



STRENGTHENING THE STEWARDSHIP OF AN ECONOMICALLY AND BIOLOGICALLY SIGNIFICANT HIGH SEAS AREA – THE SARGASSO SEA

Project Inception Workshop

Date and Time: October 18, 2022 from 8AM to 1PM on site + online
Location: Villa Caletas Hotel, Puntarenas Province, Jaco, Costa Rica

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Introduction to the Inception Meeting

The UNDP IOC-UNESCO GEF Project on ‘Strengthening the Stewardship of an Economically and Biologically Significant High Seas Area – the Sargasso Sea’ is a 4-year Child Project that falls under the umbrella of the GEF FAO Common Oceans Program. This Project aims to provide a concrete demonstration of how a ‘stewardship’ strategy and associated partnership can play a leading role in sustaining and restoring the health, productivity and resilience of 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 and will provide a model that can be replicated and scaled up elsewhere as applicable. The Project has four components. It focuses on conducting transboundary diagnostics and supporting decision making of governments regarding the implementation of the ecosystem-based management in the high seas, taking into account the various and at times overlapping governance structures. It will also provide support to governments defining a strategic action program along with monitoring and evaluation.

The Common Oceans Program itself consists of five child projects – two global projects that will promote more sustainable management of tuna and deep-sea fisheries (fisheries sector focus), a third project that seeks to build capacity to improve cross-sectoral collaboration and coordination on key ABNJ issues at global level (thematic focus), and this fourth project that examines multi-sectoral governance (stewardship) in a pilot area, the Sargasso Sea (geographical focus). A fifth child project will ensure effective coordination, communication, partnerships, lesson learning and knowledge management between the other child projects and support innovative financing initiatives for sustainable use of ABNJ resources across the Program (program level focus).

In essence, the Inception Meeting is the official launch of the Project. It also allows discussion across a broad range of stakeholders in relation to the Project’s management procedures, the roles of the Implementing and Executing Agencies, how stakeholders will be engaged within Project activities and provide guidance, overall monitoring of Project status and delivery, and a review of the work-plan for the first 12 months. A summary was provided regarding the Objectives of this Project Inception Workshop.

An Inception Workshop is a general requirement to launch a Project Development process In order to ensure that all stakeholders and interest parties are aware of the process and their roles and expected inputs. In summary, the purpose of such an Inception Workshop is to:

- Introduce the Project Development Team (Lead Consultant, Technical and Administrative Support)
- Ensure all appropriate stakeholders are included in the Project itself as well as in the development of the project and its various Components to Activities
- Review the Project Approach as presented in the PIF to GEF (Components-Outcomes-Outputs-Activities, etc) to ensure that these are as agreed and to capture any relevant amendments or additions (Noting that the Components and Outcomes of the final Project Document should be consistent with those presented to GEF in the PIF. If necessary and justifiable, Outputs and Activities to achieve these can be modified or added)

- Review specific inputs required from the various partners in the Project by way of supportive information, co-financing contributions and deadlines for confirmation, country endorsements, etc.
- Present the timeline and road-map for delivering the submission to GEF including the UNDP Validation Workshop requirements and GEF Review Process.

The Final Report from the Inception Workshop provides the review and discussion of the workplans, budget, results framework, monitoring and evaluation requirements and roles and responsibilities of the main stakeholders. It captures any proposed changes from the Project Document that may be put forward by the stakeholders along with the justification for such changes. Effectively, it reconfirms the commitment to the Theory of Change and how this will be delivered.

Project Overview

David Vousden, The CTA to the Sargassos Project then presented a background to the evolution of the Project to date followed by a summary of the Project Objectives, Components, Activities and Expected Outcomes. These were summarised as follows and are captured in further detail in Annex ?.

COMPONENT 1:IMPROVED KNOWLEDGE BASE TO SUPPORT A COLLABORATIVE, ADAPTIVE ECOSYSTEM-BASED STEWARDSHIP APPROACH

Component 1 will undertake the required technical and scientific work to improve overall knowledge of the Sargasso Sea, identify the threats and root causes and define potential ecosystem-focused approaches and strategies to address them while developing an appropriate and effective monitoring programme and advising the institutional and organisational partners on the value and cost-effective nature of such an ecosystem approach (an Ecosystem Diagnostic Analysis). Component 1 has three Outcomes:

Outcome 1.1: Quantified threats and impacts identified along with their immediate and root causes establishing a baseline for on-going monitoring and collaborative ecosystem-based stewardship.

Outcome 1.2: Analysis of the global value of this unique ecosystem (with accurate figures and conclusions where possible) to further justify and mobilize support for collaboration.

Outcome 1.3: Knowledge and Information capture and analysis to support effective stewardship.

COMPONENT 2:DEVELOPMENT OF A STRATEGIC ACTION PROGRAMME FOR ADDRESSING THREATS AND STRENGTHENING STEWARDSHIP THROUGH COLLABORATION AND CONSERVATION OF THE SARGASSO SEA ECOSYSTEM

Component 2 will use the technical Outputs from Component 1 to guide and evolve a formal long-term Strategic Action Programme through Component 2, including 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 2 has two Outcomes:

Outcome 2.1: Priority immediate and long-term actions identified in order to a) address or mitigate the impacts of threats and b) strengthen collaborative stewardship and conservation.

Outcome 2.2: Priority actions to strengthen collaborative stewardship endorsed by various partner institutions and other stakeholders to support actions for the conservation and sustainable use of the Sargasso Sea.

COMPONENT 3: PARTNERSHIPS AND COLLABORATION FOR THE SUSTAINABILITY OF THE NATURAL RESOURCES OF THE SARGASSO SEA ECOSYSTEM

Component 3 will deliver the collaborative arrangements 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 3 has one Outcome:

Outcome 3.1: Collaborative stewardship of an iconic high seas ecosystem through the development of interactive, partnerships for the conservation and sustainable use of its natural resources.

COMPONENT 4: KNOWLEDGE MANAGEMENT, MONITORING AND EVALUATION

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. Component 4 has one Outcome:

Outcome 4.1: Knowledge Capture and Management through Identification of Best Lessons and Practices

In this presentation it was highlighted that this is a Child Project under the overall Common Oceans Programme, which further includes another four Child Project. The CTA summarised the main deliverables from the Project as per the overall Project Work-Plan. As part of the presentation, the CTA explained the standard Transboundary Diagnostic Analysis (TDA) and Strategic Action Programme (SAP) approach that has been developed over a number of years by the International Waters Portfolio of GEF and its various Implementing Agencies, including UNDP. In this case, the TDA-SAP stepwise process has been modified into an EDA-SAP process to reflect the fact that this ABNJ is not transboundary as such but is an ecosystem in its own right but outside of any jurisdiction of specific nations or states. The CTA noted that it is customary within such GEF projects that, if a SAP is successfully negotiated and adopted then there is the possibility to propose a follow up GEF project for implementation of the SAP.

The floor was then opened for questions on what had been presented:

- ❖ Kristina Gjerde asked what lessons had been learned for enhancing cooperation and collaboration in the governance of ABNJ based on the LME approach. The CTA agreed that that collaboration was vitally important and emphasised the importance of engaging from the very start with the appropriate stakeholders – making them aware of and comfortable with project activities. The CTA prioritised the development of both the Communications Strategy and a Stakeholder Engagement Strategy.
- ❖ Ana Colaço asked about identifying knowledge gaps and gaps in monitoring, as well as learning from best practices. The CTA said a gap analysis team would be put together early on to

address gaps in knowledge and monitoring, as part of the project activities. The CTA also emphasised the importance of learning from other similar projects, and capturing best practices from this project for the benefit of future ABNJ projects.

- ❖ Elizabeth McLanahan asked about identification of stakeholders. The CTA emphasised the importance of this process and of engaging with Signatories and Commissioners to help identify stakeholders. David Freestone also briefly mentioned the organisations that the Commission already had contact with, as well as its collaborating partners.

This project, as any other GEF project, has the following milestones: PIRs preparation every year, MTR, TE, financial and operational closure.

Progress during the Inception Period

The Project has undertaken formal interviews and subsequently hired a Chief Technical Advisor and a Communications Officer. The project has also interviewed for the position of Administration and Finance Officer and this is currently under consideration prior to preparation and signature of a contract.

Furthermore, the initial interaction has begun with stakeholders during the Inception Period, particularly those that will be providing support to the Ecosystem Diagnostic Analysis. This interaction and exchange has catalysed the development of the structure for the EDA and will aim to identify which parties are responsible for which inputs.

The CTA and Communications Officer have also opened dialogue with the Sargasso Sea Commissioners and the Signatories to the Hamilton Declaration to explain the detail and sequence of events as defined in the annual work-plan (which remains the same as in the approved Project Document following this Inception Workshop)

The Communications office, in particular, has been interacting with the Common Oceans Programme coordinators also to provide them with the appropriate awareness materials.

A budget revision is underway to account for the period between the signature of the document (August 2022) and the hiring of staff to get the Project underway which did not happen until the end of 2022. This budget revision will reallocate funds ahead into the appropriate years to provide timely support when needed.

The composition and responsibilities of the Project Steering Committee (also referred to as the Project Board) are highlighted in Annex 4 – Project Management and Implementation Arrangements. This Inception Workshop constitutes the first meeting of the Project Steering Committee along with some invited observers.

Situation Analysis and Overview of Project Implementation Process

The Inception Workshop found that the assumptions underpinning the project design including the Theory of Change are still valid. The Project still has the full support to the Commissioners, Signatories and other stakeholders present. No new threats have been identified as such although attention has

been drawn to the potential for sediment plumes from deep sea mining along the Mid Atlantic Ridge to possibly reach the system boundary of the project and across if mining licences are granted.

The Workshop noted that the project also intended to discuss the potential for a Particularly Sensitive Sea Area to be declared within the Sargasso Sea to protect the endemic and migratory species.

The workshop also noted the current status of the negotiations for a legally-binding treaty on BBNJ and further noted the additional opportunities and synergies associated with this treaty once it has been adopted.

- Elizabeth McLanahan asked for further information about ‘dialogue and adoption of partnerships for risk/threats mitigation’. The CTA elaborated that once the risks are identified through the causal chain analysis, the intention would be to discuss these with the various partners and stakeholders with a view to identifying and agreeing approaches to mitigating risks, and adopting priorities, as a precursor to developing this further in the SAP.
- John Mumford asked which partners would be responsible for which outputs, and what resources would be available to each partner. The CTA explained the next step in project development would be zeroing in on these specifics with the partners themselves.
- Howard Roe emphasised the importance of examining the programmes of the various partners that would be working on the project in order to streamline work and avoid redundancies.
- Ana Colaço remarked on the importance of including all ecosystems from the surface to the deep sea, as well as including in the analysis all different industries present in the area and the threats they may have. She also emphasised the importance of partnerships and engaging with partners with different agendas collaboratively. The CTA confirmed that the Project had been designed to address the entire water column and seabed.
- Kristina Gjerde expressed her satisfaction in seeing the inclusion of capacity building and training needs in the project and emphasised that the high seas should not be just a ‘north-south’ issue, but that all states and institutions should be aware of the issue. She also remarked it’s exciting that another child project, the cross-sectoral project, was focused totally on this issue.
- Jose Dallo asked how the project would be evolved alongside the BBNJ process. The CTA explained that in the first year, the ability for the project to offer useful lessons learned to the BBNJ process would initially be limited, but that the project would intend to be a useful resource to BBNJ development in the long run and would consistently focus on capturing lessons and best practices for BBNJ stewardship and management during its lifetime. David Freestone further explained that the GEF and SARGADOM Projects had side events at previous meetings of the Intergovernmental Conference on Marine Biodiversity of Areas Beyond National Jurisdiction and that the projects were being watched with interest by those involved with the process.
- Phenia Marras commented that Office Français de la Biodiversité (French Biodiversity Agency) was very supportive of this Project and saw the GEF and SARGADOM project as two initiatives

with distinct workplans, but ultimately working toward the same goal. The CTA emphasised that it was very important to establish close complementarity between the two projects from the beginning and that this would be a particular focus by himself with his counterparts in SARGADOM.

