

GEF-7 CHILD PROJECT CONCEPT

CHILD PROJECT TYPE: FULL-SIZED CHILD PROJECT

PROGRAM: OTHER PROGRAM

Child Project Title:	<i>Building and Enhancing Sectoral and Cross-Sectoral Capacity to Support Sustainable Resource Use and Biodiversity Conservation in Marine Areas Beyond National Jurisdiction (The Cross-Sectoral Project, Common Oceans Program, Phase II)</i>
Country:	Global
Lead Agency	FAO
GEF Agency(ies):	UNEP

INDICATIVE FOCAL/NON-FOCAL AREA ELEMENTS AND FINANCING

Programming Directions	Trust Fund	(in \$)	
		GEF Project Financing	Co-financing
IW 2	GEF	2,500,000	21,550,000
Total Project Cost		2,500,000	21,550,000

PROJECT COMPONENTS AND FINANCING

Project Objective: Develop and strengthen capacity for sectoral and cross-sectoral cooperation and coordination among national, regional and global institutions in the conservation and sustainable use of marine biodiversity in ABNJ.						
Project Components	Component Type	Project Outcomes	Project Outputs	Trust Fund	(in \$)	
					GEF Project Financing	Co-Financing
Component 1. Building and strengthening capacity for sectoral and cross-sectoral cooperation and coordination in ABNJ	Technical Assistance	<p>Outcome 1.1 Enhanced functional capacity of national, regional and global organizations in sectoral and cross-sectoral cooperation and coordination initiatives in ABNJ management.</p> <p>Indicators and Targets (indicative): - % improvement in capacity representing enhanced application of area based management tools (ABMTs), environmental impact assessments (EIAs) and marine spatial planning.</p>	<p>Output 1.1.1 Assessment of individual and institutional capacity needs and priorities completed.</p> <p>Output 1.1.2 A capacity-building program developed to address identified needs and priorities (engaging at least 10 national, regional and global organizations and at least 100 individuals).</p> <p>Output 1.1.3</p>	GEF	1,600,000	14,481,602

			<p>Program implemented targeting at least 10 national, regional and global organizations and at least 100 individuals (officials/managers/staff) within those organizations.</p> <p>Output 1.1.4 Options identified for institutionalizing mechanisms for the sustained implementation of capacity building, including through the development of strategic partnerships and financing.</p>			
<p>Component 2. Improving sectoral and cross-sectoral knowledge management on and public awareness of ABNJ.</p>	<p>Technical Assistance</p>	<p>Outcome 2.1 Effective knowledge exchange and improved access to the best available information for well-informed decision-making in cross-sectoral cooperation and coordination among key ABNJ management organizations (national, regional and global).</p> <p>Indicators and Targets (indicative): - A cross-organizational knowledge exchange process tested in each pilot region.</p>	<p>Output 2.1.1 A map of data providers and stakeholders produced, and options and opportunities identified for an institutionalized system of knowledge management at regional and national levels.</p> <p>Output 2.1.2 An established and documented sustainable process for improved cross-</p>	<p>GEF</p>	<p>780,952</p>	<p>7,068,398</p>

		- # improvement in effectiveness score/indicator.	organizational knowledge exchange within regions.			
	Technical Assistance	<p>Outcome 2.2 Increased understanding by the International Waters community and high-level officials in the BBNJ process regarding sectoral and cross-sectoral cooperation and coordination in ABNJ priorities and corresponding actions/processes to address those needs.</p> <p>Indicators and Targets (indicative):</p> <ul style="list-style-type: none"> - Sectoral and cross-sectoral capacity building activities given consideration in the BBNJ process. - At least 2 IW:LEARN Experience Notes documenting knowledge and experiences gained through the project's sectoral and cross-sectoral capacity building activities produced 	<p>Output 2.2.1 Documented knowledge and experiences gained from the project's sectoral and cross-sectoral capacity building activities are shared through:</p> <ol style="list-style-type: none"> 1) the Common Oceans Portal, 2) GEF IW:LEARN Experience Notes and IW conferences and topical/regional events, and 3) events in the BBNJ process. 			
	Technical Assistance	<p>Outcome 2.3 Enhanced understanding of ABNJ benefits derived from ABNJ and engagement in associated sectoral and cross-sectoral issues and opportunities by the media and the public.</p> <p>Indicators and Targets (indicative):</p> <ul style="list-style-type: none"> - # Communications products and events delivered to target stakeholders; 	<p>Output 2.3.1 Knowledge and communication products systematically developed and disseminated, including through:</p> <ul style="list-style-type: none"> - a short, online self-paced introductory course on ABNJ. - high-level outreach event(s) 			

		- Survey results showing improved awareness and understanding of benefits derived from ABNJ and engagement in associated sectoral and cross-sectoral issues.	- brochures, video, posters.			
Subtotal			GEFT F	2,380,952	21,550,000	
Project Management Cost (PMC)			GEFT F	119,048		
Total Project Cost				2,500,000	21,550,000	

For multi-trust fund projects, provide the total amount of PMC in Table B, and indicate the split of PMC among the different trust funds here: ()

INDICATIVE SOURCES OF CO-FINANCING FOR THE PROJECT BY NAME AND BY TYPE, IF AVAILABLE

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Investment Mobilized ¹	Amount (\$)
<i>Discussions are underway with the following possible capacity co-financing partners:</i>				
<i>Lead Project Organizations</i>	Global Ocean Forum	Grant	Investment Mobilized	1,500,000
	WCMC	In-kind	Recurrent Expenditures	1,000,000
	GRID-Arendal	In-kind	Recurrent Expenditures	2,500,000
	UNEP	Grant	Investment Mobilized	1,500,000
<i>Invited governments:</i>	France	Grant	Investment Mobilized	500,000
		Grant	Investment Mobilized	500,000
	New Zealand	In-kind	Recurrent Expenditures	500,000
		Grant	Investment Mobilized	500,000
	Portugal	In-kind	Recurrent Expenditures	500,000
		Grant	Investment Mobilized	500,000
	Netherlands	In-kind	Recurrent Expenditures	500,000

¹ Identification of investment mobilized: These include non-recurring expenditures associated with projects in the lead project organizations, government organizations, foundations, UN agencies, civil society, and private sector in the form of financial contributions (grants) and/or in-kind contributions (e.g., salaries and wages, office space, and utilities) that are directly related to the activities of the Cross-Sectoral Project.

		Grant	Investment Mobilized	500,000
	Singapore	In-kind	Recurrent Expenditures	500,000
		Grant	Investment Mobilized	500,000
	European Commission	In-kind	Recurrent Expenditures	500,000
		Grant	Investment Mobilized	500,000
	Norway	In-kind	Recurrent Expenditures	500,000
		Grant	Investment Mobilized	500,000
	Sweden	In-kind	Recurrent Expenditures	500,000
		Grant	Investment Mobilized	500,000
<i>Foundations</i>	OPRI, Sasakawa Peace Foundation, Japan	In-kind	Recurrent Expenditures	250,000
		Grant	Investment Mobilized	750,000
	Nippon Foundation, Japan	In-kind	Recurrent Expenditures	375,000
		Grant	Investment Mobilized	1,125,000
	Oceano Azul Foundation, Portugal	In-kind	Recurrent Expenditures	750,000
		Grant	Investment Mobilized	250,000
	Pew Charitable Trusts	In-kind	Recurrent Expenditures	750,000
		Grant	Investment Mobilized	250,000
<i>UN Agencies</i>	UNDOALOS	Grant	Investment Mobilized	75,000
	IOC/UNESCO	Grant	Investment Mobilized	75,000
	CBD Secretariat	Grant	Investment Mobilized	75,000
	IMO	Grant	Investment Mobilized	75,000
	UNDP	Grant	Investment Mobilized	75,000
	World Tourism Organization	Grant	Investment Mobilized	75,000

<i>Regional Organizations</i>	Pacific Islands Forum	In-kind	Recurrent Expenditures	75,000
		Grant	Investment Mobilized	25,000
	Abidjan Convention	In-kind	Recurrent Expenditures	75,000
		Grant	Investment Mobilized	25,000
	Nairobi Convention	In-kind	Recurrent Expenditures	75,000
		Grant	Investment Mobilized	25,000
	OSPAR	In-kind	Recurrent Expenditures	75,000
		Grant	Investment Mobilized	25,000
	IOTC	In-kind	Recurrent Expenditures	75,000
		Grant	Investment Mobilized	25,000
	SIOFA	In-kind	Recurrent Expenditures	75,000
		Grant	Investment Mobilized	25,000
	CARICOM	In-kind	Recurrent Expenditures	75,000
		Grant	Investment Mobilized	25,000
	CPPS	In-kind	Recurrent Expenditures	75,000
		Grant	Investment Mobilized	25,000
	NEAFC	In-kind	Recurrent Expenditures	75,000
		Grant	Investment Mobilized	25,000
	SPRFMO	In-kind	Recurrent Expenditures	75,000
		Grant	Investment Mobilized	25,000
	WCPFC	In-kind	Recurrent Expenditures	75,000
		Grant	Investment Mobilized	25,000
	Benguela Commission LME	In-kind	Recurrent Expenditures	75,000

		Grant	Investment Mobilized	25,000
	Sargasso Sea Commission	In-kind	Recurrent Expenditures	75,000
		Grant	Investment Mobilized	25,000
<i>Civil Society</i>	iAtlantic	In-kind	Recurrent Expenditures	75,000
		Grant	Investment Mobilized	25,000
	STRONG High Seas Project	In-kind	Recurrent Expenditures	112,500
		Grant	Investment Mobilized	37,500
	Nausicaa National Sea Center, France	In-kind	Recurrent Expenditures	112,500
		Grant	Investment Mobilized	37,500
	World Ocean Network	In-kind	Recurrent Expenditures	75,000
		Grant	Investment Mobilized	25,000
	IUCN	In-kind	Recurrent Expenditures	112,500
		Grant	Investment Mobilized	37,500
	World Maritime University	In-kind	Recurrent Expenditures	112,500
		Grant	Investment Mobilized	37,500
	WWF	In-kind	Recurrent Expenditures	112,500
		Grant	Investment Mobilized	37,500
	GOBI	Grant	Investment Mobilized	150,000
	Wollongong University, Australia	Grant	Investment Mobilized	75,000
	Western Indian Ocean Marine Science Association	Grant	Investment Mobilized	75,000
	University of South Pacific	In Kind	Recurrent Expenditures	75,000
	University of West Indies	In kind	Recurrent Expenditures	75,000
	University of Cape Town	In Kind	Recurrent Expenditures	75,000

	Xiamen University, China	In-kind	Recurrent Expenditures	75,000
<i>Private Sector</i>	International Cable Protection Committee	In-kind	Recurrent Expenditures	37,500
		Grant	Investment Mobilized	112,500
	International Chamber of Shipping	In-kind	Recurrent Expenditures	37,500
		Grant	Investment Mobilized	112,500
	International Coalition of Fisheries Associations	In-kind	Recurrent Expenditures	37,500
		Grant	Investment Mobilized	112,500
	Google	In-kind	Recurrent Expenditures	37,500
		Grant	Investment Mobilized	112,500
	Facebook	In-kind	Recurrent Expenditures	37,500
		Grant	Investment Mobilized	112,500
Total Co-financing				\$21,550,000

TRUST FUND RESOURCES REQUESTED BY AGENCY(IES), COUNTRY(IES), FOCAL AREA AND THE PROGRAMMING OF FUNDS

GEF Agency	Trust Fund	Country/Regional/Global	Focal Area	Programming of Funds	(in \$)		
					GEF Project Financing (a)	Agency Fee (b)	Total (c)=a+b
UNEP	GEF	Global	International Waters		2,500,000	225,000	2,725,000
Total GEF Resources					2,500,000	225,000	2,725,000

PROJECT PREPARATION GRANT (PPG)

Is Project Preparation Grant requested?

Yes If yes, PPG funds **have to be requested via the Portal** once the PFD is approved

No If no, skip this item.

PPG AMOUNT REQUESTED BY AGENCY(IES), TRUST FUND, COUNTRY(IES) AND THE PROGRAMMING OF FUNDS

		Country/	Focal Area	Programming	(in \$)
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GEF Agency	Trust Fund	Regional/Global		of Funds	PPG (a)	Agency Fee (b)	Total c = a + b
UNEP	GEF	Global	International Waters		100,000	9,000	109,000
Total PPG Amount					100,000	9,000	109,000

PROJECT'S TARGET CONTRIBUTIONS TO GEF 7 CORE INDICATORS

Provide the relevant sub-indicator values for this project using the methodologies indicated in the Core Indicator Worksheet provided in Annex B and aggregating them in the table below. Progress in programming against these targets is updated at the time of CEO endorsement, at midterm evaluation, and at terminal evaluation. Achieved targets will be aggregated and reported at anytime during the replenishment period. There is no need to complete this table for climate adaptation projects financed solely through LDCF and SCCF.

Project Core Indicators		Expected at PIF
1	Terrestrial protected areas created or under improved management for conservation and sustainable use (Hectares)	N.A.
2	Marine protected areas created or under improved management for conservation and sustainable use (Hectares)	N.A.
3	Area of land restored (Hectares)	N.A.
4	Area of landscapes under improved practices (excluding protected areas) (Hectares)	N.A.
5	Area of marine habitat under improved practices (excluding protected areas) (Hectares)	N.A.
6	Greenhouse Gas Emissions Mitigated (metric tons of CO ₂ e) Help to bring climate	N.A.
7	Number of shared water ecosystems (fresh or marine) under new or improved cooperative management	2
8	Globally over-exploited marine fisheries moved to more sustainable levels (metric tons)	N.A.
9	Reduction , disposal/destruction, phase out, elimination and avoidance of chemicals of global concern and their waste in the environment and in processes, materials and products (metric tons of toxic chemicals reduced)	N.A.
10	Reduction, avoidance of emissions of POPs to air from point and non-point sources (grams of toxic equivalent gTEQ)	N.A.
11	Number of direct beneficiaries disaggregated by gender as co-benefit of GEF investment	1,750 Women and 1,750 Men

PROJECT DESCRIPTION

1. Country Context (*maximum 500 words*)

Describe the country's relevant environmental challenges and strategic positioning relative to the systems transformation proposed for the program, including relevant existing policies, commitments, and investment frameworks. How are these aligned with the proposed approach to foster impactful outcomes with global environmental benefits?

Human activities and stakeholder interests in Areas Beyond National Jurisdiction (ABNJ) are wide-ranging and diverse: 90% of world trade and extensive submarine telecommunications cables pass through ABNJ; significant marine capture fisheries (i.e. 16% of the value of all marine capture fisheries comes from tuna fisheries), and a rich array of unique biodiversity and vulnerable ecosystems exist in ABNJ. With activities in ABNJ set to increase, communication

and coordination among ABNJ stakeholders is vital to ensure the long-term sustainability and sustainable development of these resources.

Activities in ABNJ are governed under the framework of the UN Convention on the Law of the Sea (UNCLOS), together with specialized international agreements related to particular activities. Some sectors are governed at the global scale by UN specialized agencies, including shipping, governed by the International Maritime Organization (IMO). Fisheries are governed by RFMOs at a regional scale and under global guidelines from FAO. The marine environment is managed through the aforementioned organizations, as well as: 18 RSPs that facilitate regional-scale ocean assessment and management of trans-boundary issues; 23 LME programs that convene countries bordering major ocean current systems to conduct transboundary analyses and the develop strategic action programs for long-term governance of transboundary resources; and other regional arrangement such as the Pacific Islands Forum and CARICOM. These regional arrangements are driven by the interests of Member States, which vary across regions depending on regional context and sustainable development priorities, for example area-based management, fisheries or transboundary action. Presently, there is no global organization responsible for addressing biodiversity and multiple resource use issues in ABNJ on a cross-sectoral basis.

2020 represents a “super year” for biodiversity and the environment, with many global processes ending, assessing progress or kicking-off, including: the 2030 Agenda and associated Sustainable Development Goals (SDGs); Post-2020 Global Biodiversity Framework; and upcoming UN Decade of Action and UN Decade of Ocean Science for Sustainable Development. These processes will reiterate the importance of integrated, cross-sectoral management to achieve a global sustainable resource use. This includes the conclusion of ongoing UN negotiations to agree a new international legally binding instrument on the conservation and sustainable use of marine biodiversity beyond national jurisdiction (BBNJ) (expected in 2021). This new agreement will provide a new legal framework for, *inter alia*, cross-sectoral ABNJ management.

This project aims to enhance the **sectoral and cross-sectoral capacity of national governments, and relevant regional and global entities** to effectively address issues of common concern in ABNJ, including through the use of cross-sectoral approaches, area-based management tools and in conducting environmental impact/strategic environmental assessments, in line with existing and emerging legal frameworks and global processes. Specifically, the project will build the capacity of regional organizations (e.g., *inter alia*, Regional Fishery Management Organizations (RFMOs), Regional Seas Programmes (RSPs), Large Marine Ecosystem (LME) programs), their Member States (officials, managers, ministerial representatives), and representatives from global ocean-related organizations, to facilitate cross-sectoral coordination to achieve sustainable ocean use.

To support regional and global entities (and their Member States) to progress towards the implementation of a new BBNJ agreement, and towards global targets, such as SDG14 (specifically targets 14.2, 14.5, 14.4 and 14.C), the project will develop and deliver capacity-building activities to build functional capacity (i.e. planning, implementing, monitoring, and evaluating) to undertake and sustain sectoral and cross-sectoral cooperation, coordination and information exchange. Throughout, the project will pursue practical and catalytic outcomes, and stimulate stronger, more coordinated linkages across relevant global processes through direct

engagement with global and regional ocean groups and dialogues, such as High Level Panel on Sustainable Ocean Economy and Friends of Ocean Action.

2. Project Overview and Approach (*maximum 1250 words*)

- a) Provide a brief description of the geographical target(s), including details of systemic challenges, and the specific environmental threats and associated drivers that must be addressed;

This project combines a global scope with activities centered on 2 specific regions (to be selected during the project preparation stage; see initial selection process of the project's focus regions in Annex 1), during which the project team will work with RFMOs, RSPs, LME programs, and other relevant regional and global organizations as well as their national focal points from member states.

A systemic challenge in managing transboundary impacts on biodiversity and sustainable use of ABNJ resources to be addressed by this project will be the separate ABNJ governance framework and the need for improved capacity for coordination, collaboration and cooperation among individuals and organizations with an interest or management remit in ABNJ. Growing interest in protecting ABNJ, growth in human activities in ABNJ, as well as the future governance mechanism being developed by the BBNJ process are drivers that will demand significantly enhanced capacity over time.

- b) Describe the existing or planned baseline investments, including current institutional framework

Some cooperation and coordination mechanisms already exist among RSPs, LME Programmes and Regional Fisheries Bodies (RFBs—including RFMOs), with variation across regions. For example, in the West, Central and Southern Africa Region, cooperation between RFBs and the Abidjan Convention has been initiated. In the Northeast Atlantic, a Collective Agreement between OSPAR and NEAFC was forged to facilitate and improve information exchange between the two organizations, and coordination of efforts to protect the wider marine ecosystem and to develop coordinated approaches to managing human activities, including in protected areas. The effectiveness of such mechanisms ultimately depends on the capacity of member states of regional bodies. At present, capacity to plan, implement, monitor and evaluate cross-sectoral cooperation and coordination activities is generally lacking among these regional organizations and their member states.

A Transboundary Waters Assessment Programme (TWAP) [report](#) on Assessment of Governance Arrangements for the Ocean, which examined over 100 international agreements comprising the global ocean governance structure for fisheries, pollution, biodiversity and climate change in ABNJ and considered the linkages of governance arrangements in ABNJ with those for areas within national jurisdiction confirmed that there is considerable room for improvement in integration at the global and regional levels of ocean governance, and that there are indications of where interventions may be needed towards a more approachable ocean governance structure.

Ongoing relevant capacity building initiatives include, among others: 1) the STRONG High Seas Project, which aims to support regional cooperation and coordination by providing regional level

decision-makers with improved knowledge and understanding about the gaps, challenges and opportunities in the legal and governance framework; 2) the work of the Global Ocean Forum to enhance understanding of capacity-building needs in ABNJ through the ‘Friends of BBNJ Capacity Development’ forum, and providing information to country delegations throughout the BBNJ process to formulate robust provisions for capacity-building in the new international agreement.

Action towards sustainable use of ABNJ is driven predominantly by nations. These same States seek to progress towards the globally agreed SDGs, of which many will benefit from the effective management of ABNJ. In particular, SDG 2 on ending hunger and achieving food security; SDG 8 on promoting sustainable economic growth and decent work for all; SDG14 on sustainable ocean use (specifically 14.2, 14.4, 14.5, 14.A and 14.C); and SDG 17 on partnerships. The effective management of ABNJ will therefore support countries to more effectively progress towards these goals and others, working to promote sustainable resource use and collaboration across countries, sectors and organizations to combat the adverse impacts of human activities and climate change (SDG 13).

Work is currently underway by the High-Level Panel for a Sustainable Ocean Economy (HPL) expert network and advisory group to improve understanding of the current and future uses of the ocean, including ABNJ, for food, energy and minerals, as well as research into the relationship between humans and the ocean. These reports are due to be completed in 2020, and the project will utilize these findings to influence the development and undertaking of project activities. In addition, and where possible, the project team will directly engage with the HPL as well as with other relevant global and regional bodies to promote collaboration and sharing of experience and expertise related to ABNJ management.

Previous work conducted under Phase I of the Common Oceans Program has built the base to accelerate the upscaling of capacity building among national, regional, and global actors:

--The Global Ocean Forum led the ABNJ Capacity Project Phase I, and together with FAO, undertook capacity development assessments and targeted training of national, regional, and global level leaders, as well as information exchange activities to enhance the capacity of stakeholders at global, regional, and national levels to address issues of common concern in ABNJ. Such activities included, inter alia, targeted workshops on assessing capacity needs and possible actions, including financing, bringing together leaders from different regions; organization of UN side events at the BBNJ global negotiations focusing especially on possible modalities for capacity development under the new agreement; the preparation of multi-author policy briefs on the possible configuration of capacity development efforts linking global, regional, and national processes and activities, and considering options for underlying financing and for a clearing-house information mechanism; media and public outreach, with the aquaria community, to inform the general public as to the public role in ABNJ stewardship. See Capacity Project (Common Oceans Program Phase 1) synopsis [here](#).

--The United Nations Environment Programme (UNEP), together with FAO, UNEP-WCMC and GRID-Arendal, in the Deep Seas Project, explored options for collaborative management in the ABNJ in a manner that accounts for and integrates social, ecological, and governance principles

to achieve sustainable use of natural resources and biodiversity conservation in ABNJ. Together with national and regional level stakeholders, the project focused on two pilot regions (Western Indian Ocean and Southeast Pacific Ocean), focusing on an area-based planning framework, also assessing existing capacity for area-based planning in each region, and developing a prototype knowledge platform and database on ABNJ governance to complement existing ocean data platforms and webGIS portals.

Both projects carried out multi-stakeholder workshops and ensured gender integration in project initiatives. The Capacity Project (Common Oceans Phase I), for example, achieved close to 50% participation by women in its activities (see Capacity Project synopsis [here](#) and information on the Deep Seas Project [here](#)).

The planned investments of the project will have two components:

1. Building and Strengthening Capacity for Sectoral and Cross-sectoral Cooperation and Coordination

2. Improving Sectoral and Cross-sectoral Knowledge Management on and Public Awareness of ABNJ

Stakeholder consultation and engagement as well as gender integration in all project activities and interventions will be carried out starting from the project preparation phase. This ensures that stakeholder and balanced gender interests and perspectives are well represented and incorporated in the project activities, outputs, and outcomes.

- c) Describe how the integrated approach proposed for the child project responds to and reflects the Program's Theory of Change, and as such is an appropriate and suitable option for tackling the systemic challenges, and to achieve the desired transformation with multiple global environmental benefits; and

The project's theory of change (Annex 2) shows a multi-track approach through which to improve capacity for constructive networking of national, regional and global entities with interests or management responsibilities in ABNJ. It is broken down into five outcomes and eight outputs across the above two components:

Component 1 has a major outcome (Outcome 1.1), which envisions that national, regional and global entities will have enhanced functional capacity to address issues of common concern in the ABNJ and to network within and across sectoral entities. This will be achieved by assessing existing capacity and identification of gaps, developing and implementing capacity building programs in response to identified needs (training aimed at individuals and institutions); and identifying mechanisms to institutionalize and sustain implementation of capacity building (Outputs 1.1, 1.2, 1.3, 1.4). Component 1 will contribute to the Common Oceans Programme Phase II Component 3.

Component 2 has four outcomes:

Outcomes 2.1 and 2.2 envision more effective knowledge exchange happening across national, regional and global entities, achieved by mapping data providers and stakeholders with

information needs (Output 2.1.1) and establishing a sustainable process for improved cross-organizational knowledge exchange (Output 2.1.2).

Outcome 2.3 envisions an increased understanding by high-level officials in the BBNJ process of the project's capacity building work, via the Common Oceans Portal, IW:LEARN, the GEF Biennial International Waters Conferences, and special events in the BBNJ process (Output 2.3.1).

Outcome 2.4 envisions an enhanced public understanding of ABNJ and engagement in associated issues and opportunities. Public awareness is needed to support policy-making as well as concrete actions in improved ABNJ management.

The Component 2 Outcomes link to the Common Oceans Programme Phase II Component 4.

All proposed Project Outcomes are expected to have a flow-on effect of effective and sustainable transparent cross-sectoral governance of natural resources in ABNJ (Programme Medium-term Outcome) and eventually to sustainable use of ABNJ resources and strengthened biodiversity conservation in face of a changing environment (Programme Goal) as depicted in the Programme Theory of Change.

d) Describe the project's incremental reasoning for GEF financing under the program, including the results framework and components.

This project will provide a step-change in the status quo, by developing a necessary foundation for effective and cooperative networks of ABNJ actors to be built. Such networks can take many forms, but they share one characteristic, which is that they have to be developed by the existing relevant national, regional and global entities themselves—and it is their capacity to do this that this project aims to build. This creates a foundation for better and more collaborative and coordinated management actions to be taken in the future, addressing both growing demands on ABNJ resources and growing pressures to protect ABNJ biodiversity, and facilitating, as well, the effective implementation of the future legally binding international agreement on BBNJ.

Building of capacity must be tailored to the unique characteristics of each region, and utilize home-grown approaches. Pathways to capacity development, include, inter alia, fostering national and regional centers of excellence and cross-national networks of universities on ocean governance related to EEZs and to ABNJ; institutionalization of curricula and courses related to ABNJ; networked institutional utilization of manuals, guidelines, criteria, standards, and reference materials related to ABNJ, etc. This project will assess and identify the most suitable mechanisms as well as their financing requirements and potential financing sources including existing innovative ocean financing schemes, e.g., those that function within the LMEs, which may offer certain lessons learned of potential applicability in ABNJ (see, for example, [Meloy Fund for Sustainable Community Fisheries](#) and [Seychelles Blue Bond](#)). See, as well, two multi-author policy briefs on capacity development prepared by the ABNJ Capacity Project in the Common Oceans Phase I: [2018](#); [2019](#)) which address capacity development linkages among global, regional, and national levels; options for addressing, inter alia, area-based management and environmental impact assessment associated with the BBNJ agreement; options for a clearinghouse mechanism for knowledge management; options for financing to support capacity

development; and approaches to building capacity to address climate change issues present in ABNJ.

The project will form an Advisory Committee bringing together representatives from major ocean industries operating in the ABNJ such as the International Coalition of Fishing Associations, International Chamber of Shipping, the International Cable Protection Committee, and others, to provide perspectives of direct users of the ABNJ and to engage in knowledge exchange. Considering the prospects of tourism in ABNJ, the World Tourism Organization could be part of the Advisory Committee as well. This project will also invite new private sector stakeholders such as Google, Facebook, and others in the technology sector to participate in the Advisory Committee--these companies have a direct interest in deep sea cables and are already involved in the construction of subsea cables in some regions. Given their enormous public reach, including these organizations can also bolster the communications and public outreach components of this project. As well, important data providers that are highly active in the data management area within the ABNJ space, such as Vulcan, would be useful additions to the Advisory Committee, especially in terms of the Knowledge Management Component.

3. Engagement with the Global / Regional Framework (*maximum 500 words*)

Describe how the project will align with the global / regional framework for the program to foster knowledge sharing, learning, and synthesis of experiences. How will the proposed approach scale-up from the local and national level to maximize engagement by all relevant stakeholders and/or actors?

The Project will ensure that the links between this and other projects in the Common Oceans Program Phase II are continuously maintained. Other proposed projects in the program are focused more specifically on improving either fisheries management or environmental protection. This project therefore constitutes an integral element of the overall program, tying it together across multiple sectors.

The Cross-Sectoral Project will collaborate and coordinate with the Global Coordination Project (GCP), sharing its activities on strengthening of capacity for sectoral and cross-sectoral cooperation and coordination in ABNJ, and dissemination of knowledge, by documenting all the capacity building, cross-sectoral exchanges, and knowledge management activities of the Project for timely dissemination through the Program and the Cross-Sectoral Project websites and other communications activities of the Project.

Uptake of project outputs and products will be facilitated through a participatory and collaborative approach. This will include extensive engagement with stakeholders such as resource managers, industry representatives, decision-makers within relevant regional, sectoral and global organizations, and national governments in the regions. Together, this will strengthen regional engagement, buy-in and ownership of the project. Project outputs will demonstrate the essential role of capacity development in undertaking cross-sectoral cooperation and coordination in ABNJ, and of regional information systems, and will serve as flagship reference for decision-makers, national and regional organizations operating in ABNJ and other sectors, supporting the ongoing BBNJ process and the eventual implementation of the resulting Agreement, and the wider conservation and management ambitions.

Outputs will feed directly into the UN-led process to develop (and ultimately to implement) the new legal instrument for the conservation and sustainable use of BBNJ and will raise the global profile and significance of BBNJ management and conservation. Through attendance at high level meetings and workshops, the wider international community involved in the BBNJ process and other ongoing global processes (e.g. the development of a post-2020 global biodiversity framework, Agenda 2030 and the Sustainable Development Goals, etc.) will be consulted and made aware of the project and its associated outputs. In order to ensure the greatest impact, dissemination of project products will be undertaken in a number of ways, as noted below:

- Direct communication and information sharing with project partners and in-region organizations
- Wider communication with other projects and/or regions to share lessons or ‘best practice’ for similar approaches
- Dedicated website on ABNJ Capacity Development
- Contributions to the IW:LEARN newsletters and IW:LEARN international/regional/topical conferences
- Online media, such as project and project partner websites, including the FAO Common Oceans website and the IW:LEARN Platform
- Social media
- Online information-sharing and/or training webinars
- Knowledge exchange and information sharing workshops and training workshops
- Dissemination of project outputs at regional and international events, such as side events at BBNJ process, COFI meetings, CBD and IMO meetings, meetings of Regional Organizations, especially information packages, containing, among others, policy briefs and infographics, to inform national governments and regional/international entities towards more informed decision making.

In principle, environmental improvement in ABNJ is considered to be global environmental benefits. Filling a capacity gap for BBNJ management would be incremental to the countries’ and regions’ existing sectoral investment in the ABNJ. Countries and regions have different starting points, cultures, capacities, and achievements, including socioeconomic and institutional/governance arrangements. Instead of a one-size-fits-all solution, capacity development efforts under this project will build on and strengthen local innovations and good capacity building practices while filling gaps for global participation. Strengthening the capacity of countries to manage both their national EEZs and to participate in collaborative ocean governance in ABNJ is important for integrated ocean management.

GEF 7 Core Indicator Worksheet (Annex B)

Core Indicator 7	Number of shared water ecosystems (fresh or marine) under new or improved cooperative management			
Indicator 7.2	Level of Regional Legal Agreement and Regional Management Institutions to support its implementation			
Shared water ecosystem	Rating (scale 1-4)			
	PIF stage	Endorsement	Mid-Term Review	Terminal Evaluation
Pacific Islands Region/Western and Central Pacific Fisheries Commission (WCPFC)	1	1	1.5	1.5
Nairobi Convention (Western Indian Ocean)	1	1	1.5	1.5
Abidjan Convention (Atlantic Coast of the West, Central and Southern Africa Region)	1	1	1.5	1.5
Permanent Commission for the South Pacific (CPPS) (Southeast Pacific)	1	1	1.5	1.5
Bay of Bengal	1	1	1.5	1.5
Caribbean	1	1	1.5	1.5
2 regions (to be decided during PP phase)				
<p>1 = No regional legal agreement, or neither institutional framework nor RMI in place [for the Cross-Sectoral Project, we take this to mean a new regional cross-sectoral mechanism on ABNJ]</p> <p>A rating of 1.5 means capacity is built to develop a new regional cross-sectoral mechanism in ABNJ by the end of the project.</p> <p>2 = Regional legal agreement under development</p> <p>3 = Regional legal agreement signed and RMI in place</p> <p>4 = Regional legal agreement ratified and RMI functional</p>				
Indicator 7.3	Level of National/Local Reforms and active participation of Inter-Ministerial Committees			
Shared water ecosystem	Rating (scale 1-4)			
	PIF stage	Endorsement	Mid-Term Review	Terminal Evaluation
Pacific Islands Region/Western and Central Pacific Fisheries Commission (WCPFC)	1	1	1.5	1.5
Nairobi Convention (Western Indian Ocean)	1	1	1.5	1.5

Abidjan Convention (Atlantic Coast of the West, Central and Southern Africa Region)	1	1	1.5	1.5
Permanent Commission for the South Pacific (CPPS) (Southeast Pacific)	1	1	1.5	1.5
Bay of Bengal	1	1	1.5	1.5
Caribbean	1	1	1.5	1.5
2 regions (to be decided during PP phase)	1	1	1.5	1.5

1 = Neither national/local reforms nor IMCs [for the Cross-Sectoral Project, we take this to mean any new cross-sectoral mechanism developed at the national level, including Inter-Ministerial Committees on ABNJ]
A rating of 1.5 means capacity is built to develop any new national cross-sectoral mechanism for ABNJ by the end of the project.
2 = National/local reforms in preparation, IMCs functional
3 = National/local reforms and IMCs in place
4 = National/local reforms/policies implemented, supported by IMCs

Indicator 7.4	Level of engagement in IW:LEARN through participation and delivery of key products			
Shared water ecosystem	Rating (scale 1-4)			
	PIF stage	Endorsement	Mid-Term Review	Terminal Evaluation
Pacific Islands Region/Western and Central Pacific Fisheries Commission (WCPFC)	1	1	2	4
Nairobi Convention (Western Indian Ocean)	1	1	2	4
Abidjan Convention (Atlantic Coast of the West, Central and Southern Africa Region)	1	1	2	4
Permanent Commission for the South Pacific (CPPS) (Southeast Pacific)	1	1	2	4
Bay of Bengal	1	1	2	4
Caribbean	1	1	2	4
2 regions (to be decided during PP phase)				

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.

