determine their perspectives on the best approach. It is essentially the process of widening the activities of the FAO project described above to include all Caribbean countries and of deepening them to the point that a functional cycle is in place.

As there are presently no regional assessments of any of the fisheries for coastal large pelagics there is the need to pursue the acquisition of the information required for decision-making. The information needs should be pursued within the context of the proposed policy cycle to ensure that it is relevant to the management approaches that are likely to be used. As a starting point, this subcomponent should include fishery assessments for the major species using best available information from throughout the region as a basis for developing management approaches and to determine further information requirements. One information need that can be determined *a priori* is for accurate monitoring of catch and effort for these fisheries in order that trends can be identified and addressed. Acquisition of better information on the postharvest links of the fish chain will also receive attention since harvest is driven by markets and most revenue is obtained through adding value.

Partner	Role	In-kind	Cash
Caribbean Regional Fisheries Mechanism/ CERMES	Overall coordination of subcomponent		
OECS	Coordination among OECS countries and technical input		
ICCAT	Engagement in developing approaches that are compatible with ICCAT's goals		
RFOs (CRFM, OECS, OSPESCA, OLDEPESCA, WECAFC)	Participation in the process		
Research organizations, e.g. universities	Technical inputs		
Countries	Participation in process and implementation of decisions		
UN Fish Stocks Agreement Trust Fund			\$\$

5 Subcomponent - Incorporating fisheries NGOs into regional governance

5.1 Objectives

- To ensure that fishers have representative inputs to policy cycles at all levels that affect their livelihoods – especially at policy and decision making stages
- Encourage lateral linkages among fisher groups

5.2 Description

Fisheries in small developing Caribbean states are changing in ways that pose a serious threat to the continued existence of small-scale fisheries and their contribution to community, culture and food security. Many of these changes are due to new international trade and legal regimes such as globalization of trade and international agreements pertaining to the Law of the Sea and fisheries. There is also marginalization of fishers and fishing communities due to competing demands for coastal and marine space and resources, particularly by tourism. At the same time, most resources are either fully or over-exploited and there is growing pressure from international conservation interests to control fishing and establish Marine Protected Areas.

National fisheries administrations are hard pressed to address these problems without the full cooperation of the resource users. Consequently, there has been a growing emphasis on the establishment and strengthening of fisher organizations so that they can play their role in co-managing and developing the fishing industry (Chakalall et al 1998). These organizations include cooperatives, associations and other arrangements as appropriate to the particular situation. For fisheries to contribute optimally to sustainable community and national development while adequately addressing the plethora of interests of other stakeholders fisher bodies must be strengthened to take part in the policy cycles processes at all levels.

Where these organizations have been established and are functional, several benefits have been realized. They have managed landing facilities (e.g. The Greater Georgetown Fisheries Cooperative, Guyana), operated equipment shops (e.g. Old Harbour Fisheries Cooperative, Jamaica), provided land-sea communications for members (e.g. Oistins Fisherfolk Association, Barbados), taken part in development planning (e.g. Gillings Gully Fisheries Cooperative, Jamaica), and been involved in management decision-making (e.g. Northern fisheries Cooperative, Belize, and Barbados National Union of Fisherfolk Organisations). However, there is a considerable way to go before an adequate number of fisher organisations are fully established throughout the Caribbean region and empowered to play their part in civil society at the local, national and regional levels.

Most of the effort thus far has gone into establishing and building the capacity of local level organisations. Some national level organisations are beginning to emerge and become active. However, there has been little or no attention paid to the need for, and possible benefits from, a regional level network or organization. This need has been proposed on a number of occasions during discussions with local and national fisher organisations and at the few meetings where fishers from different countries have come together (e.g. CRFM 2001). These proposals have been based on the belief that for fisher organisations in the small developing states of the

Caribbean benefit fully from being organised they must develop linkages among these small countries that will enable them to:

- Share knowledge, experience and information;
- Take advantage of economies of scale in accessing resources for promotion and institutional capacity building of local organizations, including training in financial management, leadership, conflict resolution and negotiation;
- Be represented at regional and international fora where decisions are made with regard to such matters as the management of shared resources;
- Facilitate inter-country liaison among fishers with regard to matters such as search and rescue, disaster relief and vessel insurance;
- Support local fisher organizations in dealing with issues of marginalization by providing a region-wide civil society base for action.