Overview of the Project Implementation Process

First Year Work-Plan and Deliverables

The CTA next presented a summary of the first year workplan (Annex 5 - Continued) following which the floor was opened for questions.

- AnaMaria Nunez explained that IOC-UNESCO would have various templates for official document submission that would need to be used to meet monitoring guidelines. She also emphasised the importance of the stakeholder analysis and engagement plan and noted that the gender analysis action plan and the risk management framework would need to be reviewed from time to time.
- Julian Barbieri noted that the next International Waters conference would take place next year in October or November, probably in Uruguay.

Composition and Role of the Steering Committee

The CTA then gave a presentation on the composition and functions of the Project Steering Committee (PSC). This explained the responsibilities of the PSC, who would sit on this Committee and how it relates to the day-to-day Project management and coordination (Annex 5 - Continued).

- AnaMaria Nunez noted that, if new members were added to this PSC, they must receive unanimous support from all current PSC members, and it must be documented in the minutes of the meeting. She also said the Project Inception Report would be different than any minutes or notes that may come out of this current Project Inception workshop and that IOC-UNESCO could advise and agree on the proper format/template for this.

Role of the Implementing and Executing Agencies

The various participants (in person and online) were then invited to give a brief introduction of themselves. Annex 1 provides a list of all the participants to the Project Inception Workshop as well as the roles. Annex 2 provides the Agenda for this Workshop. Annex 4 explains the Project Management and Implementation Arrangements.

Julian Barbieri from IOC-UNESCO briefly presented the role of IOC UNESCO, the Project's executing agency (Annex 3). He explained that the Project was effectively decentralised, particularly in view of its nature focusing on issues within an Area Beyond National Jurisdiction. In this context there will be a 'virtual' Project Coordination Unit (PCI) within IOC-UNESCO. The PCU will consist of the Chief

Technical Advisor (CTA), a Communications Officer, and a Finance and Admin Officer. These latter two posts will be shared with the SARGADOM Project (See linkage below).

AnaMaria Nunez from UNDP briefly presented the role of UNDP, the project's implementing agency. She explained that UNDP has the principal role for overseeing the project implementation. UNDP also is responsible for submitting the annual Project Implementation Reports, as requested by the GEF, which include an update on the status of project deliverables, financial monitoring, any modifications to the Project, stakeholder involvement and gender equity. The Project is rated annually on its level of success in delivery. UNDP further participates in Project Steering Committee meetings with a particular focus on the quality assurance perspective.

[Linkage between the GEF Sargasso Project, Common Oceans Programme, and the FFEM SARGADOM Project](#)

David Freestone then presented the links between the GEF Sargasso Project, Common Oceans Programme, and the FFEM SARGADOM project (Annex 4). He summarised briefly the main GEF Project Components and explained that this is a 4-year Project with \$2.65 million dollars of GEF funding and a further \$33 million in co-financing. He then further summarised briefly the FFEM SARGADOM project, which is a 5 year Project with \$3 million dollars of FFEM funding and \$16.5 million in associated co-financing. It was further noted that the FFEM project is one of the co-financiers of the GEF project.

[Monitoring and Evaluation of the Project](#)

The CTA gave a brief summary of the monitoring and evaluation requirements and procedures for the Project (Annex 5 - Continued).

- AnaMaria Nunez noted the importance of achieving endorsement of the SAP prior to the Terminal Evaluation of the Project if the partners wished to apply for a further Project to implement the SAP.

[Project Risk and Risk Management](#)

The Project Document includes a detailed section on Risk Management. As this would be an ongoing process of overview and updating, the partners are invited to consider and monitor the Risk Management strategy as well as the Risk Register which is Annex 6 of the Project Document and to provide guidance and any updates on risks.

[Capacity Building - The World Maritime University](#)

Professor Ronan Long gave a presentation on World Maritime University's mandate to undertake capacity building and training workshops to support the project (Annex 7).

[Social and Environmental Safeguards](#)

The SES Procedure highlighted how the project would mainstreams the human rights-based approach and aim to improve gender equality and women's empowerment.

Under the SES Procedure the risk screening checklist identified the following concerns:

Overarching Principle: Leave No One Behind

Human Rights

- P.2 *Is there a risk that duty-bearers (e.g. government agencies) do not have the capacity to meet their obligations in the project?* It is possible that some duty-bearers (e.g. government agencies) may not have or achieve the capacity to meet their obligations in the project?
- P.10 *reproducing discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?*
The project may inadvertently sustain and/or reproduce gender discrimination:

Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management

- 1.1 *adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services?* The project may result in unintended downstream environmental and social impacts as a result of subsequent SAP implementation or newly emerging risks:
- 1.4 *risks to endangered species (e.g. reduction, encroachment on habitat)?* Insufficient data on fisheries may lead to inadequate management measures and ecosystem based catch limits identified in the SAP.

Standard 2: Climate Change and Disaster Risks

- 2.2 *outputs and outcomes sensitive or vulnerable to potential impacts of climate change or disasters?* The results of the project and downstream implementation of the SAP may be sensitive or vulnerable to the effects of climate change.

These remain valid following the Inception Workshop as do the Comments and Responses in the SEP which highlight how the project will monitor and deal with these.

Gender Mainstreaming

The Project Document includes Annex 9: Gender Analysis and Gender Action Plan. The CTA explained that UNDP prioritizes gender mainstreaming as its main strategy to achieve gender equality and women's empowerment. Gender mainstreaming is the process of assessing any planned action in all areas and levels to determine the implication for women and men. It is a strategy for making women's, as well as men's, concerns and experiences an integral dimension of the design, implementation, monitoring and evaluation of projects so that women benefit equally. Gender mainstreaming aims to transform unequal social and institutional structures in order to make them profoundly responsive to gender, and, when realized, it ensures that both women and men benefit equally from the development process. It involves much more than simply adding women's participation to existing strategies and programmes. Special attention and action is often required to compensate for the existing gaps and inequalities that women currently face.

The Gender Analysis and Gender Action Plan defines Women's Activities and Participation in relation to the Sargasso Sea and how the activities and goals of the Plan will incorporate Gender into the

Project. It is important to note that Gender Mainstreaming is an integral part of the Ecosystem Diagnostic Analysis, one of the major deliverables from the Project.

The overall strategy of the Project in relation to gender equality and women's empowerment will be to aim to:

- Assess and steer the Project's activities, as well as the direct and indirect benefits of the Project, in order to promote gender equality.
- Support the equal participation of men and women in the Project, especially at the decision-making level.
- Establish indicators that effectively help to measure progress towards gender equality.

Stakeholder Engagement

- David Freestone gave a presentation on the Stakeholder Involvement and Participation processes that have been or will be adopted by the Project. (Annex 6). This presentation highlighted the overall importance of engaging with the various Project stakeholders and how this would be essential in order to complete the Ecosystem Diagnostic Analysis and the Causal Chain Analysis so as to capture the primary threats and risks before identifying suitable management strategies. Stakeholder engagement is an important component of the Knowledge Management and Communications Strategy for the overall Common Oceans Programme and this will assist in disseminating information, lessons and practices. The presentation identified specific objectives from the Stakeholder Engagement Strategy and how important it will be to generate ownership of the Project by the various partners and beneficiaries. The presentation then provided a list of all the Primary Stakeholder Sectors (e.g. Academic and Research Bodies, IGOs, NGOS, Private Sector, etc.).
- Kristina Gjerde commented that it would be important for the Project Steering Committee of both the GEF and SARGADOM projects to interface. In this context, the idea of a joint Steering Committee was raised and the possible role or presence of observers over and above the formal membership of the PSC. The CTA suggested that one approach could be for observers to join on observer days, but formal meetings of the Project Steering Committee should include only the agreed Membership as per the Project Document.
- Ana Colaço also commented that circulation of reports, and opportunity for comments would be another way of collaborating if a larger, combined Steering Committee was not able to meet.
- Phenia Marras commented that the IUCN high seas workshop is a complementary activity of the SARGADOM project and fits with the development of BBNJ negotiations. This may be an appropriate forum for Signatories to get involved with the SARGADOM project. She emphasised the goal of the FFEM Secretariat to work collaboratively between the projects, and between the pilot sites of SARGADOM. She further remarked that the projects were working towards the same goals and would share messages that would feed in to the BBNJ process.
- David Freestone explained that many of the FFEM outputs would be closely connected to the GEF outputs. He then shared an animation created by Duke MGEL, showing vessel traffic in the Sargasso Sea over a one-month period. It showed a heatmap of average tracks through

the month, as well as individual points representing each vessel. This helped emphasise the logic behind considering a Particularly Sensitive Sea Area designation for the Sargasso Sea.

These comments have been captured in this report for future action. There was no requirement or request for changes to the Project Document itself or to the Stakeholder Engagement Plan.

Conclusions and Recommendations

The Presentations and Discussions of the Inception Workshop were considered and adopted as per the sections above. There were no proposed changes to the Project Document or its various Annexes including the Results Framework, Management arrangements, Risks, or the Monitoring and Evaluation procedures.

After the Inception Workshop - Next Steps

The CTA summarised the next steps at the conclusion of the meeting:

- Once his contract was signed, he would move forward with developing an effective workplan with a timeline and bringing together partnerships.
- The CTA emphasised the importance of some kind of SARGADOM-GEF meeting, in order to synchronise workplans.
- The CTA also said that recommendations and actions coming out of the discussion today would be captured in a workshop report.

David Vousden and David Freestone closed the meeting and declared the project open. Participants were invited to stay on to hear the last presentation, from JP Rouja and Captain Batoon.

Jean-Pierre Rouja and Pete Bethune gave a stakeholder presentation (Annex ?). Jean-Pierre Rouja presented his bottle tracking devices, a low-cost satellite inside a plastic bottle designed to track the movements of ocean plastics. He noted that the devices represented a cost-effective way to collect ocean data and that these devices would be useful for ground-truthing surface imagery data captured by satellites. He explained that this was a trial phase, but that later phases may see the creation of a similar device designed to track sargassum. Pete Bethune gave a presentation about his vessel, a former US Navy vessel. He had been partnering with SINAC (Costa Rica's National System of Conservation Areas) and MINAI (Costa Rica's Ministry of the Environment and Energy). These are the principal organisations in Costa Rica responsible for protecting national parks. Global Fishing Watch and the United States Government were also key partners. He also had a drone (700 km range) and smaller boats. He emphasised the importance of strong partnerships between enforcement officials, governments, fishermen, and monitoring vessels such as his. He explained that his team provides the vessel, while prosecution is left up to government personnel that come aboard. He also said that he was interested in combining scientific cruises with patrols, as he could add scientific personnel to existing missions with less of a cost increase, presenting opportunities for cost-effective data collection. The floor was then opened for questions.

