United Nations Development Programme

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

Project title: **Strengthening stewardship through cooperation in an economically and biologically significant high seas area – the Sargasso Sea**		
Country(ies): Global	**Implementing Partner (GEF Executing Entity):** IOC UNESCO	**Execution Modality**: UN Agency
Contributing Outcome (UNDAF/CPD, RPD, GPD, UNDP Strategic Plan): SP: 4.1.2 Natural resources that are managed under a sustainable use, conservation, access, and benefit-sharing regime: • Area of terrestrial and marine protected areas created or under improved management practices (hectares) • Number of shared water ecosystems (fresh or marine) under new or improved cooperative management		
UNDP Social and Environmental Screening Category: Moderate	**UNDP Gender Marker:** *Gen 2 –gender equality as a significant objective*	
Atlas Award ID: 00139036	**Atlas Project/Output ID: 0012886**	
UNDP-GEF PIMS ID number: *6526*	**GEF Project ID number: 10620**	
LPAC meeting date: *TBC*		
Last date for submission to GEF: 3 Dec 2021		
Latest possible CEO endorsement date: 6 June 2022		
Project duration in months: 48		
Planned start date: 1 June 2022	**Planned end date.** 31 May 2026	
Expected date of Mid-Term Review: May 2024	**Expected date of Terminal evaluation:** January 2026	
Brief Project description: The increasing activity in the Sargasso Sea demonstrates the importance of addressing the cumulative impacts of human activities [on the high seas]. Some of the recognised and potential threats to the ecosystem and its marine life include A. Impacts from Fisheries; B. Impacts from Shipping; C. Impacts from other Commercial Activities (e.g. seabed exploration/exploitation, Sargassum harvesting, cable-laying, etc.); and D. Impacts from Climate Change and Ocean Acidification. This Project aims to undertake a detailed diagnostic analysis which will identify science-based evidence of threats and potential impacts and will then further provide a concrete demonstration of how cooperation and associated partnerships can play a leading role in sustaining and restoring the health, productivity and resilience of such an area beyond the jurisdiction of any one country but		

encompassed by the regime established within the mandate of the UN Convention on the Law of the Sea, consistent with the associated precautionary approach and the concepts of duty and cooperation of States to adopt measures for the conservation and management of living resources in the area beyond national jurisdiction.. The demonstration of the sustainable use of living resources in areas beyond national jurisdiction (ABNJ) and improved conservation of biodiversity and ecosystem services within the Sargasso Sea marine ecosystem arising from the Project and the medium-term continuation of effective cooperation, scientific monitoring and associated socioeconomic and food security benefits will provide a model for achieving the overall Project Goal that can be replicated and scaled up elsewhere as applicable.	
FINANCING PLAN	
GEF Trust Fund grant	USD 2,652,294
UNDP TRAC resources[1]	USD 0
Confirmed cash co-financing to be administered by UNDP	USD 0
(1) Total Budget administered by UNDP	**USD 2,652,294**
CO-FINANCIERS THAT WILL DELIVER PROJECT RESULTS INCLUDED IN THE PROJECT RESULTS FRAMEWORK (FUNDS NOT ADMINISTERED THROUGH UNDP ACCOUNTS)	
World Maritime University	USD 400,000
Bermuda Institute of Ocean Sciences	USD 23,190,000
Duke University	USD 2,300,000
Edinburgh University (iAtlantic and Atlas Projects)	USD 200,000
Global Fishing Watch	USD 1,300,000
FFEM - Fonds Français pour l'Environnement Mondial (French Facility for the Environment)	USD 1,088,000
Sargasso Sea Commission	USD 1,600,000
National Oceanic and Atmospheric Administration (NOAA) - USA	USD 2,266,058
United Nations Development Programme	USD 498,500
Intergovernmental Oceanographic Commission of the United Nations Educational, Scientific and Cultural Organisation	USD 188,308
(2) Total confirmed co-financing	**USD 33,030,866**
(3) Grand-Total Project Financing (1)+(2)	**USD 35,683,160**
SIGNATURES:	

[1] This is not a mandatory requirement.