If Caribbean fisher organisations continue to operate in isolation, while all other sectors of society move toward regional and global collaboration and increased civil society involvement, they will be further marginalized. It is important for fisher to take part in and grow with these trends.

The ultimate goal will be a strong network of local Caribbean and national fisher organizations actively participating through a regional body in local, regional and international planning and decision-making regarding matters that affect them. The establishment of this body will provide the focus for building the skills, knowledge and other capacity needed to play their proper role in the various ways described above.

The CRFM has taken the initiative with regard to pursuing this goal in CARICOM countries through its CTA funded project 'Development of Caribbean Network of Fisher Folk Organizations'. This CLME subcomponent will build on that initiative and endeavor to extend its approach to other countries of the region, as well as to integrate fisher representation into regional and subregional policy cycles. It will also pursue the development of regional and subregional linkages among fisher organizations.

This will be achieved through the following activities:

- Stakeholder assessment that examines national policies towards fisher involvement, the level of development of fisher organizations,
- Planning for and facilitation of regional level involvement of fishers in policy cycles,
- Capacity building of fishers to take part in governance through networking and dissemination of information.

5.2.1 Stakeholder assessment

The stakeholder assessment to examine national policies towards fisher involvement and the level of development of fisher organizations will determine the extent to which countries have included fisher participation in governance in their national levels policy cycles. It will also assess the extent to which fisher organizations are well established and linked in the countries, for example the strength of local organizations and whether there are sub-national or national umbrella fisher organizations that can provide collective representation at higher levels.

5.2.2 Planning for and facilitation of regional level involvement of fishers

The first step toward establishing a regional fisher body is to bring together leaders of fisher groups from Caribbean countries for a scoping and planning workshop. The outputs of this workshop would include:

- The vision, mission and purpose for the body,
- An assessment of what participants believe it can do to serve their needs,
- An action plan for its establishment and operation,
- A proposal for funding for the first three to five years of operation.

The first three outputs would be documented and shared with all fisher organisations in CARICOM countries. Their endorsement of the fourth output would be sought.

The workshop would be held in a country where there are active fisher organisations and co-management. It would be structured to include field visits to familiarize participants with these activities and an informal setting for exchange of ideas and learning. Thus, the field trip would be an integral part of the process of generating ideas. In this regard, Jamaica meets the above criteria plus provides a convenient location that can be reached efficiently from all around the region.

5.2.3 Capacity building of fisher organizations

The first two activities above will identify the scale levels and the topic areas in which there is the need for capacity building. This activity will seek to strengthen fisher organizations in the areas identified.

Partner	Role	In-kind	Cash
Caribbean Regional Fisheries Mechanism/CERMES/ ??	Shared coordination of subcomponent	CTA Project	
CANARI	Stakeholder assessment/capacity building		
Countries	Participation in process and implementation of decisions		
Fisher organizations,	Participation in process		

6 Subcomponent - LME level monitoring and reporting

6.1 Objectives:

- To develop a system to compile, analyse, synthesise and deliver information necessary to maintaining policy cycles at LME scale levels
- To ensure that LME scale level information is widely shared among stakeholders at all levels

6.2 Description

A system for monitoring and reporting at the LME level for the Caribbean and adjacent regions has been identified as one of the major outputs of the CLME Project. This system is separate and distinct from the one that will be used to monitor project implementation. It is intended that it be ongoing after the end of the CLME Project. Therefore, during the project, close attention must be paid to the sustainability and efficiency of whatever system is developed.