Elizabeth McLanahan brought up the issue of collecting evidence that was able to be used for enforcement. Pete Bethune said that they concentrated on collecting video that met guidelines for enforcement.

Kristina Gjerde wondered how this can be used in the high seas for enforcement actions. Pete Bethune said that there may be a way in the future to get permission from governments to board vessels in the high seas, but at the moment enforcement was difficult.

Jesse Cleary asked about the technical aspects of the bottle drifters, wondering how they could behave more like sargassum vs a bottle in terms of surface friction, etc. Jean-Pierre Rouja explained that the first phase of the drifters would focus on using these plastic bottles, but that subsequent phases would investigate how to make the trackers drift like sargassum. Jean-Pierre Rouja also briefly explained his Nonsuch Island Plastics Project, and said he would share the project document with attendees (Annex 8).

Annex 1: Inception Workshop Agenda

Time	Agenda Item	Facilitator/Presenter
8:00 am	Welcome and Introduction – Broad objectives of the Project and the Inception Meeting	David Freestone
8:05	Role of the Implementing and Executing Agencies	Julian Barbieri
8:10	Tour de Table	
8:25	Links between GEF Sargasso Project, Common Oceans Programme, and FFEM SARGADOM	David Freestone
8:45	Summary of the GEF Sargasso Project – Components, Activities and Expected Outcomes	David Vousden
9:05	Expected Deliverables including Results Framework	
9:20	Questions	
9:35	Work-Plan for first year	
9:55	Questions	
10:10	Coffee break	
10:40	Composition and role of the Steering Committee	David Vousden
10:50	Monitoring and Evaluation	David Vousden
11:00	Stakeholder Involvement and Participation	David Freestone
11:10	WMU Capacity Building	Ronan Long
11:30	Discussion	Facilitated by Ronan Long
11:40	Next Steps	David Freestone
12:00	Recommendations and Actions	David Freestone
12:20	Closure and Timetable for Report	David Freestone

Annex 2: Participants to the Project Inception Meeting

Project Inception Team:

This includes the various individuals working on the Project Development and any presenters during the Inception Meeting

- **Dr David Freestone**, Executive Secretary
- **Fae Sapsford**, SSC Secretariat
- **Dr David Vousden**, CTA
- **Julian Barbieri**, IOC UNESCO
- **Ronan Long**, World Maritime University

Attendees:

This Includes various stakeholders and individuals that have been involved in the project development, including the Sargasso Sea Commission and the Hamilton Declaration Signatories.

- **Denis Bailly**, Senior Lecturer, Economics, UBO
- **Pete Bethune**, Earthrace Conservation
- **Florian Botto, Monaco**, Second Secretary, Permanent Mission of the Principality of Monaco to the United Nations (virtually)
- **Jesse Cleary**, Duke MGEL
- **Guillermo Crespo**, Duke MGEL
- **Dr. Ana Colaço**, Commissioner
- **Connie Cot**, Duke MGEL
- **Corrie Curtice**, Duke MGEL
- **Jose Dallo**, ISA
- **Sarah DeLand**, Duke MGEL
- **Prof Stephen de Mora**, Commissioner
- **Ben Donnelly**, Duke MGEL
- **Janique Etienne**, FFEM Secretariat
- **Ei Fujioka**, Duke MGEL
- **Nelson Garcia Marciano, Dominican Republic**, Tecnico - Direccion de Biodiversidad, Ministerio Medio Ambiente y Recursos Naturales
- **Kristina Gjerde**, Senior High Seas Advisor to IUCN's Global Marine and Polar Programme
- **Lowri Griffiths, UK**, Head of the Ocean Policy Unit, UK Foreign, Commonwealth & Development Office(virtually)
- **Charlene Guillou**, Communications Officer, UBO
- **Pat Halpin**, Duke MGEL
- **Mervin Hastings, BVI**, Deputy Secretary, Ministry Natural Resources & Labour, Government of the British Virgin Islands
- **Jorge Jiménez**, Chief Executive Officer, Mar Viva
- **David Johnson**, Seascape Consultants
- **Laurie Kell**, Imperial College London
- **Ellen Kenchington**
- **Fred Kingston**, NAFO
- **Nixon Lara**, IAC

- **Eric Lindstrom**, COVERAGE
- **Brian Luckhurst**, ICCAT Consultant and part of the Imperial team for SARGADOM
- **Phenia Marras**, French Biodiversity Office
- **Elizabeth McLanahan, USA**, Director of the National Oceanic and Atmospheric Administration Office of International Affairs
- **Sen Wilfred Moore**, Commissioner
- **John Mumford**, Imperial College London
- **AnaMaria Nunez**, UNDP
- **Peter Oppenheimer, USA**, Section Chief, International Law Section, NOAA Office of General Counsel (virtually)
- **Drew Pettit, Bermuda**, Director of Conservation Services, Ministry of Public Works (virtually)
- **Murray Roberts**, Commissioner
- **Howard Roe**, former Commissioner
- **JP Rouja**, Nonsuch Expeditions
- **Mário Rui Pinho**, Diretor Regional de Políticas Marítimas (virtually)
- **Craig Powell, The Bahamas**, Legal Officer in the Ministry of Foreign Affairs
- **Joëlle Richard**, Project Manager – SARGADOM, UBO
- **Caroline Rodriguez**, USA, Knauss Marine Policy Fellow, NOAA, Office of International Affairs, USA (virtually)
- **Luz Rodriguez**, IAC
- **Mariamalia Rodriguez Chavez**, Environmental Lawyer, High Seas Alliance
- **Haydée Rodriguez Romero**, Programme Manager – SARGADOM, Mar Viva
- **Beatrice Smith**, Duke MGEL
- **Mark Spalding**, Commissioner
- **Vardis Tsontos**, COVERAGE
- **Jorge Vasquez**, COVERAGE
- **Dr Tammy Warren**, Commission Acting Chair
- **Jessika Woroniak, Canada**, Policy Analyst, Fisheries and Oceans Canada

Annex 3: Project Components, Outcomes and Activities

Building on the logic provided by the Preliminary Causal Chain Analysis (Annex 2) and the derived, proposed solutions and pursuing the strategy proposed through the Theory of Change (Table 1), the following Project objectives, structure and expected results will be adopted in order to deliver the proposed solutions:

COMPONENT 1: IMPROVED KNOWLEDGE BASE TO SUPPORT A COLLABORATIVE, ADAPTIVE ECOSYSTEM-BASED STEWARDSHIP APPROACH

Outcome 1.1:

Quantified threats and impacts identified along with their immediate and root causes establishing a baseline for on-going monitoring and collaborative ecosystem-based stewardship.

Output 1.1.1 An Ecosystem Diagnostic Analysis (EDA) for the Sargasso Sea Collaboration Area providing a baseline to guide the long-term collaborative monitoring and stewardship of the natural resources of Sargasso Sea by the relevant partners. This will be developed applying similar methodology as for the GEF's Transboundary Diagnostic Analysis (TDA), quantifying the actual or potential threats and impacts to the ecosystem and its resources, linking these back to the immediate and root causes of these threats/impacts (and any barriers preventing their removal) and identifying the interests of major stakeholders and countries. This would provide a much-needed baseline for monitoring and would contribute to stewardship of the Sargasso Sea. Where appropriate, the Project will use this EDA process to develop closer links with the Private Sector, engaging them in the provision of relevant data into discussions and analyses on risks to their stakeholder interests and overall threats and root causes as a prelude to development of the SAP. The information to populate the EDA will be gathered from a variety of existing data sources including the World Ocean Database (IOC-UNESCO), Global Ocean Observing System (GOOS), FAO and its RFMOs, IMO, ICS (international Chamber of Shipping), NOAA, BIOS and other Project partners (see Table 2: Partnership/Stakeholder List - Roles and Involvement. below). As noted above, the process will also be underpinned by the principles of Strategic Environmental and Social Assessment, with the purpose of combining analytical and participatory approaches in an iterative fashion to inform the Strategic Action Programme (see Component 2).

Activities:

- A. Confirm Terms of Reference and work-plan for the Ecosystem Diagnostic Analysis
- B. Develop, through a consultative process, a Stakeholder Engagement Plan to ensure meaningful engagement of stakeholders in the EDA, and overall SAP, drafting process through appropriate mechanisms including workshop(s) and dialogue, that also catalogues the available data.
- C. Establish a Technical Development and Review body for the EDA and approve the system boundary for stewardship purposes.
- D. Capture the Baseline Environmental Status (oceanography, productivity, fisheries, biodiversity, etc.).
- E. Capture Baseline on socioeconomics (Fisheries, tourism, dependent livelihoods, shipping, etc.). Similarly, the partners to the Project will assist in providing this information.
- F. Assess environmental and socio-economic risks, threats and emerging concerns (including gender mainstreaming, climate change, ocean acidification, etc.) and propose recommendations to ensure these risks are avoided where possible or minimized through the SAP - Also through the various partnerships and stakeholder agreements.

- G. Compile a list of existing institutional arrangements relating to the Sargasso Sea Geographical Area of Collaboration including relevant legal instruments and treaties, RFMOs, adjacent RSPs, LOS, etc. and including available funding mechanisms for stewardship
- H. Development and approval of a more detailed Causal Chain Analysis arising from the DPSIR/EDA process
- I. Drafting of the Ecosystem Diagnostic Analysis Report
- J. Adoption of draft EDA by Technical Board and publicly disclosed for Peer Review and stakeholder consultation.
- K. Final EDA approved by SSC, Commissioners, participating GEF beneficiary countries and Signatories to the Hamilton Declaration

Outcome 1.2:

Analysis of the global value of this unique ecosystem (with accurate figures and conclusions wherever possible) to further justify and mobilize support for collaboration along with a cost-benefit analysis of the various ecosystem approaches

Output 1.2.1: An Ecosystem Valuation and 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 the various ecosystem approaches. This would include analysis of the global value (actual and potential, market and non-market) of this unique ecosystem and its resources with clearly identified and defined figures and conclusions wherever possible. The reasoning behind this is to further justify and support on-going stewardship and to encourage further support by countries and signatories and other partners in order to promote and implement the work needed. Further guidance on GEF TDA-SAP Ecosystem Valuations can be found at

<https://iwlearn.net/resolveuid/92e22309-a581-4d77-a425-32da298e8582>

Furthermore, in addition to the methodology developed under IW:LEARN, there is a body of case studies and reference values for tier one economic valuations. Separately, the TDA-SAP methodology was enhanced with specific guidance on integrating economic valuation into the TDA-SAP process itself.