Indicator 11	Number of direct beneficiaries disaggregated by gender as co-benefit of GEF investment					
			Number			
		Expected		Achieved*		
			PIF stage	Endorsement	Mid-Term Review	Terminal Evaluation
	Female	1,750				
	Male	1,750				
	<i>Total</i>	3,500				

This indicator captures the number of individual people who receive targeted support from a given GEF project/activity and/or who use the specific resources that the project maintains or enhances. Support is defined as direct assistance from the project/activity. Direct beneficiaries are all individuals receiving targeted support from a given project. 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.

*For the Cross-Sectoral Project, we expect to achieve 500 participants from Outcome 1.1; 500 participants from Outcome 2.1; 500 participants from Outcome 2.2; 2,000 participants from Outcome 2.3 (media event and online self-paced training) = 3,500 participants

Annex 1. Selection of Project's Focus Regions

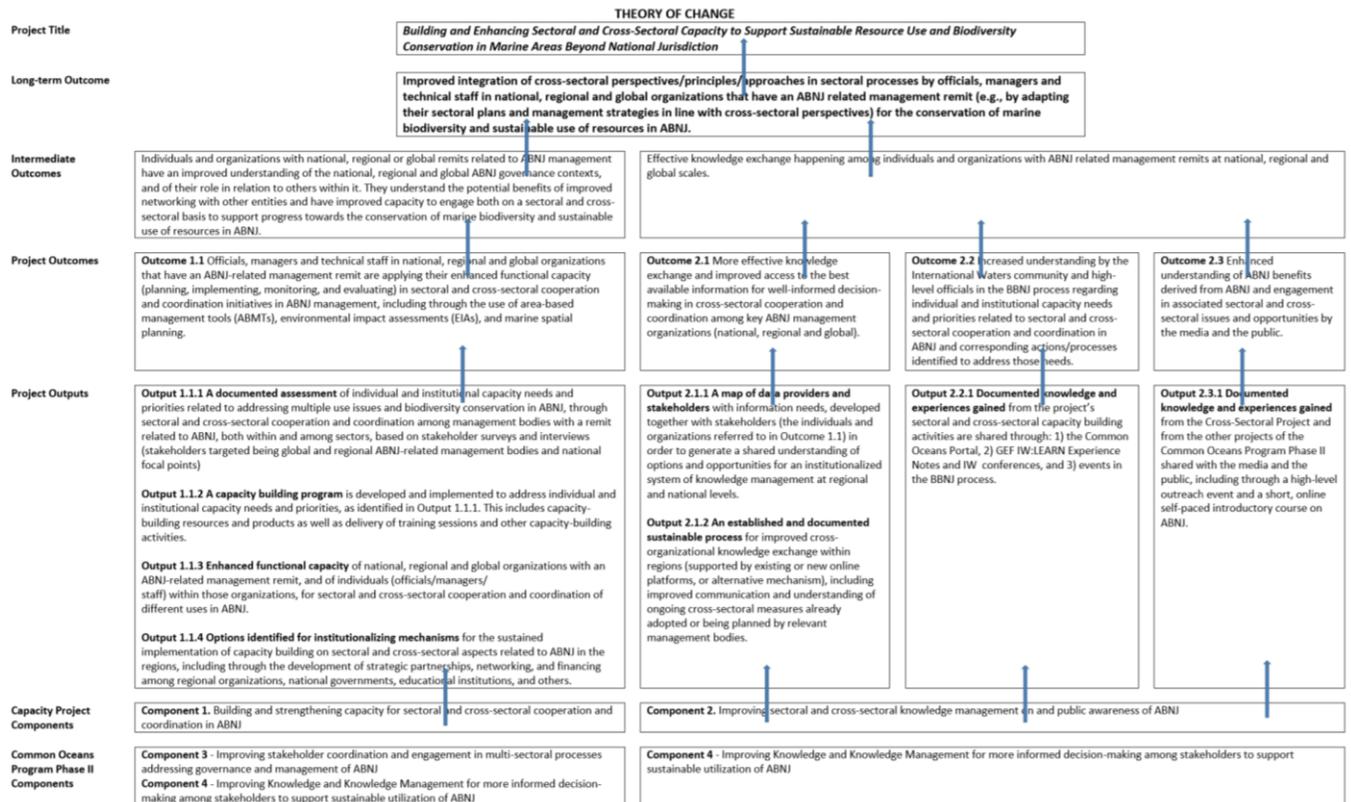
During the PPG process and following consultation with partners and candidate regional entities, we will consider the selection of two regions for special attention in the project, analyzing, inter alia, the following factors.

The regions under consideration are Pacific Islands Region/Western and Central Pacific Fisheries Commission (WCPFC), Nairobi Convention (Western Indian Ocean), Abidjan Convention (Atlantic Coast of the West, Central and Southern Africa Region), Permanent Commission for the South Pacific (CPPS) (Southeast Pacific), Bay of Bengal, and the Caribbean region.

Possible draft selection criteria:

1. *Nature and complexity of the region*—e.g., area covered; number of countries; economic/social value; resource utilization issues; climate change issues; etc.
2. *Nature of and issues in the adjoining ABNJ areas*—e.g., major resources and issues in the ABNJ areas; patterns of resource utilization; economic/social value; interaction between resources and issues in the ABNJ and in EEZ areas; climate change issues; etc.
3. *Existing/past efforts in ocean/coastal management in the region, both related to EEZs and ABNJ*—e.g., past and current efforts to analyze and map uses and issues in the relevant EEZs/ABNJ in the region; past discussions among regional entities and national governments in the region vis-à-vis EEZs and ABNJ; possible methodologies utilized in the context of EEZs which might be applied in the context of ABNJ (e.g. TDA/SAP in the case of the LME programs; Regional conventions and regional action plans in the case of the Regional Seas Program,); etc.
4. *Presence of a (or several) major regional entity charged with ocean and coastal affairs in the region*—area of competence of the regional entity; remit/authority over EEZ; remit/authority over ABNJ issues; interest and commitment of the regional entity in participating in the project; etc.
5. *Perspectives of key sponsors (GEF), lead agencies (FAO), project partners (partners participating in the process, including leaders in the BBNJ process), on what regional foci may best achieve global purposes (e.g., as “test cases” for the implementation of the BBNJ agreement, fulfillment of global goals such as SDG 14).*
6. *Other relevant factors.*

Annex 2. Cross-Sectoral Project Theory of Change



Possible assumptions to build into ToC:

1. There is limited capacity among the regional organizations (RFMOs, RSPs, LME programs, other regional organizations) and their national focal points as well as the secretariats of global sectoral organizations for cross-sectoral coordination and cooperation in ABNJ.
2. There is limited awareness of individual sectoral processes and exchange of information across sectors to support biodiversity conservation and sustainable use in ABNJ.
3. There is insufficient recognition of the impacts that multiple sectors have on biodiversity and the co-benefits of environmentally-based and sustainable development-based policy action on ocean management in ABNJ
4. Cross-sectoral coordination and cooperation can enable co-benefits based strategies through cross-sectoral assessment of both the benefits of action and the costs of inaction.
5. Deeper understanding of existing sectoral and cross-sectoral governance and management in ABNJ will help policy makers to make more informed decisions to design, target, implement, and evaluate interventions.

Child Project Title:	Strengthening the stewardship of an economically and biologically significant high seas area – the Sargasso Sea
Country:	Global
Lead Agency	FAO

GEF Agency(ies):	UNDP
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INDICATIVE FOCAL/NON-FOCAL AREA ELEMENTS AND FINANCING

Programming Directions	Trust Fund	(in \$)	
		GEF Project Financing	Co-financing
IW-2 Improve management in Areas Beyond National Jurisdiction (ABNJ)	GEFTF	\$2,652,294	\$26,035,000
Total Project Cost		\$2,652,294	\$26,035,000

PROJECT COMPONENTS AND FINANCING

Project Objective: Facilitation of a collaborative, cross-sectoral ecosystem-based sustainable stewardship mechanism for the Sargasso Sea through improvement in the knowledge base and strengthened frameworks for collaborative management and governance						
Project Components	Component Type	Project Outcomes	Project Outputs	Trust Fund	(in \$)	
					GEF Project Financing	Co-financing
Component 1: Partnerships and Organisational Infrastructure for Stewarding the Sustainable Management of the Natural Resources of the Sargasso Sea Ecosystem	TA	Collaborative stewardship of an iconic high seas ecosystem through the development and adoption of interactive, sustainable management measures for the conservation and protection of its natural resources	A road-map and budget to support a collaborative Ecosystem Based Approach to sustainable management of natural resources and conservation within the Sargasso Sea. This would clearly define the roles and align with the mandates of the relevant stakeholders	GEFTF	\$673,740	\$3,409,324
Component 2: Improved Knowledge Base to Support a Collaborative, Adaptive Ecosystem-Based Stewardship Approach	TA	Quantified threats and impacts identified along with immediate and root causes establishing a baseline for on-going monitoring and adaptive management	A detailed Ecosystem Diagnostic Analysis (EDA) for the entire Sargasso Sea Ecosystem providing a baseline for long-term collaborative monitoring and stewardship of the natural resources of Sargasso Sea by the relevant partners	GEFTF	\$242,000	\$3,673,000
		Analysis of the global value of this unique ecosystem (with precise figures and conclusions where possible) so as to further justify and mobilize support for a collaborative sustainable management approach	An Ecosystem Valuation (including a value-chain analysis) delivering a detailed global economic assessment of the actual and potential value of goods and services provided by or falling within the Sargasso Sea ecosystem along with a cost-benefit analysis of	GEFTF	\$254,000	\$475,000

			potential stewardship /management approaches			
		Knowledge and Information capture and analysis to support effective stewardship and decision-making	Filling of Priority Information and Knowledge Gaps arising from the Ecosystem Diagnostic Analysis along with a Road-Map and Programme under implementation for Monitoring of the Ecosystem	GEFTF	\$647,568	\$10,661,773
Component 3: Development of a Strategic Action Programme for addressing Threats and Strengthening the Stewardship and Conservation of the Sargasso Sea Ecosystem	TA	Priority immediate and long-term actions identified in order to a) address or mitigate the impacts of threats and b) strengthen stewardship and conservation	A list of priority immediate and long-term actions needed along with identified partnerships and responsible entities for delivering on these priority actions.	GEFTF	\$250,000	\$2,516,000
		Stewardship measures and associated priority actions identified and agreed by various management-mandated institutions, and other partners and stakeholders to support adoption of a sustainable process for the conservation and protection of the Sargasso Sea	A Strategic Action Programme defining the stewardship measures and associated priority actions, agreed between and endorsed by the appropriate mandated institutions, partners and collaborators supporting partnerships for implementation of sustainable management processes within the Sargasso Sea	GEFTF	\$180,500	\$325,000
Component 4: Knowledge Management, Monitoring and Evaluation	TA	Knowledge Capture and Management through Identification of Best Lessons and Practices	Best lessons and practices captured at Mid Term for effective distribution Information packages developed and disseminated which inform appropriate government bodies and regional entities on management and decision-making processes Project support to and engagement with IW:LEARN activities with allocated (1% plus) budget. A Communications and Awareness Outreach	GEFTF	\$180,000	\$2,708,428

			Programme with clear assessment and reporting on its effectiveness			
		Effective on-going Project Monitoring and Evaluation			\$95,000	\$0
			Subtotal	GEFTF	\$2,522,808	\$23,768,525
Project Management Cost (PMC)				GEFTF	\$129,486	\$2,266,475
Total Project Cost					\$2,652,294	\$26,035,000

INDICATIVE SOURCES OF CO-FINANCING FOR THE PROJECT BY NAME AND BY TYPE, IF AVAILABLE

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Investment Mobilized	Amount (\$)
Donor Agency	World Maritime University	Grant	Investment mobilized	\$400,000
Other -Scientific Institute	Bermuda Institute of Ocean Science	Grant	Investment mobilized	\$17,220,000
Other -Scientific Institute	NASA	Grant	Investment mobilized	\$1,500,000
Other -Scientific Institute	NOAA	Grant	Investment mobilized	\$500,000
Other -Scientific Institute	AFB (Agence Francais de Biodiverité)	Grant	Investment mobilized	\$115,000
Other – Academic/Research Institute	Duke University	Grant	Investment mobilized	\$2,300,000
Other - Academic Institute	Imperial College London	Grant	Investment mobilized	\$200,000
Other - Academic Institute	Edinburgh University UK (ATLAS & I-Atlantic Project)	Grant	Investment mobilized	\$200,000
Other – Research Institute	Global Fishing Watch	Grant	Investment mobilized	\$500,000
Donor Agency	FFEM	Grant	Investment mobilized	\$1,500,000
Civil Society Organisation	Sargasso Sea Commission	Grant	Recurrent Expenditure	\$1,000,000
		In-Kind	Recurrent Expenditure	\$600,000
Total Co-financing				\$26,035,000

Sources of Co-financing Name of Co-financier Type of Co-financing Investment Mobilized Amount (\$)

Donor Agency World Maritime University Grant Investment mobilized \$400,000²
 Other -Scientific Institute Bermuda Institute of Ocean Science Grant Investment mobilized \$17,220,000³
 Other -Scientific Institute NASA Grant Investment mobilized \$1,500,000⁴
 Other -Scientific Institute NOAA Grant Investment mobilized \$500,000⁵
 Other -Scientific Institute AFB (Agence Francais de Biodiversité) Grant Investment mobilized \$115,000⁶
 Other – Academic/Research Institute Duke University Grant Investment mobilized \$2,300,000⁷
 Other - Academic Institute Imperial College London Grant Investment mobilized \$200,000⁸
 Other - Academic Institute Edinburgh University UK (ATLAS & I-Atlantic Project) Grant Investment mobilized \$200,000⁹
 Other – Research Institute Global Fishing Watch Grant Investment mobilized \$750,000¹⁰
 Donor Agency FFEM Grant Investment mobilized \$1,500,000¹¹
 Civil Society Organization Sargasso Sea Commission Grant Recurrent Expenditure \$1,000,000¹²
 In-Kind Recurrent Expenditure \$600,000¹³

TRUST FUND RESOURCES REQUESTED BY AGENCY(IES), COUNTRY(IES), FOCAL AREA AND THE PROGRAMMING OF FUNDS

GEF Agency	Trust Fund	Country/ Regional/ Global	Focal Area	Programming of Funds	(in \$)		
					GEF Project Financing (a)	Agency Fee (b)	Total (c)=a+b
UNDP	GEFTF	Global	International Waters	N/A	2,652,294	238,706	2,891,000
Total GEF Resources					2,652,294	238,706	2,891,000

² Grants from Swedish Agency for Marine and Water Management (SwAM) and the Government of Germany of \$400,000 within a number of cognitive fields that are directly project related;

³ National Science Foundation grants for Hydrostation H and BATS, also assistance with vessel costs for help with fundamental oceanography;

⁴ NASA Funding for Sargasso Sea Pilot part of COVERAGE program approved by international Committee for Earth Observation Satellites (CEOS);

⁵ Relevant part of proposed cruise of NOAA vessel OKAENOS in 2021/2022;

⁶ AFB co-financing for FFEM project;

⁷ Grants from US Navy and German IKI through GOBI for migratory species connectivity;

⁸ Multiple grants for work on fisheries and ecosystem management;

⁹ EU financed projects dealing with Atlantic seafloor and ecosystem mapping, including Sargasso Sea;

¹⁰ Value of satellite and terrestrial AIS data processed regarding vessel of interest and expert application as well as machine learning modeling;

¹¹ Grant to SSC from French Global Environment Fund (FFEM);

¹² SSC Secretariat budget for 4 years period. In kind is contributions of Secretariat and Commissioners time.

PROJECT PREPARATION GRANT (PPG) - Amount requested by agency(ies), Trust Fund, country(ies) and the Programming of funds

GEF Agency	Trust Fund	Country/ Regional/Global	Focal Area	Programming of Funds	(in \$)		
					PPG (a)	Agency Fee (b)	Total c = a + b
UNDP	GEFTF	Global	International Waters	N/A	100,000	9,000	109,000
Total PPG Amount					100,000	9,000	109,000

PROJECT'S TARGET CONTRIBUTIONS TO GEF 7 CORE INDICATORS

Project Core Indicators		Expected at PIF
5	Area of marine habitat under improved practices (excluding protected areas) (Hectares)	685 million
11	Number of direct beneficiaries disaggregated by gender as co-benefit of GEF investment	8560 (3842 Male; 4718 Female) *

The project will address **a number of the SDG 14 targets and indicators** as follows:

- 14.1 Steps will be taken to try and minimize ship-based pollution within the Sargasso Sea.
- 14.2 The project objective will be to protect the Sargasso Sea to avoid any significant adverse impacts and support a healthy and sustainable ocean through a process of monitoring and stewardship.
- 14.3 Improved understanding of the impacts of climate change, including ocean acidification, through an on-going time series of measurements at a suite of sampling stations throughout the area
- 14.4 Collaboration with SSC partners and particularly the appropriate existing and mandated regional bodies in measures designed to regulate and eliminate IUU fishing and other destructive fishing practices and to promote a more effective science-based management approach
- 14.5 Contribute to the global conservation of 10 percent of marine areas consistent with international law and based on best available scientific evidence
- 14.7 Increase the economic benefits to Small Island Developing States (i.e. Dominican Republic, Bahamas, Haiti) and least developed countries from the sustainable use of marine resources, including through sustainable management of fisheries, aquaculture and tourism which depends on the Sargasso Sea ecosystem and the species it supports.

* It is quite challenging to calculate potential direct beneficiaries from a high seas project with no resident population. Two groups of possible beneficiaries might be the artisanal glass eel fisheries of the Caribbean and North Africa (due to critical role of Sargasso Sea in the eels life cycle) and high seas fishers who operate in the Sargasso Sea. Country reports to an American Eel range State meeting in 2018 organized by the SSC suggested that each of the large Northern Caribbean island countries had approx. 25 organizations (of average some 5 individuals – usually male) fishing for glass eels with some family back up including females. So very roughly 170-200 in each country Haiti, DR, Jamaica and Cuba that means that a sustainable eel fishery could have about 800 beneficiaries of whom 200 may be women. Assuming similar figures for Algeria, Libya, Tunisia, Morocco, and Egypt, 1000 beneficiaries of whom 250 may be women. Totals: 1800 (1350 male; 450 female). Regarding high seas fishers- Global Fishing Watch has identified 92 vessels fishing in the Sargasso Sea in 2018 and 2019. Using averages of crew sizes for relevant vessel types that is 1334 beneficiaries– predominantly men. For each distant water fisher, there are on average some 4 shore support workers most of whom are women fish processors, i.e. 5336 and if 80% of shore workers are women - 4268. Totals –6760 (2402 male; 4268 female) Grand total: 3842 male, 4718 female.

- 14.7c Implementing international law as reflected in UNCLOS, which provides the legal framework for the conservation and sustainable use of oceans and their resources, as recalled in paragraph 158 of The Future We Want (i.e. piloting governance mechanisms for ABNJ)

Furthermore, the Project will address **Aichi Biodiversity Target 11** by contributing to the requirement that 10 per cent of coastal and marine areas, especially areas of particular importance for biodiversity and ecosystem services, are conserved through effectively and equitably managed, ecologically representative and well-connected systems of protected areas and other effective area-based conservation measures.

PROJECT DESCRIPTION

Country Context

The Sargasso Sea is a 685 million hectare ecosystem in the North Atlantic. It is named for the two species of holopelagic macro algae (*Sargassum natans* and *S. fluitans*) that exist without contact with land and accumulate in the North Atlantic Subtropical Gyre where they form into large mats or windrows. Only the archipelago of Bermuda has direct coastal frontage on the Sargasso Sea. The Sargasso Sea is bounded on all sides by the clockwise flow of major ocean currents. The Gulf Stream and North Atlantic Drift form the western and northern boundaries, the Canary Current forms a more diffuse eastern boundary, and the North Equatorial Current and Antilles Current form the southern boundary. Its goods and services have a direct as well as indirect inherent value to many countries outside of its borders.

A detailed science and supporting evidence case for the Sargasso Sea (“The Protection and Management of the Sargasso Sea”)¹³ completed in 2011 provides evidence that the Sargasso Sea constitutes a unique high seas marine ecosystem, home to numerous endemic species and essential habitat for a very large number of others. Many of the species inhabiting the Sargasso Sea are vulnerable, endangered or threatened and are listed as such in IUCN Red List, CITES, and the 1990 SPAW Protocol to the Cartagena Convention, including sea turtles, cetaceans, sharks (including the porbeagle), seabirds and invertebrates, as well as commercially valuable fish such as billfish and tunas. Seamounts in the Sargasso Sea also host a diverse range of fragile communities containing endemic and undescribed species; It is an important migratory route for many commercially important species, such as Anguillid eels, bill fishes and tunas, as well as non-commercial species such as whales and turtles It is also the only known spawning ground of the critically endangered European eel (*Anguilla anguilla*) and the endangered American eel (*A. rostrata*), at the centre of what has recently become a global multi-million dollar industry.

In March 2014, five governments signed the Hamilton Declaration on Collaboration for the Conservation of the Sargasso Sea, which authorized the establishment of the Sargasso Sea Commission with a mandate to “Exercise a stewardship role for the Sargasso Sea and keep its health, productivity and resilience under continual review.”¹⁴ See Annex 1 for more details.

Project Overview and Approach

¹³ Laffoley, D.d’A., Roe, H.S.J., (eds) *The protection and management of the Sargasso Sea: The golden floating rainforest of the Atlantic Ocean. Summary Science and Supporting Evidence Case*. 2011. Sargasso Sea Alliance, 44

¹⁴

[http://www.sargassoseacommission.org/storage/Hamilton Declaration with signatures April 2018.pdf](http://www.sargassoseacommission.org/storage/Hamilton%20Declaration%20with%20signatures%20April%202018.pdf) in Annex II, para a..

A suite of ecosystem services can be linked to the ecological conditions and health of the Sargasso Sea and which can be seen as directly beneficial to human activities. These services include a) provisioning services, such as commercial fishing, b) cultural services, such as tourism in Bermuda and the Caribbean countries, sport and recreational fishing, education, and turtle, bird, and whale watching; and c) regulating services, such as carbon sequestration. The global fishery for glass and mature eels (which ultimately depends entirely on spawning and migration from the Sargasso Sea area) is both highly lucrative and under significant threat. The current price of glass eels (an early life stage of the species as they enter river mouths on return from the sea) stands at \$5,500 per kilo. In addition, the Sargasso Sea has an inherent socioeconomic value to humankind because of its existence as a unique ecosystem and home to rare and charismatic species. Based on all the best available science, the Sargasso Sea has been estimated to contribute significant values to the global community in the order of multi-millions to billions of US\$.¹⁵ Furthermore, the Sargasso Sea has been shown to meet six out of the seven possible criteria for being described as an EBSA (only one is required by CBD). Recent studies on connectivity between ABNJ, EEZ and coastal ecosystems, goods and services are highlighting the importance of the physical, chemical and biological exchange between these areas¹⁶. Furthermore, as noted in the Transboundary Waters Assessment Programme (TWAP) report on Governance Arrangements for the Ocean¹⁷, given the interconnectedness of the world's ocean, linkages to national and even local level governance processes will also play critical roles in the governance of ocean areas beyond national jurisdiction (ABNJ).

The 2011 Science case noted above identified a number of threats on the ecosystem and its marine life including climate change, rising sea temperatures, changes in ocean currents and the North Atlantic Oscillation¹⁸. Some of the more prominent threats include:

¹⁵ Sumaila, U. R., Vats, V., and W. Swartz. 2013. Values from the Resources of the Sargasso Sea. Sargasso

Sea Alliance Science Report Series, No 12, 24 pp. ISBN 978-0-9892577-4-9; Pendleton, L., F. Krowicki., P. Strosser, and J. Hallett-Murdoch. *Assessing the Economic Contribution of Marine and Coastal Ecosystem Services in the Sargasso Sea*. NI R 14-05. Durham, NC: Duke University... and ... Ingestion of Microplastics by Fish and Its Potential Consequences from a Physical Perspective. Boris Jovanovic. *Integr Environ Assess Manag*. 2017;13:510–515. C2017 SETAC

¹⁶ Ecological connectivity between the areas beyond national jurisdiction and coastal waters: Safeguarding interests of coastal communities in developing countries. Ekaterina Popova et al. (2019). *Marine Policy*. *Marine Policy*. Volume 104, June 2019, Pages 90-102.

¹⁷ Lucia Fanning, Robin Mahon, Kimberly Baldwin and Selicia Douglas. 2015. Transboundary Waters Assessment

Programme (TWAP) Assessment of Governance Arrangements for the Ocean, Volume 1: Transboundary Large Marine Ecosystems. IOC-UNESCO, Paris. IOC Technical Series, 119: 80 pp.

¹⁸ The world's longest continuous open-ocean time series (Hydrostation S and BATS) is showing increases in surface temperature and pH as well as increases in upper ocean salinity

Pollution: Surface pollutants, including plastics, accumulate in the central Sargasso Sea, because the encircling currents trap water for periods of 50 years or more. Plastics and debris concentrate in Sargassum mats and in frontal zones where animals also concentrate to feed. This may even include ingestion by eel larvae (leptocephali) in the 'marine snow' that they feed on. This problem may be compounded in the knowledge that the plastics can adsorb a range of other pollutants¹⁹. Increasingly, evidence regarding microplastic toxicity and epidemiology is emerging and should not be ignored.²⁰

Fishing: There is evidence from Global Fishing Watch²¹ (and other sources) of increasing commercial fishing vessel activity from the vessels of a few nations in this area of traditionally low fishing effort.²² The data required to assess the impact of tuna fisheries on Endangered, Threatened and Protected (ETP) species is not available from ICCAT. As an example, observer data are currently available only for US longline for 1992-2000, despite there being big changes in the ecosystem in the last 20 years, many changes to management measures, and increasing demand for fish resources. In addition, effort data are unavailable for the Atlantic, and catch data are of insufficient scale (5-degree scale) and quality to assess the potential impact. The Sargasso Sea Commission is therefore providing valuable assistance in validating the GFW data and developing appropriate indicators of impacts on ETP species. However, the main threat from fishing takes place outside the Sargasso Sea. Other than the licenced and legal catches, there are tens of tonnes of glass eels (of both the European and American species) taken illegally every year. The European Eel is assessed as critically endangered by the IUCN red list. Since the early 1980s, a steady and almost continent-wide decline of ~90% has been observed, particularly in the recruitment of European glass eels. Less is known about the state of American eel stocks, but they are also assessed as endangered and the number of eels reaching the rivers of Europe and North America has already fallen dramatically over the last 4-5 decades. This could have dramatic socioeconomic impacts on communities on both sides of the Atlantic as well as on the food-chain within the ecosystem itself and beyond even at a global level.

The Sargasso Sea is also relevant to fisheries at the community level outside the geographical project area but in the countries that are partners in the project There is a local fishery for glass

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<https://www.researchgate.net/deref/https%3A%2F%2Fdoi.org%2F10.1016%2Fj.eti.2019.100352>

²⁰ Microplastics in Seafood and the Implications for Human Health. Madeleine Smith, David C. Love, Chelsea M. Rochman, Roni A. Neff. *Curr Environ Health Rep.* 2018; 5(3): 375–386. Published online 2018 Aug 16. doi: 10.1007/s40572-018-0206-z

²¹ Paul Woods, Global Fishing Watch Presentation 2019
http://www.sargassoseacommission.org/storage/GFW_-_Sargasso_Sea_Commission_March_2019_2_1.pdf,

²² Brian E. Luckhurst, Analysis of ICCAT Reported Catches of Tunas and Swordfish in the Sargasso Sea (1992-2011) ICCAT SCRS/2014/119 at
http://www.sargassoseacommission.org/storage/documents/Luckhurst_2014_-_SCRS_2014_119.pdf.

eels in Hispaniola (Haiti and DR) but not in the Bahamas. Only limited information exists on the extent of harvesting in Algeria or Morocco. The latter has indicated that all fishing is done by a commercial aquaculture firm. There is similar lack of knowledge on who fishes in Algeria. Some IP communities (such as the Amazigh) are on the coast of North Africa and the PPG will aim to explore whether there is any overlap with these.

Shipping: The Sargasso Sea lies within one of the world's busiest international shipping areas and is crossed by a large number of vessels each year. The full range of vessel types operate in these waters, with many, but not all, following distinct routing patterns according to the vessel type and the nature of the cargo carried. Ship-related impacts may include pollution from discharges, introduction of alien species through ballast water, underwater noise, collisions with whales, and physical damage to the Sargassum mats.

Other Commercial Activities: Other potential commercial pressures and threats include the continuing interest in harvesting Sargassum (especially if this were to be directed at the Sargasso Sea), the possible impacts of submarine telecommunication cables and possible future seabed exploration and mining. There are now three seabed exploration licences granted by the ISA to Russia, France and Poland on the Northern Section of the Mid-Atlantic ridge adjacent to the Sargasso Sea. Waste plumes from seabed mineral extraction on these sites could constitute a future risk.

Climate Change and Acidification: Long-term series of ocean measurements in the Sargasso Sea show rises in surface ocean temperature and increases in salinity in the upper 300m. Such climate change is pushing the warm sub-tropical convergence in the south of the Sargasso Sea further north, which could cause a shift in direction and intensity of ocean currents, which, in turn, could impact significantly on successful spawning of eels and upon the return migration of their larvae to the rivers of Europe, N Africa and America. It may also lead to the warmer waters further north being able to support the spread of *S. natans VIII*, thus expanding its range into new geographical areas. This particular variant of Sargassum cannot support the same level of diversity of associated organisms as the currently more common forms found in the Sargasso Sea²³. It is also responsible for much of the so-called 'inundations' negatively affecting many coastlines²⁴ in the Caribbean and appears to be emanating from the central equatorial Atlantic and/or the mouth of the Amazon River. Furthermore, globally, only four carbon dioxide time series are of known sufficient duration to unequivocally show that ocean acidification is a

²³ Pelagic Sargassum and its associated mobile fauna in the Caribbean, Gulf of Mexico, and Sargasso Sea. A Thesis by Lindsay Margaret Martin Submitted to the Office of Graduate and Professional Studies of Texas A&M University in partial fulfilment of the requirements for the degree of MASTER OF SCIENCE. Available from:

https://www.researchgate.net/publication/299560667_Pelagic_Sargassum_and_its_associated_mobile_fauna_in_the_Caribbean_Gulf_of_Mexico_and_Sargasso_Sea [accessed Jan 20 2020].

²⁴ A genetic and morphological analysis of Atlantic Sargassum. Olson E. and Tonkin E. https://www.sea.edu/images/uploads/mbc/SEA_MBC15_01_AtlanticSargassum.pdf (accessed Jan 20, 2020)

reality. Three of these are from the Sargasso Sea. Given the changes now occurring to the global climate, such long time series are critically important for our understanding of such planetary processes and for demonstrating the key role of the Sargasso Sea in these processes.

Within GEF's overall Programmatic Approach for the GEF7 Common Oceans ABNJ Program, this Child Project aims to provide a concrete demonstration of how a 'stewardship' agency and associated partnership can play a leading role in sustaining and restoring the health, productivity and resilience of such an area beyond the jurisdiction of any one country but within the mandate of the UN Convention Law of the Sea, the associated Precautionary Approach and the concepts of duty and cooperation of states to adopt measures for conservation and management of living resources in the area of the high seas.

- a) Describe the existing or planned baseline investments, including current institutional framework and processes for stakeholder engagement and gender integration;

A variety of organizations have mandates to address some of the threats identified above but not all have taken the necessary action as yet and, furthermore, actions by individual organizations are not taking account of cumulative impacts from all human activities affecting the Sargasso Sea. Moreover, significant gaps exist in the ways in which the mandates of these organizations relate to the Sargasso Sea. These include the lack of any international regime for managing non-tuna fisheries in most of the Sargasso Sea, with the exception for fisheries managed by the Northwest Atlantic Fisheries Organization (NAFO) in a small Northern area of the Sargasso Sea. Tuna and tuna-like species are managed by ICCAT. There is limited information available on bycatch and this is an area of improvement in which the Project would wish to collaborate with the mandated regional fisheries organisations. Gaps also exist in the regulation of shipping impacts on the marine environment in the Sargasso Sea, including on the Sargassum and the habitat protection it provides for many fish and marine mammal species and the lack of specific mitigation measures to address the potential impacts of increases in shipping in the Sargasso Sea.

The Sargasso Sea Alliance partnership was formed in 2010 led by the Government of Bermuda, in collaboration with scientists, international marine conservation groups and private donors, who all share a vision of protecting the unique and vulnerable ocean ecosystem of the Sargasso Sea. US philanthropic foundations and individuals invested some \$2 million dollars between 2010 and 2014. The signing of the Hamilton Declaration in March 2014 and the associated formation of the Sargasso Sea Commission has further advanced the original intent of the Alliance and provided a tangible opportunity to address the barriers and shortfalls that are highlighted below. Annex 1 gives more detailed information on the Hamilton Declaration and how the Project aligns with that Agreement's aims and objectives

Since the signing of the Hamilton Declaration support for the Commission has increasingly come from national agencies in Monaco, Netherlands, US and Canada as well as foundations. Currently, its annual income is c\$300k a year. The Commission also receives direct support for certain activities from individuals and entities listed on its website.