Signature: print name below **Vladimir Ryabinin** **Executive Secretary**	**Agreed by IOC-UNESCO**	**Date/Month/Year:** *within 25 days of GEF CEO endorsement*
Signature: print name below **Pradeep Kurukulasuriya** **Director, Nature, Climate and Energy**	**Agreed by UNDP** **BPPS/GPN/NCE**	**Date/Month/Year:** *within 25 days of GEF CEO endorsement*
Key GEF Project Cycle Milestones: **Project document signature**: within 25 days of GEF CEO endorsement **First disbursement date**: within 40 days of GEF CEO endorsement **Inception workshop date**: within 60 days of GEF CEO endorsement **Operational closure:** within 3 months of posting of TE to UNDP ERC **Financial closure:** within 6 months of operational closure		

Acronyms and Abbreviations

ABMT	Area Based Management Tool
ABNJ	Area Beyond National Jurisdiction
AFB	Agence Francais de Biodiverité
AIS	Automatic Identification System
ALDFG	Abandoned, Lost or Discarded Fishing Gear
APES	Area of Particular Environmental Sensitivity
BATS	Bermuda Atlantic Time-series Study
BBNJ	Biodiversity Beyond National Jurisdiction
BIOS	Bermuda Institute of Ocean Sciences
BL	Best Lessons
CB	Capacity Building
CBD	Convention on Biological Diversity
CCA	Causal Chain Analysis
CEO	Chief Executive Officer
CEOS	Committee on Earth Observation Satellites
CITES,	Convention on the International Trade in Endangered Species
CMS	Convention on Migratory Species
CNRS	French National Centre for Scientific Research
DPSIR	Driving force-Pressure-State-Impact-Response
DR	Dominican Republic
DSA	Daily Subsistence Allowance
EBSA	Ecologically or Biologically Significant Area
EDA	Ecosystem Diagnostic Analysis
EEZ	Exclusive Economic Zone
ERC	Evaluation Resource Centre (of UNDP)
ESMF	Environmental & Social Management Framework
FFEM	Fonds Français pour l'Environnement Mondial
GEF	Global Environment Facility
GEFSEC	GEF Secretariat
GFW	Global Fishing Watch
GRM	Grievance Redress Mechanism
IAC	Inter-American Sea Turtle Convention
IAS	Invasive Alien Species
ICCAT	International Commission for the Conservation of Atlantic Tunas
ICPC	International Cable Protection Committee
IFREMER	L'Institut Français de Recherche pour l'Exploitation de la Mer
IMO	International Maritime Organisation
IOC	Intergovernmental Oceanographic Commission
IOCARIBE	IOC Caribbean Sub-Commission Office for IOC
IRD	Institut de Recherche pour le Développement
ISA	International Seabed Authority
IUCN	International Union for Conservation of Nature
IUEM	European Institute for Marine Studies
IUU	Illegal, unreported and unregulated (fishing)
IW	International Waters
IWLEARN	IW Learning Exchange and Resource Network
LME	Large Marine Ecosystem
LOS	Law of the Sea (Convention)
LPAC	Local Project Appraisal Committee
MARPOL	International Convention for Prevention of Pollution from Ships
MBON	Marine Biodiversity Observation Network
MCS	Monitoring, Control and Surveillance
MEPC	Marine Environmental Protection Committee (of IMO)
MGEL	Marine Geospatial Ecology Lab (of Duke University)
MPA	Marine Protected Area
MSP	Medium Sized Project
MT	Mid Term
MTR	Mid Term Review
NAFO	Northwest Atlantic Fisheries Organisation
NASA	National Aeronautics and Space Administration
NGO	No Governmental Organisation
NOAA	National Oceanic and Atmospheric Administration
OAI	Office of Audit and Investigations
OFP	Operational Focal Point
PIF	Project Identification Form
PIR	Project Implementation Review
PC	Project Coordinator
PCU	Project Coordination Unit
PPG	Project Preparation Grant
PSC	Project Steering Committee
PSSA	Particularly Sensitive Sea Area
RBM	Results Based Management
REDD	Reducing Emissions from Deforestation and Forest Degradation
RF	Results Framework
RFMO	Regional Fisheries Management Organisation
RSP	Regional Seas Programme
SAP	Strategic Action Programme
SCOPE	BIOS – Simons Collaboration on Ocean Processes and Ecology
SDG	Sustainable Development Goals
SECU	Social and Environmental Compliance Review Unit (of UNDP)
SEP	Stakeholder Engagement Plan
SES	Social and Environmental Screening
SESP	Social and Environmental Screening Procedure
SIDS	Small Island Developing States
SMP	Science Monitoring Programme
SPAW	Specially Protected Areas and Wildlife
SRM	Stakeholder Response Mechanism
SSC	Sargasso Sea Commission
TBWP	Total Budget and Work Plan
TDA	Transboundary Diagnostic Analysis
TE	Terminal Evaluation
TOC	Theory of Change
TOR	Terms of Reference
UBO	Université de Bretagne Occidental
UBS	University of Southern Brittany
UN	United Nations
UNCLOS	United Nations Convention on the Law of the Sea
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNESCO	United Nations Educational, Scientific and Cultural Organisation
WMU	World Maritime University