Activities:

- A. Confirm Terms of Reference and Work-plan for an Ecosystem Valuation process
- B. Establish an Ecosystem Valuation Technical Team (partners)
- C. Identify the various goods and services that the Sargasso Sea provides globally (e.g. provisioning, regulating, habitat, cultural) for both Market (e.g. fisheries, tourism) and Non-Market (e.g. carbon sequestration, nutrient cycling, etc.)
- D. Capture information on the value that the individual goods and services provide over a fixed period.
- E. Calculate the value-chain, i.e., the linkages between the various components, species, habitat types etc. in the ecosystem and the overall value that these provide at both Market and Non-Market levels
- F. Draft report circulated to stakeholders and partners for comment and revision as appropriate
- G. Finalise an overall report and guidance on the value of the ecosystem for use in the development of the SAP

Outcome 1.3:

Knowledge and Information capture and analysis to support effective stewardship

Output 1.3.1: 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. 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 support effective stewardship and decision-making. This will build on work already undertaken by the SSC and its partners and will 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. There is a clear role here for IOC-UNESCO’s IODE (International Oceanographic Data and Information Exchange) – Se (see Table 2: Partnership/Stakeholder List - Roles and Involvement. below)

Activities:

- A. Prioritising the gaps in data and information needs
- B. Identifying and prioritizing options for gap-filling through partnerships and stakeholders (MoUs)
- C. Adoption of a science and technical programme for data and information capture
- D. Annual review of data and information gaps
- E. Adoption of a long-term partnership-based Science Monitoring Programme for monitoring Ecosystem health
- F. Identification of weaknesses in capacity to support long-term monitoring of the Sargasso Sea Ecosystem and training and infrastructure requirements needed to rectify
- G. Undertake capacity building and training workshops and training courses to support data and information capture, analysis and management; resource mobilization to fill gaps in monitoring infrastructure. Capacity building and training under this Outcome will target 50:50 male to female balance (as per the Results Framework).

COMPONENT 2: DEVELOPMENT OF A STRATEGIC ACTION PROGRAMME FOR ADDRESSING THREATS AND STRENGTHENING STEWARDSHIP THROUGH COLLABORATION AND CONSERVATION OF THE SARGASSO SEA ECOSYSTEM

Outcome 2.1:

Priority immediate and long-term actions identified in order to a) address or mitigate the impacts of threats and b) strengthen collaborative stewardship and conservation.

Output 2.1.1: Based on findings of the EDA (Component 1) and stakeholder engagement, confirm a list of priority immediate and long-term actions needed along with identified partnerships and responsible entities for delivering on these priority actions. These will aim to a) address or mitigate the impacts of threats and b) strengthen cooperation and conservation so as to prevent or mitigate impacts on the ecosystem and its stakeholders. An emphasis will be placed on the long-term and possibly more 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 on defining the links with carbon sequestration and the potential to sustain or even improve this. Consideration will also be given to potential threats (such as deep-

sea mining, shipping and IUU fishing as well as abandoned, discarded or otherwise lost fishing gear and the need for improved marking and tracking of such as identified in the preliminary Causal Chain Analysis and further defined in detail through the Ecosystem Diagnostic Analysis) and the actions that can 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.

Activities:

- A. Data capture to analyse ecological sensitivity of Sargasso Sea and environmental impacts from shipping including from abandoned, discarded or otherwise lost fishing gear and the need for improved marking and tracking of such Data capture to feed into regional environmental planning at the International Seabed Authority
- B. Threat/Risk mitigation analysis and response group established
- C. Establishment of a specific group of partners to consider the potential impacts from climate change
- D. Identification/allocation of partnership/stakeholder roles and activities for delivering on priority actions to remove or mitigate threats and risks
- E. Establish a Monitoring and Review process for identified threats, potential risks and impacts as well as identifying emerging concerns. This can be aligned with the Science Monitoring Programme (1.3.1) as appropriate
- F. Establish a procedure for regular publication of Monitoring and Review findings (e.g. Sargasso 'State of the Marine Environment and Socioeconomics'). This procedure to adopt a policy of 60% of publications having female authors (as targeted in the Results Framework).
- G. Identify the required mechanisms to integrate the above processes into a long-term implementation plan for the Strategic Action Programme to align with SESA (Strategic Environmental and Social Assessment) approach, the assessments conducted in the design phase of the SAP should inform a social and environmental management framework that is embedded in the SAP.

Outcome 2.2

Priority actions to strengthen collaborative stewardship endorsed by various partner institutions and other stakeholders to support actions for the conservation and sustainable use of the Sargasso Sea.

Output 2.2.1: A Strategic Action Programme defining the priority actions, endorsed by the institutions, partners and collaborators supporting partnerships for implementation of conservation and sustainable use within the Sargasso Sea and further endorsed by the Signatory Countries to the Hamilton Declaration as well as other partners and stakeholders. 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 striving for their full engagement and contribution to the immediate and longer-term sustainability of actions endorsed 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 stewardship and associated capacity building and awareness for more effective ecosystem-based approaches, including the ecosystem approach to fisheries.

Activities:

- A. Establish a SAP Development and Drafting team involving appropriate stakeholders and partners including relevant private sector representation
- B. Clearly define the objectives and the 'content' of the SAP with the various stakeholders (and particularly with the Hamilton Declaration Signatories) and ensuring that the Stakeholder Engagement Plan is updated as needed, as part of the SAP
- C. Populate' the various sections of the SAP document (with a clear emphasis on sustainability of SAP actions and appropriate gender balance and women's empowerment where appropriate)
- D. First Draft of SAP circulated to appropriate stakeholders and partners for comment
- E. SAP Development and Drafting team review and revise SAP text as appropriate following comments
- F. Second Draft publicly disclosed to Stakeholders and partners for consultation.
- G. Final revision of SAP
- H. Endorsement of the Strategic Action Programme for Stewardship of the Sargasso Sea

COMPONENT 3: PARTNERSHIPS AND COOPERATION FOR THE SUSTAINABILITY OF THE NATURAL RESOURCES OF THE SARGASSO SEA ECOSYSTEM

Outcome 3.1:

Collaborative stewardship of an iconic high seas ecosystem through the development of interactive, partnerships for the conservation and sustainable use of its natural resources

Output 3.1.1: A road-map and budget to help define and support SAP implementation via a collaborative Ecosystem Based Approach within the Sargasso Sea. This would clearly recognize the roles and align with the mandates of the relevant stakeholders. This would include actions that acknowledge the role of existing organisations and institutions with responsibilities and interests in the Sargasso Sea area, and promote the conservation and sustainable use of the ecosystem as a whole with a view to i) more focused and effective collaboration 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.

Activities:

- A. Establish a SAP Implementation Planning Group to guide and monitor the following activities
- B. Define and approve a road-map (timing and work-plan) for long-term implementation of the SAP
- C. Review and approve (as appropriate) partnership inputs and contributions to long-term implementation of the SAP. This includes identifying any Centres of Excellence that can or have contributed or that may arise as part of SAP implementation
- D. Review the scientific and technical (including socioeconomic) monitoring needs for SAP implementation (including those feeding into or arising from the Platform - see 4.1.2) with a clear road-map and roles/responsibilities
- E. Provide a mechanism for the results of monitoring and any emerging scientific and technical issues and concerns to be brought to the attention of responsible and/or mandated parties (including a grievance mechanism and processes in place for response)
- F. Define and adopt a communications and knowledge management methodology related to the SAP Implementation activities building on the processes developed by the Project where they have been appropriate and effective. This would link directly to the input and support from IW:LEARN (see Output 4.1.3 below)
- G. Review the training and capacity building needs to support SAP implementation and define and adopt a CB&T SAP Plan-of-Action. This would also link into Output 4.1.3 and the support from IW:LEARN (e.g. TDA-SAP Methodology and Course)
- H. Formulate a budget and funding needs for SAP Implementation beyond this Project identifying sources wherever possible

- I. Develop a further initiative for SAP Implementation for a 5-year period post-Project (as part of this Project's Sustainability Strategy) which identifies partners and funding needs to support all of the above and to secure collaboration for the conservation for the Sargasso Sea

COMPONENT 4: KNOWLEDGE MANAGEMENT, MONITORING AND EVALUATION

Outcome 4.1: Knowledge Capture and Management through Identification of Best Lessons and Practices

This Outcome addresses the overall management and handling of knowledge and information. This includes the capture and distribution of best lessons and practices from this unique project within and ABNJ. It also involves the development of an effective communications strategy and associated information packages. All of these knowledge management approaches will be coordinate with the Global Coordination Child Project (GCP) in order to ensure consistency in messaging and branding. Furthermore, the Project will support and engage with IW:LEARN activities. .

Output 4.1.1: Best lessons and practices captured at Mid Term and End-of-Project for effective application and distribution. 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.

Activities:

- A. Undertake a review of achievements and constraints at the half-way point of the Project (Mid-Term Review) with the aim of capturing lessons learned and good/inappropriate practices
- B. Coordinate the development and presentation of these lessons with the GCP prior to sharing with the various stakeholders and partners for comment
- C. Undertake a review of final achievements and constraints at the end of the Project with the aim of capturing lessons learned and good/inappropriate practices
- D. Coordinate the development and presentation of these lessons with the GCP prior to sharing with the various stakeholders and partners for comment
- E. Send a final report on Lessons and Practices to the GCP for comment and interaction prior to forwarding to the appropriate bodies/institutions/organisations to support replication as appropriate in other ABNJ
- F. Organise/hold an End-of-Project 'lessons and practices' international-level workshop in collaboration with the GCP to share experiences and lessons learned for ABNJ cooperation

Output 4.1.2: Information packages developed and disseminated through a communications strategy (which is coordinated with and relates to the strategy developed by the Global Coordination Project - GCP) which inform appropriate government bodies and regional entities. 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. 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).

Activities:

- A. Recruit/identify a Communications Officer for the Project

- B. Adopt a Communications and Knowledge sharing strategy that liaises with and interacts with the GCP, and which also identifies various information packages needed to support the Project as well as to inform partners and stakeholders
- C. Plan and implement a Conference on the use of data analytics and use with associated peer-reviewed publications
- D. Establish a complex data set handling platform to deal with predictive analytics
- E. Specific information documents prepared for senior managers and policy makers on the ecosystem value of the Sargasso Sea and the Cost-Benefits of the ecosystem approach
- F. General updates and briefings that recognise the need for adaptive management and which are shared with and integrated with the aims and objectives of the GCP
- G. High-quality contributions from the Project partners to the scientific literature as well as the popular press and shared with other global partners and stakeholders via the GCP knowledge management and communications strategy

Output 4.1.3: Project support to and engagement with IW:LEARN activities with allocated (1% plus) budget. 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.