The Commission and Signatories have endorsed the current overarching goals: a) Promoting international recognition of the unique ecological and biological nature and global significance of the Sargasso Sea; b) Encouraging scientific research to expand existing knowledge of the Sargasso Sea ecosystem in order to further assess its health, productivity and resilience; and c) Developing proposals for submission to existing regional, sectoral and international organizations to promote the objectives of the Hamilton Declaration.

The Commission works closely with other appropriate bodies with interests or mandates that overlap into the Sargasso Sea. The general strategy of the Sargasso Sea Commission and its activities is to identify the most important threats to the Sargasso Sea ecosystem and to address these by seeking appropriate conservation measures within the relevant existing international or regional sectoral organizations. Possible threats from shipping or vessel source pollution would be addressed through the International Maritime Organization (IMO); threats from fishing through the only two relevant fishing organizations – the International Commission for the Conservation of Atlantic Tunas (ICCAT) and (for the small area of the Sargasso sea above 35°N) the North-west Atlantic Fisheries Organization (NAFO); and seabed mining issues through the International Seabed Authority (ISA). Through such interactions and relationships with existing bodies certain improvements have been made. For example, NAFO has already enacted protection measures for the Northern seamounts in the Sargasso Sea.

During the development of the full Project, the SSC and its stakeholders will explore the feasibility and value of partnering with the private sector where appropriate. Partnerships worthy of exploration include with the shipping sector (along with IMO) in consideration of ensuring reduced pollution and invasive species risk; the fisheries sector (in collaboration with RFMOs) to identify and implement improvements in catch management and bycatch reduction; the eel fishery and marketing sectors in target countries such as Morocco, Dominican Republic and others. The Sargasso Sea Commission already has a range of Collaborating Partners – which includes important private sector players – like the International Cable Protection Committee and *LookBermuda*. The project will be engaging with the private sector in the glass eel fishery – particularly in Morocco where the private sector runs the eel aquaculture industry. Ocean research has tended to be dominated by public and state owned and operated vessels. Nevertheless, the Commission has excellent relations with Professor Alex Rogers, the Scientific Director of the privately owned *REV Oceans*, who is committed to conducting research in the Sargasso Sea in its early cruises.

- b) Describe how the integrated approach proposed for the child project responds to and reflects the Program’s Theory of Change, and as such is an appropriate and suitable option for tackling the systemic challenges, and to achieve the desired transformation with multiple global environmental benefits;

Discussion of the Theory of Change and Linkages to the Overall Programme

The Theory of Change Schematic in Annex 2 provides a simplified flow-chart demonstrating broadly how the four components of the Child Project will provide outcomes in the medium

term that will help to initiate and support system changes and achieve some of the long-term goals of the overall ABNJ Program

Project Components and Outcomes Outputs:

Component 1 will create the collaborative institutional arrangements and organisational infrastructure through partnerships (existing and new) that will drive both the process of evolving an effective stewardship role for the Sargasso Sea as well as direct the overall project and its various activities, deliveries and outcomes.

Component 2 will undertake the required technical and scientific work through the direction of the institutional arrangements and Partnerships of Component One to improve overall knowledge of the Sargasso Sea, identify the threats and root causes and define management strategies to address them while developing an effective monitoring programme and advising the institutional and organisational partners on the value and cost-effective nature of such an ecosystem management approach (an Ecosystem Diagnostic Analysis).

The Outputs from Component 1 and 2 (i.e. a ‘management’ structure for long-term stewardship as well as a ‘state-of-the-ecosystem’ analysis and long-term monitoring for change) will then be used to guide and evolve a formal long-term Strategic Action Programme through Component 3, including formal adoption of the institutional arrangements and the long-term activities and road-map with associated budget to mitigate or eradicate threats to the ecosystem and maintain a sustainable use of its resources.

Component 4 will capture the lessons and best practices from the sequential delivery from the previous components and recommend options for replication and scaling-up while also ensuring that the positive work undertaken by the project and its Outcomes are well documented and distributed and the importance of this ABNJ and the efforts and successes in managing it through an effective stewardship approach is globally recognised.

Medium-Term outcomes and System Changes:

The Project will aim to deliver an effective example of long-term sustainable management of an ABNJ marine ecosystem through stewardship, supported and guided (through an adaptive management process) by on-going and continuous monitoring of the ecosystem and its goods and services. This will demonstrate and maintain sustainability of socioeconomic interests and food security related to this unique ecosystem. Further system changes include the improved conservation of an economically and ecologically/biologically significant ecosystem. The demonstration and sharing of this process and the consequent Lessons and Best practices will hopefully provide opportunities to further catalyse system changes elsewhere.

Long-Term Goals aligned to the Overall Program:

The GEF-7 ABNJ overall Program Goal (situation sought) has been defined as “Sustainable use of ABNJ living resources and strengthened biodiversity conservation in the face of a changing environment’.

The demonstration of the sustainable use of ABNJ living resources and improved conservation of biodiversity and ecosystem services within this Sargasso Sea EBSA/marine Ecosystem arising from the Project and the medium-term continuation of effective stewardship, scientific monitoring and associated socioeconomic and food security benefits will provide a model for achieving the overall project Goal that can be replicated and scaled up elsewhere as applicable. The sustainability at the global level will be further supported through the sharing and distribution of specific lessons and best practices from this GEF initiative. Continuing the support to sustainable use of ABNJ living resources will be the ongoing flow of updated information for better understanding and analysis of this ABNJ and how this can also be used in other global ABNJ ecosystems.

The Theory of Change will be further elaborated in the Full Project Document with a preceding Causal Chain Analysis clearly defining the Threats and Root Causes (as identified in the current text) and how these drive the adopted Components and Outputs.

This Child Project will address all of the four immediate intended programme Outcomes in the overall ABNJ Program’s Theory of Change as follows:

Common Oceans ABNJ Program Outcomes	Conformity within Child Project
Outcome 1: Frameworks and processes for more effective governance and management in ABNJ (including fisheries management) strengthened	The Child project has an overall Objective to facilitate and deliver an integrated, cross-sectoral, ecosystem-based sustainable management mechanism for the Sargasso Sea as an ABNJ of significant importance. To this effect, the Project aims to deliver effective management and stewardship of the ecosystem as whole as a primary Outcome. Appropriate policy and legal frameworks will be explored in support of this aim/objective along with the necessary institutional mandates and governmental commitments. Furthermore, the Project will work closely both with the relevant RFMOs and with the market countries for products from the Sargasso Sea to ensure compliance with relevant legislation (such as the fisheries legislation of UK, Norway, South Africa as an example) and to promote sustainability through greater control within the natural resource markets, including incentives for marketing sustainable products. Component 1 will focus on building this effective stewardship and governance along with the appropriate institutional structure
Outcome 2: Capacity for better implementation of ecosystem-based management in fisheries	Through the EDA-SAP process, the Child Project will identify capacity needs for strengthening ecosystem management and the Ecosystem Approach to Fisheries and then set out to address them through the appropriate capacity building and training programme(s). This will include building and supporting capacity for scientific monitoring of the ecosystem and its resources (including data collection, compliance monitoring and reporting to support science-based decision making and implementation) as well as building capacity for adaptive,

management in the ABNJ strengthened	solutions-based ecosystem and fisheries management and institutional support. This will be covered through both Component 1 & 2
Outcome 3: Participation in multi-sectoral coordination for more effective governance and management of ABNJ improved	The Project as a whole will develop and strengthen multi-sectoral Partnerships and Organisational Infrastructure for Stewardship of the Sargasso Sea Ecosystem. The Project will focus on improving, developing and adopting governance options that would acknowledge the role of existing sectoral and other organisations and institutions with responsibilities and interests in the Sargasso Sea area while addressing the gaps in the measures needed for the conservation and stewardship of the ecosystem in its entirety.. The Project will specifically work closely with the RFMOs in this region (ICCAT and NAFO) as well as with neighbouring LMEs, the IMO and ISA. The end landscape delivered by the Project will thus include a dedicated and sustainable partnership program and a supporting institutional base with appropriate administrative arrangements
Outcome 4: Knowledge and information exchange for more informed decision-making among stakeholders to support sustainable utilization of ABNJ improved	The Project will strengthen and expand the knowledge base in support of the adaptive ecosystem-based management approach which it will be creating and implementing. This will include mechanisms for handling and managing this wealth of information and knowledge. Not only would this be used to support the ecosystem monitoring process and its adaptive management/stewardship structure, but it will also define best lessons and practices for replication and up-scaling as appropriate to other similar areas. The project includes twinning arrangements with other ABNJ management initiatives, particularly the Costa Rica Thermal Dome project (through FFEM). Technical and scientific information will be collected on issues related to the ABNJ which may be of value in other ABNJ. Information exchange mechanisms will be developed and implemented. This innovative project will provide significant lessons, practices and opportunities for up-scaling and replication in other ABNJ

Annex 2 also demonstrates how this Project aligns with the Criteria for selection of Child Projects for the Common Oceans ABNJ Program.

- c) Describe the project’s incremental reasoning for GEF financing under the program, including the results framework and components.

The UN Law of the Sea Convention provides an overarching framework for governance of Areas beyond National Jurisdiction. Negotiations are underway at the United Nations for the development of a new International Legally Binding Instrument for the conservation of marine biodiversity beyond national jurisdiction (BBNJ ILBI). It will inevitably take some time to reach formal agreement and adoption. Meanwhile, stewardship and conservation measures still need to be evolved and tested for those marine ecosystems which are already under pressure from anthropogenic impacts (including climate change). As described above, one such significant marine ecosystem within the High Seas of the Atlantic Ocean is the Sargasso Sea.

As a geographically sizeable and globally significant marine ecosystem falling nearly entirely in Areas Beyond National Jurisdiction, interventions for improved stewardship and collaborative governance of the Sargasso Sea are fully eligible for GEF financing within the GEF7 Objective IW-2, Improve management in Areas Beyond National Jurisdiction. As in intervention within such an ABNJ this project will have numerous global benefits as defined under the Global/Regional Framework Engagement below.

In order to counter the actual/potential threats and impacts to the Sargasso Sea, certain causes and barriers need to be resolved. These include:

- Inadequate knowledge/understanding of ecosystem features (and their associated socio-economic values) including resident, endemic and migratory species, biodiversity and habitat interactions, vertical and horizontal connectivity within and beyond the area, etc.
- Absence of sufficient time-date on IUU fishing and the need for a more active response mechanism to address IUU fishing in the Sargasso Sea
- Inadequate baseline and/or long-term monitoring data relevant to the main threats and impacts. Climate change -related impacts are of particular concern here as in ocean acidification and its effect on marine life as well as sea surface temperature and salinity increases in the upper layers of the ocean and associated potential changes in current movements and direction.
- The potential impacts from seabed mining are a growing concern with the rapid development of technology and the allotment of a significant number of exploration licences globally by the International Seabed Authority. Currently, there are no exploratory licences allocated within the Sargasso Sea system boundary, but several have been issued for the mid-Atlantic Ridge. ISA is developing regulations which will need careful consideration by the Commission in relation to the Sargasso Sea.
- Absence of a mechanism for adaptive management or stewardship response to any perceived or measurable impacts and threats to the Sargasso Sea area.
- Despite the fact the Sargasso Sea hosts the famous Hydrostation S and associated BATS time series,²⁵ there is no existing ecosystem-based management system to take advantage of these data.
- Limitations in current capacity for addressing the barriers and constraints to the removal or mitigation of threats and impacts, both in the context of funding and available/accessible expertise and resources.

GEF, through its various Implementing Agencies, has evolved a very effective approach to developing and implementing regional management approaches for Large Marine Ecosystems (LMEs) which admirably suits the needs for developing and adopting a Sargasso Sea stewardship mechanism. This involves undertaking a Transboundary Diagnostic Analysis to identify the importance of the ecosystem in question, the value of its goods and services, who benefits from these goods and services, what the threats and real/ potential impacts are to the ecosystem and its goods and services, and how these threats might be mitigated or eradicated. A similar process will be used for the Sargasso Sea, although it would be referred to as an Ecosystem Diagnostic Analysis (EDA) as the Sea is not strictly transboundary, being an ABNJ. The standard

²⁵ <http://www.bios.edu/research/projects/sustained-ocean-observations/>

next step then within LME projects is to translate the information from the TDA into a Strategic Action Programme that defines what actions need to be taken for effective management of the areas and by whom. It also defines partnerships and sustainability including management, administrative and financial requirements. The SAP is a negotiated policy-level document which the various and appropriate stakeholders to the LME sign up to and implement. Similarly, the EDA for the Sargasso Sea would form the basis for a SAP which would be agreed and implemented by the various signatories to the Hamilton Declaration along with the partners to the Sargasso Sea Commission.

To address the shortfalls and barriers to effective stewardship and to develop, adopt and implement the Strategic Action Programme for the Sargasso Sea, the project will aim to deliver the following sequential Outcomes under four Components:

Component 1: Partnerships and Organisational Infrastructure for Stewarding the Sustainable Management of the Natural Resources of the Sargasso Sea Ecosystem

- A. A road-map and budget to support a collaborative Ecosystem Based Approach to sustainable management of natural resources and conservation within the Sargasso Sea. This would clearly define the roles and align with the mandates of the relevant stakeholders. This would include a review of stewardship and governance options (both existing and potential) that incorporates the role of existing organisations and institutions with responsibilities and interests in the Sargasso Sea area, and identify any gaps in the measures needed for the conservation and stewardship of the ecosystem as a whole with a view to i) the development and adoption of a more focused and effective collaborative stewardship regime for the long-term conservation and sustainable use of the Sargasso Sea, consistent with the UNCLOS and its implementation agreements and following an Ecosystem-Based Approach and ii) delivering on the mandate given to the Sargasso Sea Commission within the Hamilton Declaration that relates to Collaboration for the Conservation of the Sargasso Sea.

Component 2: Improved Knowledge Base to Support a Collaborative, Adaptive Ecosystem-Based Stewardship Approach

- A. An Ecosystem Diagnostic Analysis (EDA), applying similar methodology as for the GEF's Transboundary Diagnostic Analysis (TDA), for the entire Sargasso Sea Ecosystem area that quantifies the actual or potential threats and impacts to the ecosystem and its resources, links these back to the immediate and root causes of these threats/impacts (and any barriers preventing their removal) and identifies the interests of major stakeholders and countries. This would provide a much-needed baseline for monitoring and adaptive stewardship of the Sargasso Sea. Where appropriate, the project will use this EDA process to develop closer links with the Private Sector, engaging them into the discussions and analyses on threats and root causes as a prelude to development of the SAP (see below).
- B. An Ecosystem Valuation and Value-Chain Analysis delivering an economic assessment of the value of both market and non-market goods and services provided by the Sargasso Sea. This would include a detailed analysis of the global value (actual and potential, market and non-market) of this unique ecosystem and its resources with precise figures and conclusions where possible. The reasoning behind this is to further justify and support on-going stewardship (using a cost-benefit analysis approach) and

to encourage further support by countries and signatories and other partners in order to promote and implement the work needed.

- C. Information and Knowledge Gaps Analysis and Road-Map for Filling such Gaps and to support long-term Monitoring of the Ecosystem. Based on information arising from the Ecosystem Diagnostic Analysis, existing monitoring and time-series data collection and information on the effects from impacts that are already being measured, a baseline of 'knowledge' will be developed. This will then aid in identifying a list of gaps in knowledge and information for the Sargasso Sea area and its biological, chemical and physical status and interactions along with a road-map for filling the priority gaps that directly influence decisions for effective stewardship guidance and decision-making. This would build on work already undertaken by the SSC and its partners and would aim to identify expertise and collaborators to assist in addressing these gaps. The project will explore the opportunities to engage with remote sensing expertise and existing programmes in order to facilitate better capture of data and long-term monitoring of the area.

Component 3: Development of a Strategic Action Programme for addressing Threats and Strengthening the Stewardship and Conservation of the Sargasso Sea Ecosystem

- A. A list of priority immediate and long-term actions needed to a) address or mitigate the impacts of threats and b) strengthen stewardship and conservation so as to prevent or mitigate impacts on the ecosystem and its stakeholders along with agreed partnerships for delivering on these priority actions. An emphasis would be placed on the long-term predictable effects from climate change and how this is likely to affect the integrity of the ecosystem, its biodiversity and its resources. In this context, focus will also be placed on defining what are the links with carbon sequestration and the potential to sustain or even improve this. Consideration would also be given to potential threats (such as deep-sea mining, shipping and IUU fishing) and the actions that could be taken prior to any such threat arising with the aim of avoiding or mitigating such threats. The Project will engage with the Private Sector where appropriate in helping to define the feasible actions to address impacts with their root causes in that sector. The project will specifically explore the possibility of long-term partnerships with remote sensing service providers such as Vulcan, that are highly active in the data management area within the ABNJ space, See <https://www.vulcan.com/areas-of-practice/technology-science>
- B. All of this to be captured and agreed within a Strategic Action Programme defining the stewardship measures and associated priority actions, agreed between and endorsed by the appropriate mandated institutions, partners and collaborators supporting partnerships for implementation of sustainable management processes within the Sargasso Sea and further endorsed by the Signatory Countries to the Hamilton Declaration. As with defining the appropriate actions to address and mitigate impacts, the SAP development process will include close engagement with and input from the Private Sector as important potential partners thus ensuring their full engagement and contribution to the immediate and longer term sustainability of actions committed to under the SAP. The SAP will also build on any existing knowledge-sharing arrangements within the Commission and its partners and through other pertinent learning and experience synthesis mechanisms, particularly in the context of management and policy improvements and associated capacity building and awareness for more effective ecosystem management including strengthening/implementing the ecosystem approach to fisheries.

Component 4: Knowledge Management, Monitoring and Evaluation

- A. Knowledge Capture and Management through Identification of Best Lessons and Practices: Knowledge capture and management is a critical component of any GEF project to ensure that best lessons and practices can be put to good, long-term use as well as identifying pitfalls and actions to be avoided. Knowledge products, services and assets need to be properly formulated and catalogued as well as distributed efficiently to the appropriate bodies that can act on them in the context of improved or strengthened management practices. Various tools will be explored for better Knowledge Management. Information packages will be developed and disseminated which target appropriate government bodies and regional entities (both for participating partners and for the BBNJ community as a whole) and provide descriptions and updates on management and decision-making processes. 1% of the child project budget will be dedicated to GEF IW portfolio learning activities through engagement in a range of IW:LEARN activities such as biennial GEF IW Conferences, website support, thematic meetings (annual LME meeting), etc. The effectiveness of project management and delivery will be assessed and steered through a Monitoring and Evaluation Plan also supported by a Stakeholder Engagement Plan that requires strong stakeholder inputs to the project's outputs and to their on-the-ground delivery.
- B. Monitoring And Evaluation: a standard UNDP GEF Monitoring And Evaluation Process and Plan will be incorporated into the full Child Project including quarterly and annual reporting as well as a Mid-Term Review and a Terminal Evaluation
- C. Project Management will include the necessary staffing and their support within the PCU.

Under the International Waters portfolio, three key objectives have been targeted for GEF-7 investments: 1) strengthening national Blue Economy opportunities to reduce threats to marine and coastal waters; 2) **improving management in the Areas beyond National Jurisdiction (ABNJ)**, and 3) enhancing water security in freshwater ecosystems. Through Objective 2, GEF recognizes that the complex ecosystems in the ABNJ include both the water column and seabed and this makes the sustainable management of fisheries resources and biodiversity conservation especially challenging. GEF further recognizes that urgent action is needed to improve conservation and sustainable use of the open oceans that covers almost half of the planet and are increasingly under pressure and threatened by over-fishing of iconic pelagic migratory species, maritime navigation, ocean energy facilities, bottom trawling on seamounts, pollution and extraction of minerals and hydrocarbons. GEF is therefore encouraging collaboration among relevant international, regional and domestic bodies on area-based management in national waters and ABNJs. GEF investments will assist capacity building among concerned states and organizations and will facilitate cooperative frameworks between the ABNJs and the Large Marine Ecosystems that they border, to improve management opportunities and cohesion between these two interdependent management frameworks. The GEF 7 Programming Directions recognizes that coordination and cooperation between various existing organizations (including intergovernmental and international organizations responsible for the management and governance of relevant activities in the ABNJ oceans such as the International Maritime Organization, the International Seabed Authority, and several regional fisheries management organizations) would contribute to combating degradation of the open oceans and their ecosystems.

This is a Child Project which falls within the overall Programmatic approach as part of the GEF 7 ABNJ Programme which includes similar Child Projects on high seas fisheries, etc. Within this context it will be important for the Child Projects to coordinate and communicate with each other as well as with the overall Programme management body. It is expected that the Child Projects would meet up with each other under the umbrella of the Programme itself. However, interim arrangements will be made to maintain communications, share information and particularly exchange lessons and best practices between the Child

Projects. This will be elaborated more effectively in the Full Project Document once the Child Projects have received more guidance on this from the Programme management and its implementing agencies.

The Sargasso Sea Commission is considered by many ‘BBNJ’ experts to be an “innovative approach to high seas governance” that provides “a new paradigm” for stewardship of the high seas. It has to date been financed by a unique mix of private philanthropy and governmental support. Although the Sargasso Sea is an iconic high seas ecosystem, its governance is typical of most high seas areas – in that human activities are regulated purely on a sectoral basis – with no overarching co-ordination framework that can detect governance gaps or cumulative impacts of such activities. This new stewardship approach pilots and promotes closer interaction and partnership. The UN BBNJ current (2020) negotiating text envisages “legal agreements and networks” (draft art 19) for ABNJ. The challenges facing the Sargasso Sea are common to most other high seas areas and so the Sargasso Sea approach is likely to be an important model for other ABNJ, thus providing strong opportunities for both replication and scaling-up.

The Outcomes listed above will directly respond to the requirements of the GEF 7 Programming Directions by aiming to deliver improved stewardship within a globally important ABNJ and to address any identified threats from commercial activities. The project will build on the existing collaborative efforts of the Commission through the Hamilton Declaration in achieving an area-based ecosystem management approach and will encourage and promote coordination and cooperation across a wide range of stakeholders and responsible institutions/bodies, including neighbouring LME management mechanisms. The existing collaborations and partnerships have some considerable history of success already and this will help to ensure further the long-term uptake and sustainable impact of this project into the future, The Commission has already reached out to the Caribbean LME community which has expressed a willingness to establish a partnership with the Commission to their mutual benefit, particularly in the area of fisheries and tourism. The full Project Document will elaborate on this partnership and its objectives and deliverables. Other linkages to the relevant Eastern Caribbean States will be further explored during Project Preparation and captured as appropriate in the full Project Document. This will help to enhance the linkages between this ABNJ and dependent coastal communities. One particular area of collaboration between the Commission and the Eastern Caribbean States (through the Secretariat of the Cartagena Convention, Caribbean Regional Coordinating Unit) and West African States (through the Abidjan Convention) would be related to the causes and impacts of massive accumulations of the brown macro-algae Sargassum in the nearshore environment of the Caribbean and West Africa. This issue is now of such global concern that it has been referred to GESAMP²⁶ for a scoping activity to advise the UN agencies on the extent of the problem, its long-term predictability and potential mitigating or adaptive actions. Although the source of such massive accumulations has not been traced back to the Sargasso Sea (but to other sources), information related to the Sargassum arising from the TDA and on-going monitoring processes established thereafter could be of considerable value.

The Project also aligns with the thematic papers and initial findings of the High-Level Panel on Sustainable Ocean Economy through a number of their Blue Papers as shown below:

HLP Blue Papers	Areas of Complementarity with Sargasso Sea Project
The future of food from the seas	
The expected impacts of climate change on the ocean economy	
National Accounting for the ocean and ocean economy	Noting the critical role of national accounting in achieving a sustainable ocean economy, and major gaps

²⁶ Joint Group of Experts on the Scientific Aspects of Marine Environmental Pollution - <http://www.gesamp.org/>

	in how the ocean, ocean services, and ocean assets are currently treated in national accounts.
Ocean Finance	Identifying financing mechanisms that can support the ocean transition in an inclusive manner and how catalytic funds can be mobilised to finance that transition. Recommending new solutions that incentivise sustainable management.
Critical habitats and biodiversity: Inventory, thresholds and governance	Examining the distribution of species and critical marine habitats. Analysing trends in drivers, pressures, impacts and response; Establishing thresholds for protecting biodiversity hotspots, and indicators to monitor change. Assessing the current legal framework and available tools for biodiversity protection, current gaps in ocean governance and management and the implications for achieving a sustainable ocean economy
The relationship between humans and their ocean planet	Related to concerns about the appropriation of marine resources and displacement of indigenous visions for ocean governance by identifying ways in which these culturally distinct institutions are compatible and charting a path toward inclusive ocean governance.
The ocean transition: what to learn from system transitions	This Blue Paper considers the current dynamics of transition already underway; alternative future transition pathways; and policy or other responses that can help encourage a transition to a more sustainable ocean.

Cognizant of the United Nations Decade of Ocean Science for Sustainability (2021-2030), the Project will also engage with IOC of UNESCO as they support efforts to reverse the cycle of decline in ocean health and gather ocean stakeholders worldwide behind a common framework that will ensure ocean science can fully support countries in creating improved conditions for sustainable development of the Ocean (see ‘The Science We Need For The Ocean We Want’ at <https://www.oceandecade.org/> The Child Project Outcomes and Outputs will be particularly relevant to certain Decade activities and focus such as Clean Oceans (Where sources of pollution are identified and removed), Healthy & Resilient Ocean (Where marine ecosystems are mapped and protected), Predicted Oceans, Sustainable Productive Oceans (Where society has the capacity to understand ocean conditions), (To ensure the provision of food supply), and Transparent & Accessible Ocean (With open access to data, information and technologies).

During the Project preparatory stage, the Commission and its signatories will also seek to identify and engage with other GEF-eligible partner countries that depend on or have an impact on the Sargasso Sea. Two such countries have already been identified by the meetings of the Commission and Signatories. These are Haiti (which supports adult populations of eels) and Morocco (where young eels, although not a cultural delicacy, are processed into adults for the sushi market). Algeria is also a GEF-eligible country and the PPG process will explore the feasibility and value of bringing Algeria in as a partner to the Project. The history behind Haiti’s possible involvement relates back to the largely unregulated fishery for glass eels of the species *A. rostrata* in the Dominican Republic. All of these eels are exported to China via Hong Kong. One intention is to use some of the project preparation funds to support a workshop in the region that would address the need for capacity building, with further funding support from one of the partners or co-financiers. In this context, Haiti (through their Ministry of Foreign Affairs) has expressed an interest in joining in on such a workshop. Morocco, meanwhile, could be an important partner country. Although the

European Union has strict regulations over the glass eel fishery in Europe, their regime/jurisdiction does not cover the North African States. Both Morocco and Algeria attended the Range State meetings that the SSC held with the Convention on Migratory Species in 2018 as well as 2019. Both countries have expressed an interest in receiving assistance and support with their capacity building for improved eel regulation and monitoring and this could be discussed further with these countries during the preparatory stage. Any specific allocation of GEF funding for these activities and to support these countries would be determined and identified during the PPG along with the respective co-financing from those countries. Furthermore, the PPG would also identify any relevant co-financing for these activities from non-GEF eligible countries such as from the EU or the USA.

The Commission already has close working relationships with NAFO and ICCAT and this collaboration would be strengthened further in order to identify the level of impact from fishing (both licenced and IUU) and associated bycatch on the ecosystem. Further linkages to be explored and implemented as appropriate will include those between the Sargasso Sea area as a spawning ground for high-value eels and the capture and marketing industry in those countries that harvest these eels. Of particular concern will be the illegal trade in such countries. Glass eels have, in the past, been targets for smugglers who illegally poach and smuggle the small creatures from Europe to Asia, where the eels are then raised in aquaculture operations. The small eels can be worth up to EUR 2,000 (USD 2,204) per kilogram, allowing smugglers to make a large amount of money in a short period of time. Europol, the E.U.'s law enforcement agency, recently revealed that 5,789 kilograms of smuggled eels have been seized in Europe (value of over USD 12.6 million)²⁷. and 154 people have been arrested during the latest fishing season. This will help to expand the benefits of better management in the Sargasso Sea to national waters and *vice versa* by ensuring a healthier stock of adults from the returning immature eels.

The Project will further the knowledge not only of the Sargasso Sea as an ecosystem but also provide a demonstration of how effective stewardship process may be evolved that can pave the way for better global management of ABNJ and BBNJ. Interaction and input to such global information bases such as IW:LEARN, (OBIS) the Ocean Biogeographic Information System), ICES (International Council for the Exploration of the Sea) and similar bodies and mechanisms will assist and promote the sharing of such knowledge and experiences. It is intended that the experiences and results from this project will be replicable in other similar (ABNJ) geographic areas and ecosystems and this project will thereby constitute an innovative opportunity for development of such mechanisms.

Even at the early stages of Project development, the Commission has already identified substantial commitments and co-financing from its partners (greater than 7:1 of mostly grant financing against the GEF contribution) which complement GEF funding rather than duplicate it and provide significant funds for areas beyond GEF eligibility which are nevertheless essential for effective management purposes (e.g. research and science at the baseline and for monitoring purposes). This confirms the strong interest and concern among the stakeholder community as well as the long-term sustainability of this intervention and its subsequent management and stewardship agreements and actions. The expected benefits from this project promise to extend significantly beyond the cost of the GEF investment.

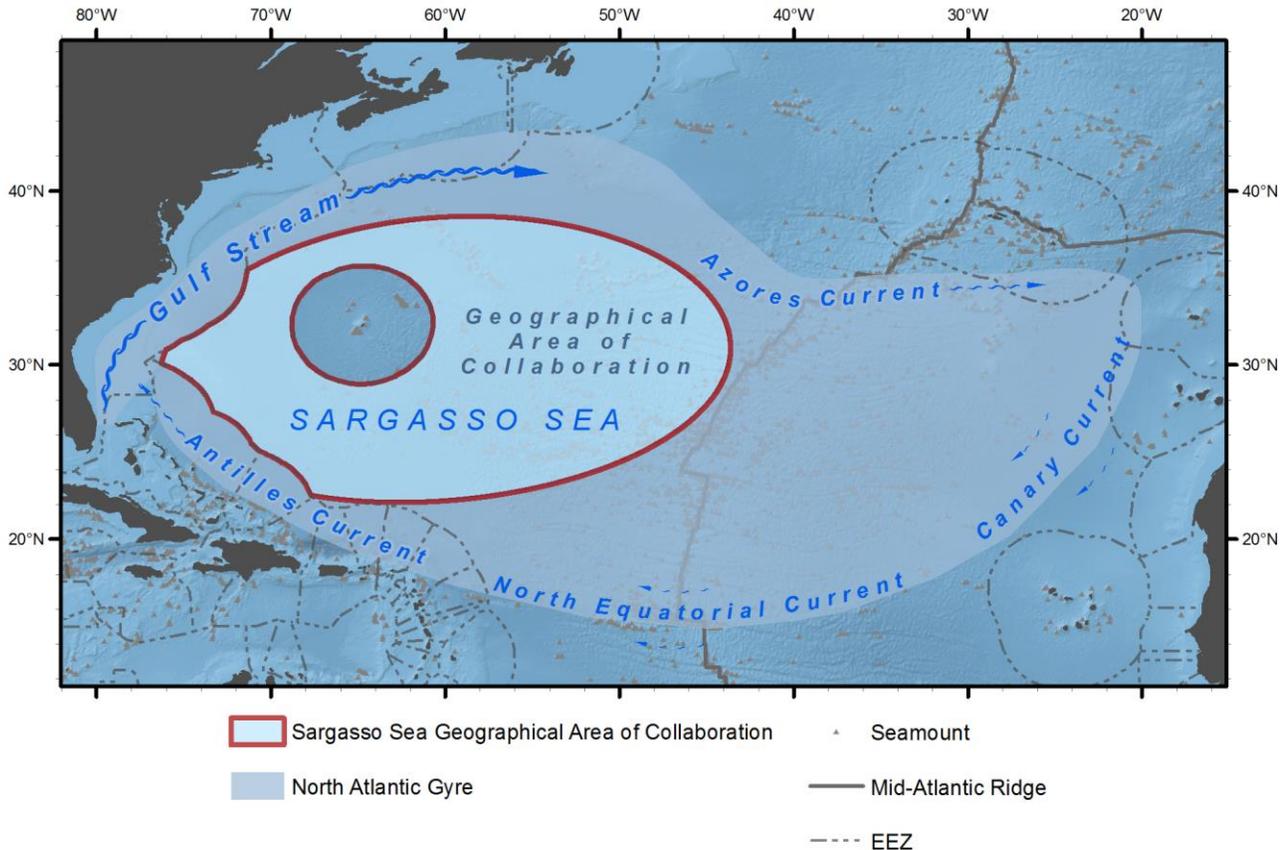
Gender diversity for this Project is reflected within the Government Focal points of the Signatory Governments (5 out of 10) and in the Secretariat (50%). Two of the seven current Commissioners are women and the Commission is striving to increase this participation. The Project has little control over the human activities taking place within the Sargasso Sea – such as navigation and fishing which are traditionally male oriented, but it can ensure gender and other diversity in its staff and the meetings that it

²⁷ <https://www.seafoodsource.com/news/environment-sustainability/positive-signs-for-european-eels-as-recruitment-increases> accessed 29 November 2019

convenes. A full Gender Analysis and Gender Mainstreaming Plan will be prepared during the PPG in line with GEF and UNDP policies and guidelines.

ANNEX 1: THE SARGASSO SEA AREA OF COLLABORATION AND THE HAMILTON DECLARATION

The map below indicates the Sargasso Sea “Area of Collaboration” (annexed to the Hamilton Declaration, including some of the major features that influence overall boundary definition and location. The line around Bermuda represents the innermost boundary of the area marking the edge of the 200 nm Bermuda EEZ.