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II. DEVELOPMENT CHALLENGE

The Sargasso Sea is an open ocean ecosystem in the North Atlantic. Its specific boundaries vary seasonally and depend on variations in the defining boundary currents. For the purposes of this Project the Sargasso Sea 'Geographical Area of Collaboration' is defined in the Hamilton Declaration[2] as the portion of high seas and the 'Area' under that portion of the high seas, (excluding the exclusive economic zone (EEZ) and territorial sea around Bermuda, and the extended continental shelves of neighbouring states) as shown on the illustrative map therein and in Annex 1 of this Project Document. This covers an area of approximately 685 million hectares. It is named for the two species of holopelagic macro algae (*Sargassum natans* and *S. fluitans*) that exist entirely pelagically, without contact with land and accumulate in the North Atlantic Subtropical Gyre where they form into large mats or windrows. Only the archipelago of Bermuda has direct coastal frontage on the Sargasso Sea. The Sargasso Sea is bounded on all sides by the clockwise flow of a number of major ocean currents, the most significant of which is the Gulf Stream. The Sargasso Sea constitutes a fundamentally important part of the global ocean due to an interdependent mix of physical oceanography, its ecosystems and its role in global-scale ocean and earth-system processes. It contributes significantly to local as well as global economies both directly from fisheries for highly migratory species (including European and American eels), whale watching and "turtle tourism", and indirectly from its role in climate regulation, conservation of genetic diversity and biogeochemical cycling. It is also an important transit route for shipping between Europe and North America. As a unique high seas marine ecosystem, the sargassum is home to numerous endemic species and essential habitat for a very large number of others. It is an important migratory route for many commercially important species, such as Anguillid eels, billfishes and tunas, as well as non-commercial species such as whales and turtles. It is also the only known spawning area for the critically endangered European eel (*Anguilla anguilla*) (as classified by the IUCN) and the endangered American eel (*A. Anguilla*) (also as classified by the IUCN), both of which are at the centre of what has recently become a global multi-million dollar industry as a result of the rise in their popularity as a food item. Many of the species inhabiting the Sargasso Sea are listed in the IUCN Red List as vulnerable, endangered or threatened with some listed in CITES Appendices or Annexes to the1990 SPAW Protocol to the Cartagena Convention. The goods and services associated with the Sargasso Sea have a direct as well as indirect inherent value to many countries outside of its borders. The current price of glass eels (the early life stage of the species that develop prior to their enter river mouths on return from the sea) stands at $5,500 per kilo. In addition, the Sargasso Sea has an inherent socioeconomic value to humankind because of its existence as a unique ecosystem and home to rare and charismatic species. Based on all the best available science, the Sargasso Sea has been estimated to contribute significant values to the global community in the order of multi-millions to billions of US$[3]. Furthermore, the Sargasso Sea has been shown to meet six out of the seven possible criteria for being described as an EBSA or Ecologically or Biologically Significant Area, while recent studies on connectivity between ABNJ, EEZ and coastal ecosystems, goods and services are highlighting the importance of the physical, chemical and biological exchange between these areas[4]. Other vulnerable marine ecosystems exist also within the Sargasso Sea Geographical Area of Collaboration including the New England and Corner Rise seamounts. In addition, the 'Area' lies to the West the Mid Atlantic Ridge[5] with its unique vent ecosystems.