Activities:

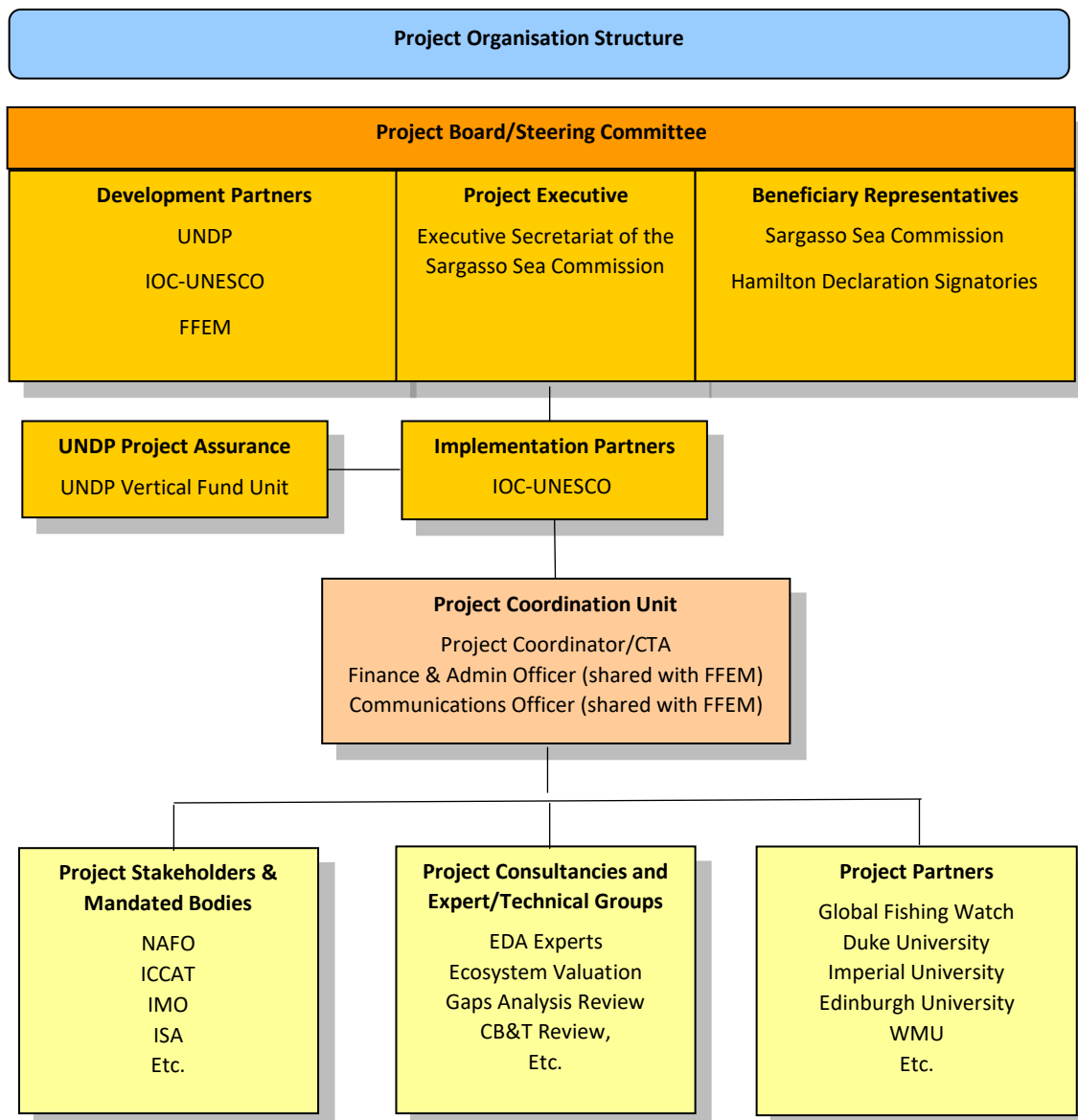
- A. Establish linkages between the Sargasso Sea Project website and the IW:LEARN website
- B. Send Mid-Term Lessons and Practices Report to IW:LEARN
- C. Send a final report on Lessons and Practices to IW:LEARN
- D. Provide IW:LEARN with 'Experience Notes' and other appropriate capacity building and training materials
- E. Attendance at various appropriate International Waters Conferences and other GEF-related workshops and meetings (e.g. LME workshops)

Output 4.1.4: Effective ongoing Project Monitoring and Evaluation. 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.

Activities:

- A. Adoption/formation and functioning of a Project Steering Committee
- B. Recruitment of Project Staff/Lead Consultants
- C. Quarterly and Annual reviews of progress (Quarterly Reports and PIRs) with main focus on RF Indicators and Targets as well as any issues or problems what may arise as a result of the on-going COVID pandemic.
- D. Mid-Term and Terminal Evaluations
- E. UNDP 'on-site' Project review meetings

Annex 4: Project Management and Implementation Arrangements



Roles and responsibilities of the Project's governance mechanism:

Implementing Partner:

The Implementing Partner for this Project is the Intergovernmental Oceanographic Commission of the United Nations Educational, Scientific and Cultural Organisation (IOC-UNESCO). The Implementing Partner is the entity to which the UNDP Administrator has entrusted the implementation of UNDP assistance specified in this signed Project document along with the assumption of full responsibility and accountability for the effective use of UNDP resources and the delivery of outputs, as set forth in this document.

The Implementing Partner is responsible for executing this Project. Specific tasks include:

- Project planning, coordination, management, monitoring, evaluation and reporting. This includes providing all required information and data necessary for timely, comprehensive and evidence-based Project reporting, including results and financial data, as necessary. The Implementing Partner will strive to ensure Project-level M&E is undertaken by national institutes and is aligned with national systems so that the data used and generated by the Project supports national systems.
- Risk management as outlined in this Project Document;
- Procurement of goods and services, including human resources;
- Financial management, including overseeing financial expenditures against Project budgets;
- Approving and signing the multiyear workplan;
- Approving and signing the combined delivery report at the end of the year; and,
- Signing the financial report or the funding authorization and certificate of expenditures.

As the lead agency for the Sargasso Sea Project, IOC-UNESCO will create any appropriate letters of agreement with strategic partners to identify them as ‘responsible parties’ to lead and deliver on a range of Project outputs (see below). In collaboration with the Sargasso Sea Commission Secretariat, IOC-UNESCO will make the necessary arrangements to create and manage the Project Coordination Unit and coordinate all reporting to UNDP and GEF in the delivery of the Project. IOC-UNESCO will have a coordination role across all Project components and have overall responsibility for the delivery of Project outputs and reports and coordinating these across the various Project stakeholders. Working closely with the Sargasso Sea Commission Secretariat, IOC-UNESCO will help to foster and promote collaborative mechanisms with other initiatives as appropriate, including Regional Seas Conventions and Regional Fisheries Management Organizations (RFMOs) in order to better manage and sustain an overall healthy ecosystem and to catalyze cooperative stewardship and management.

Responsible Parties:

The implementing partner may enter into a written agreement with other organizations, known as responsible parties, to provide goods and/or services to the Project, carry out Project activities and/or produce outputs using the Project budget. Implementing partners use responsible parties to take advantage of their specialized skills, to mitigate risk and to relieve administrative burdens. Responsible parties are directly accountable to the implementing partner in accordance with the terms of their agreement or contract with the implementing partner. Any organization that is legally constituted and duly registered may become a responsible party. This includes government agencies, intergovernmental organizations, private firms, other UN agencies, or civil society organizations, including non-governmental organizations, advocacy groups, state-owned enterprises and academia. The same policies and procedures for selecting civil society organizations as Responsible Parties are used for private and non-governmental academic institutions and foundations (notwithstanding their form of ownership, i.e., public or private) and state-owned enterprises. For further guidance see the UNDP Programme and Operations Policies and Procedures – Select Responsible Parties and Grantees - <https://popp.undp.org/SitePages/POPPSubject.aspx?SBID=469&Menu=BusinessUnit&Beta=0>

Project stakeholders and target groups:

The Project will work with a range of stakeholders including government representatives, NGOs, private sector, and academic and research institutions (see descriptions under Section IV – Results and Partnerships), with the aim of fostering activities in line with an ecosystem approach, taking into account climate change and other potential impacts on this ecosystem and subsequently the socioeconomic well-being of the beneficiaries and the wider global interests in the overall sustainability of the Sargasso Sea. A Stakeholder Engagement Plan (SEP - Annex 8) defines the actual process for partners and stakeholders to engage in the Project’s implementation. The main objective of the SEP is to ensure that the interests and priorities of the different stakeholder groups and sectors are taken into account during relevant phases of Project development and implementation. Specific objectives of the plan include:

- Informing stakeholders to ensure a common understanding of the intended Project goals and approaches.
- Generating Project buy-in and appropriation by targeted partners and beneficiaries.
- Identification of priority interventions and adequate strategies to successfully achieve the intended outcomes of the Project.
- Identification of opportunities for synergies and partnerships, including co-financing and institutional cooperation.
- Validation of the intervention strategy and targets by its key stakeholders.
- Facilitation of participatory M&E and feedback mechanisms.
- Establishment of grievance mechanisms.

UNDP: UNDP is accountable to the GEF for the implementation of this Project. This includes oversight of Project execution to ensure that the Project is being carried out in accordance with agreed standards and provisions. UNDP is responsible for delivering GEF Project cycle management services comprising Project approval and start-up, Project supervision and oversight, and Project completion and evaluation. UNDP is also responsible for the Project Assurance role of the Project Board/Steering Committee.

The Project Board (also called Project Steering Committee) is responsible for taking corrective action as needed to ensure the Project achieves the desired results. In order to ensure UNDP’s ultimate accountability, Project Board decisions should be made in accordance with standards that shall ensure management for development results, best value money, fairness, integrity, transparency and effective international competition.

In case consensus cannot be reached within the Board, the UNDP Resident Representative (or their designate, in this case the UNDP Nature Climate and Energy Unit Executive Coordinator) will mediate to find consensus and, if this cannot be found, will take the final decision to ensure Project implementation is not unduly delayed.

Specific responsibilities of the Project Board include

- Provide overall guidance and direction to the Project, ensuring it remains within any specified constraints;
- Address Project issues as raised by the Project Coordinator;
- Provide guidance on new Project risks, and agree on possible mitigation and management actions to address specific risks, with a particular focus on the problems arising from the on-going COVID pandemic;

- Agree on Project Coordinator’s tolerances as required, within the parameters set by UNDP-GEF, and provide direction and advice for exceptional situations when the Project Coordinator’s tolerances are exceeded;
- Advise on major and minor amendments to the Project within the parameters set by UNDP-GEF;
- Ensure coordination between various donor and government-funded Projects and programmes;
- Ensure coordination with various government agencies and their participation in Project activities;
- Track and monitor co-financing for this Project;
- Review the Project progress, assess performance, and appraise the Annual Work Plan for the following year;
- Appraise the annual Project implementation report, including the quality assessment rating report;
- Ensure commitment of human resources to support Project implementation, arbitrating any issues within the Project;
- Review combined delivery reports prior to certification by the implementing partner;
- Provide direction and recommendations to ensure that the agreed deliverables are produced satisfactorily according to plans;
- Address Project-level grievances;
- Approve the Project Inception Report, Mid-term Review and Terminal Evaluation reports and corresponding management responses;
- Review the final Project report package during an end-of-Project review meeting to discuss lesson learned and opportunities for scaling up.
- Ensure highest levels of transparency and take all measures to avoid any real or perceived conflicts of interest.

The composition of the Project Board must include the following roles:

- a. Project Executive: This is an individual who represents ownership of the Project and chairs the Project Board. The Project Executive for this Project would be the Executive Secretary of the Sargasso Sea Commission
- b. Beneficiary Representative(s): This would primarily be the representatives (Project Focal Points) from the lead institutions in each beneficiary country. Their primary function within the Board is to ensure the realization of Project results from the perspective of Project beneficiaries.
- c. Development Partner(s): Individuals or groups representing the interests of the parties concerned that provide funding and/or technical expertise to the Project. This includes the GEF Implementing Agency (UNDP), the UNDP Implementing Partner (IOC-UNESCO), and major co-financing partners (FFEM).
- d. Project Assurance: UNDP performs the quality assurance and supports the Project Board and Project Coordination Unit by carrying out objective and independent Project oversight and monitoring functions. This role ensures appropriate Project management milestones are managed and completed, and conflict of interest issues are monitored and addressed. The Project Board cannot delegate any of its quality assurance responsibilities to the Project Coordinator. UNDP provides a three – tier oversight service involving the UNDP Country Offices and UNDP at regional and headquarters levels. Project assurance is totally independent of Project execution.