The Sargasso Sea Alliance, led by the Government of Bermuda, started laying the groundwork for international collaboration to provide stewardship for this area. As a result of these efforts, supportive governments convened in Bermuda in March 2014 to finalise and sign the Hamilton Declaration on Collaboration for the Conservation of the Sargasso Sea. The Hamilton Declaration was the result of a two-year negotiation between interested governments that are either located in the broader Sargasso Sea area or have an interest in high seas conservation. There are now ten signatories to the 2014 Declaration, namely the Azores, Bahamas, Bermuda, British Virgin Islands, Canada, Cayman Islands, Dominican Republic, Monaco, the United Kingdom and the United States. Other governments including the Netherlands, South Africa and Sweden have actively supported the Declaration. The Declaration and its signatories endorsed the establishment of a Sargasso Sea Commission to exercise a stewardship role for the Sargasso Sea and to encourage and facilitate voluntary collaboration toward the conservation of the Sargasso Sea. The Commission has a wide network of collaborating partners from academia, the private sector and the national and international NGO community and bodies such as IUCN which represents both government and civil

society.²⁸ These partners, along with the existing mandated bodies variously responsible for activities within the Sargasso Sea area, will create the stakeholder base for the Project initially and further partnerships will be developed and embraced as appropriate through the Project and their different roles recognised and employed in the overall management and stewardship process. In particular these stakeholders will form the basis of both the delivery and the targets for capacity building for more effective management. The stakeholder engagement and partnership process will aim to develop stronger cooperation and coordination that will help to promote and implement stronger and more effective cross-sectoral management and stewardship of this ecosystem.

In line with the Hamilton Declaration, the intended purpose of the proposed Project, supported by GEF through UNDP implementation, would be:

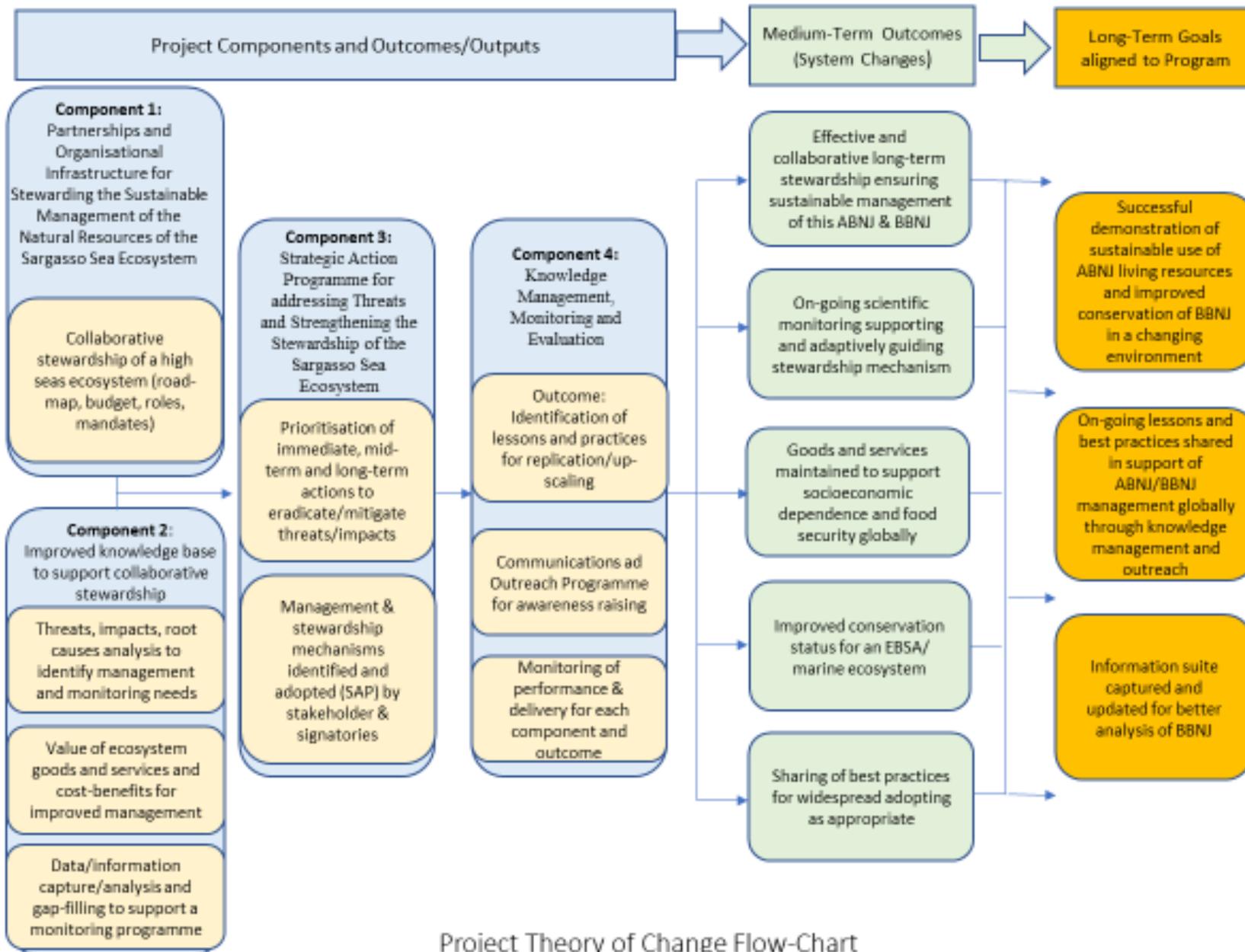
- A. To assist the signatories to the Hamilton Declaration and their partners to collaborate to the extent possible, in pursuing conservation measures for the Sargasso Sea ecosystem through existing regional and international organisations with relevant competencies (as agreed in the Declaration)
- B. To consider the means and modalities by which Signatories could, according to their mandate and their means, support the work of the Commission
- C. Encourage relevant regional and international organisations, as well as other bodies and entities, who wish to contribute to efforts to conserve the Sargasso Sea ecosystem in accordance with the Declaration to participate as collaborating partners.

The signatories and the Commission are of the opinion that this can best be achieved through the development and adoption of a more focused and effective collaborative stewardship regime for the long-term conservation and sustainable use of the Sargasso Sea, consistent with the UNCLOS and its implementation agreements and following an Ecosystem-Based Approach. Such a stewardship regime would include the involvement and direction of the mandated bodies already responsible for management in the ecosystem along with other stakeholders and partners.

This project is developed within the framework of the intergovernmental collaboration established by the 2014 Hamilton Declaration. The proposal has been developed in close collaboration with the representatives of the 10 governments which have signed the Declaration and notably the 6 States involved - namely Bahamas, Canada, Dominican Republic, Monaco, United Kingdom and the United States. These States are actively involved in the BBNJ process at the United Nations. GEF specifically notes (in its GEF-7 Programming Directives) that it will support investments related to the ‘Collaboration among relevant international, regional and domestic bodies on area-based management in national waters and ABNJs’;

²⁸ <http://www.sargassoseacommission.org/about-the-commission/collaborating-partners> and <http://www.sargassoseacommission.org/about-the-commission/programmatic-partners>

ANNEX 2: PROJECT THEORY OF CHANGE AND LINKAGES TO PROGRAM



Project Theory of Change Flow-Chart

ANNEX 3: GEF 7 CORE INDICATOR WORKSHEET

Project Core Indicator 5 Area of marine habitat under improved practices to benefit biodiversity

Approximately 685 Million hectares of marine habitat will come under improved management to benefit biodiversity and a Strategic Action Programme will be adopted that will provide the mechanism, infrastructure, agreed activities and partnerships for effective monitoring and stewardship of this area beyond national jurisdiction.

The area to come under improved management has already been identified as per the map below. The Strategic Action Programme would be adopted prior to the Terminal Evaluation of the Project.

ANNEX 4: RISK ASSESSMENT TABLE

Risk Type	Description of risk	Likelihood of risk (H,M,L)	Impact of risk (H,M,L)	Suggested mitigation measures
Political	Collaborating / Signatory Governments fail to support the project or its proposed SAP	L Commission has six years' experience working with Signatory Governments	M	Maintain existing close communications and contact with government focal points and other stakeholders throughout the project cycle. Strengthen and expand the partnerships and interaction in order to consolidate a single, interactive stewardship approach
Institutional	Being a High Seas Project, no entity provides an institutional base	L Commission already has a current base	M	Several institutions have already offered to provide a long-term base for this stewardship process in the context of offices, administrative support and utilities
	Inadequate capacity built to effectively monitor the ecosystem and 'manage' this stewardship approach	L	M	Much of the scientific and technical capacity is already available through the evolving partnerships. Component 2 of the Child Project will focus on identifying any critical gaps and addressing these through a dedicated CB&T programme. This will include building capacity for adaptive, solutions-based ecosystem management and institutional support
Governance	The Project ultimately fails to develop, adopt and implement a governance mechanism based on interactive stewardship	L	H	A formal, standard UNDP GEF Monitoring and Evaluation Process and Plan with associated budget will be incorporated into the full Child Project including quarterly and annual reporting as well as a Mid-Term Review and a Terminal Evaluation. This will further be the priority subject of review by the regular meetings of the Steering Committee

Financial/economic	Co-financiers fail to deliver expected support	L	M	Wide diversity and spread of co-financiers which have been subject to detailed outreach and awareness raising from the Commission over several years including sharing of information and mutual attendance at appropriate venues. The desire to support is thus very real and mostly fostered over a long period
	Project fails to establish and implement a long-term financial sustainability road map	L	H	The long-term financial support will be identified as part of the development of the Strategic Action Programme as is standard for such SAPs. This will be one of the priorities also in establishing the long-term institutional arrangements. This will be further elaborated and explained in the full document
	Project intervention is insufficient to prevent the economic impacts from the depletion of important natural resources dependent on the Sargasso Sea	L	M	The planned project design is such that it will only improve the control and mitigation of any deleterious economic impacts on stakeholders and users of Sargasso Sea resources The RF will be designed to ensure that appropriate indicators and targets are included to monitor sustainability of natural resources where feasible
Social	Stronger management and stewardship may impact on existing exploitation of natural resources (e.g. fishing)	L	M	On the contrary, a more effective stewardship of the Sargasso Sea and its resources will ensure long-term sustainability and access to such resources which would otherwise likely be depleted fast and create issues related to food security, livelihoods and general community well-being well beyond the system boundary of the Sea itself. Furthermore, the development process for the full project will carry out a SESP (Social and Environmental Screening Process) which is a requirement of the Implementing Agency
Environmental (including climate change up to 2050)	Major changes to the Sargasso Sea Currents and Ecosystem particularly warming and acidification	M/H	L	The project is designed to analyse and model possible impacts on the ecosystem from climate change and recognise any associated Adaptive management /stewardship requirements or guidelines

GEF-7 CHILD PROJECT CONCEPT

CHILD PROJECT TYPE: Full-sized Child Project

PROGRAM: Other Program

Child Project Title:	Global Coordination Project for the Common Oceans ABNJ Program
Country:	Global
Lead Agency	FAO
GEF Agency(ies):	UNEP UNDP

INDICATIVE FOCAL/NON-FOCAL AREA ELEMENTS AND FINANCING

Programming Directions	Trust Fund	(in \$)	
		GEF Project Financing	Co-financing
IW-2-4	GEFTF	2,752,294	6,400,000 (tbc)
Total Project Cost		2,752,294	6,400,000

PROJECT COMPONENTS AND FINANCING

Project Objective: to maximize the effectiveness, efficiency and sustainability of GEF-7 investments in the Common Oceans ABNJ program						
Project Components	Component Type	Project Outcomes	Project Outputs	Trust Fund	(in \$)	
					GEF Project Financing	Co-financing
1. Programme coordination, monitoring and adaptive management	Technical Assistance	<p>1.1 The Program and its child projects (including participating partners) are collaborative and adaptive, through an effective and synergistic programme.</p> <p>1.2 Project partners, integrated and aligned on coordinated and prioritized actions, where appropriate, to increase effectiveness of the interventions at</p>	<p>1.1.1 Programme-wide coordination of actions that are common to two or more child-projects to ensure they are consistent and cohesive</p> <p>1.2.1 Collaborative partnerships synergizing their actions and products on common issues in the ABNJ following an agreed partnership strategy</p> <p>1.3.1 Harmonized programmatic M&E system with agreed indicators to guide adaptive program management and reporting and child</p>	GEFTF	650,000	1,500,000

		<p>Program and Child Project levels</p> <p>1.3 The progress of the child projects and the program are effectively and consistently monitored.</p>	<p>project M7E systems.</p>			
<p>2. Knowledge management, communications and outreach, and capacity building for effective and integrated sustainable use of the ABNJ</p>	<p>Technical Assistance</p>	<p>2.1 Experiences and models of sustainable use of ABNJ are collated, analyzed and effectively communicated, stimulating scaling up</p> <p>2.2 Increased capacity among global, regional and national actors in common areas of learning (e.g. ecosystem approach, natural capital assessment, climate change, monitoring, control and surveillance (MCS) communication)</p> <p>2.3 General public increasingly aware of ABNJ issues and the actions of the Program to</p>	<p>2.1.1 Integrated Program and Child Project communication strategy developed and implemented with common messaging and guidance for coordinated, consistent and harmonized dissemination of knowledge.</p> <p>2.1.2 Guidance and support provided to the projects for consistent and harmonized dissemination of knowledge products that capture lessons learned.</p> <p>2.2.1 Access to capacity building tools (.g. e-learning) developed and their use at the Child Project level is facilitated.</p>		<p>700,000</p>	<p>1,500,000</p>

		address these issues	2.3.1 Consistent and branded outreach for civil society and stakeholders of knowledge and results communicated by Child Projects and coordinated at the Program level			
3. Innovative private sector engagement in the ABNJ	Technical Assistance	3.1 The private sector enabled to engage and innovatively invest in collective action to address “global” or “ABNJ wide” sustainability	3.1.1 Strategic documents (e.g. natural capital assessment) and forums (e.g. investor market place) identified and promoted, to improve investor understanding of the options, costs, risks,		1,271,232	3,000,000

		<p>issues (e.g. marine litter/ghost gear,)</p> <p>3.2 Model/approach for improved engagement of the private sector in addressing collective action in the ABNJ based on lessons learned developed, established and operational. At least one pilot private sector partnership explored to better understand the feasibility of different options including possible income streams, financial sustainability, operating costs and risks as well as impact on sustainability</p>	<p>sustainability impacts and financial feasibility for innovative financing and to attract private sector partnerships to support actions to address ABNJ-wide sustainability issues.</p> <p>3.2.1 Based on 3.1.1 feasibility results prepared in collaboration with private sector partner(s) and a project partner, develop at least one investment “agreement” that contributes to realizing Program objectives (e.g. improved traceability, catch documentation etc.).</p> <p>3.2.2 Pilot study to demonstrate improved private sector engagement using the value chain approach for improved uptake of best practices to improve the 3 pillars of sustainability for resource use in ABNJ.</p>			
Subtotal					2,621,232	6,000,000
Project Management Cost (PMC)					131,062	400,000
Total Project Cost					2,752,294	6,400,000

INDICATIVE SOURCES OF CO-FINANCING FOR THE PROJECT BY NAME AND BY TYPE, IF AVAILABLE

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Investment Mobilized	Amount (\$)
GEF Agency	FAO	Grant	Recurrent expenditures	3,400,000 (tbc)
Civil Society Organization	Conservation International	Grant	Recurrent expenditures	1,500,000 (tbc)
Civil Society Organization	WWF-US	Grant	Recurrent expenditures	1,500,000 (tbc)
Total Co-financing				6,400,000 (tbc)

TRUST FUND RESOURCES REQUESTED BY AGENCY(IES), COUNTRY(IES), FOCAL AREA AND THE PROGRAMMING OF FUNDS

GEF Agency	Trust Fund	Country/Regional/Global	Focal Area	Programming of Funds	(in \$)		
					GEF Project Financing (a)	Agency Fee (b)	Total (c)=a+b
FAO	GEFTF	Global	International Waters		2,752,294	247,706	3,000,000
Total GEF Resources					2,752,294	247,706	3,000,000

PROJECT PREPARATION GRANT (PPG)

Is Project Preparation Grant requested?

- Yes If yes, PPG funds **have to be requested via the Portal** once the PFD is approved
 No If no, skip this item.

PPG AMOUNT REQUESTED BY AGENCY(IES), TRUST FUND, COUNTRY(IES) AND THE PROGRAMMING OF FUNDS

GEF Agency	Trust Fund	Country/Regional/Global	Focal Area	Programming of Funds	(in \$)		
					PPG (a)	Agency Fee (b)	Total c = a + b
FAO	GEF TF	Global	International Wate		100,000	9,000	109,000
Total PPG Amount					100,000	9,000	109,000

PROJECT'S TARGET CONTRIBUTIONS TO GEF 7 CORE INDICATORS

Provide the relevant sub-indicator values for this project using the methodologies indicated in the Core Indicator Worksheet provided in Annex B and aggregating them in the table below. Progress in programming against these targets is updated at the time of CEO endorsement, at midterm evaluation, and at terminal evaluation. Achieved targets will be aggregated and reported at anytime during the replenishment period. There is no need to complete this table for climate adaptation projects financed solely through LDCF and SCCF.

Project Core Indicators		Expected at PIF
1	Terrestrial protected areas created or under improved management for conservation and sustainable use (Hectares)	
2	Marine protected areas created or under improved management for conservation and sustainable use (Hectares)	
3	Area of land restored (Hectares)	
4	Area of landscapes under improved practices (excluding protected areas) (Hectares)	
5	Area of marine habitat under improved practices (excluding protected areas) (Hectares)	
6	Greenhouse Gas Emissions Mitigated (metric tons of CO ₂ e)	
7	Number of shared water ecosystems (fresh or marine) under new or improved cooperative management	——
8	Globally over-exploited marine fisheries moved to more sustainable levels (metric tons)	——
9	Reduction, disposal/destruction, phase out, elimination and avoidance of chemicals of global concern and their waste in the environment and in processes, materials and products (metric tons of toxic chemicals reduced)	
10	Reduction, avoidance of emissions of POPs to air from point and non-point sources (grams of toxic equivalent gTEQ)	
11	Number of direct beneficiaries disaggregated by gender as co-benefit of GEF investment	1,200 women and 1,200 men

PROJECT DESCRIPTION

1. Country Context

Describe the country's relevant environmental challenges and strategic positioning relative to the systems transformation proposed for the program, including relevant existing policies, commitments, and investment frameworks. How are these aligned with the proposed approach to foster impactful outcomes with global environmental benefits?

The overall Common Oceans ABNJ program seeks to address the four key barriers identified during the formulation of the programmatic Theory of Change which were (as currently worded):

- Inadequate policies, processes and incentives for effective governance and management in ABNJ;
 - Insufficient capacity – systems, mechanisms, tools, knowledge, human and financial resources - for effective management and sustainable utilization of ABNJ natural living resources;
- Weak multi-sector coordination to support sustainable use of ABNJ;
- Poor awareness and understanding (and, in some cases, misunderstanding) and limited support among civil society and decision-makers on issues affecting ABNJ.

These will be addressed through four Program components aimed at:

- (i) Strengthening frameworks, processes and incentives for more effective fisheries governance and management in ABNJ;
- (ii) Improving capacity to manage fisheries sustainably in ABNJ;
- (iii) Improving stakeholder coordination and engagement in multi-sectoral processes addressing governance and management of ABNJ;
- (iv) Improving Knowledge and Knowledge Management for more informed decision-making among stakeholders to support sustainable utilization of ABNJ

Activities aimed at achieving the programmatic outcomes are grouped into four “child” projects: two cover global fisheries in the ABNJ, one covers issues of capacity building in cross-sectoral management and another one focused on the Sargasso Sea as an example of multi-sectoral collaboration in the conservation of a particular ecosystem. The Global Coordination Project (GCP) provides arrangements for the child projects to interlink (while retaining their individuality), in order to more efficiently achieve large-scale impacts on the global management of the ABNJ and in delivering the SDGs. While Goal 14 and in particular targets 14.2, 14.4 and 14.7.1, the project will also contribute to SDG1 (Poverty), SDG12 (Sustainable Production and Consumption) and SDG17 (Partnerships). The services to be provided include facilitating coordination among the child projects, partnership building at the programmatic level, cohesive knowledge management, communications, outreach, capacity building and monitoring and evaluation, and opportunities for innovative means of financing, focusing on private sector.

By fostering communications and outreach to a range of stakeholders, including the private sector, as well as scaling up and playing a coordination role across the program, this GCP (in association with the child projects) contributes to meeting the needs for better management of the ABNJ. While all five projects are aimed at overcoming the constraints and barriers to sustainable use and conservation of the ABNJ, the GCP is focusing on program coordination and knowledge management for the purpose of furthering effective sustainable use of the ABNJ including engaging the private sector in collective action to address global or

ABNJ-wide sustainability issues. The GCP will help to ensure that the impacts of the program are sustained on targeted resources and that they are replicated in regions/ with similar conditions and challenges.

The GCP will assist the child projects in delivering their intended outcomes, by providing support to the projects to ensure cohesiveness and consistency at the program level. The GCP will not interfere with the implementation of the technical activities of the child projects, but will promote agreement by the projects on areas of cooperation, coordination and collective action at the programme level. The GCP will monitor and report progress towards program-level outcomes, and make all stakeholders aware of that progress, with inputs from the child projects.

2. Project Overview and Approach

(i) Geographic scope of project

The GCP will support four child projects which will work with States, often cooperating through in inter-governmental fisheries management organizations, that are using or have an interest in the sustainable use of the marine resources and spaces in the areas beyond national jurisdiction (ABNJ). The target locations of the four child projects are areas where human activities might have a negative impact, especially where they link to the ABNJ environment, including areas covered by regional fisheries management organizations (RFMOs) that manage tuna, deep-sea and other fisheries, regional seas conventions and actions plans (RSCAP) and Large Marine Ecosystems (LMEs) that have an interest or are linked to addressing issues in the ABNJ (pollution, biodiversity conservation, environmental impacts) in these areas. The specific target regions of each project are described in each project-specific concept note, together with the challenges, threats and drivers that will be addressed by each project.

(ii) Threats, drivers and barriers to be addressed

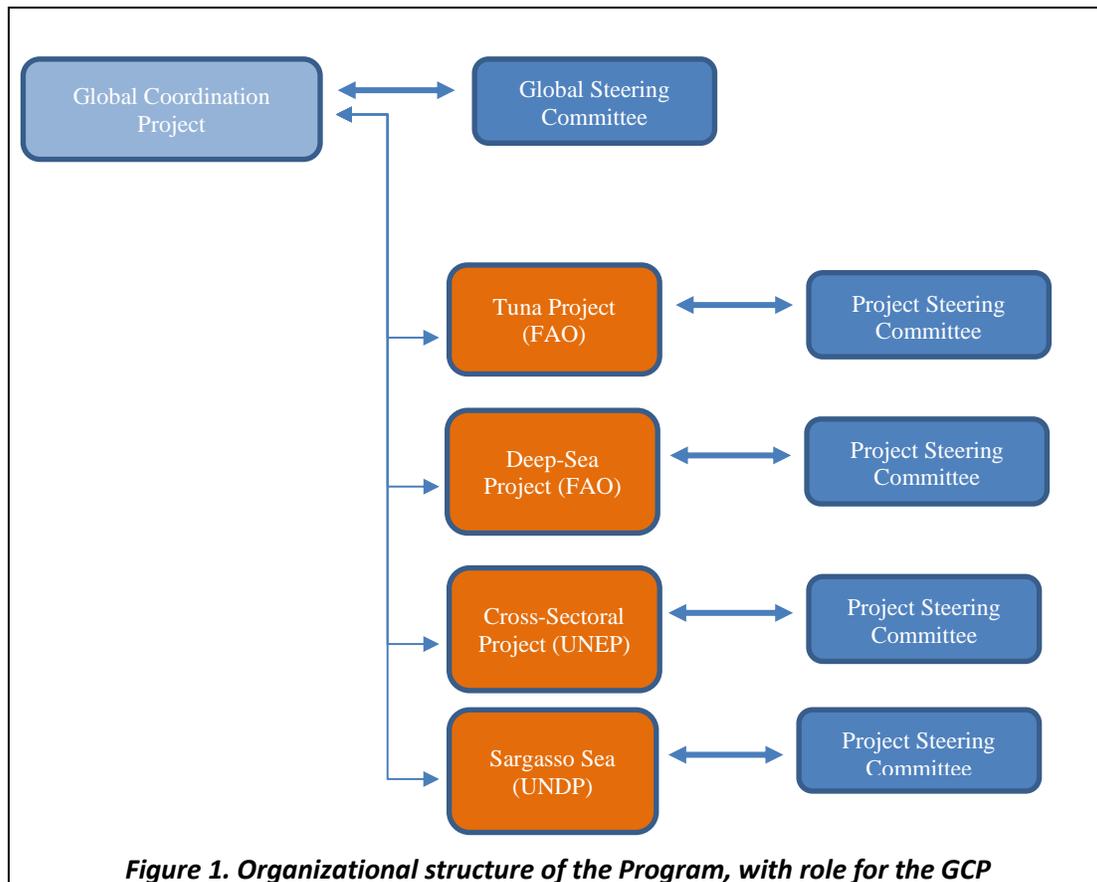
Specifically the projects of the Common Oceans ABNJ Program will focus on addressing the challenges described in the overall programmatic theory of change, including barriers to the efficient and effective sustainable use of ABNJ resources such as: weak compliance and enforcement of regulations in some States; insufficient capacities including financial and human resources to uptake new tools as well as monitoring for adaptive management; weak multi-sector coordination and limited awareness and understanding resulting in limited support by civil society and limited action by policy makers on issues affecting the ABNJ.

While the four child projects will address various barriers, the GCP will assist and collaborate with the four child projects so that they will deliver outcomes in a consistent, coordinated, synergistic and efficient manner so that the impact of the projects operating as a programme is greater than the impact of four independent projects.

This GCP will address some of these common challenges by:

- Providing appropriate coordination mechanisms for gathering, collating, managing and exchanging knowledge among the projects and their partners, as well as globally and regionally across relevant public and private sectors;
- Coordinating communication, knowledge sharing and capacity building in common areas of learning (e.g. ecosystem approach, natural capital assessment, monitoring, control and surveillance (MCS) communication) and identifying synergies between the projects addressing different sectors as well as different fisheries (e.g. between tuna and deep-sea fisheries) and especially, for engaging the private sector;
- Strengthening the capacity of project beneficiaries to better collaborate in the use of ABNJ resources through the coordination of common areas of learning and in a consistent and harmonized way across projects;

- Facilitating engagement of the private sector to encourage long-term innovative financing focused on addressing issues in ABNJ through an improved understanding of the opportunities for investing as well as for corporate social responsibility;
- Monitoring and evaluating the performance and progress of projects to support adaptive management;



- This work builds on the lessons learned and success stories of the previous Common Oceans ABNJ Program by replicating, scaling up and innovating, or correcting where necessary.

By providing these services, the GCP will in turn enable the child projects to more effectively address the specific sector challenges to sustainable management of ABNJ resources, assist countries in participating effectively and leading global processes such as the Biodiversity Beyond National Jurisdiction (BBNJ), and to better manage targeted fisheries resources and other sectors as well as the integrated and sustainable use of shared spaces in the ABNJ.

Facilitating the coordination of common activities across the child projects will improve the effectiveness of the individual child projects and the program as a whole, allowing cost-savings and efficiencies; wider dissemination of results and lessons to broader audiences where individual projects would have less reach; increased opportunities for building and sharing of technical capacity including exchange of ideas on approaches, techniques and tools between projects (particularly tuna and deep sea projects); opportunities for new partnerships and investment in actions to move towards the sustainable use of ABNJ.

A partnership strategy will be key to ensuring that stakeholders participating in all of the individual projects understand and commit to the Program goals and objectives as well as contributing, where relevant, to the success of the other projects, and in turn, this project will also provide partners with full benefits from the partnerships.

Describe the existing or planned baseline investments, including current institutional framework and processes for stakeholder engagement and gender integration;

(i) Knowledge management and Communication

The GCP Project will build on the technical outputs of the other four projects under the Program, and an extensive baseline of different mechanisms to facilitate global knowledge management and communication on sectoral and cross-sectoral issues. These include the strengthening of fisheries management of resources based in the ABNJ or straddling between the ABNJ and EEZs, providing sound science-based information to the BBNJ process, as well as supporting efforts towards cross-sectoral cooperation in the ABNJ. These include:

- The Regional Fisheries Management Organizations (RFMOs) with a mandate in the ABNJ. There are five tuna RFMOs and eight deep-sea RFMOs, all of them potential partners in the ABNJ program, covering more than 90 countries. All RFMOs have regional knowledge sharing hubs and active mechanisms to collect and process data for assistance in science-based decision making. The GCP will assist the child projects in identifying opportunities for sharing of experiences and south-south cooperation.
- Regional Fishery Body (RFB) Secretariats Network (RSN) and the Regional Seas Conventions and Action Plans (RSCAPs). These networks facilitate information exchange and collaborate on common issues among the Secretariats of different RFB (more than 50 exists) and RSCAPs (18 exists) and LMEs respectively and more recently coordination and collaboration between RFBs and RSs (e.g. GFCM²⁹ and MAP; NEAFC and OSPAR) on matters of common interest.
- Partners in the Common Oceans ABNJ Program such as UNEP and its collaborating centers (WCMC and GRID Arendal), the Global Ocean Forum, WWF-US and others, maintain knowledge hubs at global scales for a range of ocean data including marine protected areas, seabed mapping and other relevant data sets. The GCP project will work with these partners, and others such as the Global Ocean Forum, the RFMOs, RSCAPs, LMEs and private sector as information conduits and platform, through the child projects, for not only sharing knowledge but for cross-sectoral information integration, best practices and e-learning. This will facilitate regional and global transfer of information into the Program and its child projects as well as the wider outflow of knowledge and other information projects through these institutions to stakeholders at regional and national levels.

(ii) Partners coordination/collaboration/integration

The project will create and maintain a partnership among the child projects and stakeholders, underpinned by a Partnership Strategy that partners and, in particular, the implementing agencies of the child projects, will agree to, enabling the GCP to effectively support the coordination among child projects as well as facilitate collaboration and integration.

²⁹ General Fisheries Commission for the Mediterranean

In addition, regionally, but still within national EEZs, large marine ecosystem (LME) projects are increasingly recognizing the connectivity between coastal waters and the ABNJ. The LME experiences are valuable and they supplement other approaches and models for cross-sectoral coordination of the sustainable use of ABNJ such as the Sustainable Oceans Initiative (SOI), the UN Ocean Compact and the World Ocean Council. These last two are cross-sectoral efforts that are focused on the private sector awareness and engagement. Communication and knowledge sharing efforts of this GCP and the relevant child projects will capitalize on these links where appropriate and relevant.

(iii) Partnerships with private sector

The awareness of the importance and value of oceans to human well-being is increasing seen in recent and upcoming meetings, and this includes awareness of the need to sustainably manage oceans, but investments in issues that are common or cross-cutting are minimal at this point in time especially by the private sector. To date public-private partnerships are limited to only a few partnerships that are attempting to invest in some of the broader issues facing the unsustainable use of the ABNJ such as biodiversity loss, overfishing, marine debris, etc. This GCP, building on the experiences of the GEF-5 ABNJ Oceans Partnership Project such as the investor marketplace and other recent initiatives such as FAO's Blue Hope, will explore scaling/replicating previous work and innovative financing options to meaningfully target the private sector, through sound feasibility studies, outreach and knowledge sharing and to encourage their investment in sustainable management of the natural resources of ABNJ. Areas of scaling up, replication and innovation such as electronic catch documentation and traceability schemes, using Blockchain technology³⁰, impact investing and blue bonds (e.g. Seychelles). In addition, based on the lessons learned in the GEF-5 Common Ocean ABNJ Program, the GCP will strategically communicate and raise awareness among the private sector so they are better informed about the potential opportunities for investing in the ABNJ outside of their sector as well as for exercising corporate social responsibility. Collectively the partners of the Program including CI (Blue Abhadi Fund) and WWF (Marine Stewardship Council), along with FAO (AquaInvest), have piloted, and in some cases scaled up, innovative solutions for the private sector to finance biodiversity outcomes, and this project will harness this collective knowledge to seek similar financing outcomes. Other initiatives with NGOs and Foundations such as the Meloy Fund will be considered. New partnerships with the private sector to be explored include SEAPACT and SEABOS. Where there have been no demonstrated successes or lessons learned or where there is a question of scalability of previous successes, feasibility studies will be undertaken to engage the private sector. Global platforms such as the World Ocean Council³¹ and the UN Global Compact³² will also be engaged to assist in outreach, information dissemination and private sector engagement.

Specific investors may include International Financial Institutions (IFIs) in particular, multilateral development banks (MDBs) who provide financing and professional advising for the purpose of development will be essential stakeholders for the projects. MDBs could finance projects in the form of long-term loans at market rates, very-long-term loans (also known as credits) below market rates, and through grants, and could be instrumental in implementing some of the innovative financing mechanisms to be proposed under the Global Coordination Project. What follows are some examples of initiatives:

- **PROBLUE** is a new Multi-Donor Trust Fund, housed at the **World Bank**, that supports the development of integrated, sustainable and healthy marine and coastal resources. With the Blue Economy Action Plan as its foundation, PROBLUE contributes to the implementation of Sustainable Development Goal 14 (SDG 14) and is fully aligned with the World Bank's twin goals of ending extreme poverty and

³⁰ <https://fishcoin.co>

³¹ <https://www.oceancouncil.org/>

³² <https://www.unglobalcompact.org/>

increasing the income and welfare of the poor in a sustainable way. PROBLUE focuses on four key areas:

- The management of sustainable fisheries and aquaculture
- Addressing threats posed to ocean health by marine pollution, including litter and plastics, from marine or land-based sources
- The sustainable development of key oceanic sectors such as tourism, maritime transport and off-shore renewable energy
- Building government capacity to manage marine resources, including nature-based infrastructure such as mangroves, in an integrated way to deliver more and long-lasting benefits to countries and communities

Cross-cutting issues such as poverty, livelihoods, gender, climate change and maximizing finance for development, are interwoven throughout the program.

The **Action Plan for Healthy Oceans and Sustainable Blue Economies** from the **Asian Development Bank**, along with a new ADB Oceans Financing initiative, supports the protection and restoration of marine ecosystems and promote inclusive livelihood opportunities. Supporting ADB's developing member countries to improve ocean health and achieve Sustainable Development Goal 14. The Action Plan focuses on four areas: creating inclusive livelihoods and business opportunities in sustainable tourism and fisheries; protecting and restoring coastal and marine ecosystems and key rivers; reducing land-based sources of marine pollution, including plastics, wastewater, and agricultural runoff; and improving sustainability in port and coastal infrastructure development.