Annex 14 captures information provided by expert consultants from five developing countries that have a growing dependency on eel fishing and/or propagation through aquaculture and then exportation. These countries include the Dominican Republic, Cuba, Haiti, Jamaica and Morocco. This Annex offers useful guidance on the importance of the Sargasso Sea in the context of the goods and services that it provides as an ecosystem beyond its geographical boundaries. The full reports from these consultants are available on the Sargasso Sea Commission website (http://www.sargassoseacommission.org/publications-and-news). These reports were commissioned as part of the

[2] http://www.sargassoseacommission.org/storage/Hamilton_Declaration_with_signatures_April_2018.pdf
[3] Sumaila, U. R., Vats, V., and W. Swartz. 2013. Values from the Resources of the Sargasso Sea. Sargasso Sea Alliance Science Report Series, No 12, 24 pp. ISBN 978-0-9892577-4-9; Pendleton, L., F. Krowicki., P. Strosser, and J. Hallett-Murdoch. *Assessing the Economic Contribution of Marine and Coastal Ecosystem Services in the Sargasso Sea*. NI R 14-05. Durham, NC: Duke University… and … Ingestion of Microplastics by Fish and Its Potential Consequences from a Physical Perspective. Boris Jovanovic. Integr Environ Assess Manag. 2017; 13:510–515. C2017 SETAC
[4] Ecological connectivity between the areas beyond national jurisdiction and coastal waters: Safeguarding interests of coastal communities in developing countries. Ekaterina Popova et al. (2019). Marine Policy. Marine Policy. Volume 104, June 2019, Pages 90-102.
[5] http://www.sargassoseacommission.org/storage/documents/Sargasso_Sea_Benthos_Compressed_-_Watling.pdf accessed 17th March 2021.

PPG process to capture basic information on the value and importance of goods and services arising from the Sargasso Sea ecosystem.

All of the five countries report a fairly wide distribution of eels in their rivers and coastal systems (*Anguilla anguilla* in Morocco and A. rostrata in the other four countries). In-country consumption is limited for all five countries (with the exception of Asian communities) and eels (both wild-caught and those raised in aquaculture facilities) are primarily for export to Asian and North American markets where there is a high demand, although there is growing importation of processed eels in some of the countries to satisfy tourist demands for sushi. *A. anguilla* is now on CITES Appendix II and , with the EU trade ban on this species, there is an increasing demand and more interest in fishing for A. rostrata.

The fishery has both economic importance for the countries and direct livelihood importance for the fishermen ., Eel fishing can be an important subsistence activity for poorer families in these countries. In Haiti for example, although eel is not commonly consumed in country, eel fishing improves the economic conditions for many fishing families who are otherwise discouraged from other forms of traditional fishing due to material costs.