Day-to-Day Project Management and Coordination

This will be the responsibility of the Project Coordination Unit, essentially the Project Coordinator/CTA supported by the Finance and Administration Officer and the Communications Officer. These last two posts will be shared with FFEM who are contributing co-financing for this support to the PMC in the order of \$220,000 (63.5%) to complement the \$132,000 (36.5%) that GEF is providing to support the PMC. The PCU will operate with support and guidance from the Implementing Partner (IOC-UNESCO) as instructed and advised by the Project Steering Committee through its regular meetings. The Implementing Partner will be responsible for day-to-day recruitment and procurement issues and subject to the associated rules and regulations that govern its actions and responsibilities.

Annex 5: Results Framework (N.B. No changes to this were required through the Inception Workshop)

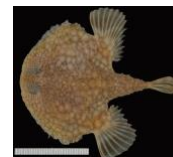
This Project will contribute to the following Sustainable Development Goal (s): 14 (.1,.2,.3,.4,.5,.7,7c)				
Linkage to UNDP Strategic Plan: 1.4.1 Solutions scaled up for sustainable management of natural resources, including sustainable commodities and green and inclusive value chains				
Objective, Components and Outcome	Objective and Outcome Indicators	Baseline	Mid-Term Targets (confirmed by Mid Term Review)	End of Project Targets (confirmed by Terminal Evaluation)
Overall Objective: Facilitation of a collaborative, cross-sectoral ecosystem-based sustainable stewardship approach for the Sargasso Sea, as an ABNJ of significant importance, through improvements in the knowledge base and strengthened frameworks for collaboration.	INDICATOR 1 Mandatory Indicator 1: Direct Project beneficiaries	Total: 0 Male: 0 Female: 0	Total: 4,235 Male: 1, 876 Female: 2,359	Total: 8560 Male: 3842 Female: 4718
	INDICATOR 2 Core Indicator 5: Area of marine habitat under improved practices to benefit biodiversity	Biodiversity within the Sargasso Sea Area/ecosystem currently poorly conserved or monitored	Threats and Impacts identified and agreed. New Strategic Action Programme drafted and under discussion/negotiation	685 Million hectares of ABNJ with improved practices and enhanced monitoring strategies
	INDICATOR 3 Core Indicator 7: Number of shared water ecosystems (fresh or marine) under new or improved cooperative management (while Sargasso Sea lies in ABNJ vs national waters, for the purposes of this Indicator it can be considered as a (globally) shared water ecosystem	Zero (0)	Zero (0)	1
COMPONENT 1: IMPROVED KNOWLEDGE BASE TO SUPPORT A COLLABORATIVE, ADAPTIVE ECOSYSTEM-BASED STEWARDSHIP APPROACH				
Outcome 1.1 Quantified threats and impacts identified along with their immediate and root causes establishing a baseline for on-going monitoring and collaborative ecosystem-based stewardship.	INDICATOR 4: Definition of baseline (current) state of Sargasso Sea Ecosystem clearly defined and extrapolated where possible into long-term trends with all main threats, impacts, barriers and drivers identified along with existing	Significant gaps in information related to the ecosystem and the long-term expected trends on potential and actual threats and impacts (including barrier-removal options)	Ecosystem Diagnostic Analysis (EDA) completed by Mid-Term (confirmed by MTR) Mid-Term Score: 2	Annual report on the ongoing monitoring of baseline parameters (as established in EDA) which also identifies trends in impacts, threats and improvements End of Project Score: 3

	actions being taken to address these	Inadequate capacity within SSC or current partners to determine baseline or future status Baseline Score: 1		
	INDICATOR 5: Compilation of current organizations related to Sargasso Sea leading to actions for increased cooperation within the Strategic Action Programme	No clear summary of interactions between various conservation and sustainable use bodies Baseline Score: 1	EDA includes a compilation of organizations included in this process which can advise Component 3 on how best to encourage cooperation as part of the overall SAP Mid-Term Score 2	A summary document provided to Component 3 on existing and potential cooperative practices and used to guide development of the SAP End of Project Score: 3
Outputs to achieve Outcome	Output 1.1.1: A detailed Ecosystem Diagnostic Analysis (EDA) for the Sargasso Sea Collaboration Area providing a baseline to guide the long-term collaborative monitoring and stewardship of the natural resources of Sargasso Sea by the relevant partners			
Outcome 1.2 Analysis of the global value of this unique ecosystem (with accurate figures and conclusions where possible) so as to further justify and mobilize support for collaboration.	INDICATOR 6: Raised awareness generally of the long-term value of this ecosystem and its goods and services supporting the need for improved cooperation (through published articles and other media distributions)	Insufficient awareness of value of this ecosystem regionally or globally even though the few existing figures suggest the annual value could be in billions of \$\$\$ Baseline Score: 1	An Ecosystem Valuation Report drafted and circulated to all Commissioners, Signatories and appropriate partners/collaborators for feedback Mid-Term Score: 2	Final Ecosystem Valuation Report adopted and has 'informed' the SAP End of Project score: 3
	INDICATOR 7: Current and potential future conservation and sustainable use bodies advised on different practices and their actual values	Current Management plans by responsible/mandated management bodies do not always recognise the potential losses from poor ecosystem management Baseline Score: 1	Draft report provides initial guidance on benefits of ecosystem goods and services with associated figures Mid-Term Score: 2	Policy briefings providing guidance on benefits of conservation and sustainable use of ecosystem goods and services endorsed by Commission and circulated to appropriate bodies End of Project Score: 3
Outputs to achieve Outcome	Output 1.2.1: An Ecosystem Valuation and 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 the various ecosystem approaches			
Outcome 1.3 Knowledge and Information capture and analysis to support effective stewardship	INDICATOR 8: Partnerships and collaborations with SSC following a clear road-map to fill gaps in knowledge and information and effectively distribute this knowledge and information	Gaps identified, particularly through the EDA, cannot be rectified in absence of human and other resources available to SSC Baseline Score: 1	Partnership Agreements (MoUs as appropriate) adopted to support filling of data and information gaps and to develop a monitoring programme Mid-Term Score: 2	A long-term partnership-based Science Monitoring Programme for management and monitoring drafted and adopted by SSC and Partners End of Project Score: 3

	INDICATOR 9: Capacity to monitor the Sargasso Sea ecosystem expanded and strengthened	Inadequate capacity within SSC or current partners to determine baseline or future status Baseline Score: 1	Capacity Building and Training needs and partners identified and CB&T activities underway Mid-Term Score: 2	Relevant Capacity Building and Training Workshops (3) and Training Courses (4) delivered End-of-Project Score: 3 Male attendance = 50% Female attendance = 50%
Outputs to achieve Outcome	Output 1.3.1 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			
COMPONENT 2: DEVELOPMENT OF A STRATEGIC ACTION PROGRAMME FOR ADDRESSING THREATS AND STRENGTHENING STEWARDSHIP THROUGH COLLABORATION AND CONSERVATION OF THE SARGASSO SEA ECOSYSTEM				
Outcome 2.1 Priority immediate and long-term actions identified in order to a) address or mitigate the impacts of threats and b) strengthen cooperative stewardship and conservation.	INDICATOR 10: The actions to address impacts and threats to the ecosystem are negotiated and endorsed by SSC, Signatory Countries and other partners.	No current prioritisation of actions or definitive cooperative stewardship strategy for the SSC to follow that addresses identified main threats, impacts and barriers Baseline Score = 1	All actions have been endorsed by stakeholders at the MTR Mid-Term Score = 2	Formal scientific and/or professionally recognised publications define the actions that have been endorsed along with a preliminary road-map/work-plan for activities End of Project Score: 3 60% of publications include female authors
Outputs to achieve the Outcome	Output 2.1.1: A list of priority immediate and long-term actions needed along with identified partnerships and responsible entities for delivering on these priority actions.			
Outcome 2.2 Priority actions to strengthen collaborative stewardship endorsed by various partner institutions and other stakeholders to support actions for the conservation and sustainable use of the Sargasso Sea.	INDICATOR 11: A negotiated Strategic Action Programme endorsed by the main stakeholders and accepted by other partners and collaborators.	Absence of a formal agreement for adaptive management and stewardship for SSC and partners to pursue and monitor. Baseline Score: 1	A SAP Development Drafting Team established with broad representation from the stakeholders Mid-Term Score: 2	A Strategic Action Programme endorsed as appropriate which defines the actions to be taken (being taken) within a work-plan and assigns budgets and responsibilities and identifies partnerships (funding and other resources) End of Project Score: 3
Outputs to achieve the Outcome	Output 2.2.1: A Strategic Action Programme defining the priority actions, endorsed by the institutions, partners and collaborators supporting partnerships for implementation of conservation processes within the Sargasso Sea			

COMPONENT 3: PARTNERSHIPS AND COLLABORATION FOR THE SUSTAINABILITY OF THE NATURAL RESOURCES OF THE SARGASSO SEA ECOSYSTEM				
<p>Outcome 3.1 Collaborative stewardship of an iconic high seas ecosystem through the development of interactive, partnerships for the conservation and sustainable use of its natural resources</p>	<p>INDICATOR 12: Collaborative arrangements for implementation of a Strategic Action Programme for stewardship of the Sargasso Sea ecosystem clearly defined into the future with a road-map and supportive budgeting</p>	<p>No existing ecosystem-based Strategic Action Programme of activities in the region.</p> <p>Hamilton Declaration recognises a need for greater collaboration and interaction between stakeholders in the long-term</p> <p>Baseline Score: 1</p>	<p>SAP Implementation Planning Team established</p> <p>Mid-Term Score ; 2</p>	<p>A fully developed and endorsed initiative to support the implementation of the SAP post-Project</p> <p>End of Project Score: 3</p>
<p>Outputs to achieve the Outcome</p>	<p>Output 3.1.1: A road-map and budget to help define and support SAP implementation via a collaborative Ecosystem Based Approach within the Sargasso Sea.</p>			
COMPONENT 4: KNOWLEDGE MANAGEMENT, MONITORING AND EVALUATION				
<p>Outcome 4.1 Knowledge Capture and Management through Identification of Best Lessons and Practices. . (All of the knowledge management approaches will be coordinate with the Global Coordination Child Project (GCP) in order to ensure consistency in messaging and branding)</p>	<p>INDICATOR 13: Innovative mechanism for handling large and diverse data sets is developed through a data management and handling platform</p>	<p>Various different forms of data are available but are not being analysed in reference to each other with a view to having a ‘big picture’ ecosystem approach</p> <p>Baseline Score: 1</p>	<p>A data platform is established (through confirmed partners) and has begun to be ‘populated’ and its analysis results and performance are the subject of a Conference.</p> <p>Mid-Term Score: 2</p>	<p>Data Platform fully functional and guiding scientific analysis and decisions</p> <p>End of Project Score: 3</p>
	<p>INDICATOR 14: Knowledge products, services and assets are properly formulated, catalogued and distributed efficiently to the appropriate bodies that can act on them with the Project contributing to the scientific literature as well as the popular literature to raise awareness of the value of this ecosystem. This formulation and distribution process to be coordinated with the COP Global Coordination Child Project</p>	<p>Data analysis, conclusions and knowledge are not being made accessible or communicated to those bodies that most have need of them</p> <p>Scientific Information within and related to the Sargasso Sea is not widely known or available. Much of this could be resolved through this Project’s activities and outputs</p> <p>Baseline Score: 1</p>	<p>A series of high-quality contributions to the scientific literature as well as the popular literature and press (Score 1)</p> <p>Knowledge arising from the Project activities is being fed into ecosystem approach and appropriate actions are being taken (Score 1)</p> <p>Knowledge and information is being shared with the GCP Child Project and collaborative /coordinated outputs are prepared and distributed (Score 1)</p> <p>Mid-Term Score: 4</p>	<p>Briefing documents are circulated to entities with responsibilities related to the Sargasso Sea and with interest in making use of the results of a monitoring process (Score 1)</p> <p>Lessons and Practices from the Sargasso Sea Project are documented and available for use by other ABNJ strategies as appropriate along with an End-of Project Workshop on Lessons & Best Practices (Score 1)</p> <p>Briefing documents, and documentation of lessons and practices coordinated with GCP</p>