The **European Investment Bank (EIB) Clean Oceans Initiative** supports the development and implementation of sustainable, viable and low carbon projects that reduce pollution in the oceans, with a particular focus on plastics. The goal is to finance €2 billion in public and private sector projects by 2023. The initiative has already met more than a third of this target. The initiative was launched in October 2018 by the Agence Française de Développement (AFD), the European Investment Bank and Kf W, the German promotional bank.

The project design will reflect GEF Policy on Gender Equality and will as part of the project's coordination role, ensure that the other four projects are aligned with the strategy and share experiences and lessons learned in the engagement of women in the projects. While gender inclusion and the promotion of gender equality are not specific objectives of the Project, the collection of sex-disaggregated data and information on gender will be incorporated into project design and information on gender dimensions relevant to the activity will be collected. Per FAO Policy on Gender a gender analysis will be completed during project design and, depending on the results, followed by a Gender Action Plan (GAP).

Describe how the integrated approach proposed for the child project responds to and reflects the Program Theory of Change, and as such is an appropriate and suitable option for tackling the systemic challenges, and to achieve the desired transformation with multiple global environmental benefits;

The combination of the vast expanse of the ABNJ and sectors that are often narrowly focused geographically but with the potential for localized impacts such as seabed mining and deep sea fishing, means that risk interventions are often sub-optimal especially in terms of impact, efficiency and cost-effectiveness. Just as it is important that the different sectors coordinate and collaborate and, where possible, integrate actions, it is important that interventions in this program reflect these needs to coordinate and collaborate as well as to deliver an effective and efficient Common Oceans ABNJ Program (Figure 1).

Table 1: Coordination Project linkages.

Project Elements	Tuna	Deep Sea	Cross-Sectoral	Sargasso Sea
Governance	X	X	X	X
MCS/enforcement	X	X		X
Ecosystem Approach	X	X	X	X
Ecosystem valuation				X
Biodiver./environm. impacts	X	X		X
X-sectoral arrangements		X	X	X
Climate change	X	X		X
Knowledge sharing	X	X	X	X
Communication	X	X	X	X
Capacity Building	X	X	X	X
Private Sector investments	X	X		

The child projects will deliver valuable outputs in their respective sectors and the Global Coordination Project is the thread that brings together the common outputs of the child projects (Table 1) allowing them to have the maximum impact to achieve the Program outcomes.

The GCP will maximize Program and projects efficiencies through:

- Facilitating coordination and identification of possibilities for direct collaboration between child projects, especially for common outputs;
- Communication, knowledge management, capacity building on shared issues are coordinated and synergized to ensure cost effectiveness.
- Since duplication of efforts is avoided, the benefits of coordinating and identification of possible joint work planning include efficient use of resources.

The program framework and theory of change focus on four areas: governance and management which includes frameworks, processes and incentives; implementation of the ecosystem approach; capacity to coordinate and engage in multi-sectoral processes; and knowledge and information sharing.

The GCP Project will use the same logic to the program as a whole: knowledge, experiences and best practices generated at project level, and identified as relevant to broader audiences will be managed and shared at regional and global levels to maximize up scaling and promote uptake and replication. Private sector partnerships at the project level will be prioritized on best available information to maximize impact and cost-effectiveness; investments will be coordinated to maximize synergies; and facilitate interactions with regional and global stakeholders of common interests across the projects.

Each Project will generate knowledge and information, some of which will be common across the projects and in some cases it may overlap. The GCP will play a key role in the overall synthesis of output and outcome results across the four child projects for the production of global knowledge products and in the coordination of dissemination mechanisms.

Describe the project's incremental reasoning for GEF financing under the program, including the results framework and components.

The GCP will enable the programmatic approach to deliver added value in terms of effectiveness, sustainability and scale at global and regional levels, as well as distributing synthesized knowledge generated by the projects to the larger group of beneficiaries of the Program.

This programmatic value-added will be generated through the delivery of the three components of the GCP that respond to the project-specific barriers noted above:

Component 1 will deliver programmatic value added by ensuring efficient programme-wide coordination and monitoring of the projects, and ensures coherence and consistency among all child projects included in the program, while also being responsible for facilitating collaborative engagement by relevant entities (institutions, networks, etc.) that could place a major role in advancing transformational change.

In this component an M&E system will be established using standard methods and incorporating child project M&E results and program-level indicators, to guide adaptive program management and reporting including program-wide contributions to GEF-7 core indicators and SDGs. This component will seek to generate synergies between projects, resulting in increases in cumulative impacts, and limit the risk of duplication or conflicts.

Component 2 will focus on knowledge management, communication and outreach and capacity building, through consistent and innovative online tools, and together these will contribute to child project effectiveness. This component will ensure projects respond to and share lessons learned regionally and globally, findings from cutting edge science and best practices, and facilitate links to regional and global knowledge hubs such as the Ocean Action Hub, Oceanhub.org and RevOcean as well as IWLearn where appropriate. It will also contribute to sustained uptake and scaling out of impacts, by ensuring that lessons learned through the child projects are collated and analyzed, disseminated into national, regional and global knowledge hubs with a focus on target stakeholders. As well 1% of the GEF IW funding will be allocated towards supporting and enhancing the Common Ocean website that follows IWLEARN guidance, at least two experience notes, participation in IWCs held during the project implementation period as well as topical and regional events hosted by IWLEARN during project period. The projects/programme website will This component will coordinate the production of information packages that will inform national governments and regional entities, such as EU and UN, and other political decision making processes including the BBNJ process.

Component 3 will focus on enabling the private sector to engage and invest in collective action to address “global” or “ABNJ wide” sustainability issues. Without a better understanding of the opportunities, risks and ways to mitigate these risks provided by this component, many private sector players will be reluctant to explore investing in the sector despite their interest in contributing to the SDG goals. This component will also further test models/approaches/incentives including innovative financing tested (including Bond, Trust Fund, global lottery, impact investment) and risk mitigation measures for better private sector engagement and investment in addressing ABNJ-wide issues. The PPG phase will be used to further explore and identify appropriate private sector instruments for development. Without identification of, and guidance on, suitable models and approaches, much of the private sector will be reluctant to engage.

Engagement with the Global / Regional Framework

Describe how the project will align with the global / regional framework for the program to foster knowledge sharing, learning, and synthesis of experiences. How will the proposed approach scale-up from the local and national level to maximize engagement by all relevant stakeholders and/or actors?

The integration of the GCP into the global framework of the Program is fundamental to its design. The GCP will play a critical role in supporting the Program as a whole through program coordination and monitoring, knowledge sharing and other inputs such as communication, capacity building and private sector engagement as shown in Table 1. The GCP will complement the benefits of the other child

projects by allowing further programmatic value-added to be delivered beyond the result from the project-specific investments, ensuring that the whole of the Program is greater than the sum of the parts.

Overall these benefits will include:

- Increased effectiveness of impact generation due to improved access to global knowledge on lessons learned and disseminated project results globally and regionally, encouraging adaptive management; the results, experiences, effective models, etc, from the other child projects will be transmitted into this GCP Child project, increasing efficiency, reach and impact of project and Program results, experiences and lessons learned;
- Improved cost-effectiveness of investment due to improved and broad understanding of effective tools, approaches and models tested and used in the projects that provide sound information for decision making at regional and global levels as well as for private sector investments; and
- Increased effectiveness in addressing resource management processes and tackling impacts on the use of the ABNJ and its resources operating at global and regional scale.

The engagement of all relevant stakeholders and actors will be facilitated through the development of a Programme Partnership Strategy so that entities participating in projects and the wider programme will have an understanding of what their obligations are in advancing programme goals as well as what they can expect to be delivered by the programme and other partners.

Annex I – Theory of Change

Figure 1: Theory of Change

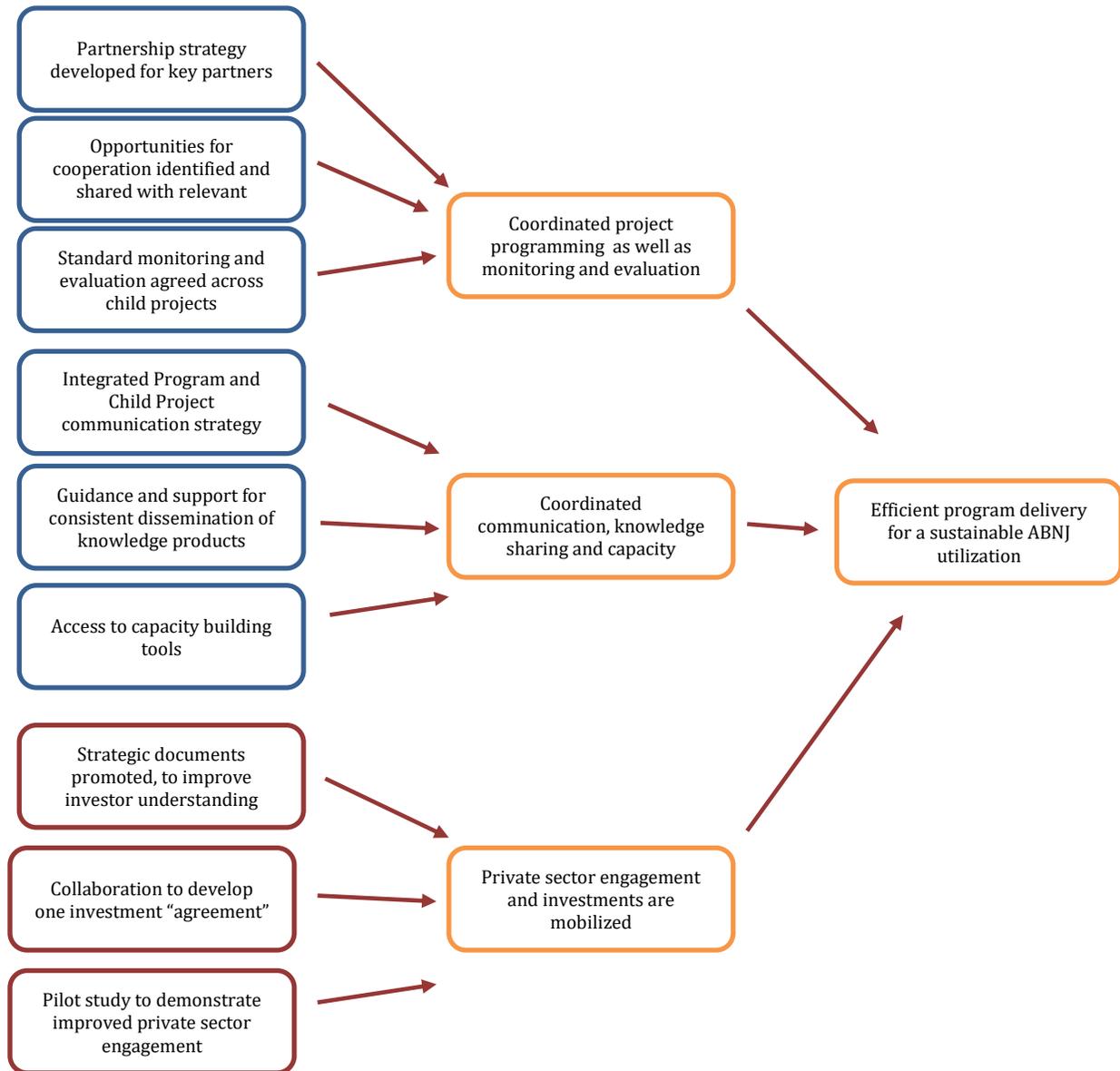


Table 2. GCP conformity with Theory of Change outcomes

Common Oceans ABNJ Program Components	Conformity within Child Project
<p>Component 1: Frameworks and processes for more effective governance and management in ABNJ (including fisheries management) strengthened</p>	<p>The GCP will ensure that frameworks and processes across the other projects will deliver coordinated and effective action by the Child Projects, in particular in the identification of best practices, capacity building and lessons learned.</p>
<p>Component 2: Capacity for better implementation of ecosystem-based management in fisheries management in the ABNJ strengthened</p>	<p>This GCP will coordinate efficient and effective capacity building, including knowledge sharing and communications, so that together the projects will empower stakeholders with capacities to better manage resources, including fisheries, in the ABNJ.</p>
<p>Component 3: Participation in multi-sectoral coordination for more effective governance and management of ABNJ improved</p>	<p>Through improved communication tools and experience and partnership strategies this project, in collaboration with the cross-sectoral Project, will provide stakeholders with the capacity to more effectively participate in multi-sectoral governance and management processes in ABNJ</p>
<p>Component 4: Knowledge and information exchange for more informed decision-making among stakeholders to support sustainable utilization of ABNJ improved</p>	<p>The project will optimize the impact of the results, experiences, lessons learned generated through the projects by synthesizing and analysing information for improved uptake at global, regional and national levels.</p>

GEF-7 CHILD PROJECT CONCEPT

CHILD PROJECT TYPE: Full-sized Child project

PROGRAM: OTHER PROGRAM

Child Project Title:	Deep-sea Fisheries under the Ecosystem Approach (DSF project)
Country:	Global
Lead Agency	FAO
GEF Agency(ies):	FAO

INDICATIVE FOCAL/NON-FOCAL AREA ELEMENTS AND FINANCING

Programming Directions	Trust Fund	(in \$)	
		GEF Project Financing	Co-financing
IW-2-4 Improve management in the areas beyond national jurisdiction (ABNJ) through improved management and sustainable use of the open oceans	GEFTF	4,437,156	59,400,000
Total Project Cost		4,437,156	59,400,000

PROJECT COMPONENTS AND FINANCING

Project Objective: To ensure that DSF in the ABNJ ³³ are managed under an ecosystem approach that maintains demersal fish stocks at levels capable of maximizing their sustainable yields and minimizing impacts on biodiversity, with a focus on data-limited stocks, deepwater sharks and vulnerable marine ecosystems.						
Project Components	Component type	Project Outcomes	Project Outputs	Trust Fund	(in \$)	
					GEF Project Financing	Co-financing
1. Governance - strengthening and implementing	TA	1.1 - Wider adoption, enforcement and compliance of international	1.1.1 - Gaps in regional obligations to (i) manage fish stocks and (ii) reduce fisheries impacts on biodiversity identified (updated) and corrective measures developed.	GEFTF	785,180	11,880,000

³³ Areas beyond national jurisdiction (ABNJ) consist of the high seas and the "Area" as defined in UNCLOS (1982). The use of these term here, and any endorsements or partnerships to the deep-sea project, does not prejudice any claims or rights States may have over their extended continental shelf.

regulatory frameworks		obligations relating to sustainable fisheries (stocks and impacts)	1.1.2 - Measures to address national legal and regulatory gaps in international obligations related to fisheries management piloted in selected countries. 1.1.3 - Gaps in existing capacity to strengthen compliance and enforcement identified and filled (+ tuna ¹).			
2. Strengthening effective management of DSF	TA	2.1 – Effective decision making strengthened to increase sustainability and reduce impacts	2.1.1 - Frameworks to improve science-management interface and exchange strengthened following an ecosystem and precautionary approach (+tuna ¹) 2.1.2 – Uptake of new and innovative approaches and technologies for improved monitoring, reporting and information sharing piloted and introduced (+tuna ¹) 2.1.3 – Management systems promoting and rewarding compliant behaviour along fisheries supply chain (+tuna ¹).	GEFTF	2,355, 510	35,640,000
		2.2 - Improved advice supporting science-based fisheries management	2.2.1 - Stock productivity models developed and advice generated and tested (including demersal and small pelagic species and climate change effects) (+tuna ¹) 2.2.2 - Low-yield and data-limited stocks assessed and managed (+tuna ¹) 2.2.3 – Socio-economic considerations of DSF assessed and information disseminated			
		2.3 - DSF impacts on biodiversity quantified, assessed and managed	2.3.1 - Impacts of DSF on deepwater sharks assessed and mitigated 2.3.2 – Knowledge of impacts of fishing activities on VMEs improved and mitigation measures developed and adopted			
3. Improving understanding and management of cross-sectoral impacts on DSF	TA	3.1 - Improved integration of cross-sector activities to maintain biodiversity and resource sustainability	3.1.1 - Interactions between fisheries and other sectors operating in the deep seas identified and information made available. 3.1.2 - Mechanisms to better mitigate and manage cross-sector impacts on DSF developed.	GEFTF	785,173	11,880,000
4. Knowledge management, communication and M&E	TA	Information and knowledge products, and demonstration of effective project implementation, contribute to raise	Communication and knowledge products, tools and approaches developed and shared through appropriate channels to reach targeted audiences, including relevant knowledge-sharing platforms, such as IW:Learn and Common Oceans;		300,000	

		awareness of project objectives, activities and achievements among stakeholders and target audiences	Processes developed and undertaken to facilitate exchange of lessons learned, best practices and expertise generated during project implementation (inc. IW:Learn at 1%); Operational project M&E systems implemented.			
Subtotal				GEFTF	4,225,863	59,400,000
Project Management Cost (PMC) (at 5%)				GEFTF	211,293	0
Total Project Cost					4,437,156	59,400,000

¹ "+tuna" indicates focus area for collaboration with Tuna Project.

For multi-trust fund projects, provide the total amount of PMC in Table B, and indicate the split of PMC among the different trust funds here: ()

INDICATIVE SOURCES OF CO-FINANCING FOR THE PROJECT BY NAME AND BY TYPE, IF AVAILABLE

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Investment Mobilized	Amount (\$)
GEF Agency	FAO	In-kind	Recurrent expenditure	7,000,000
RFMOs	RFMOs ¹	In-kind	Recurrent expenditure	6,900,000
Private sector	Fishing industry ²	In-kind	Recurrent expenditure	39,000,000
Governments	NOAA	In-kind	Recurrent expenditure	6,500,000
Total Co-financing				59,400,000

¹ RFMOs (GFCM, NAFO, NEAFC, NPFC, SEAFO, SIOFA, SPRFMO)

² Fishing industry (SIODFA, Sealord, ICFA)

Describe how any "Investment Mobilized" was identified.

TRUST FUND RESOURCES REQUESTED BY AGENCY(IES), COUNTRY(IES), FOCAL AREA AND THE PROGRAMMING OF FUNDS

GEF Agency	Trust Fund	Country/Regional/Global	Focal Area	Programming of Funds	(in \$)		
					GEF Project Financing (a)	Agency Fee (b) (at 9%)	Total (c)=a+b
FAO	GEFTF	Global	International Waters	(select as applicable)	4,437,156	399,344	4,836,500
Total GEF Resources					4,437,156	399,344	4,836,500

PROJECT PREPARATION GRANT (PPG)

Is Project Preparation Grant requested?

Yes If yes, PPG funds **have to be requested via the Portal** once the PFD is approved

No If no, skip this item.

PPG AMOUNT REQUESTED BY AGENCY(IES), TRUST FUND, COUNTRY(IES) AND THE PROGRAMMING OF FUNDS

			Focal Area		(in \$)
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GEF Agency	Trust Fund	Country/ Regional/ Global		Programming of Funds	PPG (a)	Agency Fee (b)	Total c = a + b
FAO	GEFTF	Global	International Waters	(select as applicable)	150,000	13,500	163,500
Total PPG Amount					150,000	13,500	163,500

PROJECT'S TARGET CONTRIBUTIONS TO GEF 7 CORE INDICATORS

Provide the relevant sub-indicator values for this project using the methodologies indicated in the Core Indicator Worksheet provided in Annex B and aggregating them in the table below. Progress in programming against these targets is updated at the time of CEO endorsement, at midterm evaluation, and at terminal evaluation. Achieved targets will be aggregated and reported at anytime during the replenishment period. There is no need to complete this table for climate adaptation projects financed solely through LDCF and SCCF.

Project Core Indicators		Expected at PIF ⁵
1	Terrestrial protected areas created or under improved management for conservation and sustainable use (Hectares)	
2	Marine protected areas created or under improved management for conservation and sustainable use (Hectares)	12 million (1)
3	Area of land restored (Hectares)	
4	Area of landscapes under improved practices (excluding protected areas) (Hectares)	
5	Area of marine habitat under improved practices (excluding protected areas) (Hectares)	3,200 million (2)
6	Greenhouse Gas Emissions Mitigated (metric tons of CO ₂ e)	
7	Number of shared water ecosystems (fresh or marine) under new or improved cooperative management	
8	Globally over-exploited marine fisheries moved to more sustainable levels (metric tons)	50,000 (3)
9	Reduction , disposal/destruction, phase out, elimination and avoidance of chemicals of global concern and their waste in the environment and in processes, materials and products (metric tons of toxic chemicals reduced)	
10	Reduction, avoidance of emissions of POPs to air from point and non-point sources (grams of toxic equivalent gTEQ)	
11	Number of direct beneficiaries disaggregated by gender as co-benefit of GEF investment	500 ♀ : 1,500 ♂ (4)

Provide additional explanation on targets, other methodologies used, and other focal area specifics (i.e., Aichi targets in BD) including justification where core indicators targets are not provided.

Notes (1)-(4): Annex 1 provides a summary of the current baselines used to estimate above values. It also provides some more specific project-style indicators that help understand project impacts.

PROJECT DESCRIPTION

1. Context (*maximum 500 words*)

Describe relevant environmental challenges and strategic positioning relative to the systems transformation proposed for the program, including relevant existing policies, commitments, and investment frameworks. How are these aligned with the proposed approach to foster impactful outcomes with global environmental benefits?

The high seas cover 64% of the world's oceans and support many high-value fisheries, marine resources and unique ecosystems. In particular, the deep-seas³⁴ include fragile benthic habitats that are important for ecosystem function.

Deep-sea fisheries (DSF) take place at great depths, at least below 200 meters and often down to 2,000 meters. DSF target demersal species, found on continental shelves, seamounts and ocean ridges, using a range of bottom-fishing gears including bottom-contact and deep mid-water trawls, gillnets, longlines and pots. Annual global DSF harvest was around 226 000 tonnes in 2016³⁵. High seas DSF are valued at about USD 390 million at first sale and are an important source of employment, livelihoods and nutrition.

The impact of deep-sea fisheries activities on fish stocks, habitats and biodiversity emerged as an issue in the latter half of the twentieth century, as DSF rapidly developed with the advent of large trawlers and subsidized fleets assisted by technological advances in positioning systems. Many deep-sea stocks became over-exploited, yields quickly diminished, and many fisheries ceased operation. Some fisheries continued at lower levels, and some new ones have developed.

The legal framework for fisheries management in the high seas falls under the UN Law of the Seas Convention (UNCLOS 1982) and the UN Fish Stock Agreement (FSA 1995). A suite of hard and soft law

³⁴ Areas deeper than 200 meters.

³⁵ FAO. 2020. *Worldwide review of bottom fisheries in the high seas in 2016*. FAO Fisheries and Aquaculture Technical Paper No. 657. Rome, FAO. 344 pp.

instruments provide regulatory details for the management of DSF. These include the FAO International Guidelines for the Management of Deep-sea Fisheries in the High Seas adopted in 2008. States cooperatively manage the high seas fishery and resources through regional fisheries management organisations (RFMOs) which serve as a forum for scientific exchange and decision-making. There are eight regional bodies managing DSF in the high seas: seven RFMOs³⁶ and the Commission for the Conservation of Antarctic Marine Living Resources (CCAMLR³⁷). Figure 1 maps the regional bodies managing and advising on bottom fisheries in the high seas.

With the wider international legal framework seen as weak when it comes to ocean health and biodiversity conservation, with no mechanisms for its direct management and protection, there is currently an ongoing process to develop a new legally binding instrument on the Conservation and Sustainable Use of Marine Biodiversity of Areas Beyond National Jurisdiction (BBNJ) under UNCLOS.

In line with the GEF-7 ABNJ program objective “sustainable use of ABNJ resources and strengthen biodiversity conservation in the face of a changing environment”, the proposed child project aims to ensure that deep-sea fisheries in the ABNJ are managed under an ecosystem approach, minimizing impacts on biodiversity, with a focus on vulnerable marine ecosystems. The project builds on partnerships, results and lessons learned from the GEF-5 ABNJ Deep-seas project³⁸.

2. Project Overview and Approach (maximum 1250 words)

- a) Provide a brief description of the geographical target(s), including details of systemic challenges, and the specific environmental threats and associated drivers that must be addressed;

The project is global, focusing on high seas DSF (see ocean regions and regional management bodies in Figure 1).

Demand for seafood as a source of nutrition and food security is increasing. A growing global population, coupled with a shift in demand for high-quality fish with firm white flesh that is provided by deep-sea species, has resulted in higher demand for demersal species and for the development of new DSF. This poses a significant threat and potential adverse impacts on fish stocks and to biodiversity. The orange roughy fishery in the Indian Ocean is an example of this. The fishery started around 1989, increased dramatically around 2,000 when the number of vessels jumped from 6 to over 40, with catches that jumped from less than 500 mt to over 20,000 mt, followed by a rapidly decline some 5 years later to annual catches of less than 1,000 mt. Another example is the high seas shrimp fishery that developed rapidly around the Flemish Cap in the NW Atlantic around 2000 soon after the cod collapse. Catches increased to almost 30,000 mt by 2008, and then declined to near zero in 2014 when the fishery was closed.

Although some deep-sea stocks are relatively productive and are now managed more sustainably, **one of the main challenges to the sustainable management of DSF and biodiversity conservation is limited information and knowledge about the biology and distribution of the fished stocks and deep-sea ecosystems, and the impacts from fisheries and other activities.** A 2016 survey of 51 targeted and fished deep-sea stocks found that the status of some 50% of the stocks was “unknown”³. In the same survey, ten stocks were assessed as overfished or depleted.

³⁶ GFCM, NAFO, NEAFC, NPFC, SEAFO, SIOFA, SPRFMO - other RFMOs manage highly migratory species (tuna and similar) or are specialised and manage a single species or taxa.

³⁷ CCAMLR in the Southern Ocean has a wider remit under the Antarctic Treaty that includes the whole ecosystem.

³⁸ Sustainable fisheries management and biodiversity conservation of deep-sea living marine resources and ecosystems in areas beyond national jurisdiction.

The extent of DSF impacts on benthic habitats and vulnerable marine ecosystems (VMEs) and on certain slow-growing bycatch species, such as deepwater sharks, is also still largely unknown. A further, and largely unknown and unstudied effect on fish stocks and biodiversity comes from external threats like climate change and new activities such as mineral extraction.

In order to transform DSF into sustainable systems and protect vulnerable marine ecosystems, a number of barriers would need to be addressed.

Barrier 1: Gaps in the adoption, enforcement and compliance of international obligations relating to sustainable fisheries management.

Managing the oceans requires a strong international legal framework that is incorporated into national regulations. Not all countries have fully integrated international obligations, and opportunities exist for coastal States to play a more active role within the RFMOs.

In terms of illegal, unreported and unregulated (IUU) fishing, illegal fishing, though hard to monitor, is believed to be low for most high seas DSF. Unreported catches, or more commonly under-reporting of catches, continues and new initiatives and incentives to improve reporting are required. Unregulated or poorly regulated DSF are also common to about half of the fished stocks, typically assessed as data-limited. Significant effort is required to bring these stocks under a stricter management regime, in order to mitigate against impacts on the stock, bycatch and incidental species.

Barrier 2: Limited data and information on stocks and impacts on VMEs. As mentioned, this is one of the biggest constraints in implementing the Ecosystem Approach to Fisheries (EAF) in DSF, along with weak science-management interface and application of the precautionary approach at regional and national levels. Many RFMO-member States lack the extensive science-management frameworks and networks available to developed and wealthy fishing nations.

Assessments of ecosystem health and impacts on VMEs and bycatch species from DSF is scientifically challenging. Cost-effective technologies and tools need to be developed. There are also barriers to understanding the effects of climate change and other sectors on the flora and fauna of the deep oceans at 200–2000 m depth. These factors limit the capacity to implement EAF in some regions and among some countries, especially in the newer RFMOs and developing country coastal states.

Barrier 3: Lack of information, and poor communication and collaboration, on impacts by fisheries and other sectors in the high seas.

The use of the high seas is multi-sectoral; shipping and transport fall under the International Maritime Organization (IMO) and mineral resources fall under the International Seabed Authority (ISA). Fisheries in the high seas has, for the past 10 or so years, increased its efforts to mitigate against adverse impacts on biodiversity, with for example many new measures in place to sustainably harvest stocks and protect vulnerable marine ecosystems. However, the impacts on high seas fish stocks and VMEs from cross-sectoral activities such as deep-sea mining, are poorly understood and require the development of new science-based methodologies and precautionary management regimes.

Efforts are being made by regional fisheries bodies, regional seas programmes, fishing industry partners and international organizations, to address these barriers. Some of these baseline activities and investments are briefly described below.

- b) Describe the existing or planned baseline investments, including current institutional framework and processes for stakeholder engagement and gender integration;

Institutional framework. High seas DSF are managed by eight regional organisations (Figure 1). Three of these are long-established (GFCM (1949), NEAFC (1959), and NAFO (1979)), and four were established relatively recently (SEAFO (2003), SPRFMO (2012), SIOFA (2012), and NPFC (2015). CCAMLR (1982), established under the Antarctic Treaty, has a wider remit that includes protecting the ecosystem. There are also two regional advisory bodies in the central Atlantic (CECAF (1967) and WECAFC (1973)). The deep-sea RFMOs play a key role in achieving the international goals and obligations of countries. Through RFMOs, States cooperate to achieve sustainable conservation and management of fisheries, both within and beyond areas under national jurisdiction.

DSF are largely conducted by wealthier nations who have the necessary investments and capacity. However, the membership of the RFMOs is more diverse and includes developing countries and those with economies in transition (i.e. GEF eligible); many requiring additional support to engage in RFMO management, scientific and compliance processes. The project will offer direct support to GEF-eligible countries, and opportunities to contribute in RFMO processes. This will be enhanced by promoting increased cooperation among regional organisations, especially in developing links between the established and newer RFMOs, and as appropriate with tuna-RFMOs.

Baseline investments. The FAO deep-sea fisheries programme³⁹ is working with governments, inter-governmental organizations, international NGOs, industry and the scientific community to improve fisheries management practices, and increase knowledge of and protect vulnerable areas in the high seas – with funding from various donors including the EU, Governments of Japan, Norway and France. The main activities under this programme include:

- Support for the implementation of the International Guidelines on the Management of DSF focused on providing capacity development to RFMOs and member States;
- Providing expert technical guidance, tools and resources to improve management practices; and designing state-of-the-art data collection and sharing systems related to vulnerable marine ecosystems; and
- Facilitating dialogue, collaboration and networks among key stakeholders in order to strengthen and improve the effective management of deep-sea fisheries.

The FAO programme served as an important catalyst for the **GEF-5 ABNJ Deep-seas project**, in turn the core foundation for the proposed project. The GEF-5 program brought together under a common framework, diverse institutions and organizations with important roles in DSF and biodiversity conservation in the ABNJ. Partnership and cooperation were established/strengthened between RFMOs and States, private sector, NGOs and other organizations. Many of these plus additional organizations have expressed their support for the overall GEF-7 ABNJ Program and the proposed DSF project through baseline co-financing and participation in project activities. It is foreseen that mechanisms for stakeholder engagement at program and project level will be largely built on those that were set-up in the previous GEF-5 program⁴⁰. These, in fact, were instrumental in the participatory development of the program and child proposals.

Gender integration: There has been very little baseline work, if any, on collating employment and stakeholder statistics by gender for DSF, or associated activities. This project will, as part of the supply chain analysis in selected pilot regions, work on gender equality and provide positive-action gender training initiatives to support the involvement of women in the DSF sector. Support activities, such as

³⁹ <http://www.fao.org/fishery/topic/16160/en>

⁴⁰ <http://www.fao.org/in-action/commonoceans/partners/en/>

monitoring and compliance, and participation in RFMO management and science meetings, will be targeted.

- c) Describe how the integrated approach proposed for the child project responds to and reflects the Program’s Theory of Change, and as such is an appropriate and suitable option for tackling the systemic challenges, and to achieve the desired transformation with multiple global environmental benefits;

The new GEF-7 program contributes to the “sustainable use of ABNJ resources and strengthen biodiversity conservation in the face of a changing environment”. This builds upon the outcomes of the earlier GEF-5 program that finished in 2020. The DSF project responds to and reflects the program’s Theory of Change, as presented in the table below.

ABNJ program component	DSF conformity and contribution to ABNJ (program outcomes in bold)
Component 1. Strengthening frameworks, processes and incentives for more effective fisheries governance and management in ABNJ	Project Outcome 1.1 will work with RFMOs and member states to harmonise international legal and voluntary frameworks. The focus will be on incorporation of EAF to achieve sustainable fisheries and healthy ecosystems though reducing impacts. This maps directly to the program Outcome 1.1 “Policy and legal frameworks, incorporating obligations and good practices to support sustainable use of ABNJ resources harmonised, integrated and implemented” .
Component 2. Improving capacity to manage fisheries sustainably in ABNJ	Project Outcome 2.1 will work with scientists and managers representing member states of RFMOs to improve scientific advice through uptake of new and innovative technologies and more informed decision-making by strengthening the science-management interface. This maps directly to program Outcome 2.2 “Quality and availability of technical/scientific information to support evidence-based decision-making on fisheries governance, investment and management in ABNJ strengthened” . Project Outcome 2.2 will improve fisheries management under EAF by identifying reference points for data-limited stocks and increasing the number of stocks assessed. This includes developing socio-economic indicators and examining the consequences of climate change leading to adaptive management. Project Outcome 2.3 examines risk assessment methodologies to mitigate impacts on non-target species and VMEs. This will help RFMOs develop appropriate measures for sustainable fisheries. These two outcomes map to program Outcome 2.1 “Institutional and individual knowledge, skills and tools to apply EAFM in ABNJ strengthened” .
Component 3. Improving stakeholder coordination and engagement in multi-sectoral processes addressing governance and management of ABNJ	Project Outcome 3.1 will identify potential interactions between the fisheries sector and other sectors in the high seas and make this information available to allow for the development of future dialogue on multi-sectoral management. This maps to program Outcome 3.1 “Sector mandates, roles and responsibilities related to ABNJ clarified and promoted (awareness raised) and sector-specific impacts and ecological connections better understood” .