LME level monitoring and reporting must be developed within the context of appropriate level policy cycles; otherwise the outputs will have no client for uptake. The GEF approach recommends that the system be based on three types of indicators (Duda 2002):

- Process indicators, which show whether policy cycles are operational at all relevant levels, and if the necessary linkages among them are functional;
- Stress reduction indicators, which show whether implementation of decisions is resulting in changes of variables that are impacting ecosystems,
- Environmental state indicators which show whether ecosystems are responding to changes in stress.

The nature of the information to be input to policy cycles will vary depending on level. Each cycle will require its own monitoring and reporting arrangements to address its mandate. For higher level cycles, more general, summarized and policy oriented reporting will be required than for lower level and/or specialized cycles. These systems of indicators must be developed from the bottom up, as the accuracy and reliability of the aggregated information being provided to higher levels will only be as good as the information that is being provided from lower level cycles. For there to be effective monitoring and evaluation at each, there must be clear designation of responsibility for the various stages of the relevant policy cycle. If lower level cycles are to provide policy relevant information to cycles above, vertical linkages must be fully functional.

In most cases there are established systems for monitoring at national levels; although these may have gaps and will undoubtedly need enhancement and support. It is the LME level monitoring and reporting that will need special attention if effective ecosystem-based management at this level is to be achieved. The first step will be to identify the appropriate policy cycles for this effort. Starting with the decision making entity, it has been suggested that the Association of Caribbean States and its newly formed Caribbean Sea Commission could with appropriate support provide the basis for an LME level cycle as depicted in Figure 1.

Through this high level governing body, an agreement to have timely and responsive information could provide the demand-driven imperative for the establishment of a region-wide LME-level monitoring and reporting program. Additionally, the development of a strategy to ensure the collection and interpretation of the needed information could be given priority. This strategy should recognize the importance of partnering with existing monitoring, indicator and reporting programs (e.g. UNECLAC, IOC-UNESCO, TNC, CATHALAC) to build on and enhance current capacities in the region. It should also recognize the need to constantly reassess the target audience's information needs, preferred formats for receiving information, and uses of the products so that the program will prove relevant to decision-makers in the Wider Caribbean.

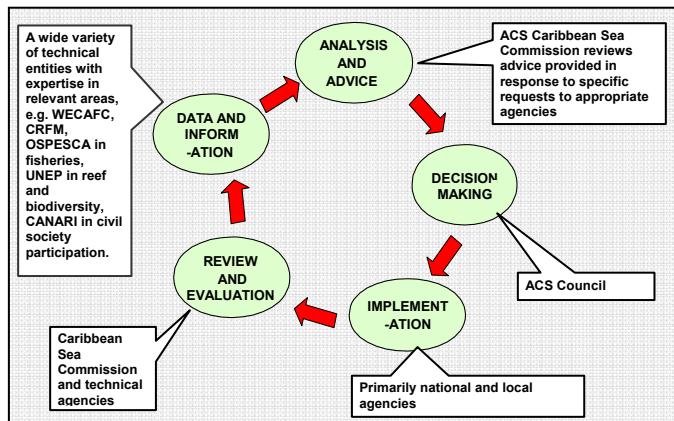


Figure 1. A possible LME level review and evaluation system involving the ACS

Recognizing that a complete and sustainable program to track ecological integrity and sustainability of marine resources in the Wider Caribbean will require years to build, it is recommended that a plan for gradual development should be examined that focuses initially on indicator reporting for critical issues deemed most important for the sustainable management of transboundary LMRs. In the case of the Wider Caribbean, these issues are most likely to include coastal development, contaminants and pathogens, fisheries, eutrophication, marine habitat, and climate change.

Developing a regional monitoring and reporting program entails 1) harmonizing and building on existing efforts, 2) creating regional indicators, 3) developing an appropriate data and information management infrastructure, 4) producing reports on the status of the Wider Caribbean on a timely basis, 5) building and sustaining partnerships, 6) conducting effective communication and outreach and 7) securing multi-partner sustained funding. A regional monitoring and reporting program requires sustained long-term commitments of partners and resources which can only be achieved if there is a demand for the information products in the policy cycles of decision makers at multiple levels.