				Chile Project and shared with other Child Projects (Score 1) End of Project Score: 7
	INDICATOR 15: Project support to and engagement with IW:LEARN activities	Limited current interaction between Sargasso Sea Commission and its partners and UNDP GEF IW:LEARN Baseline Score: 1	Linkages established between Sargasso Sea Project (and its website) and IW:LEARN (and its website) (Score 1) Mid-Term Lessons and Practices Report shared with IW:LEARN and available on IW:LEARN website (Score 1) Mid-Term Score: 2)	Final Report on Lessons and Practices shared with IW:LEARN and available on IW:LEARN website (Score 1) Various appropriate Experience Notes and Training Materials evolved t from Sargasso Project shared with IW:LEARN and available on IW: LEARN website (Score 1) Attendance by Sargasso Project at International Waters Conferences and other appropriate GEF-related venues (Score 1) End of Project Score: 6
Outputs to achieve Outcome	<p>Output 4.1.1: Best lessons and practices captured at Mid Term for effective application and distribution. The development and presentation of these lessons will be coordinated with the GCP prior to sharing with the various stakeholders and partners</p> <p>Output 4.1.2: Information packages developed and disseminated through a communications strategy coordinated with and related to the strategy developed by the Global Coordination Project and which inform appropriate government bodies and regional entities.</p> <p>Output 4.1.3: Project support to and engagement with IW:LEARN activities with allocated (1% plus) budget.</p> <p>Output 4.1.4: Effective ongoing Project Monitoring and Evaluation</p>			



STRENGTHENING THE STEWARDSHIP OF AN ECONOMICALLY AND BIOLOGICALLY SIGNIFICANT HIGH SEAS AREA – THE SARGASSO SEA WORK PLAN FOR FIRST YEAR

OVERALL PROJECT ACTIVITIES & DELIVERABLES FROM PROJECT OUTCOMES AND OUTPUTS	YEARLY QUARTER			
OUTCOME 1.1: QUANTIFIED THREATS AND IMPACTS IDENTIFIED ALONG WITH THEIR IMMEDIATE AND ROOT CAUSES ESTABLISHING A BASELINE FOR ON-GOING MONITORING AND COLLABORATIVE ECOSYSTEM-BASED STEWARDSHIP.				
1.1.1: A Detailed Ecosystem Diagnostic Analysis (EDA) for the Sargasso Sea Collaboration Area providing a baseline to guide the long-term collaborative monitoring and stewardship of the natural resources of Sargasso Sea by the relevant partners				
Confirm Terms of Reference and work-plan for the Ecosystem Diagnostic Analysis	X			
Identify the stakeholders and partners that need to be involved (drafting or reviewing) in the EDA drafting process through an appropriate workshop(s) and dialogue that also catalogues the available data	X			
Establish a Technical Development and Review body for the EDA and agree on the system boundary for stewardship/management purposes	X	X		
Capture the Baseline Environmental Status (oceanography, productivity, fisheries, biodiversity, etc.)		X	X	
Capture Baseline on socioeconomics (Fisheries, tourism, dependent livelihoods, shipping, etc.) - Also through the various partnerships and stakeholder arrangements.		X	X	
Capture any other risks, threats and emerging concerns (including gender mainstreaming, climate change, ocean acidification, etc.)		X	X	
Compile a list of existing institutional arrangements relating to the Sargasso Sea Geographical Area of Collaboration including relevant legal instruments and treaties, RFMOs, adjacent RSPs, LOS, etc. and including available funding mechanisms for stewardship		X	X	
Development and approval of a more detailed Causal Chain Analysis arising from the DPSIR/EDA process		X	X	
Drafting of the Ecosystem Diagnostic Analysis Report		X	X	
Adoption of draft EDA by Technical Board and submission for Peer Review		X	X	
Final EDA approved by SSC, Commissioners, participating GEF beneficiary countries and Signatories to the Hamilton Declaration			X	X
OUTCOME 1.2: ANALYSIS OF THE GLOBAL VALUE OF THIS UNIQUE ECOSYSTEM (WITH ACCURATE FIGURES AND CONCLUSIONS WHERE POSSIBLE) TO FURTHER JUSTIFY AND MOBILIZE SUPPORT FOR COLLABORATION				
1.2.1: An Ecosystem Valuation and 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 the various ecosystem approaches				
Confirm Terms of Reference and Work-plan for an Ecosystem Valuation process	X	X		
Establish an Ecosystem Valuation Technical Team (partners)	X	X		
Identify the various goods and services that the Sargasso Sea provides globally (e.g. provisioning, regulating, habitat, cultural) for both Market (e.g. fisheries, tourism) and Non-Market (e.g. carbon sequestration, nutrient cycling, etc.)		X	X	
Capture information on the value that the individual goods and services provide over a fixed period			X	X

Calculate the value-chain i.e. the linkages between the various components, species, habitat types etc. in the ecosystem and the overall value that these provide at both Market and Non-Market level				X
Outcome 1.3: Knowledge and Information capture and analysis to support effective stewardship				
1.3:1: 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				
Prioritising the gaps in data and information needs				X
identification of weaknesses in capacity to support long-term monitoring of the Sargasso Sea Ecosystem and training and infrastructure requirements needed to rectify				X
Undertake capacity building and training workshops and training courses to support data and information capture, analysis and management; resource mobilization to fill gaps in monitoring infrastructure				X
Outcome 2.1: Priority immediate and long-term actions identified in order to a) address or mitigate the impacts of threats and b) strengthen collaborative stewardship and conservation.				
2.1.1: A list of priority immediate and long-term actions needed along with identified partnerships and responsible entities for delivering on these priority actions.				
Data capture to analyse ecological sensitivity of Sargasso Sea and environmental impacts from shipping including from abandoned, discarded or otherwise lost fishing gear and the need for improved marking and tracking of such				X
Data capture to feed into regional environmental planning at the International Seabed Authority				X
Outcome 4.1: Knowledge Capture and Management through Identification of Best Lessons and Practices (All of the knowledge management approaches will be coordinate with the Global Coordination Child Project (GCP) in order to ensure consistency in messaging and branding)				
4.1.2: Information packages developed and disseminated through a communications strategy coordinated with and related to the strategy developed by the Global Coordination Project and which inform appropriate government bodies and regional entities.				
Recruit/identify a Communications Officer for the Project	X	X		
Adopt a Communications and Knowledge sharing strategy that liaises with and interacts with the GCP, and which also identifies various information packages needed to support the Project as well as to inform partners and stakeholders		X	X	X
Conference on the use of data analytics and use with associated peer-reviewed publications	X	X	X	X
Specific information documents prepared for senior managers and policy makers on the ecosystem value of the Sargasso Sea and the Cost-Benefits of the ecosystem approach			X	
High-quality contributions from the Project partners to the scientific literature as well as the popular press and shared with other global partners and stakeholders via the GCP knowledge management and communications strategy			X	
4.1.3: Project support to and engagement with IW:LEARN activities with allocated (1% plus) budget.				
Establish linkages between the Sargasso Sea Project website and the IW:LEARN website	X			
Attendance at various appropriate International Waters Conferences and other GEF-related workshops and meetings (e.g. LME workshops)				X
4.1.4: Effective ongoing Project Monitoring and Evaluation				
Adoption/formation and functioning of a Project Steering Committee	X			X
Recruitment of Project Staff/Lead Consultants	X	X		
Quarterly and Annual reviews of progress (Quarterly Reports and PIRs) with main focus on RF Indicators and Targets	X	X	X	X
UNDP 'on-site' Project review meetings				X

Annex 7: UNDP ATLAS Risk Log

#	Description/Event	Cause	Impact(s)	Risk Category	Likelihood = Risk Level	Risk Treatment / Management Measures	Expected Effects from Treatment	Risk Owner	Risk Valid From/To ¹
1	Collaborating / Signatory Governments fail to support the Project or its proposed SAP	Loss of political support if this is seen to jeopardise economic opportunity	The long-term impact could be serious as the SAP would become effectively unimplementable	Political Operational	I = 4 L = 1 Sargasso Sea Commission has seven years' experience working with Signatory Governments, so the risk is considered to be very low	Maintain existing close communications and contact with government focal points and other stakeholders throughout the Project cycle. In particular, sharing the findings of the EDA and involving government stakeholders in drafting of the SAP. Strengthen and expand the partnerships and interaction in order to foster, interactive stewardship	Raising Awareness and ownership among signatory governments and other relevant stakeholders to support more effective cooperation. A strong and interactive partnership for monitoring among the various partners	SSC IOC PSC	Nov 2021 to Nov 2024
2	Some duty-bearers (e.g. government agencies) may not have or achieve the capacity to meet their obligations in the project?	Capacity needs not identified or recognised and insufficient resources available or allocated for capacity building and training	Impact would be considerable as it would not be possible to monitor the SAP implementation effectively.	Operational Financial Social & Environmental	I = 3 L = 1 The Likelihood is considered to be very low as there is a major component of the Project that will address capacity needs for monitoring and identify responsible parties, setting up agreements to that effect	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 approaches and institutional support	Capacity gaps and training needs identified during 'Gaps Analysis' Capacity building and training programme adopted by stakeholders and delivered starting in first year of Project and continuing through life of Project with strong emphasis on ecosystem-approaches	PCU PSC Partners	Nov 2021 to Nov 2022

¹ These dates reflect expected deliverables as per the Multi-Year Work-Plan (e.g. the adoption of the SAP; Adoption of a Science Monitoring Programme, etc)

#	Description/Event	Cause	Impact(s)	Risk Category	Likelihood = Risk Level	Risk Treatment / Management Measures	Expected Effects from Treatment	Risk Owner	Risk Valid From/To ¹
3	The Project ultimately fails to foster cooperation	A lack of political will arising from an unwillingness to cooperate. Possible inability of Project to arrive at an agreed SAP.	The long-term Impact could be serious, especially if the lack of cooperation meant that there was little or no interactive capacity for monitoring. This would also have geographical knock-on effects to countries and livelihoods that depend on Sargasso Sea goods and services	Political Operational	I = 4 L = 1 The Likelihood is considered to be low as the Project development process has included all the principal stakeholders including signatory governments who are supporting the EDA-SAP process	The Project has the usual formal, standard UNDP GEF Monitoring and Evaluation Process and Plan with associated budget including quarterly and annual reporting as well as a Mid-Term Review and a Terminal Evaluation. Project progress will further be the priority subject of review by the regular meetings of the Steering Committee. This level of monitoring should quickly pick up any concerns related to the ongoing development of cooperation activities to be adopted within the SAP	The EDA will provide the justification for collaboration. This will be evolved then into a Strategic Action Programme which will be the subject of negotiation and discussion amongst the various stakeholders, particularly those with clear interests. Any deviation from this process or delays that are a result of uncertainty or even opposition by one or more stakeholders will be addressed as they arise through appropriate channels and interaction. Political ownership will be a 'constant' aim of the Project and will be expected to be realised by the end of the Project through full adoption of the SAP	PCU PSC	Nov 2021 to Nov 2024