Legislation and management vary across these five countries in the context of levels of regulation and enforcement., There are incidence of 'black-market' fisheries in some countries and, as prices increase, the illegal trade has also grown. Conservation measures also vary from country to country and it is further recongised that effort is needed to improve knowledge on population dynamics and scientific monitoring of this species as well as the importance of international cooperation to this end.

It is clear, therefore, that the Sargasso Sea Geographical Area of Collaboration is of significant important to many countries by way of the goods and services it provides as an ecosystem. The countries which provided this information on the value of the eel species during the PPG (and which directly benefit from these goods and services) will be engaged further in the Project during the development of the Ecosystem Diagnostic Analysis. They will also be engaged in the development of the Strategic Action Programme to provide suggestions and advice related to further conservation of these iconic species.

In March 2014, five governments signed the Hamilton Declaration on Collaboration for the Conservation of the Sargasso Sea, which authorized the establishment of the Sargasso Sea Commission with a mandate to "Exercise a stewardship role for the Sargasso Sea and keep its health, productivity and resilience under continual review." The signatories have since risen by a further five governments[2].

The global environmental and/or adaptation problems, root causes and barriers that need to be addressed (systems description)

Despite its importance, the increasing activity in the Sargasso Sea along with the increasing range and impact from threats to the Sargasso Sea demonstrate the weakness of the current system of ocean governance in addressing cumulative impacts of human activities on the high seas. This has been captured in the both the first (2016) and the **Second World Ocean Assessment 2021 (Chapter Seven The Sargasso Sea)**[6] which is included here as Annex 15. Recent scientific studies[7,8] have further identified some of the threats on the ecosystem and its marine life. Primary **actual** and **potential** threats to the Sargasso Sea as an ecosystem can be summarised as A. Impacts from Fisheries; B. Impacts from Shipping; C. Impacts from other Commercial Activities (e.g. seabed exploration/exploitation, Sargassum harvesting, cable-laying, etc.); and D. Impacts from Climate Change and Ocean Acidification.

[6] The Second World Ocean Assessment - WORLD OCEAN ASSESSMENT II. United Nations publication ISBN: 978-92-1-1-130422-0eISBN: 978-92-1-1-604006-2

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

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

Annex 2 presents a Preliminary Causal Chain Analysis (CCA) based on existing information and literature. The CCA presents the actual and/or potential threats to ecosystem, their environmental impact, their predicted socioeconomic impact. The immediate cause of the threat and impact, the root cause, and the barriers to mitigating/removing these causes.

The Threats to the Ecosystem (as noted above) and the main Root Causes and Barriers can be summarised as follows:

IMPACTS FROM FISHERIES		
ACTUAL/POTENTIAL THREAT	ROOT CAUSE	REMEDIATION BARRIERS
Bycatch of non-target species unknown	Data not being captured and/or recorded by RFMOs and not being shared Absence of (or insufficient) observer coverage on fishing vessels	Inadequate incentives, mechanisms and oversight in place for effective fisheries management and to control fishery access and effort
Increasing fishing pressure within and adjacent to Sargasso Sea ecosystem	Increased demand for fish as protein source Need for jobs	Global population growth and economic growth increasing overall demand for fish protein including that harvested from Sargasso and linked ecosystems
Fishing pressure on eels outside of Sargasso Sea ecosystem	Over-licensed 'legal' fishery Growth of 'illegal' fishery Uncontrolled aquaculture related eel shipments Insufficient data on eel fisheries to inform ecosystem-based catch limits	Inadequate management of eel fishery in coastal/estuary areas 'home-range' rivers Inadequate monitoring and 'sterilisation' of shipping processes for eels used in aquaculture (to eradicate parasites)