ABNJ program component	DSF conformity and contribution to ABNJ (program outcomes in bold)
	<p>Project Outcome 3.1 will also assist RFMOs in developing tools for sectoral impact assessments, both on and by fisheries. This contributes to program Outcome 3.2 “Cross-sectoral technical knowledge sharing and coordination improved”.</p> <p>These entry points by the fisheries sector will promote multi-sectoral planning and feed into other projects under the Program, notably the Sargasso Sea and Cross-sectoral projects.</p>

The DSF project will coordinate closely with the other projects in the program, and particularly with the Tuna project. These have been shown in the “Project Components and Financing” table above by the addition of “(+tuna)” to the outputs.

- d) Describe the project’s incremental reasoning for GEF financing under the program, including the results framework and components.

The GEF-7 financing to the DSF project will allow for RFMOs and member States to increase their capacity to work together, and with other sectors, to share experiences and cooperatively develop new and efficient tools, that will allow for improved monitoring and management of the fish stocks and impacts on biodiversity. The GEF funding will support activities, beyond the RFMO’s core role of fish stock management that will lead to better assessments of data-limited stocks (which amount to some 50 % of the exploited deep-sea fish stocks), improvements in risk assessments on non-target species including deepwater sharks and VMEs, and on improvements to monitor biodiversity and ecosystem health. The GEF support will allow up-scaling by the DSF project of the many smaller studies and initiatives undertaken by project partners and uptake of the developed tools through direct support to GEF-eligible developing nations. GEF support, in conjunction with FAO’s role of supporting fisheries management in the high seas, will also allow for further implementation of the FAO’s own binding and voluntary instruments to be trialed and implemented by RFMOs and industry.

Further, the GEF-7 funding will allow for increased cooperation and exchange among the RFMOs. This will build on successful initiatives started under the FAO-GEF Deep-Sea Project, and greatly assist the newer RFMOs and develop opportunities for those coastal States that are members of RFMOs but do not have DSF.

Without GEF funding, RFMOs and flag States would continue to manage DSF and promote sustainable resources utilisation and a reduction in impacts. However, there would be less collaboration among regions and less development and transfer of new technologies. Work relating to climate change, socio-economic development and drivers, and cross-sectoral interactions would be much reduced.

The project objective is: ‘to ensure that DSF in the ABNJ are managed under an ecosystem approach that maintains demersal fish stocks at levels capable of maximizing their sustainable yields and minimizing impacts on biodiversity, with a focus on data-limited stocks, deepwater sharks and vulnerable marine ecosystems.’

The project focuses on high seas DSF using gears that fish on or near to the seabed and target demersal finfish and shellfish. The project has three components that are embedded within the ecosystem approach to fisheries (EAF) framework and outlined in the FAO Code of Conduct for Responsible Fisheries (1995) and the Ecosystem Approach to Fisheries technical guidelines (2003).

A fourth component deals with knowledge management, communication and M&E, and will be linked to the program level coordination platform.

Component 1 Governance – strengthening and implementing regulatory frameworks

Component 1 seeks to strengthen DSF governance through wider adoption, enforcement and compliance of international obligations relating to sustainable fisheries management aimed at maintaining stocks and reducing impacts.

Outcome 1.1 – Wider adoption, enforcement and compliance of international obligations relating to sustainable fisheries (stocks and impacts)

Output 1.1.1 examines the requirement of regional fisheries bodies managing high seas DSF to adopt measures consistent with the obligations established by binding and voluntary international fisheries instruments and will provide support for the uptake of these obligations to promote sustainable fisheries. This will build upon results achieved during the GEF-5 ABNJ Deep-seas project. Activities will focus on developing appropriate measures to fill legal and regulatory gaps and supporting uptake by RFMOs. Specialist advice and capacity provision, such as developing trans-shipment guidelines and training will be provided by the project.

Output 1.1.2 supports the uptake of regional fisheries measures by States to ensure that the international obligations are incorporated into national law. This will build upon a gap analysis and step-wise guide developed by the GEF-5 Deep-seas project. Such efforts will help strengthen the effectiveness of existing regional measures to support sustainable fisheries and biodiversity conservation. Activities will include capacity building to draft legislation at the national level. Flag State performance self-assessment will be promoted to identify capacity building needs. GEF-eligible RFMO member States will be selected to pilot these activities through the project. This capacity building will strengthen the participation of developing countries at regional meetings and their greater involvement in the associated decision-making and science-support processes. It will further serve to promote greater harmonisation of regulations and compliance mechanisms between high seas and national waters.

Output 1.1.3 will provide capacity development to monitor and enforce existing and newly adopted national legal/regulatory measures to reduce high seas IUU fishing through building national expertise.

Component 2 - Strengthening effective management of DSF

Component 2 aims to deliver more effective management of DSF through improving knowledge, approaches and tools for the application of EAF. It will support the transition from traditional single-species assessments to multi-species ecosystem frameworks started under the GEF-5 project. This component aims to identify novel approaches to strengthen the decision-making processes within the fisheries sector required to develop control measures and ensure compliance. It comprises three outcomes. The first focuses on developing specific frameworks for decision-making, the second on improving management of data-limited fish stocks, and the third on mitigating adverse impacts on biodiversity.

Outcome 2.1 – Effective decision-making strengthened to increase sustainability and reduce impacts

Output 2.1.1 promotes the uptake of new and innovative approaches and technologies for improved monitoring, reporting and information sharing. The project will promote new ways to monitor catch, bycatch, discards, incidental species, and direct physical effects on the sea floor, allowing impacts to be better assessed for species occupying the same ecosystem as the harvested fish. For instance, tools and applications to assist on-board observers such as the SmartForms developed under the GEF-5

project, and gear-mounted camera systems to monitor impacts on benthic environments, will be piloted. Identification guidelines covering various species will also be made available (some of which were developed through the GEF-5 project), and the project will help develop the methodologies needed for their use. Additionally, and in line with work started over 10 years ago by RFMOs, electronic monitoring systems (EMS) will be further developed in partnership with industry to better understand the responses of deep-sea fishing fleets to changing fish stock distributions resulting from, for example, climate change or spatial closures and better mitigate against impacts.

Output 2.1.2 seeks to improve the science-management interface and application of the precautionary approach at regional and national levels. Many RFMO member States lack the extensive science-management frameworks and networks available to developed and wealthy fishing nations. Strengthening the science-management interface will improve the information flow allowing for stronger adaptive management and greater participation in the decision-making processes by the less developed member states. Activities will build upon the gaps identified under GEF-5 in the implementation of the biological, human and institutional dimensions of EAF. Additionally, by developing a framework that uses clear language, it is expected that the process will become more transparent and allow outside “non-technical” stakeholders and the general public to better understand the decision-making processes used in managing fish stocks and protecting the deep-sea environment.

Output 2.1.3 aims to provide positive incentives for fishing companies, processing and distribution plants along the supply chain to promote responsible activities leading to cost-effective management and compliant behaviour ensuring sustainable DSF with minimal impacts on biodiversity.

Outcome 2.2 - Improved advice supporting science-based fisheries management

Output 2.2.1 focuses on the development of ecosystem production models and includes both pelagic and DSF, building on those developed by partners during the GEF-5 project. This output will examine future harvesting predictions under different productivity regimes (which is with especially challenging to fisheries managers), with the results informing Output 2.1.2. Further, the modelling can predict maximum sustainable yields generated under ideal stock conditions and be used to estimate yield and financial losses incurred through overfishing. This output will also explore opportunities for fishing vessels to provide information on the deep ocean oceanography needed for a better understanding of climate change impacts on DSF.

Output 2.2.2 focuses on the deep-sea species that are targeted by fisheries but which lack detailed assessments, and are classified as ‘data-limited’. Initial work on assessment methodologies of such fisheries undertaken during the GEF-5 project, will be piloted further under GEF-7, using frameworks developed under Output 2.1.1.

Output 2.2.3 will analyse the DSF supply (value) chain to better understand the economic and social drivers of DSF and link to output 2.1.3. This output will include a gender analysis and assessment of the societal and family benefits derived from activities related to DSF.

Outcome 2.3 - Fisheries impacts on biodiversity quantified, assessed and managed

Outputs 2.3.1 and 2.3.2 address the identification and mitigation of impacts from DSF. The project will further develop risk assessment methodologies (Output 2.3.1), building on the GEF-5 experiences and lessons learnt, with a focus on incidental catches of slow growing and long lived deepwater sharks. These will be supported using various tools developed through the project with effective approaches made available for upscaling to other species groups such as deepwater corals and sponges, seabirds, and other endangered, threatened or protected (ETP) species. The protection

of benthic biodiversity will be further supported under Output 2.3.2, particularly in the newer RFMOs in the Pacific Ocean, southeast Atlantic Ocean and Indian Ocean where capacity is lower compared to other regions. Project activities will include the use of predictive models to identify likely locations of VMEs that can be verified with activities under Output 2.1.1, and development of mitigation measures under Outputs 1.1.1 and 2.1.2. The project is proposing to undertake a joint EAF-Nansen and industry sampling and calibration survey in the Indian Ocean, which will support these outputs. Activities under Output 2.3.2 will also seek to align the current bottom-fishing measures within an EAF framework, and with clearer linkage to meeting SDG targets.

Component 3 - Improving understanding and management of cross-sectoral impacts on DSF

Component 3 will improve the understanding, management and mitigation of the impacts from other sectors on DSF and link with other projects in the GEF-7 ABNJ program that address multi-sectoral ocean governance.

Outcome 3.1 - Improved integration of cross-sector activities to maintain biodiversity and resource sustainability

Output 3.1.1 will identify interactions between DSF and other sectors operating in the high seas, including impacts on fisheries, fished stocks, and areas under special protection such as spawning areas and VME closures. The information will be made available to support decision-making and governance by other sectors. Together these will serve as a strong entry point into multi-sectoral discussions on integrated management for deep-sea ecosystems.

Output 3.1.2 focuses on providing support for the high seas fisheries sector to better develop mechanisms to assess, mitigate and manage cross-sector impacts on DSF. For example, the effects of deep-sea mining sediment plumes on deep-sea fish populations are largely unknown and approaches and tools to determine their impacts need to be developed. The project will explore options for RFMOs to assess impacts from the activities of other sectors, which will place them in a stronger position to constructively contribute to multi-sector impact assessments and governance processes.

Component 4 - Knowledge management, communication and M&E

Component 4 addresses monitoring and evaluation, knowledge management, communication, and outreach within the project and how this DSF project interacts with the program and other projects within the program. The project will particularly support the RFMOs to improve their communication outreach to inform both the BBNJ process and wider stakeholders on the sustainable fisheries work currently undertaken in the ABNJ, including continued support of the FAO VME Portal and DataBase, positive action gender-sensitive training programmes supporting State involvement in RFMO activities, and revamping as necessary RFMO websites to show progress towards relevant SDG and Aichi targets.

The project Theory of Change is in Annex 2. The proposed design was developed through a series of project development workshops, presentations and meetings involving major stakeholders and potential project partners that took place between December 2018 and January 2020.

3. Engagement with the Global / Regional Framework (*maximum 500 words*)

Describe how the project will align with the global / regional framework for the program to foster knowledge sharing, learning, and synthesis of experiences. How will the proposed approach scale-up from the local and national level to maximize engagement by all relevant stakeholders and/or actors?

One of the recommendations from the terminal evaluation of the GEF-5 ABNJ is that a structured knowledge management mechanism should be considered as a key aspect in the GEF-7 program. This would allow “effective harvesting and dissemination of the wealth of knowledge emanating from the child projects”. Taking this into consideration, a global coordination and knowledge management child project has been proposed. This project will be linked to the child projects, facilitate sharing of knowledge, tools and approaches across the program and with other relevant platforms (e.g. IW:LEARN) and partners.

The DSF knowledge management will include activities at various levels – through regional and international frameworks.

Regional fisheries management frameworks: RFMOs are the principal stakeholders in the DSF project, and comprise of managers, scientists and compliance specialists, supported by a Secretariat. The Secretariat is the first point of contact with the project, and as in the GEF-5 deep-sea project, the project will coordinate strongly with scientists from member states that support the RFMO’s activities. However, in this GEF-7 DSF project, the aim is to also work more closely with managers and compliance specialists to integrate and facilitate mechanisms of information exchange.

Other international bodies: The resources of the high seas provide mankind with necessary products and materials. Fisheries, documented above, has a long history but is increasingly being placed within a conservation and biodiversity framework. This is being currently discussed by the UNGA under the BBNJ process. FAO is providing technical expertise to the BBNJ negotiating process and this project will serve to inform RFMOs, FAO and participants of the BBNJ negotiations of synergies between sustainable fisheries and biodiversity protection. At present, the main UN international bodies dealing with biodiversity are the UNEP, UNDP and CBD, and the NGOs are IUCN, WWF and Pew. At the regional level and mainly within EEZs are the Regional Seas Programs and the Large Marine Ecosystem projects. The ISA deals with minerals and the IMO with shipping. At present, it is anticipated that actual interactions between organizations in different sectors will be handled in partnership with the other projects and be conducted by the Global Coordination child project.

The DSF project will investigate impacts that DSF has on other sectors and impacts that other sectors may have on DSF. This is seen as an entry point for closer contact between organisations dealing with different sectors. The project will ensure that the relevant RFMOs are kept informed of activities occurring in other regions, and the programme as a whole will ensure that information is shared to a wider audience.

Private sector: The International Coalition of Fisheries Association (ICFA) and the Sealord Group Ltd are co-financing partners to the project and will be actively involved with testing innovative technologies such as underwater camera and electronic monitoring systems, collecting data important to understanding climate change and fishery interactions, and in participatory discussions regarding ideas for improved adaptive management under and EAF.

Sustainable Development Goals (SDGs): The United Nations SDGs are reported to the UN via member states and not through RFMO mechanisms. Most of the RFMO work contributes towards the achievement of the SDGs. The DSF Project will particularly support:

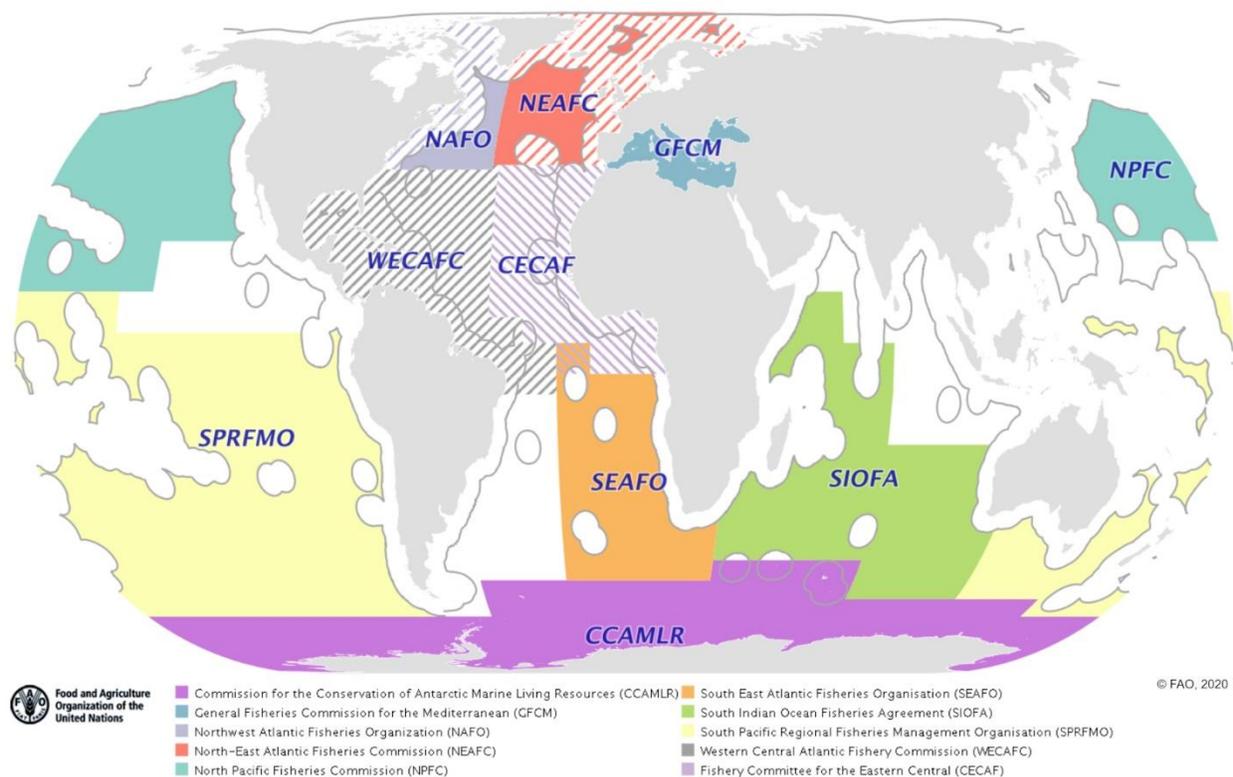
SDG 14.2 through sustainable fisheries management to avoid significant adverse impacts on stocks and ecosystems under Outcome 2.3.

SDG 14.4 by undertaking new assessments of the status of data-limited stocks and promoting management actions to ensure sustainable productive fisheries under Outcome 2.2.

SDG 14.5 by specifically managing designating delineated areas containing vulnerable marine ecosystems and/or other ETP species to mitigate against impacts from fisheries and to coordinating with other sectors to achieve wider protection under outcomes 2.1, 2.2, 2.3 and 3.1.

Outreach: The growing stakeholder interests in the ABNJ, fueled partly by climate change impacts and the BBNJ negotiations, require that FAO and RFMOs expand their outreach and communications programmes to support new challenges. The fisheries sector, that worked in isolation for many decades, must now develop mechanisms to share and advertise its oceanographic, ecosystem and fisheries management work. This will be achieved through the use of the GEF IW:Learn portal and particularly the use of the media gallery, online thematic courses, marine toolkits and sharing with the IW:Learn community at the biennial conferences. The use of the programme’s own Common Oceans website, and communications support provided to RFMOs for their own website development will also be supported during project implementation.

Figure 1. Map of the regional bodies managing (and advising) on bottom fisheries in high seas



Source: FAO Fisheries and Aquaculture Department

Regional Fisheries Bodies (RFBs) with the competence to manage (solid colour) and advise (diagonal shading) on small pelagic and deep sea fisheries

Ocean region	Management (<i>advisory</i> !) body
Northeast Atlantic	North East Atlantic Fisheries Commission NEAFC
Northwest Atlantic	Northwest Atlantic Fisheries Organization NAFO

Central eastern Atlantic	Fishery Committee for the Eastern Central Atlantic CECAF ¹
Central western Atlantic	Western Central Atlantic Fishery Commission WECAFC ¹
Southeast Atlantic	South East Atlantic Fisheries Organization SEAFO
Mediterranean Sea	General Fisheries Commission for the Mediterranean GFCM
North Pacific	North Pacific Fisheries Commission NPFC
South Pacific	South Pacific Regional Fisheries Management Organization SPRFMO
Indian	Southern Indian Ocean Fisheries Agreement SIOFA
Southern	Commission for the Conservation of Antarctic Marine Living Resources CCAMLR

Annex 1. Core indicator worksheet and explanation of targets and current situation (baseline)

GEF 7 Core Indicator Worksheet

Core Indicator 2		Marine protected areas created or under improved management for conservation and sustainable use				(Hectares)
		Hectares (2.1+2.2)				
		Expected		Achieved		
		PIF stage	Endorsement	MTR	TE	
		12 million				
Indicator 2.1		Marine protected areas newly created				
Name of Protected Area	WDPA ID	IUCN category	Hectares			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
VMEs		IV(select)	11 million			
		(select)				
		Sum	11 million			
Indicator 2.2		Marine protected areas under improved management effectiveness				
Name of Protected Area	WDPA ID	IUCN category	Hectares	METT Score (Scale 1-3)		
				Baseline		Achieved
			PIF stage	Endorsement	MTR	TE
VMEs		IV (select)	1 million			
		(select)				
		Sum	1 million			
Core Indicator 5		Area of marine habitat under improved practices to benefit biodiversity				(Hectares)
New Indicator added	Area showing improved management practices to reduce significant adverse impacts on benthic ecosystems				3,200 million	
Indicator 5.1	Number of fisheries that meet national or international third-party certification that incorporates biodiversity considerations					
Third party certification(s):		Number				
		Expected		Achieved		
		PIF stage	Endorsement	MTR	TE	
Indicator 5.2		Number of large marine ecosystems (LMEs) with reduced pollution and hypoxial				
		Number				
		Expected		Achieved		
		PIF stage	Endorsement	MTR	TE	
Core Indicator 8		Globally over-exploited fisheries Moved to more sustainable levels				(Tons)

			Metric Tons			
			PIF stage	Endorsement	MTR	TE
			50,000			
Core Indicator 11	Number of direct beneficiaries disaggregated by gender as co-benefit of GEF investment					
					Number Achieved	
			PIF stage	Endorsement	MTR	TE
		Female	500			
		Male	1,500			
		Total				

Note (1): Core indicator 2 - Marine protected areas (MPAs)

MPAs are area based management tools (ABMT) and have many definitions. The one used to assess progress towards the SDG 14.5 and Aichi 11 is that proposed by IUCN having biodiversity as the principal focus and is long-term. FAO has a broader definition that is any area affording more protection than the area outside. This project adopts an intermediate view and includes VMEs (that are closed to protect biodiversity from bottom fishing⁴¹ impacts) as MPA/ABMTs for the purpose of this project. This project will strive to have VMEs more widely recognized as MPA/ABMTs.

The table under note 2 provides estimates of VME areas with current management measures (closures to bottom fishing in almost all cases). Expert judgement has been used in some areas. No estimate could be made for the South Pacific as SPRFMO does not separately identify and manage VMEs outside of the permitted bottom fishing area; no VMEs have been identified within their bottom fishing footprint.

Core indicator: Marine protected areas created or under improved management for conservation and sustainable use is estimated at 25% of current VME closed areas, which equals 120 000 km² (or 12 million hectares).

Project indicators: Expected changes by 2027 (at end of project):

New VMEs identified: Area of new VMEs identified in the high seas equals 10% of the current VME closed area (=124 000 km²)

Compliance monitoring: 50% of the current VMEs will have improved and transparent compliance monitoring.

Scientific monitoring: 10% of the current VMEs will have been monitored for biodiversity and climate change resilience and information disseminated.

(<http://www.fao.org/in-action/vulnerable-marine-ecosystems/vme-database/en/vme.html>)

Note (2): Core indicator 5 - Area of marine habitat under improved practices

The following table shows the areas and percentages of adopted bottom fisheries management areas in the high seas. Owing to difficulties in acquiring some values, the table may not be accurate in all cases and percentages do not always add up to 100%.

Since 2006, RFMOs have been progressively adopting bottom fishing measures which identify the area (usually shallower than 2000 m) where bottom fishing is permitted (commonly referred to as the bottom fishing footprint). Bottom fishing is only allowed outside of this area under strict exploratory fishing protocols to ensure that VMEs are identified and protected. This project includes these “outside” areas in this GEF-7 core indicator category.

This will support SDG 14.2 by protecting ecosystems from significant adverse impacts both within the fishing footprint and outside the fishing footprint.

Region (management body)	High seas (or regulatory)	Seafloor above 2000 m	Bottom fishing footprint (km ²)	Outside of footprint (km ²)	VMEs (km ²)	VMEs (number)

⁴¹ For consistency with RFMO terminology, DSF are referred to as bottom fisheries in Annex 1.

) area (km ²)					
NW Atlantic (NAFO)	2,707,895	140,000 (5%)	119,809 (4%)	2,253,725 (9%)	282,320 (10%)	21
NE Atlantic (NEAFC)	5,188,000	473,000 (9%)	162,451 (3%)	4,650,737 (90%)	374,812 (7%)	13
Central Atlantic	17,752,000	61,000 (0.3%)	-	-	-	0
SW Atlantic	10,315,000	188,000 (2%)	-	-	-	0
SE Atlantic (SEAFO)	15,627,000	174,000 (1%)	543,193 (4%)	14,646,380 (94%)	503,815 (3%)	12
Mediterranean (GFCM)	2,997,000	1,480,000 (49%)	1,949,341 (65%)	1,032,000 (34%)	15,659 (0.5%)	
North Pacific (NPFC)	35,491,000	1,520,000 (4%)	6,048 (0%)	35,484,406 (100%)	546 (0.0%)	2
South Pacific (SPRFMO)	59,186,581	648,000 (1%)	198,363 (0.3%)	55,088,294 (93%)	-	?
Indian Ocean (SIOFA)	26,933,232	515,000 (2%)	-	-	25,148 (0.1%)	5
Southern (CCAMLR)	35,550,604	2,975,000 (8%)	19,975,679 (56%)	14,972,373 (42%)	3,222 (0%)	129

- no measure taken.

Core indicator: Area of **marine habitat under improved practices** (excluding protected areas) is estimated as 25% of area outside of the fishing footprint used in core indicator table, which equals 32 million km² (or 3,200 million hectares).

Project indicators: Expected changes by 2027 (at end of project):

Impact assessments: Improved methodologies for impact assessments on exploratory fisheries developed and in place (including cross-sectoral environmental impact assessments)

Mapping fisheries: Improvements in the spatial mapping of DSF by gear type leading to improved understanding of fish stock dynamics, impact assessments, and climate change effects.

(<http://www.fao.org/in-action/vulnerable-marine-ecosystems/vme-database/en/vme.html>)

Note (3): Core indicator 8 - Globally over-exploited marine fisheries moved to more sustainable levels

The FAO publication, State of the World Fisheries and Aquaculture (SOFIA) (<http://www.fao.org/3/I9540EN/i9540en.pdf>, p. 41) lists the percentage of fish stocks at biological sustainable levels by region in 2015. Many of the deep-sea stocks lack assessments and are data-limited, meaning that there is insufficient information to include them in the SOFIA sustainability estimates. The GEF-5 Deep-seas project estimated that the stock status of around 50% of the fished deep-sea stocks is unknown. This does not necessarily mean that the stock is unsustainably fished, rather that it is difficult to make a valid assessment. The project will improve knowledge of fishing pressures and stock status for deep-sea stocks. Progress towards SDG 14.4 and Aichi 6 is very difficult to currently assess for DSF.

An initial baseline study undertaken in February 2020 provided the following assessments (source: RFMO websites and expert judgement):

Region (management body)	Biomass	Exploitation rate (fishing pressure)	Stock measure (TAC or effort control)	Number of deep-sea stocks assessed
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	Low to depleted	Intermediate	c. MSY levels	Unknown	Unsustainable	Intermediate	Sustainable	Unknown	No	Yes	
NW Atlantic (NAFO)	7	1	8			1	15		0	16	16
NE Atlantic (NEAFC)	4		3	3		4	4	2	5	5	10
Central Atlantic				1				1	1		1
SW Atlantic				6				6	6		6
SE Atlantic (SEAFO)	1			5			5	1	1	5	6
Mediterranean (GFCM)	18				10	1	4	3	18		18
North Pacific (NPFC)		1	2	1		1	2	1	2	2	4
South Pacific (SPRFMO)		2	2	1		1	2	2	3	2	5
Indian Ocean (SIOFA)		2	2	3		1	3	3	5	2	7
Southern Ocean (CCAMLR)			6				6			6	6

Core indicator: Globally over-exploited **marine fisheries** moved to more sustainable levels is estimated as 25% of 2016 catch used in the core indicator table, which is approximately 50,000 metric tons. It is expected that much of this will come from the data-limited stocks that comprise around 50% of the fisheries.

Project indicators: Expected changes by 2027 (at end of project):

Biomass: 50% of “unknowns” become known and 25% of other stocks shift up one category.

Exploitation rate: 50% of “unknowns” become known and 25% of overexploited stocks move to being fished at intermediate or sustainable levels.

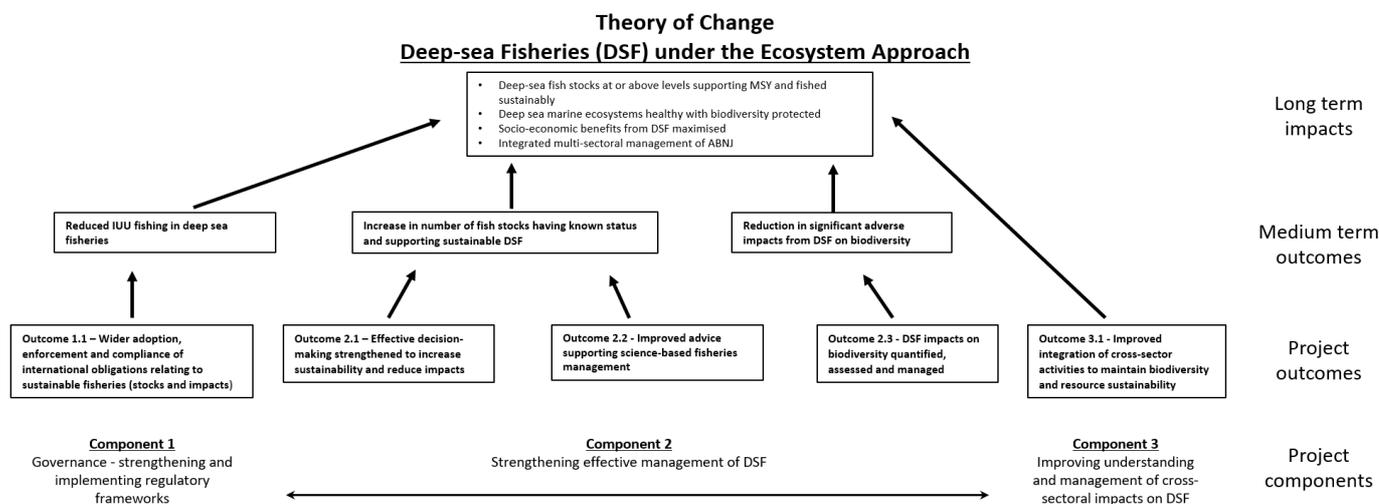
Stock measures: 50% of deep-sea species go from the “No” to “Yes” stock measure category.

Note (4): Core indicator 11 - Number of direct beneficiaries disaggregated by gender as co-benefit of GEF investment

SOFIA⁴² included a national gender analysis for six countries in 2016, which was expanded slightly in 2018. Gender analyses has not been systematically undertaken for DSF. The current project will undertake a gender analysis as part of a supply chain analysis and identify gender-related needs. The project will also provide positive-action support and training to selected suitably-qualified women from GEF-eligible countries who wish to work in RFMO or national science, management and compliance activities.

⁴² SOFIA 2016: <http://www.fao.org/3/a-i5555e.pdf>. SOFIA 2018: <http://www.fao.org/3/I9540EN/i9540en.pdf>

Annex 2. Theory of Change shown diagrammatically for the GEF-7 DSF project (showing simplified linkages)



Drivers	Assumptions
<ul style="list-style-type: none"> Global targets concerning DSF stimulate good practice, sustainable management and transparent behaviour. Climate change research will increase our understanding of short-term environmental trends to reduce uncertainty in management decision making. Wider sectoral use of marine resources leads to cooperative multi-sectoral impact assessments to maintain healthy marine ecosystems. Increased global interest in marine biodiversity promotes greater environmental and biodiversity monitoring by the fisheries sector. 	<ul style="list-style-type: none"> Improvements in electronic reporting and novel technologies available to and used by managers, scientists and industry will reduce IUU fishing. Improved cooperation between the fisheries sector and biodiversity conservation supports sustainable fisheries and the BBNJ process. Funding base for fisheries management and biodiversity monitoring remains or increases. Management of fisheries and biodiversity protection remains science-based and needs driven.

GEF-7 CHILD PROJECT CONCEPT

CHILD PROJECT TYPE: Full-sized Child Project

PROGRAM: Other Program

Child Project Title:	Sustainable management of tuna fisheries and biodiversity conservation in the areas beyond national jurisdiction.
Country:	Global
Lead Agency	FAO
GEF Agency(ies):	FAO

INDICATIVE FOCAL/NON-FOCAL AREA ELEMENTS AND FINANCING

Programming Directions	Trust Fund	(in \$)	
		GEF Project Financing	Co-financing
IW-2-4 (select)	GEFTF	14,378,000	146,780,000
Total Project Cost		14,378,000	146,780,000

PROJECT COMPONENTS AND FINANCING

Project Objective: To achieve responsible, efficient and sustainable tuna harvests and biodiversity conservation in the ABNJ in face of a changing environment.