#	Description/Event	Cause	Impact(s)	Risk Category	Likelihood = Risk Level	Risk Treatment / Management Measures	Expected Effects from Treatment	Risk Owner	Risk Valid From/To ¹
4	Gender discrimination has the potential to negatively impact on the project in the absence of an effective project outcome	Limited opportunities accessible to women in the international shipping and fishing industry	There is a risk that if the project is unable to deliver satisfactorily, there may be the potential to sustain and/or reproduce gender discriminations against women	Gender Social & Environmental	I=2 L=2	The EDA will identify clearly such gender-related discrimination and the SAP will include recommendations for policies and regulations to better sustain any associated fishery which may or is having a potentially impact on women fishers/processors livelihoods. Such concerns could then be addressed (in any follow-on SAP implementation project) via provision of support to affected stakeholders for alternative livelihoods and/or sustainable expansion of the fishery e.g. via development of local aquaculture.	The Ecosystem Diagnostic Analysis will act as a Targeted Assessment to identify gender discrimination and inequality issues and will capture the mitigation and redress needs in the SAP which for endorsement as a long-term strategy by the Hamilton Declaration countries.	PCU PSC Partners	Nov 2021 to Nov 2024
5	Co-financiers fail to deliver expected support	General shortages of funding as a consequence of global economics with a particular concern arising from COVID-19	Absence of co-financing would be reflected in the failure to deliver on certain activities (necessary research and gap-filling; subsequent monitoring) which would further reflect in a failure of adaptive management	Financial Operational	I = 4 L = 1 Although the impact of a failure in co-financing would be quite serious it is considered to be very unlikely in view of the continuous interaction and dialogue with the confirmed co-financing bodies during Project development and their Letters of Confirmation will be quite specific on	A wide diversity and spread of co-financiers 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. As of Mid-2021 some of the major funding sources by country are starting to move out of the pandemic-related recession	All co-financing as presented in the Project Document has been discussed, negotiated and agreed. The Project expects to be able to deliver this co-funding in support of the various activities. This will be confirmed through the PIR and MTR and any shortfalls will be addressed through interactive dialogue. Full stakeholder financial support is expected as defined	PCU PSC IOC	Nov 2021 to June 2023

#	Description/Event	Cause	Impact(s)	Risk Category	Likelihood = Risk Level	Risk Treatment / Management Measures	Expected Effects from Treatment	Risk Owner	Risk Valid From/To ¹
					amounts and types of co-financing.		in the Project Document		
6	Project fails to establish and implement a long-term financial sustainability road map		In the absence of such a sustainability road-map there is a likelihood that insufficient funding and support would be available to implement a SAP and to maintain viable cooperation	Financial Operational	1 = 3 L = 1 The Impact of not having sustainable funding would inevitably be serious but the Likelihood is deemed low as the partners that are coming on-board for this Project have, in most cases, been supporting the aims of the SSC for some years now and the new partners being created are aware of the long-term needs to support the SAP	The long-term financial support will be identified as part of the development of the Strategic Action Programme as is standard for such SAPs and will provide an indicative budget and associated work-plan. The Project will, itself, develop a Sustainability Plan and Exit Strategy by Mid-Term	The Strategic Action Programme will include a formally adopted financial sustainability strategy and action plan that will have the support of the signatories. The Exit Strategy for the Project (available to the Terminal Evaluation) will clarify this	PSC IOC	Nov 2021 to Nov 2024

#	Description/Event	Cause	Impact(s)	Risk Category	Likelihood = Risk Level	Risk Treatment / Management Measures	Expected Effects from Treatment	Risk Owner	Risk Valid From/To ¹
7	A poor-quality SAP or ineffective implementation could lead to ongoing harm and threats to the Sargasso Sea Ecosystem. Project intervention would thus be insufficient to prevent the depletion of important natural resources dependent on the Sargasso Sea and the associated potential economic impacts	Absence of political will to ensure sufficient control over resource exploitation	The Impact would depend on the resources in question but could be significant in monetary terms in the context of lost revenue from eels and possibly other fisheries. This would have a social dimension in view of the threat to livelihoods	Political Social & Environmental	1 = 3 L = 1 The Likelihood of this happening would be much higher without the Project than with it and most of the Project interventions are designed to address this as per the Causal Chain Analysis (CCA) – Needs and Solutions – Theory of Change (TOC)	The planned Project design is such that it will only serve to improve on the cooperation of stakeholders and users of Sargasso Sea resources. The CCA has identified the root causes and the Needs and Solutions assessment has found appropriate responses which are then captured through the ToC to the Component Outcomes, Outputs and Activities. The RF has been designed to ensure that appropriate indicators and targets are included to monitor sustainability of natural resources where feasible	The TDA-SAP process (as tried and tested though many LME and similar water bodies Projects) is designed to foster cooperation and this will be apparent in the final SAP as adopted by the signatories. This will serve to prevent the depletion of natural resources and to conserve the goods and services of the Sargasso Sea for the foreseeable future	SSC IOC Stakeholders	Nov 2021 to Nov 2024
8	Insufficient data on fisheries and the impacts on fisheries may lead to inadequate management measures and ecosystem-based catch limits identified in the SAP.	Inadequate monitoring of natural resources, particularly fisheries	The potential impact arising from this would be related to reduced access to resources, goods and services within the Sargasso Sea beyond current availability	Social & Environmental Regulatory	I = 2 L = 1 The Impact could, in principle, reduce the availability of resources in or associated with the Sargasso Sea as economic potential (fisheries, etc.). However, this is most unlikely as the overall aim of the SAP would be to foster collaboration amongst partners to monitor the health and well-being of those	Effective collaboration in the Sargasso Sea and will ensure long-term sustainability and access to such resources which could otherwise be depleted fast and create issues related to food security, livelihoods and general community well-being including 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. This will specifically look at the possible 'knock-on' effects to such human welfare as food security and livelihoods.	Long-term sustainability of natural resources, goods and services within the Sargasso Sea as well as beyond the system boundary in countries that depend on those goods and services so as to protect livelihoods and welfare.	Stakeholders Signatories	Nov 2021 to Nov 2024

#	Description/Event	Cause	Impact(s)	Risk Category	Likelihood = Risk Level	Risk Treatment / Management Measures	Expected Effects from Treatment	Risk Owner	Risk Valid From/To ¹
					resources into the future thereby maintaining their 'value' as goods and services. Consequently, in the absence of the cause and the impact the damage in the long-term at the social and environmental level would be much worse				
9	The results of the project and downstream implementation of the SAP may be sensitive or vulnerable to the effects of climate change. Major changes to the Sargasso Sea Currents and Ecosystem could result particularly from warming and acidification	Climate Change and Ocean Acidification caused by Carbon Emissions Insufficient global policy and regulatory mechanisms to mitigate GHG emissions have the potential to negatively impact on both the vertical column stratification and prevailing	It is difficult to predict too far ahead what effect climate change and associated environmental transformations might have but there is a likelihood that there may be alterations in the current flow that forms the gyre system creating the Sargasso Sea ecosystem. Temperature changes in the upper column (300 metres) could also significantly affect this productive area of the ecosystem and acidification could also impact	Safety & Security Social & Environmental	I = 3 L = 2 The Likelihood cannot be ignored and there is a possibility that this could happen.	The Project is designed to analyse and model possible impacts on the ecosystem from climate change. This area has one of the longest time-series of data on temperatures and this will help in any predictive processes. As with all of the planet's ecosystems under increasing climate change related extremes and global warming, one can only monitor, mitigate and, when necessary, adapt.	Proposed project activities have been screened and assessed for climate change and disaster risks. This screening reveals that project activities will not increase exposure to climate and disaster risks and will instead mitigate those risks. A Big Data Platform that captures the actual and expected changes that are or may result from climate change and 'models' these against other data related to sustainability of natural resources,	PCU PSC Stakeholders Signatories	Nov 2021 to Nov 2024 (and post-Project)

#	Description/Event	Cause	Impact(s)	Risk Category	Likelihood = Risk Level	Risk Treatment / Management Measures	Expected Effects from Treatment	Risk Owner	Risk Valid From/To ¹
		currents which could ultimately contribute negatively to climate change.	on marine life. The Sargassum itself may also change (as in different species or sub-species) with changes in temperature. Such a transformation would probably alter the ecosystem and its goods and services quite dramatically.				goods and services. The results and conclusions will inform the SAP		
10	Mid-to-Long term constraints and Project delays arising from travel limitations and constrictions and associated reduction in gatherings for meetings and workshops	COVID 19 pandemic	The Covid pandemic has caused serious problems with many GEF Project to date. These have been mainly related to A. stakeholders being unable to travel wot meetings and workshops; B. hosts (countries, organisation, etc.) being unable to host such gathering due to national restrictions and regulation. C. consequent delays in delivering agree Project activities and meeting Project targets (e.g. in relation to Steering Committee or Task force meetings,	Operational Financial	I – 4 L= 2/3 At the time of Project Document Preparation it does seem that the ‘world’ is opening up again for travel ,but there will still need to be careful consideration given to ‘distancing’ and those countries that have not had adequate access to vaccines may not be able to attend physical meetings.	Previous Projects have developed mechanisms for addressing this problem through more use of virtual interaction etc. For example, https://www.glofouling.imo.org/post/delivering-global-Projects-during-a-pandemic-sharing-the-experience This is an excellent capture of best lessons from a UNDP IMO GEF Project on Biofouling which has had serious setbacks as a result of the pandemic but has ‘invented’ ways to deal with this problem.	The growing advice and experience within the UN system and beyond will assist this Project in the event that the pandemic continues to create these problems.	UNDP Project Board	Present and through the Project until the pandemic is under control properly and travel etc. fully opened

#	Description/Event	Cause	Impact(s)	Risk Category	Likelihood = Risk Level	Risk Treatment / Management Measures	Expected Effects from Treatment	Risk Owner	Risk Valid From/To ¹
			<p>capacity building workshops, training exercises and sessions). This has further led to significant under-spending and disbursement of funding. Consequently, many Projects have had to request extensions (at no cost) and modify their strategies in order to deal with the aforementioned issues, primarily through online virtual interactions or so-called 'hybrid' meetings which are frequently far from satisfactory for the propose required</p>						

Annex 8: Links to Presentations

Presentations used during the Workshop.

- [Links between GEF, CO, FFEM – David Freestone](#)
- [Review of GEF Sargasso Project – David Vousden](#)
- [Stakeholder Involvement – David Vousden](#)
- [World Maritime University – Ronan Long](#)
- [Nonsuch Expeditions satellite tracking and Earthrace Conservation - JP Rouja, Pete Bethune](#)