Integrated and ecosystem-based management rely heavily on information products (e.g., ecosystem overview and assessment reports) derived from the synthesis of a wide variety of data being collected and managed by others. Critical decisions to be considered during the development of this system are where responsibilities for information compilation and management should reside. Large regional databases are quickly becoming obsolete as they are costly to upkeep. They are being replaced by data networks in which the owner retains custody and provides metadata information. Data are then shared as needed. Metadata (information about data) are beyond a doubt the most critically important factor in ensuring that data are used effectively beyond satisfying the initial investigations (DFO 2006).

Activities that will be needed to ensure that there is adequate monitoring and reporting at the LME level include:

- Identification of categories and suites of indicators needed for adequate monitoring and reporting,
- Identification of sources of information for indicators,
- Specification and establishment of process to prepare and report on indicators,
- Application of process.

6.2.1 Identification of Categories and Suites of Indicators

Initial planning is necessary to establish a framework for a regional indicators program. This planning process will clarify the purpose and need for indicators, identify key issues to be addressed initially by the program, develop a baseline assessment of each issue, and specify

management questions to be answered by each indicator. Key partners will be engaged to assist in the planning process and to identify key priority categories for monitoring and reporting.

The selection of suites of indicators requires establishing an indicator selection process, and compiling a list of potential indicators. Work groups for each priority category are proposed to assist with these tasks.

Indicator selection process. An indicator selection process will be strongly guided by three considerations, which should serve as the primary criteria for prioritizing indicators for development: 1) relevance of the indicator to management questions of interest and responsibilities in the region; 2) relevance of the indicator to the target audience, the public, and government; and 3) the presence of a scientific rationale behind an indicator and its interpretation. In addition, the timeliness, quality, and comparability of data across jurisdictions will influence indicators that are selected for development. Furthermore, the choice of indicators at the region-wide scale will be shaped to some extent by the indicators that are tracked and reported by local programs and by national programs.

Potential indicators. A list of potential indicators to be tracked by a regional program needs to be determined based on the management questions to be addressed for each of the priority categories, availability of information on each of the selected indicators and feasibility in tracking and on reporting of the indicator. Examples of key questions to be answered by the monitoring and reporting indicator system include;

- 1) What is happening to the ecosystem?
- 2) Why is it happening?
- 3) Why is it significant?
- 4) What is being done about it?
- 5) What outcomes are expected for different management options?
- 6) Are the management options that are chosen successful?

6.2.2 Identification of Sources of Indicator Information

Monitoring programs are prevalent and active in the Caribbean region, and the types of information that are collected by many of these programs has been compiled in a number of national, sub-regional, regional and international data information systems by a variety of governmental and non-governmental actors. Additionally, the potential must be acknowledged that a significant amount of data collected for the region is not available in a readily accessible format. It is proposed that work groups will conduct a needs assessment of data to populate each of the selected suites of indicators. This needs assessment will identify gaps in data availability and consistency that remain to be filled, either through new monitoring programs, enhanced spatial or temporal coverage of existing programs, or efforts to achieve consistent information from current programs that may use different techniques to gather data.

6.2.3 Specification and Establishment of Process

Ecosystem information, including its biophysical and socioeconomic components, is only useful if it is understandable, relevant, reliable, and accessible to users. Thus, an effective reporting effort is critical for conveying information that is derived from ecosystem indicators in a manner that is suitable for target audiences. A process for reporting that addresses the needs of clients of

the data and information must be specified. At the regional level, this is suggested to be on a biennial basis with other data products being made available on a more frequent basis.

6.2.4 Process Application

It is planned that 2 rounds of the policy cycle process will be used in the application of the proposed monitoring and evaluation framework.

Partner	Role	In-kind	Cash
ACS,	Regional policy cycle bases for LME level monitoring and reporting		
UN ECLAC/CERMES	Shared coordination of subcomponent		
Other partners (e.g. TNC, CATHALAC, UNEP, CCCCC, FAO, IOC, CoML, etc)	Provision of data and information and expertise for analysis		
Countries	Provision of data and information and expertise for analysis		
Local organizations	Provision of data and information and analysis		

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