Project Components	Component Type	Project Outcomes	Project Outputs	Trust Fund	(in \$)	
					GEF Project Financing	Co-financing
Strengthened management of tuna fisheries	TA	<p>1.1 Major tuna stocks are utilized in a sustainable manner, as they are increasingly managed according to the precautionary approach (as described in UNFSA and CCRF)</p> <p>Indicator: Quotas for eight stocks are determined through the use of harvest strategies / management procedures.</p> <p>1.2 Tuna fisheries are managed by explicitly incorporating ecosystem considerations, including climate change.</p> <p>Indicator: Tuna RFMOs adopt adoption of at least three plans for implementation of the ecosystem approach to fisheries management, including consideration of climate change impacts.</p> <p>1.3 RFMOs increased learning by exchanging technical knowledge on topics of global relevance.</p> <p>Indicator: At least five conservation and management measures are based on lessons</p>	<p>1.1.1 Scientific and technical capacity for further development of harvest strategies for tuna species is strengthened.</p> <p>1.1.2 One or more data-limited methods for assessment and Management Strategy Evaluation promoted to t-RFMO scientific committees providing a basis for the formulation of improved t-RFMO management assessment advice for unassessed stocks.</p> <p>1.2.1 EAFM objectives and implementation plans are developed and proposed for adoption within and across 5 t-RFMOs</p> <p>1.3.1 Financial and technical support to joint tuna RFMO Working Groups on topics of global relevance (e.g., FADs, bycatch, harvest strategies) through at least 5 joint t-RFMO meetings</p>	GEFTF	3,888,674	39,715,200

		<p>learned at one RFMOs and replicated at others.</p> <p>1.4 Sustainable practices implemented in fisheries thanks to new incentives, including better access to markets and better prices.</p> <p>Indicator: Number of fisheries benefitting from market incentives</p>	<p>1.4.1 Assistance provided in conducting pre-assessments of selected fisheries from developing coastal states against sustainability standards, such as Marine Stewardship Council (MSC), and in the development of Fishery Improvement Plans (FIPs) to fulfil the sustainability agenda monitored through tracking FIP performance and MSC audits with established procedures.</p>			
Strengthened MCS to improve fisheries data, compliance with CMMs and to tackle IUU fishing	INV	<p>2.1 Greater effectiveness in the application of fisheries control and enforcement thanks to increased human capacity across t-RFMO member states based on regional training standards.</p> <p>Indicator: Rate of compliance among t-RFMO member States. Measures implemented leading to improved compliance rates in 30% of t-RFMO member states</p> <p>2.2 Higher compliance and control of IUU fishing thanks to the adoption of innovative tools in five fleets and traceability introduced over larger volumes of traded fishery products (50% of total catch landed)</p>	<p>2.1.1 At least five MCS certification-based online and four field training courses developed and delivered (100 MCS officers certified);</p> <p>2.1.2 Monitoring processes for compliance reviewed in tuna RFMOs to identify drivers of compliance rates and measures to improve compliance in member states.</p> <p>2.2.1 Three tools for improving fisheries monitoring and two tools in support of traceability developed and tested for possible upscaling.</p>	GEF TF	5,846,790	59,713,530
Reduction of environmental impacts of tuna fisheries	INV	<p>3.1 Sustainable management of sharks and rays is enhanced by five integrated fisheries and biodiversity tools implemented by t-RFMOs.</p>	<p>3.1.1 Three tools and processes leading to more consistent fishery and biodiversity management of sharks identified and promoted at t-RFMO</p>	GEF TF	2,577,629	26,265,300

		<p>Indicator: Number of measures adopted by t-RFMO related to mitigation of bycatch and incidental mortality.</p> <p>3.2 Environmental impacts of fishing activities are reduced by the deployment of environmentally sound gear types in all t-RFMO areas of competency.</p> <p>Indicator: Catches coming from gears and practices that have been deemed as having an excessive environmental impact</p> <p>3.3 Mitigation techniques are widely and effectively applied to mitigate impacts to bycatch species.</p> <p>Indicator: extent of the use of mitigation of bycatch and incidental mortality.</p> <p>3.4 Marine waste from fishing gear is minimized through implementation of existing and/or new policies and standards in three RFMOs.</p> <p>Indicator: Number of measures adopted by t-</p>	<p>scientific committees, with uptake by t-RFMOs.</p> <p>3.1.2 Shark catches in selected countries quantified through three new port sampling programs.</p> <p>3.2.1 Alternatives to gill nets demonstrated and promoted through workshops and in-field testing by fishers especially in the Indian Ocean;</p> <p>3.2.2 Biodegradable/non-entangling FADs introduced and promoted through workshops with stakeholders and tested by fishers throughout the t-RFMO areas of competency.</p> <p>3.3.1 At least two new technologies and materials for reducing bycatch interactions developed;</p> <p>3.3.2 At least three monitoring and management systems improved to quantify and mitigate bycatch applied to promote collection of needed data;</p> <p>3.3.3 At least five best practice mitigation techniques disseminated to fishers through direct interaction with harvesters and processors.</p> <p>3.4.1 Interventions leading to a reduction in marine pollution from fishing gear identified and promoted through interaction with fishers and by leveraging behaviour change through market</p>			
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		RFMO related to marine waste	mechanisms in all t-RFMOs.			
KM, Communication and M&E	TA	4.1 Awareness of project objectives, activities and achievements among stakeholders and target audiences is increased through information and knowledge products and evidence of effective project implementation. Indicator: Levels of awareness as determined by surveys of target audience.	4.1.1 Communication and knowledge products including the development of information packages, tools and approaches developed and shared through appropriate channels to reach targeted audiences, including relevant knowledge-sharing platforms; 4.1.2 Processes to facilitate exchange of lessons learned, best practices and expertise generated during project implementation developed; 4.1.3 Operational project M&E systems implemented.	GEF TF	1,380,240	14,096,450
Subtotal				GEF TF	13,693,333	139,790,480
Project Management Cost (PMC)				GEF TF	684,667	6,989,520
Total Project Cost					14,378,000	146,780,000

For multi-trust fund projects, provide the total amount of PMC in Table B, and indicate the split of PMC among the different trust funds here: ()

INDICATIVE SOURCES OF CO-FINANCING FOR THE PROJECT BY NAME AND BY TYPE, IF AVAILABLE

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Investment Mobilized	Amount (\$)
GEF Agency	FAO	In-kind	Recurrent Expenditure	5,000,000
GEF Agency	FAO	Cash	Investment mobilized ¹	3,000,000
Other – Intergovernmental Organizations	ACAP, CCSBT, IATTC, ICCAT, IOTC, IWC, FFA, WCPFC	In-kind	Recurrent Expenditure	9,280,000
Private sector	ISSA, OPAGAC, TunaCons, Transmarina	In-kind	Recurrent Expenditure	45,000,000
National Governments	NOAA, European Commission,	Cash	Investment mobilized ²	5,000,000
National Government	NOAA, European Commission,	In-kind	Recurrent Expenditure	53,000,000
Civil Society Organization	BirdLife International, Conservation International, International Pole and Line Foundation, ISSF, Ocean Outcomes, MSC, Pew, WWF	In-kind	Recurrent Expenditure	23,500,000

Civil Society Organization	BirdLife International, Conservation International, International Pole and Line Foundation , ISSF, Ocean Outcomes, MSC, Pew, WWF	Cash	Investment mobilized ³	3,000,000
Total Co-financing				146,780,000

Describe how any “Investment Mobilized” was identified.

Investment mobilized corresponds to:

- ¹- Non-recurrent expenditures associated with FAO projects directly related to the activities of this Project (e.g. activities under the Blue Growth Initiative, Port-State Measures Agreement support or Coastal Fisheries Initiative for straddling stocks)
- ²- Non-recurrent expenditures associated with projects financed by NOAA (extra-budgetary activities in support of stock assessments in ICCAT/IATTC) or the EU (e.g. Large-Scale Tagging Project in ICCAT, Support to Science and Compliance in IOTC), mostly with RFMO Secretariats, that are directly related to the activities of this Project.
- ³- Investment mobilized corresponds to non-recurrent expenditures associated with projects from partners directly related to the activities of this Project (e.g. Pew Charitable Trusts activities for the coming biennium), or portions of the project activities that are directly financed by the partner (e.g. ISSF work on mitigation of bycatch in purse-seine fleet). The level of cash contributions pledged will be precisely estimated during project preparation phase.

TRUST FUND RESOURCES REQUESTED BY AGENCY(IES), COUNTRY(IES), FOCAL AREA AND THE PROGRAMMING OF FUNDS

GEF Agency	Trust Fund	Country/ Regional/ Global	Focal Area	Programming of Funds	(in \$)		
					GEF Project Financing (a)	Agency Fee (b)	Total (c)=a+b
FAO	GEFTF	Global	International Waters	(select as applicable)	14,378,000	1,294,020	15,672,020
Total GEF Resources					14,378,000	1,294,020	15,672,020

PROJECT PREPARATION GRANT (PPG)

Is Project Preparation Grant requested?

Yes X If yes, PPG funds **have to be requested via the Portal** once the PFD is approved

No If no, skip this item.

PPG AMOUNT REQUESTED BY AGENCY(IES), TRUST FUND, COUNTRY(IES) AND THE PROGRAMMING OF FUNDS

GEF Agency	Trust Fund	Country/ Regional/ Global	Focal Area	Programming of Funds	(in \$)		
					PPG (a)	Agency Fee (b)	Total c = a + b
FAO	GEFTF	Global	International Waters	(select as applicable)	300,000	27,000	327,000
Total PPG Amount					300,000	27,000	327,000

PROJECT'S TARGET CONTRIBUTIONS TO GEF 7 CORE INDICATORS

Provide the relevant sub-indicator values for this project using the methodologies indicated in the Core Indicator Worksheet provided in Annex B and aggregating them in the table below. Progress in programming against these targets is updated at the time of CEO endorsement, at midterm evaluation, and at terminal evaluation. Achieved targets will be aggregated and reported at anytime during the replenishment period. There is no need to complete this table for climate adaptation projects financed solely through LDCF and SCCF.

Project Core Indicators		Expected at PIF
1	Terrestrial protected areas created or under improved management for conservation and sustainable use (Hectares)	
2	Marine protected areas created or under improved management for conservation and sustainable use (Hectares)	
3	Area of land restored (Hectares)	
4	Area of landscapes under improved practices (excluding protected areas) (Hectares)	
5	Area of marine habitat under improved practices (excluding protected areas) (Hectares)	
6	Greenhouse Gas Emissions Mitigated (metric tons of CO ₂ e)	
7	Number of shared water ecosystems (fresh or marine) under new or improved cooperative management	—
8	Globally over-exploited marine fisheries moved to more sustainable levels (metric tons)	893,000*
9	Reduction, disposal/destruction, phase out, elimination and avoidance of chemicals of global concern and their waste in the environment and in processes, materials and products (metric tons of toxic chemicals reduced)	
10	Reduction, avoidance of emissions of POPs to air from point and non-point sources (grams of toxic equivalent gTEQ)	
11	Number of direct beneficiaries disaggregated by gender as co-benefit of GEF investment	4,000 women and 6,000 men**

Provide additional explanation on targets, other methodologies used, and other focal area specifics (i.e., Aichi targets in BD) including justification where core indicators targets are not provided.

* As baseline, by the end of 2019, from the 23 commercial tuna stocks monitored, annual catch totaling 4,034,000 mt (83% of the total) was made from 18 stocks being fished at levels which assure healthy abundance, while 893,000 mt annual catch (17% of the total) was made from 5 stocks being overexploited. As a target, further improvement in catch tonnage of at least 893,000 mt per annum can be achieved through more sustainable management practices allowing rebuilding of overexploited stocks to healthy abundance.

(source: <https://iss-foundation.org/about-tuna/status-of-the-stocks/interactive-stock-status-tool/>).

** Based on a recent study of the tuna sector (McCluney et.al., 2019, <https://doi.org/10.1038/s41467-019-09466-6>), the potentially largest direct benefits attributable to improvements in sustainable tuna harvesting can accrue to participants in the post-harvest sector, including those in developing coastal countries, since the study found value chains able to preserve quality and transport fish to high value markets outperform others. However, the numbers of indirect beneficiaries is much larger since well managed tuna fisheries have the potential to sustain the livelihoods of hundreds of millions of people, and support the communities who depend on them.

PROJECT DESCRIPTION

1. Country Context

Describe the country's relevant environmental challenges and strategic positioning relative to the systems transformation proposed for the program, including relevant existing policies, commitments, and investment frameworks. How are these aligned with the proposed approach to foster impactful outcomes with global environmental benefits?

The global annual catch of the seven principal market species of highly migratory tunas found in the ABNJ is estimated to be approximately 4.9 million tons with an estimated value of USD 6.4 billion and USD 42 billion for dockside and end use, respectively. This represents a dramatic increase in both catch and value since the industry's beginnings. Up until the end of WW II tuna-based fisheries were mostly confined to localized, coastal fisheries. The highly migratory species characteristic of the ABNJ could only be caught in coastal waters at certain points in their life cycle and were considered to be seasonal. As demand for tuna for canning started to grow, industrial fisheries responded. Today, the industry is characterized by large, diversified fleets composed of vessels able to deploy all gear types, target all tuna species and capable of fishing in all ocean basins. It is a global, multi-gear and multispecies fishery.

As an industry, fishing, processing and distribution of the main commercial tuna species provide both direct and indirect benefits to a large number of people and their families. One study estimated that tuna vessels and processing plants account for some 10,000 jobs for Pacific Islanders. Total direct and indirect related employment was estimated to be between 21,000 and 31,000, or between 5 and 8 percent, respectively, of all wage employment in the region. A number of studies from other regions appear to confirm the importance of the industry as a source of employment although globally estimates have yet to be calculated.

In addition to the changes in fleets over time, other key factors that have affected the fishery include: (i) relative importance of fishing gear types in particular the increasing use of Fish Aggregating Devices (FAD) and subsequent improvements in their efficiency; (ii) growth in the number of target species; (iii) increase duration of ships at sea, supported by use of trans-shipment vessels; (iv) initiation of tuna farming activities; (v) the development of small-scale, coastal fisheries; and (vi) environmental considerations such as recognition of undesirable incidental catches and the introduction of various mitigation methods and techniques.

Despite its size the long-term future of the industry remains dependent on the sustainable management of the 23 stocks of the 7 main commercial tuna species that span the world's oceans. The five tuna regional fisheries management organizations (t-RFMOs) represent the cornerstones of international tuna fisheries governance. The status of the 23 stocks are formally assessed on a regular basis (every 2 - 4 years depending on the population) by the scientific staff or scientific committees of the five t-RFMOs. In a summary of the most recent assessment of these stocks it was estimated that globally, 61% of the stocks are at a healthy level of abundance, 17% are overfished and 22% are at an intermediate level. Moreover, many other tuna and tuna-like stocks are still considered data-limited and not formally assessed by t-RFMOs.

Despite many t-RFMOs taking steps to strengthen fisheries governance, in the early 2000s there was growing concern that some of these t-RFMOs were failing to adopt conservation management measures (CMMs) even when based on the best scientific advice available at the time. At that time it was also noted that many of these organizations were struggling to fulfil their mandates. In response and after considerable efforts from UN task forces, member states, NGOs and foundations, a number of new approaches and measures were proposed to strengthen the t-RFMOs. These included: (i) development of RFMO "best practices; (ii) performance reviews; and (iii) establishment of a cross t-RFMO process (to promote greater inter-sectoral cooperation among the t-RFMOs).

In spite of the measurable progress achieved through the adoption of these and other recommendations, the t-RFMOs continue to face a number of challenges and constraints undermining their potential for achieving greater impact. These include: (i) that resolution of many of the management issues faced by each Commission depends on individual state performance, (ii) decision-making rules are often based on

consensus among the member states, (iii) budgets depend on agreement of the member states (not by the Secretariats) and (iv) lags in implementation of management decisions by the member states.

The strategic approach to the proposed GEF-7 Project will be built on consolidating the gains from the GEF-5 Project complemented by the upscaling and/or diversification of approaches and technologies that demonstrated their cost-effectiveness in the earlier phase. The proposed GEF-7 Project will substantially benefit from the experiences and knowledge derived from the earlier phase. A large group of partners and stakeholders has been created that know how to work together in the common pursuit of achieving sustainable tuna fisheries in the ABNJ.

Proposed interventions in the GEF-7 Project can be largely grouped into the following categories: (i) continuing to support critical processes leading to improved management of the resources at the regional and global levels (e.g., cross t-RFMO process, support for Harvesting Strategies/Management Procedures); (ii) scaling up activities that have proven effective in monitoring control and surveillance of the management of the resource (e.g., the use of electronic monitoring on fleets); (iii) promoting new technologies and approaches that lead to cost-effective management of fish stocks (e.g., technology in support of transparency and traceability); (iv) increased use of market incentives in support of sustainable fisheries (e.g., through eco-labeling); and (v) support for modified or new technologies to reduce environmental impact associated with capture of non-target species. These activities directly contribute to proposed outcomes at the programme level.

2. Project Overview and Approach

Between 2014 and 2019 FAO and its partners have carried out the Common Oceans ABNJ Program, funded under the GEF-5 replenishment cycle. It proved to be an innovative and comprehensive approach, bringing together a unique variety of partners, including governments, regional management bodies, civil society, the private sector, academia and industry and proved that it could effectively address the challenges to sustainable use of the ABNJ.

In the period overlapping with the GEF-5 Project project, there has been significant progress towards achieving a more sustainable management of tuna stocks, some of which has benefited directly from project support. However, it is clear that additional investments are necessary to continue the successful partnership of the GEF-5 Common Oceans ABNJ Program and this Child Project to the ABNJ Program proposes a new five-year project to consolidate the results obtained, to upscale their reach and amplify their impact and support new activities and technologies that reflect the most recent changes in the sector.

a) Provide a brief description of the geographical target(s), including details of systemic challenges, and the specific environmental threats and associated drivers that must be addressed;

The main geographic focus of this global project will be in the Areas Beyond National Jurisdiction (ABNJ); areas that represent approximately 40% of the planet's surface, 64% of the ocean's surface and 95% of the latter's volume. The ABNJ are also characterized by a number of complex ecosystems that include pelagic waters, seamounts, submarine ridges and the seafloor itself and also abut or encompass sections of most of the world's Large Marine Ecosystems (LMEs) that extend beyond national jurisdictions. They are commonly considered to be the world's last large global commons lying beyond nation states' jurisdiction; a major constraint in ensuring their ecological health and long-term sustainability. The main thematic focus of the proposed GEF-7 Project will be to extend the GEF-5 Project's initiatives on sustainable management of tuna species to encourage improved collaboration between fisheries and other sectors operating in the ABNJ and to establish better linkages between coastal and open ocean governance structures.

While these fisheries are highly complex, the main drivers contributing to the present status and risks to their future sustainability are the following:

Overcapacity of the Fleets. The open access nature of fisheries, particularly in the high seas, has led to overcapacity of fleets in every t-RFMO convention area. Once overcapacity develops, it is difficult to reduce it because the fishing industry will continue operating as long as profits exceed costs, especially in the presence of subsidies;

Illegal, Unreported and Unregulated (IUU) Fishing. At the global level, estimates of IUU range between 11 and 26 million tons per year (i.e., 15% of global catch), leading to a loss of an estimated US\$ 10 to US\$

23.5 billion annually. While the situation has improved in recent years as a result of efforts at national, regional and international levels, more efforts are needed to address various types of activities that are more easily concealed or difficult to detect (i.e. misreporting, transshipments, etc.), thus strengthening the need for compliance; and the

Inter-relationships between Tuna Harvesting and the Environment. This issue is dominated by concern over the status of tuna stocks and the sustainability of fishing techniques, particularly on the impacts associated with bycatch, and possible contributions of abandoned, lost and discarded fishing gear to marine pollution. However, increasingly existential threats such as the effects of climate change on tuna fish stocks and more recently the potential impacts associated with plastics in the marine environment are gaining traction.

Addressing these issues is consistent with UNCLOS and also links to SDG and BBNJ goals (see below).

b). Describe the existing or planned baseline investments, including current institutional framework and processes for stakeholder engagement and gender integration:

The baseline has shifted over the intervening 6 years since the GEF-5 Project project was approved. The t-RFMOs have continued to evolve over time moving towards becoming more modernized, international organizations and in many respects adopting convergent approaches to the management of tuna stock. Examples include: (i) adoption of harvest strategies/management procedures in line with the guidelines of United Nations Fish Stocks Agreement (UNFSA) and Code of Conduct for Responsible Fisheries (CCRF); (ii) increased consideration of the impact of fishing operations on the environment; (iii) enhanced collaboration through exchange of information and experiences across all t-RFMOs on technical issues of common interest; (iv) the development and incorporation of recommendations stemming from systematic performance reviews; (v) promoting mechanisms to increase intra-sectoral cooperation among t-RFMOs (e.g., through memoranda of understanding); and (vi) implementing robust and consistent enforcement and compliance systems to ensure that the rules set for these fisheries are followed.

There have also been a number of new approaches that have emerged that are increasingly being applied in support of sustainable management of tuna fisheries. Examples include: (i) eco-certification of certain national tuna fisheries and/or chain of custody; (ii) increasing rates of electronic monitoring and reporting technologies to achieve greater accuracy and reduce lags in monitoring tuna fisheries performance and compliance and (iii) transitioning fishing gear technologies to mitigate impacts on non-target species and to reduce pollution impacts.

Finally, in addition to the five t-RFMOs, the number and diversity of stakeholders has grown significantly and include inter-governmental organizations, non-governmental organizations, private sector associations, foundations, trusts and trade groups.

Under the new “baseline scenario” there is likely to be a continuation of some financial resources in particular with respect to the number of new stakeholders in the sector. However, in the absence of a strong “center” providing the critical role of coordination and collaboration among so many stakeholders, there is a high risk that the synergies, coordination mechanisms and knowledge exchange channels established in the GEF-5 project will be lost. Moreover, without additional reinforcement the t-RFMOs, which remain the legal instrument of governance of these global resources in the ABNJ, are unlikely to benefit from these nascent processes. Many of the activities supported under GEF-5 project involving t-RFMOs would not likely have taken place in the absence of GEF resources (e.g., the reactivation of the cross t-RFMO process). Finally, while a number of new approaches and technologies supported under the GEF-5 project have demonstrated success, they are unlikely to be upscaled and expanded under the baseline scenario. Progress would likely continue but at a much slower rate, remain isolated and confined (e.g., to a particular fleet, country, sub-region) and opportunities for synergies to resolve common problems in different ocean regions missed.

The development of a wide and diverse range of stakeholders with interests in the future sustainability of tuna fisheries and the conservation of biodiversity in the ABNJ was a central tenant in the first phase project and arguably due to their close collaboration and coordination, was a major factor contributing to that project’s achievements. This group of stakeholders have indicated their interest in participating in the GEF-7 Project and likely will be enlarged to include additional participation from the private sector and one or more foundations.

There exists moreover, considerable potential to build and expand on the aforementioned groups and develop closer ties and linkages with the activities supported elsewhere in the private sector, the United Nations and with international financing institutions (IFIs). An example of the former is the work that is being supported by Vulcan Inc. which supports a wide range of initiatives, including programs for ocean health and climate change and includes the Global FinPrint Project with the aim of creating the largest and most comprehensive data-collection and analysis of the world's populations of reef sharks and rays.⁴³ Activities directly relevant to the project supported by the UN includes work by UNESCO's Intergovernmental Oceanic Commission (IOC) in the areas of marine biodiversity conservation and marine ecosystem management.⁴⁴ There exist similar opportunities to work with the IFIs in relevant on-going and future projects proposed for formulation.⁴⁵

Stakeholder consultation in fisheries is also critical at the local level. Maintaining healthy and sustainable tuna populations and the direct ecosystem services they provide is particularly important to developing economies. As many tuna stocks are straddling and due to the connectivity between high seas and EEZ, developing coastal States will suffer the consequences of ineffective management. Perhaps this is best demonstrated in the tropical western and central Pacific Ocean which is the most important tuna fishing area in the world. Countries in this region depend heavily on tuna resources for their nutrition, food security, economic development, employment, government revenue, livelihoods and culture. In recognition of this importance and depending on the activity, communities, civil society organizations and private sector entities at the local level will be identified and consulted per GEF policies, as appropriate.

Description of any consultations conducted during project development, as well as information on how stakeholders were engaged in the proposed activity and means of engagement through the remaining phases of the project cycle, will be recorded. FAO policies require the preparation of a stakeholder engagement plan that will provide a summary of how stakeholders at the proper level will be consulted in project execution, the means and timing of engagement, information disseminated and resources requirements. This plan will be made available at time of submission of the CEO Endorsement Template.

Similarly, project design will reflect GEF Policy on Gender Equality. The main factors that have until recently prevented the recognition of the role of women in fisheries employment appear to be due primarily to: (i) the concept of using "main unpaid activity" in surveys for defining the subsistence fisheries sector, as it downplays the importance of secondary activities (e.g., even for women who do considerable fishing, childcare is often the main unpaid activity); and (ii) placing commercial fish processing in some countries (where many women are employed) in the manufacturing sector. As in the case of stakeholder consultation, the relevance of gender to the GEF-7 Project is most relevant at the local level. While gender inclusion and the promotion of gender equality are not specific objectives of the Project it is understood that the collection of sex-disaggregated data and information on gender will be incorporated into project design and that information on gender dimensions relevant to the activity will be collected. Per FAO Policy on Gender a gender analysis will be completed during project design and depending on the results followed by a Gender Action Plan (GAP).

c) Describe how the integrated approach proposed for the child project responds to and reflects the Program's Theory of Change, and as such is an appropriate and suitable option for tackling the systemic challenges, and to achieve the desired transformation with multiple global environmental benefits; and

In December 2018 and April 2019, lead experts of all partners of the GEF-5 Common Oceans ABNJ Program came together to review the achievements and lessons learned during the implementation of the program with a view to developing a Theory of Change (TOC) that would lead the way towards sustainable use of ABNJ resources and biodiversity conservation. Based on in-depth assessment of the needs arising

⁴³ An undertaking in collaboration with the Sea Around Us Project supported by Pew Charitable Funds.

⁴⁴ Through UNESCO's International Oceanographic Data and Information Exchange programme (IODE), IOC maintains the Ocean Biogeographic Information system (OBIS), a global marine biodiversity knowledge base which provides an integral view on the past and current diversity, abundance and distribution of marine life in the ocean. Similarly, working at the regional level, the IOC promotes the development of marine ecosystem-based management tools to empower marine managers to implement best policies

⁴⁵ Examples of possible collaborative activities with the World Bank include MCS-supported activities with the Pacific Islands Regional Oceanscape Program (PROP), the Southwest Indian Ocean Fisheries Project (SWIOPF) and the West Africa Regional Fisheries Program (WARFP).

from the GEF-5 Program and the key barriers still to be overcome, the experts concluded that four priority areas would be key to increase the impact of future action:

- strengthening frameworks, processes and incentives for more effective fisheries governance and management in ABNJ;
- improving capacity to manage fisheries sustainably in ABNJ;
- improving stakeholder coordination and engagement in multi-sectoral processes addressing governance and management of ABNJ; and
- improving knowledge and knowledge management for more informed decision-making among stakeholders to support sustainable utilization of ABNJ.

Those priority areas enabled the experts to determine the necessary steps leading toward transformative change in the ABNJ. Eventually, this resulted in a TOC, effectively a roadmap towards healthy and productive common oceans.

The proposed GEF-7 Project TOC remains largely unchanged from its formulation at the time of the MTR in 2017. Nevertheless, there have been some changes in the initial six Immediate Project Outcomes (IO) that have now expanded to 11 to reflect subsequent consultation with the partners. These are:

- 1.1 Major tuna stocks are utilized in a sustainable manner, as they are increasingly managed according to the precautionary approach (as described in UNFSA and CCRF)
- 1.2 Tuna fisheries are managed by explicitly incorporating ecosystem considerations, including climate change
- 1.3 RFMOs increased learning by exchanging technical knowledge on topics of global relevance.
- 1.4 Sustainable practices implemented in fisheries thanks to new incentives, including better access to markets and better prices.
- 2.1 Greater effectiveness in the application of fisheries control and enforcement thanks to increased human capacity across t-RFMO member states based on regional training standards.
- 2.2 Higher compliance and control of IUU fishing thanks to the adoption of innovative tools in five fleets and traceability introduced over larger volumes of traded fishery products (50% of total catch landed)
- 3.1 Sustainable management of sharks and rays is enhanced by five integrated fisheries and biodiversity tools implemented by t-RFMOs.
- 3.2 Environmental impacts of fishing activities are reduced by the deployment of environmentally sound gear types in all t-RFMO areas of competency.
- 3.3 Mitigation techniques are widely and effectively applied to mitigate impacts to bycatch species.
- 3.4 Marine waste from fishing gear is minimized through implementation of existing and/or new policies and standards in three RFMOs.
- 4.1 Awareness of project objectives, activities and achievements among stakeholders and target audiences is increased through information and knowledge products and evidence of effective project implementation.

d) Describe the project's incremental reasoning for GEF financing under the program, including the results framework and components.

The objective of the proposed Sustainable Management of Tuna Fisheries and Biodiversity Conservation in the Areas Beyond National Jurisdiction Project is to achieve responsible, efficient and sustainable tuna production and biodiversity conservation in the ABNJ in face of a changing environment. The Project would have three technical components. These are: (i) Strengthened management of tuna fisheries, (ii) New tools and improved capacities to tackle IUU fishing and improve compliance and (iii) Reduction of

environmental impacts of tuna fisheries. These technical components, which directly link to both SDG and BBNJ goals, would be supported by a fourth component covering KM, Communication and M&E.

Component. 1 Strengthened management of tuna fisheries. Under the GEF-5 project, joint fisheries management aiming to manage tuna fisheries at appropriate capacity levels to assure sustainability was strengthened through a number of results including advancements in the implementation of the precautionary approach, via the development of harvest strategies/management procedures with specific timelines for completion and adoption across the tRFMOs. An equally important achievement was to convene scientists from all the RFMOs to work towards a cohesive approach to the operationalization of the Ecosystem Approach to Fisheries Management (EAFM), based on decision rules triggered by critical values in indicators of ecosystem health. Building on these results, likely activities to be supported under the GEF-7 Project would include: (i) providing continued support to the cross t-RFMO process including possibly their WGs on Management Strategies and FADs, respectively; (ii) building on the use of simulation-tested (MSE) harvest strategy/management procedure approaches for management by t-RFMOs, including the development and promotion of MSE for data-limited tuna stocks; (iii) promotion of increased attention given to scientific advice to inform management decisions which consider uncertainty in stock status and productivity; (iv) increased attention to likely impacts of climate change on tuna fisheries to enable planning for potential management responses and (v) promoting activities that are intended to incentivize tuna fisheries to follow best practices identified through much of the work undertaken in the GEF-5 project.

Component 2. Strengthened MCS to improve fisheries data, compliance with CMMs and to tackle IUU fishing Significant achievements under this component in the GEF-5 project included: (i) increased institutional capacity in fisheries administrations in the Pacific Island States to combat IUU; (ii) innovative pilots on electronic means of monitoring leading to reduced IUU fishing; (iii) establishment of a sustainable global network for compliance officials across t- RFMOs; and (iv) widespread adoption of legal templates to support the Port States Measures Agreement (PSMA). An important aspect of the first phase was the degree of engagement of industry in the project (generally through partnerships and in-kind contributions) in efforts to improve MCS (e.g. electronic monitoring) and investigate methods to mitigate undesirable impacts. This will likely be continued under the GEF-7 Project. Other activities likely to be supported under this component would include: (i) capacity building efforts aimed at the development of new skills and knowledge sharing between officials of tuna RFMOs; (ii) continued strengthening of tools for monitoring, control and surveillance and compliance (e.g., to support PSMA, catch documentation schemes and automatic updating of the global record of authorized vessels shared by all tuna RFMOs); (iii) upscaling the use of video equipment to supplement compliance work in developing states; (iv) reinforcement of compliance verification processes and tools in all RFMOs; (v) promoting the adoption of agreements aimed at increasing CPC's abilities for monitoring fisheries; (vi) developing systems for traceability and (vii) the continuation of efforts in the use electronic tools and emerging technologies.

Component. 3. Reduction of environmental impacts of tuna fisheries. Under this component, the 1st phase of the project contributed to: (i) increased knowledge of the status of shark resources, in particular in the Pacific, for the first time for several species over their entire range of distribution; (ii) the identification of best practices to reduce incidental mortality of species such as marine turtles and whale sharks, and the adoption of measures in some t-RFMOs; (iii) establishment of a global online portal to facilitate access to information on the performance of bycatch mitigation techniques; (iv) reduction of bycatch of sharks and small tunas in purse-seine fisheries promoted through sea trials of various techniques; and (v) awareness-raising efforts on ways of reducing incidental mortality of seabirds. Likely activities to be supported under this component in the GEF-7 Project include: (i) promoting a shift towards more environmentally-friendly gear (modifications and/or substitution of gill nets); (ii) reduction of ghost fishing through the promotion of new, non-entangling and bio-degradable designs for FADs; (iii) increased uptake of mitigation techniques for sea turtles, seabirds and marine mammals through training and implementation of new technologies for monitoring; and (v) ensuring that shark populations are utilized within sustainable limits through consistent tools and processes in fisheries management and biodiversity conservation.

Component 4. Communications, knowledge management and M&E. The GEF-5 Project's non-technical component included activities on information and best practices dissemination and M&E, aligned with the programmatic efforts. Public outreach and knowledge management activities were primarily tasked to the

Capacity Project. Activities under the GEF-7 Project will be focused on communications, knowledge management (KM) and monitoring and evaluation (M&E), to ensure that key target audiences are aware of the project's objectives, activities and achievements. In addition, processes will be put in place to facilitate the synthesis, exchange and uptake of project-specific lessons learned, best practices, and expertise generated during project implementation, and to support the adaptive management of the Project. One tool to facilitate the dissemination of this information will be the development of information packages to a wide range of target groups including national governments and regional (e.g., the EU) and global political entities (e.g., UN agencies).

Similar to the GEF-5 Project, The Project will maintain coordination and communications on relevant matters with other Child Projects under the GEF-7 Common Oceans ABNJ Program. To assist in this matter and to provide consistency and coherence in the delivery of Program-level outcomes, the Project will collaborate with a Global Coordination Project (GCP) that will operate under the framework of the Program.

The GCP will assist the projects in delivering their intended outcomes, by providing support to the projects on coordination, monitoring and evaluation, knowledge management, and communications to ensure cohesiveness and consistency at the Program level. The GCP will not interfere with the implementation of the technical activities of the child projects, but it will identify possible areas of cooperation and will invite the projects involved to initiate cooperation. The GCP will track and report progress towards program-level outcomes, and make projects aware of that progress. Activities supported under this component will be aligned with, and guided by, the overall programmatic strategies and plans and will feed information and lessons learned into activities at the programmatic level. At the same time, activities under this component will benefit from support services available at program level. The Project will also participate in IW:LEARN activities and International Waters Conferences.

In the GEF-7 Project, GEF funds would be used to continue critical processes that have already made substantial contributions towards achieving transformational change such as revitalizing the cross-tRFMO process, promoting the development and adoption of harvest control rules, increasing effectiveness of MCS measures supported by well-trained and motivated network of compliance professionals and continued reductions of by-catch and loss of critically important biodiversity affecting marine ecosystems. Perhaps the biggest incremental benefit would be to continue to work with and increase the existing group of partners that have come together to work toward the common goal of achieving more sustainable tuna fisheries in the ABNJ. This was a singular achievement in the first phase and achieved synergies not possible in the absence of GEF resources. It also contributed to the mobilization of co-financing to address a set of challenges beyond the capacity of any individual stakeholder or partner to resolve. GEF funding would be used to promote a more collaborative approach among a large range of partners and is expected to result in substantial progress towards achieving the agreed goals at national, regional and global levels for ABNJ tuna fisheries. The "with increment" scenario is likely to result in a significant acceleration of progress towards meeting the overall goal of sustainable tuna management.

The associated Global Environmental Benefits (GEBs) will mainly be derived from: (i) measurable improvements in the status of the tuna stocks in the areas under the jurisdiction of the five t-RFMOs; (ii) reduction in non-compliance behavior and IUU fishing; (iii) meaningful reduction in the threats to bycatch species in the areas under the jurisdiction of the five t-RFMOs, especially for sharks, marine mammals, sea turtles and seabirds; (iv) adopting lessons learned and applying it to other regions through south-south and north-south cooperation strategies; and (v) harnessing the power of industry groups / associations and civil society organizations.

3. Engagement with the Global / Regional Framework

Describe how the project will align with the global / regional framework for the program to foster knowledge sharing, learning, and synthesis of experiences. How will the proposed approach scale-up from the local and national level to maximize engagement by all relevant stakeholders and/or actors?

International Framework.

UNCLOS. The Common Oceans ABNJ Program Framework Document II and subsequent "child" projects are firmly rooted in the relevant global framework. The UN General Assembly (UNGA) plays a

central role in addressing issues relating to the conservation and sustainable use of biodiversity in marine areas beyond national jurisdiction as manifest in 1972 UNGA resolution 72/73 on oceans and the law of the sea and its preambular paragraphs on the United Nations Convention on the Law of the Sea (UNCLOS) complemented by subsequent legal instruments (e.g., the Agreement on Conservation and Management of Straddling Fish Stocks and Highly Migratory Fish Stocks in 1982 and the Agreement on Port State Measures to Prevent, Deter and Eliminate Illegal, Unreported and Unregulated Fishing in Port State Measures in 2009).

BBNJ. Any changes in the international framework must be taken into account to ensure both program and project interventions are effective and sustainable. While UNCLOS set forth the rights and obligations of states regarding the use of the oceans, their resources, and the protection of the marine and coastal environment, it did not refer specifically to marine biodiversity. Following more than a decade of discussions convened under the UNGA, in 2017 the Assembly decided to convene an Intergovernmental Conference (IGC) to elaborate the text of an International Legally Binding Instrument (ILBI) under UNCLOS on the conservation and sustainable use of BBNJ. This process and on-going negotiations are likely to have significant implications for both the t-RFMOs and the management of high seas tuna fish stocks. During the BBNJ negotiations, it has been argued that fishing activities could represent a threat to biodiversity. Although many of these activities are regulated under the UNCLOS and UNFSA provisions, the new agreement should address and understand the contribution of fisheries to the cumulative anthropogenic impacts on marine biodiversity. This will require the achievement of effective and sustainable cross-sectoral cooperation towards a better governance of natural resources in the ABNJ.

Under the Common Oceans ABNJ Program, the Capacity Project together with the Tuna Project, provided essential information to BBNJ negotiators and contributed to beginning to build bridges between fisheries and environment communities that are essential in the BBNJ negotiations. The Regional Leaders Program provided information to potential negotiators from 34 countries. The project also collaborated with the STRONG HS Project on the specific issue of enhanced MCS tools and policies with a view to improving regional coordination and providing new lessons and approaches for HS governance. The Capacity and the Tuna Projects also supported activities to increase public awareness on ABNJ-related issues through dialogues and side events at the UN, a workshop for media, and two cross-sectoral workshops, and supported the integration of fisheries officials into national delegations at the meetings of the IGC. The BBNJ process will continue well into 2020 with the next IGC scheduled for March 2020 and a further revision of the draft text on the conservation and sustainable use of marine biological diversity of ABNJ. Collaboration between the BBNJ process and the GEF-7 Program and Project will continue occurring primarily through: (i) support for more effective compliance and enforcement of fisheries regulations, (ii) development and promotion of adoption of best-practices for sustainable management of ABNJ resources, (iii) contributions to and coordination with the BBNJ process as it continues to evolve and develop in the future, (iv) providing support for sustainably sourced ABNJ products with emphasis on greater transparency and traceability leading to reductions of IUU products in the market and (v) leveraging increased public and private support and investment in the sustainable management of the ABNJ.

SDGs. The United Nations' Sustainable Development Goals (SDGs) build on the success of the earlier Millennium Development Goals (MDGs) but aim to go further to end all forms of poverty. The new Goals are unique in that they call for action by all countries, poor, rich and middle-income to promote prosperity while protecting the planet. They recognize that ending poverty must go hand-in-hand with strategies that build economic growth and addresses a range of social needs including education, health, social protection, and job opportunities, while tackling climate change and environmental protection. Of the 17 SDGs, Goal 14 is most relevant to the proposed GEF-7 Project: Conserve and sustainably use the oceans, seas and marine resources for sustainable development. The targets to measure progress to achieve this Goal are:

- by 2020, effectively regulate harvesting and end overfishing, illegal, unreported and unregulated fishing and destructive fishing practices and implement science-based management plans, in order to restore fish stocks in the shortest time feasible, at least to levels that can produce maximum sustainable yield as determined by their biological characteristics (14.4). The Project will directly contribute to this target through its support of activities for the strengthened management of tuna fisheries and the end overfishing and illegal, unreported and unregulated fishing;
- by 2020, conserve at least 10 per cent of coastal and marine areas, consistent with national and international law and based on the best available scientific information (14.5);

- by 2020, prohibit certain forms of fisheries subsidies which contribute to overcapacity and overfishing, eliminate subsidies that contribute to illegal, unreported and unregulated fishing and refrain from introducing new such subsidies, recognizing that appropriate and effective special and differential treatment for developing and least developed countries should be an integral part of the World Trade Organization fisheries subsidies negotiation (14.6); and
- enhance the conservation and sustainable use of oceans and their resources by implementing international law as reflected in UNCLOS, which provides the legal framework for the conservation and sustainable use of oceans and their resources, as recalled in paragraph 158 of The Future We Want (14.c).

Aichi. The proposed GEF-7 Project firmly supports CBD's Strategic Plan for Biodiversity 2011 – 2020 with the purpose of inspiring broad-based action in support of biodiversity over the next decade by all countries and stakeholders. Of the Plan's 5 strategic goals and 20 targets to be achieved at the end of the decade the most relevant to the sustainable management of highly migratory tuna fish stocks are:

- Strategic Goal B: Reduce the direct pressures on biodiversity and promote sustainable use and Target 6. By 2020 all fish and invertebrate stocks and aquatic plants are managed and harvested sustainably, legally and applying ecosystem based approached, so that overfishing is avoided, recovery plans and measures are in place for all depleted species, fisheries have no significant adverse impacts on threatened species and vulnerable ecosystems and the impact of fisheries on stocks, species and ecosystems are within safe ecological limits; and
- Strategic Goal C: To improve the status of biodiversity by safeguarding ecosystems, species and genetic diversity and Target 11. By 2020, at least 17 per cent of terrestrial and inland water, and 10 per cent of coastal marine areas, especially areas of particular importance for biodiversity and ecosystem services, are conserved through effectively and equitably managed, ecologically representative and well connected systems of protected areas and other effectively area-based conservation measures and integrated into the wider landscapes and seascapes.

As 2020 marks the deadline for the Aichi Biodiversity Targets and SDG, a new global framework for biodiversity is needed to carry the global community into the future with a view to achieving the 2050 Vision for Biodiversity. CBD's Secretariat is presently in the process of implementing a comprehensive and participatory process for the preparation of the post-2020 global biodiversity framework. This process will likely lead to changes/modifications in some of the indicators and/or targets.

The year 2020 will represent a critical opportunity for the global community to support events and processes leading to a sustainable future for the global ocean; a goal to which the proposed GEF-7 Common Oceans ABNJ Program and Project will directly contribute. These include in particular the 2020 United Nations Ocean Conference (directly targeting the scaling up of efforts to achieve the aforementioned SDG 14) and the 15th meeting of CBD's COP (expected to adopt a new post-2020 global biodiversity framework that is likely to include key priorities and objectives for the marine and coastal biodiversity). To achieve the needed synergies the GEF-7 Common Oceans ABNJ Program and Tuna Project will reach out during the design phase to ensure the needed coordination and collaboration.

Regional Framework.

Within the aforementioned UNCLOS framework, provision was made for the then existing two t-RFMOs and three new t-RFMOs created since 1972; critical partners together with FAO responsible for some of the many achievements logged under the GEF-5 project. In addition to these regional bodies, the successful GEF-5 project was supported by a large and diversified group of 18 stakeholders encompassing most of the sector's main stakeholders. These included institutions from the private sector, NGOs, national governments and regional organizations. It is intended that the GEF-7 Project will build on the strong network of partnerships, experience and lessons-learned derived from the first phase, leading to more effective and transformative activities. In particular the GEF-7 Project will support activities to strengthen further the compact of partners to include additional members in particular broadening representation from civil society, private sector and foundations.

GEF IWFA. The proposed Project is fully supportive of GEF IW Focal Area Objective 2: Improve Management in the Areas beyond National Jurisdiction in particular in supporting the sustainable management of fisheries resources and biodiversity conservation through assistance to capacity building

among concerned states and organisations and the fostering of public private partnerships between the RFMOs and the large commercial fishing fleets harvesting in the high seas and its associated supply chain. More specifically it is envisioned that the Project would support the following illustrative list of investments:

- strengthen support to RFMO activities including national and regional policy setting to end IUU and overfishing and inform sustainable management of marine capture fisheries;
- policy work towards reaching agreements to reduce harmful fishing subsidies;
- reduce overexploitation of fish stocks and IUU, through implementation of international agreements; and
- reduce overexploitation of fish stocks, with a particular focus on IUU.

In terms of upscaling experiences and lessons learned from the local and national levels there already exist networks that facilitate the dissemination of knowledge sharing and information exchange utilized (or in some cases created) under the phase 1 project. These include: (i) the cross-tRFMO process, (ii) a global network for compliance officials across tuna RFMOs and (iii) an informal network to share information among t-RFMOs (tuna.org). This was complemented by experience and know-how achieved through the support of a large number of diverse events under the GEF-5 project (e.g., workshops, on-line learning events, skippers' workshops etc.). The Project will also support elements of GEF's International Water's Blue Economy objective through efforts directed and the reduction of overfishing and IUU and the promotion of more sustainable fishing practices.

GEF Cape Town Workshop. Among some of the main recommendations stemming from GEF Cape Town Workshop in 2017⁴⁶ that the proposed Project would support are the following:

- the ecosystem approach is an essential condition for the continued long term science-based collaboration in regional ocean governance and that continuing and strengthening collaboration is needed, while also including social and economic elements;
- capacity development, including institutional strengthening, is needed for implementing the Ecosystem Approach;
- interactions among relevant stakeholders towards better regional ocean governance should make use of best existing practices and respect existing mandates;
- there is a need for open access scientific knowledge as a foundation for policy on all levels;
- a mechanism to translate science into policy is needed; and
- the need to recognize the importance of interregional collaboration for sharing lessons learned / experience and to create synergy among regional initiatives and/or activities.

LMEs The ABNJ are also characterized by a number of complex ecosystems that include pelagic waters, seamounts, submarine ridges and the seafloor itself and also abut or encompass sections of most of the world's Large Marine Ecosystems (LMEs) that extend beyond national jurisdictions. The Project will collaborate in and contribute to the TDA/SAP process where issues arise with regard to sustainable management of tuna stocks in particular where stocks pass between ABNJ and adjacent waters covered by an LME. Information will be shared with respective regional management authorities through the project website and the IWLEARN network (see below).

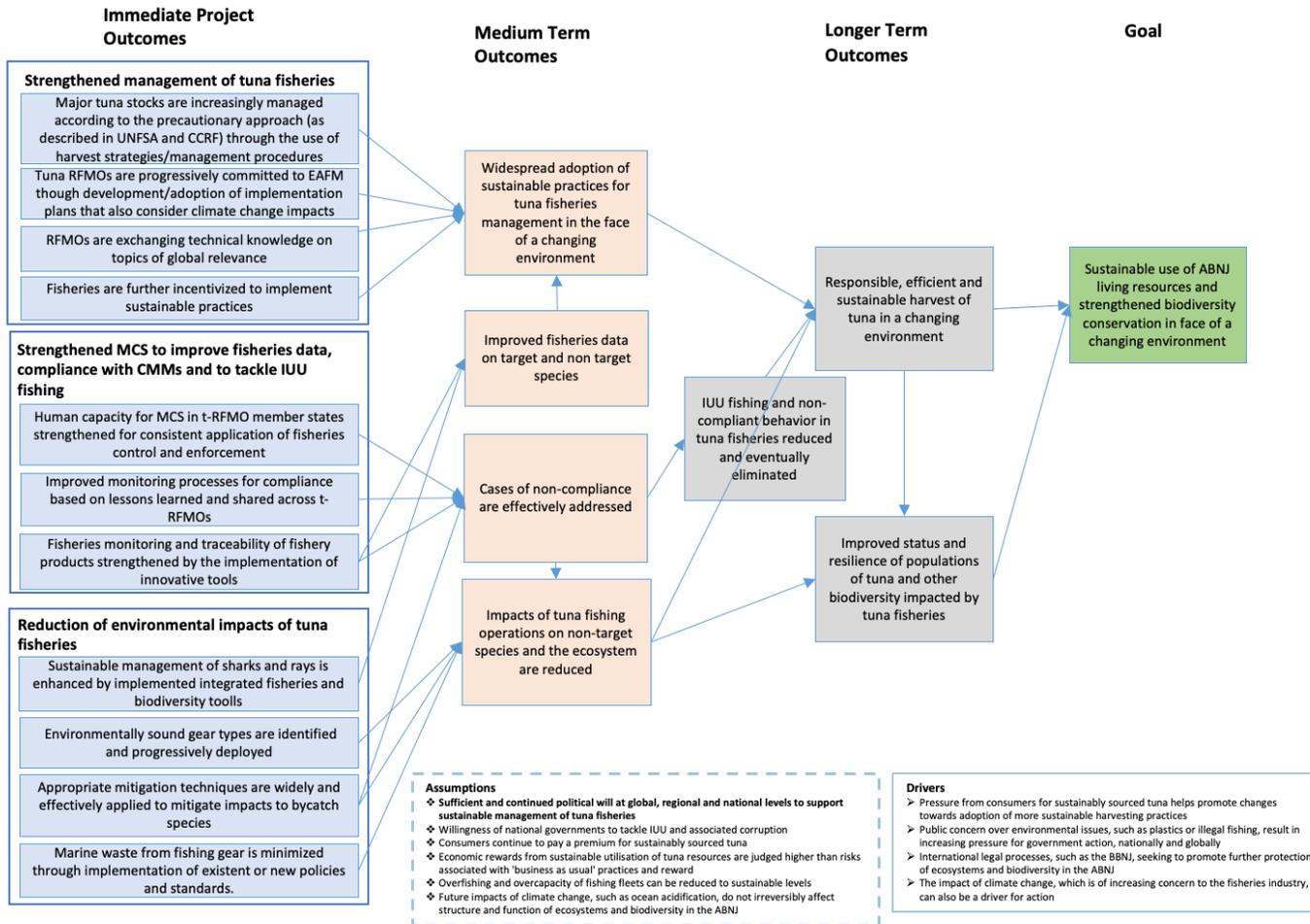
IW:LEARN IW:LEARN is the Global Environment Facility's (GEF) International Waters Learning Exchange and Resource Network. The IW:LEARN Project was established to strengthen transboundary water management around the globe by collecting and sharing best practices, lessons learned, and innovative solutions to common problems across the GEF International Waters portfolio. It promotes learning among project managers, country official, implementing agencies, and other partners. In the aforementioned Cape Town Workshop, GEF noted it was willing to assist in building the information-sharing platform through its IW:LEARN network. Clearly the proposed GEF-7 Program and Project could contribute to this and continue its successful collaboration with IW:LEARN in the GEF-7. Specifically a

⁴⁶ GEF, UNDP, IOC/UNESCO, UNEP, and FAO. 2017. Building international partnerships to enhance science-based ecosystems approaches in support of regional ocean governance. Meeting Report. 27-28th November, 2017. Cape Town, SA.

minimum of one percent of the GEF grant in support of this Project will be used to support the production of a website in conformity with IWLEARN guidance, at least two experience notes, participation in IW Conferences held during the project implementation period as well as tropical and regional events hosted by IWLEARN. Project support to IW:LEARN has been reflected in the KM budget.

Annex I : Theory of Change for the Project (as discussed during the Project and Program Steering Committees in January 2020_

Theory of Change for the Common Oceans ABNJ Tuna Project Phase II



Annex II : GEF-7 Taxonomy

Level 1	Level 2	Level 3	Level 4
<input checked="" type="checkbox"/> Influencing models			
	<input type="checkbox"/> Transform policy and regulatory environments		
	<input checked="" type="checkbox"/> Strengthen institutional capacity and decision-making		
	<input type="checkbox"/> Convene multi-stakeholder alliances		
	<input checked="" type="checkbox"/> Demonstrate innovative approaches		
	<input type="checkbox"/> Deploy innovative financial instruments		
<input checked="" type="checkbox"/> Stakeholders			
	<input type="checkbox"/> Indigenous Peoples		
	<input checked="" type="checkbox"/> Private Sector		
		<input type="checkbox"/> Capital providers	
		<input type="checkbox"/> Financial intermediaries and market facilitators	
		<input checked="" type="checkbox"/> Large corporations	
		<input type="checkbox"/> SMEs	
		<input checked="" type="checkbox"/> Individuals/Entrepreneurs	
		<input type="checkbox"/> Non-Grant Pilot	
		<input type="checkbox"/> Project Reflow	
	<input checked="" type="checkbox"/> Beneficiaries		
	<input checked="" type="checkbox"/> Local Communities		
	<input checked="" type="checkbox"/> Civil Society		
		<input type="checkbox"/> Community Based Organization	
		<input checked="" type="checkbox"/> Non-Governmental Organization	
		<input type="checkbox"/> Academia	
		<input type="checkbox"/> Trade Unions and Workers Unions	
	<input checked="" type="checkbox"/> Type of Engagement		
		<input checked="" type="checkbox"/> Information Dissemination	
		<input checked="" type="checkbox"/> Partnership	
		<input checked="" type="checkbox"/> Consultation	
		<input checked="" type="checkbox"/> Participation	
	<input checked="" type="checkbox"/> Communications		
		<input checked="" type="checkbox"/> Awareness Raising	
		<input checked="" type="checkbox"/> Education	
		<input checked="" type="checkbox"/> Public Campaigns	
		<input checked="" type="checkbox"/> Behavior Change	
<input checked="" type="checkbox"/> Capacity, Knowledge and Research			
	<input type="checkbox"/> Enabling Activities		
	<input checked="" type="checkbox"/> Capacity Development		
	<input checked="" type="checkbox"/> Knowledge Generation and Exchange		
	<input type="checkbox"/> Targeted Research		
	<input type="checkbox"/> Learning		
		<input checked="" type="checkbox"/> Theory of Change	
		<input checked="" type="checkbox"/> Adaptive Management	
		<input checked="" type="checkbox"/> Indicators to Measure Change	
	<input checked="" type="checkbox"/> Innovation		
	<input checked="" type="checkbox"/> Knowledge and Learning		

		<input checked="" type="checkbox"/> Knowledge Management	
		<input checked="" type="checkbox"/> Innovation	
		<input checked="" type="checkbox"/> Capacity Development	
		<input checked="" type="checkbox"/> Learning	
	<input checked="" type="checkbox"/> Stakeholder Engagement Plan		
<input checked="" type="checkbox"/> Gender Equality			
	<input checked="" type="checkbox"/> Gender Mainstreaming		
		<input type="checkbox"/> Beneficiaries	
		<input type="checkbox"/> Women groups	
		<input checked="" type="checkbox"/> Sex-disaggregated indicators	
		<input type="checkbox"/> Gender-sensitive indicators	
	<input checked="" type="checkbox"/> Gender results areas		
		<input type="checkbox"/> Access and control over natural resources	
		<input type="checkbox"/> Participation and leadership	
		<input type="checkbox"/> Access to benefits and services	
		<input checked="" type="checkbox"/> Capacity development	
		<input checked="" type="checkbox"/> Awareness raising	
		<input type="checkbox"/> Knowledge generation	
<input checked="" type="checkbox"/> Focal Areas/Theme			
	<input type="checkbox"/> Integrated Programs		
		<input type="checkbox"/> Commodity Supply Chains (⁴⁷ Good Growth Partnership)	
			<input type="checkbox"/> Sustainable Commodities Production
			<input type="checkbox"/> Deforestation-free Sourcing
			<input type="checkbox"/> Financial Screening Tools
			<input type="checkbox"/> High Conservation Value Forests
			<input type="checkbox"/> High Carbon Stocks Forests
			<input type="checkbox"/> Soybean Supply Chain
			<input type="checkbox"/> Oil Palm Supply Chain
			<input type="checkbox"/> Beef Supply Chain
			<input type="checkbox"/> Smallholder Farmers
			<input type="checkbox"/> Adaptive Management
		<input type="checkbox"/> Food Security in Sub-Sahara Africa	
			<input type="checkbox"/> Resilience (climate and shocks)
			<input type="checkbox"/> Sustainable Production Systems
			<input type="checkbox"/> Agroecosystems
			<input type="checkbox"/> Land and Soil Health
			<input type="checkbox"/> Diversified Farming
			<input type="checkbox"/> Integrated Land and Water Management
			<input type="checkbox"/> Smallholder Farming
			<input type="checkbox"/> Small and Medium Enterprises
			<input type="checkbox"/> Crop Genetic Diversity
			<input type="checkbox"/> Food Value Chains
			<input type="checkbox"/> Gender Dimensions
			<input type="checkbox"/> Multi-stakeholder Platforms
		<input type="checkbox"/> Food Systems, Land Use and Restoration	
			<input type="checkbox"/> Sustainable Food Systems
			<input type="checkbox"/> Landscape Restoration

		<input type="checkbox"/> Sustainable Commodity Production
		<input type="checkbox"/> Comprehensive Land Use Planning
		<input type="checkbox"/> Integrated Landscapes
		<input type="checkbox"/> Food Value Chains
		<input type="checkbox"/> Deforestation-free Sourcing
		<input type="checkbox"/> Smallholder Farmers
	<input type="checkbox"/> Sustainable Cities	
		<input type="checkbox"/> Integrated urban planning
		<input type="checkbox"/> Urban sustainability framework
		<input type="checkbox"/> Transport and Mobility
		<input type="checkbox"/> Buildings
		<input type="checkbox"/> Municipal waste management
		<input type="checkbox"/> Green space
		<input type="checkbox"/> Urban Biodiversity
		<input type="checkbox"/> Urban Food Systems
		<input type="checkbox"/> Energy efficiency
		<input type="checkbox"/> Municipal Financing
		<input type="checkbox"/> Global Platform for Sustainable Cities
		<input type="checkbox"/> Urban Resilience
	<input checked="" type="checkbox"/> Biodiversity	
	<input type="checkbox"/> Protected Areas and Landscapes	
		<input type="checkbox"/> Terrestrial Protected Areas
		<input type="checkbox"/> Coastal and Marine Protected Areas
		<input type="checkbox"/> Productive Landscapes
		<input type="checkbox"/> Productive Seascapes
		<input type="checkbox"/> Community Based Natural Resource Management
	<input checked="" type="checkbox"/> Mainstreaming	
		<input type="checkbox"/> Extractive Industries (oil, gas, mining)
		<input type="checkbox"/> Forestry (Including HCVF and REDD+)
		<input type="checkbox"/> Tourism
		<input type="checkbox"/> Agriculture & agrobiodiversity
		<input checked="" type="checkbox"/> Fisheries
		<input type="checkbox"/> Infrastructure
		<input type="checkbox"/> Certification (National Standards)
		<input type="checkbox"/> Certification (International Standards)
	<input checked="" type="checkbox"/> Species	
		<input type="checkbox"/> Illegal Wildlife Trade
		<input checked="" type="checkbox"/> Threatened Species
		<input type="checkbox"/> Wildlife for Sustainable Development
		<input type="checkbox"/> Crop Wild Relatives
		<input type="checkbox"/> Plant Genetic Resources
		<input type="checkbox"/> Animal Genetic Resources
		<input type="checkbox"/> Livestock Wild Relatives
		<input type="checkbox"/> Invasive Alien Species (IAS)
	<input type="checkbox"/> Biomes	
		<input type="checkbox"/> Mangroves
		<input type="checkbox"/> Coral Reefs
		<input type="checkbox"/> Sea Grasses
		<input type="checkbox"/> Wetlands
		<input type="checkbox"/> Rivers
		<input type="checkbox"/> Lakes

		<input type="checkbox"/> Tropical Rain Forests
		<input type="checkbox"/> Tropical Dry Forests
		<input type="checkbox"/> Temperate Forests
		<input type="checkbox"/> Grasslands
		<input type="checkbox"/> Paramo
		<input type="checkbox"/> Desert
	<input type="checkbox"/> Financial and Accounting	
		<input type="checkbox"/> Payment for Ecosystem Services
		<input type="checkbox"/> Natural Capital Assessment and Accounting
		<input type="checkbox"/> Conservation Trust Funds
		<input type="checkbox"/> Conservation Finance
	<input type="checkbox"/> Supplementary Protocol to the CBD	
		<input type="checkbox"/> Biosafety
		<input type="checkbox"/> Access to Genetic Resources Benefit Sharing
<input type="checkbox"/> Forests		
	<input type="checkbox"/> Forest and Landscape Restoration	
		<input type="checkbox"/> REDD/REDD+
	<input type="checkbox"/> Forest	
		<input type="checkbox"/> Amazon
		<input type="checkbox"/> Congo
		<input type="checkbox"/> Drylands
<input type="checkbox"/> Land Degradation		
	<input type="checkbox"/> Sustainable Land Management	
		<input type="checkbox"/> Restoration and Rehabilitation of Degraded Lands
		<input type="checkbox"/> Ecosystem Approach
		<input type="checkbox"/> Integrated and Cross-sectoral approach
		<input type="checkbox"/> Community-Based NRM
		<input type="checkbox"/> Sustainable Livelihoods
		<input type="checkbox"/> Income Generating Activities
		<input type="checkbox"/> Sustainable Agriculture
		<input type="checkbox"/> Sustainable Pasture Management
		<input type="checkbox"/> Sustainable Forest/Woodland Management
		<input type="checkbox"/> Improved Soil and Water Management Techniques
		<input type="checkbox"/> Sustainable Fire Management
		<input type="checkbox"/> Drought Mitigation/Early Warning
	<input type="checkbox"/> Land Degradation Neutrality	
		<input type="checkbox"/> Land Productivity
		<input type="checkbox"/> Land Cover and Land cover change
		<input type="checkbox"/> Carbon stocks above or below ground
	<input type="checkbox"/> Food Security	
<input checked="" type="checkbox"/> International Waters		
	<input type="checkbox"/> Ship	
	<input type="checkbox"/> Coastal	
	<input type="checkbox"/> Freshwater	
		<input type="checkbox"/> Aquifer
		<input type="checkbox"/> River Basin
		<input type="checkbox"/> Lake Basin

	<input checked="" type="checkbox"/> Learning	
	<input checked="" type="checkbox"/> Fisheries	
	<input type="checkbox"/> Persistent toxic substances	
	<input checked="" type="checkbox"/> SIDS : Small Island Dev States	
	<input type="checkbox"/> Targeted Research	
	<input checked="" type="checkbox"/> Pollution	
		<input type="checkbox"/> Persistent toxic substances
		<input checked="" type="checkbox"/> Plastics
		<input type="checkbox"/> Nutrient pollution from all sectors except wastewater
		<input type="checkbox"/> Nutrient pollution from Wastewater
	<input type="checkbox"/> Transboundary Diagnostic Analysis and Strategic Action Plan preparation	
	<input type="checkbox"/> Strategic Action Plan Implementation	
	<input checked="" type="checkbox"/> Areas Beyond National Jurisdiction	
	<input type="checkbox"/> Large Marine Ecosystems	
	<input checked="" type="checkbox"/> Private Sector	
	<input type="checkbox"/> Aquaculture	
	<input type="checkbox"/> Marine Protected Area	
	<input type="checkbox"/> Biomes	
		<input type="checkbox"/> Mangrove
		<input type="checkbox"/> Coral Reefs
		<input type="checkbox"/> Seagrasses
		<input type="checkbox"/> Polar Ecosystems
		<input type="checkbox"/> Constructed Wetlands
	<input type="checkbox"/> Chemicals and Waste	
	<input type="checkbox"/> Mercury	
	<input type="checkbox"/> Artisanal and Scale Gold Mining	
	<input type="checkbox"/> Coal Fired Power Plants	
	<input type="checkbox"/> Coal Fired Industrial Boilers	
	<input type="checkbox"/> Cement	
	<input type="checkbox"/> Non-Ferrous Metals Production	
	<input type="checkbox"/> Ozone	
	<input type="checkbox"/> Persistent Organic Pollutants	
	<input type="checkbox"/> Unintentional Persistent Organic Pollutants	
	<input type="checkbox"/> Sound Management of chemicals and Waste	
	<input type="checkbox"/> Waste Management	
		<input type="checkbox"/> Hazardous Waste Management
		<input type="checkbox"/> Industrial Waste
		<input type="checkbox"/> e-Waste
	<input type="checkbox"/> Emissions	
	<input type="checkbox"/> Disposal	
	<input type="checkbox"/> New Persistent Organic Pollutants	
	<input type="checkbox"/> Polychlorinated Biphenyls	
	<input type="checkbox"/> Plastics	
	<input type="checkbox"/> Eco-Efficiency	
	<input type="checkbox"/> Pesticides	
	<input type="checkbox"/> DDT - Vector Management	
	<input type="checkbox"/> DDT - Other	
	<input type="checkbox"/> Industrial Emissions	
	<input type="checkbox"/> Open Burning	

	<input type="checkbox"/> Best Available Technology / Best Environmental Practices	
	<input type="checkbox"/> Green Chemistry	
<input checked="" type="checkbox"/> Climate Change		
	<input checked="" type="checkbox"/> Climate Change Adaptation	
		<input type="checkbox"/> Climate Finance
		<input checked="" type="checkbox"/> Least Developed Countries
		<input checked="" type="checkbox"/> Small Island Developing States
		<input type="checkbox"/> Disaster Risk Management
		<input type="checkbox"/> Sea-level rise
		<input checked="" type="checkbox"/> Climate Resilience
		<input type="checkbox"/> Climate information
		<input type="checkbox"/> Ecosystem-based Adaptation
		<input type="checkbox"/> Adaptation Tech Transfer
		<input type="checkbox"/> National Adaptation Programme of Action
		<input checked="" type="checkbox"/> National Adaptation Plan
		<input type="checkbox"/> Mainstreaming Adaptation
		<input type="checkbox"/> Private Sector
		<input type="checkbox"/> Innovation
		<input type="checkbox"/> Complementarity
		<input type="checkbox"/> Community-based Adaptation
		<input type="checkbox"/> Livelihoods
	<input type="checkbox"/> Climate Change Mitigation	
		<input type="checkbox"/> Agriculture, Forestry, and other Land Use
		<input type="checkbox"/> Energy Efficiency
		<input type="checkbox"/> Sustainable Urban Systems and Transport
		<input type="checkbox"/> Technology Transfer
		<input type="checkbox"/> Renewable Energy
		<input type="checkbox"/> Financing
		<input type="checkbox"/> Enabling Activities
	<input type="checkbox"/> Technology Transfer	
		<input type="checkbox"/> Poznan Strategic Programme on Technology Transfer
		<input type="checkbox"/> Climate Technology Centre & Network (CTCN)
		<input type="checkbox"/> Endogenous technology
		<input type="checkbox"/> Technology Needs Assessment
		<input type="checkbox"/> Adaptation Tech Transfer
	<input type="checkbox"/> United Nations Framework on Climate Change	
		<input type="checkbox"/> Nationally Determined Contribution

Annex III : Correlation between outcomes at the Program Level and outcomes at the Project level

Common Oceans ABNJ Program Outcomes	Conformity within Child Project
<p>Component 1: Frameworks and processes for more effective governance and management in ABNJ (including fisheries management) strengthened</p>	<p>1.1 Major tuna stocks are utilized in a sustainable manner, as they are increasingly managed according to the precautionary approach (as described in UNFSA and CCRF).</p> <p>1.2 Tuna RFMOs are progressively committed to EAFM through development and adoption of implementation plans that also consider climate change impacts.</p> <p>1.3 RFMOs increased learning by exchanging technical knowledge on topics of global relevance.</p> <p>1.4 Sustainable practices implemented in fisheries thanks to new incentives, including better access to markets and better prices.</p>
<p>Component 2: Capacity for better implementation of ecosystem-based management in fisheries management in the ABNJ strengthened</p>	<p>2.1 Greater effectiveness in the application of fisheries control and enforcement thanks to increased human capacity across t-RFMO member states based on regional training standards.</p> <p>2.2 Higher compliance and control of IUU fishing thanks to the adoption of innovative tools in five fleets and traceability introduced over larger volumes of traded fishery products (50% of total catch landed)</p> <p>3.2 Environmental impacts of fishing activities are reduced by the deployment of environmentally sound gear types in all t-RFMO areas of competency.</p> <p>3.3 Mitigation techniques are widely and effectively applied to mitigate impacts to bycatch species.</p>
<p>Component 3: Participation in multi-sectoral coordination for more effective governance and management of ABNJ improved</p>	<p>3.1 Sustainable management of sharks and rays is enhanced by five integrated fisheries and biodiversity tools implemented by t-RFMOs.</p> <p>3.4 Marine waste from fishing gear is minimized through implementation of existing and/or new policies and standards in three RFMOs.</p>
<p>Component 4: Knowledge and information exchange for more informed decision-making among stakeholders to support sustainable utilization of ABNJ improved</p>	<p>4.1 Awareness of project objectives, activities and achievements among stakeholders and target audiences is increased through information and</p>

	knowledge products and evidence of effective project implementation.
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