IMPACTS FROM SHIPPING		
ACTUAL/POTENTIAL THREAT	ROOT CAUSE	REMEDIATION BARRIERS
Discharges from vessels: Mainly chemical discharges which could have significant toxic effects Also, plastics which contain or absorb toxins and break down into microplastics	Illegal – vessels know they are not being adequately monitored Accidental - inadequate vessel design or maintenance; poor crew training Accumulation of plastic from distant sources as a result of the 'gyre' effect of boundary currents	Poor enforcement and inadequate monitoring of vessels for IMO compliance Overdependence and inadequate management of plastics outside of the Sargasso Sea ecosystem
Abandoned, lost or otherwise discarded fishing gear	Operational factors (weather, failure of equipment, etc.) Illegal fishing operations along with cost-effectiveness to discard No other economic choice 'Lost' gear, either misplaced or damaged/destroyed by other vessels/other fishing practices	IUU fishing practices and poor enforcement Lack of 'reception' facilities for unwanted fishing gear plus economic cost of keeping on-board (space) Fishing with static gear in shipping lanes Poor records and tracking on FAD deployment Lack of incentives and technologies that facilitate net recovery and reuse

Introduction of Alien Species e.g. Invasive species carried in ship ballast water and/or fouled hulls	Transportation by hull fouling and by ballast water and bilge discharges Aquarium releases (accidental and deliberate)	Inadequate global regulations on transportation of alien species by shipping and recreational vessels Inadequate enforcement and compliance of global regulations (e.g. Global Convention on Ship's Ballast Water) Inadequate social awareness among aquarists of threats from invasives
Impacts from vessels (to cetaceans, Sargassum mats), including noise	Inadequate management of vessel movements and shipping within the ecosystem	Inadequate management of vessel movements and shipping within the ecosystem

IMPACTS FROM OTHER COMMERCIAL ACTIVITIES		
ACTUAL/POTENTIAL THREAT	ROOT CAUSE	REMEDIATION BARRIERS
Potential harvesting of Sargassum	Problems with Sargassum weed in other parts of the world encouraging harvesting technique and economic development of this resource	Lack of any global regulations/ban on harvesting within the Sargasso Sea Ecosystem
Future seabed exploration (minerals)	Inappropriate approval mechanisms for licences for exploration and exploitation	Currently inadequate global Strategic Environmental Assessment of risks from seabed mining Licensing of exploration and exploitation with insufficient environmental impacts assessment Absence of effective monitoring procedures
Impacts from cables and cable-laying	Laying and/or burying the cable Old style telegraphic cables produced EM signals Outdated methodology - now replaced (e.g. torsional balancing of cables to avoid coiling at repair sites)	Primarily old methodology – now replaced consistently with fibre optic cables and new cable laying technology – a minimal concern now as a threat

IMPACTS FROM OTHER CLIMATE CHANGE AND OCEAN ACIDIFICATION		
ACTUAL/POTENTIAL THREAT	ROOT CAUSE	REMEDIATION BARRIERS
Shift in intensity and direction of ocean currents; movement of frontal systems; Changes in vertical water column stratification	Primarily increased GHG emissions causing sea surface warming, acidification and deoxygenation	Insufficient global policy and regulatory mechanisms to effectively mitigate GHG emissions causing global climate change
Warming of the upper (300m) layer of the water column in Sargasso Sea Ecosystem; reduction in natural upwelling rate due to increased stratification	Changes in ocean circulation as a result of variation in ocean/atmosphere interactions	Insufficient data over adequate periods of time to understand trends and develop adaptive management measures if feasible
Increased salinity		

Falling pH and increased acidity resulting from lowered pH		Potential mitigation actions perceived to have adverse impacts on global economies

The baseline scenario and any associated baseline projects:

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

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

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

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

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

The Sargasso Sea Commission already had a range of Collaborating Partners prior to the development of this project. These includes important private sector players or private sector representative intergovernmental bodies such as the International Cable Protection Committee, and tourism bodies such as LookBermuda and Non-Such Expeditions. The full list of 36 collaborating partners to the SSC can be found at http://www.sargassoseacommission.org/meet-the-commission/collaborating-partners. Further to this, the SSC is working and partnering with a number of

initiatives that are relevant to the remediation of the threats, causes and barriers noted above. These are already captured below under Table 2: Partnership/Stakeholder List (Existing Initiatives, Roles and Expected Inputs and/ or Guidance into Project Activities). As noted below in the Stakeholder Engagement Plan, the Project plans to engage with the Cruise Lines International Association (he world's largest cruise industry trade association), the International Chamber of Shipping (the global trade association for shipowners and operators) and the World Shipping Council (representing the 'voice' of liner shipping and working closely with policymakers and industry groups across the globe). The following is a list of specific 'baseline' projects that are already working with SSC and will continue to be direct partners in the Sargasso Project.

Main Baseline Projects Supporting the Sargasso Sea Commission and the UNDP GEF Sargasso Child Project

BIOS is host to some of the longest-running oceanic and atmospheric measurement projects in the world, facilitating research on both local and global environmental issues. These include, in particular, Hydrostation S established in the Sargasso Sea in 1954 and the subsequent Bermuda Atlantic Time-series Study (BATS) established in 1988. These data are being made available directly in support of SSC and the Sargasso Project. Furthermore, Under BIOS, the BIOS-SCOPE project (Bermuda Institute of Ocean Sciences – Simons Collaboration on Ocean Processes and Ecology) was established in 2015 and is a long-term investigation into the microbial ecology of the Sargasso Sea in support of SSC through its study of the microbial oceanography of the Sargasso Sea.

Global Fishing Watch has a core project dedicated to promoting ocean sustainability using state-of-the-art technology to visualise, monitor and share data on fishing activities, shipping, historical and real-time ocean use. The strength of this project is its ability to also rely on new satellite and radar observation tools. GFW works closely with the MGEL (see below) in order to analyse and interpret fishing data in the Sargasso Sea.

Duke University's Geospatial Ecology Laboratory (MGEL) has undergone longstanding work with the SSC has led them to provide a majority of the delegated services on the issue of the Sargasso ecosystem, database management, presentation of global data which has and will continue to be invaluable given the small size of the team in place at the SSC Secretariat. The knowledge base on the migratory phenomena and ecosystem connectivity in the Sargasso also makes them a valuable partner of the Project in the analysis of the gaps and the crossing of ecological and socio-economic/usage data. Duke/MGEL also works closely with the CBD Secretariat on the mapping of EBSAs. Through their 'Geospatial Ecology Tools' research project, MGEL will lead the establishment of a 'Big Data' platform for the Sargasso to deal with predictive analytics with appropriate guidance from and linkages to other platforms. MGEL also works closely as a scientific partner to Global Fishing Watch (see above)

Edinburgh University is a close partner with SSC. They coordinate the two projects with close linkages to the Sargasso, ATLAS and iAtlantic. ATLAS has greatly improved understanding of complex deep-sea ecosystems and their associated species, including many that are new to science. Researchers are using the data to predict future changes to these ecosystems and species together with their vulnerabilities in the face of climate change. As well as carrying out pioneering research and discovery, ATLAS has developed a scientific knowledge base that can inform the development of international policies to ensure deep-sea Atlantic resources are managed effectively. As the Sargasso Sea plays a crucial role in the wider North Atlantic ecosystem as habitat, foraging area, spawning ground and important migratory corridor, iAtlantic will be supporting SSC and the Sargasso Project through its analysis and assessment of the health of deep-sea and open-ocean and aims to determine the resilience of deep-sea animals – and their habitats – to threats such as temperature rise, pollution and human activities. These projects will be providing data capture to analyse ecological sensitivity of Sargasso seamount ecosystems, including from abandoned, discarded or otherwise lost fishing gear and the need for improved marking and tracking of same.

The FFEM Project is contributing to the protection of biodiversity and ecosystem services in the Sargasso Sea. Much of the work undertaken by the partners in the FFEM Project also advises the SSC and they will contribute to the

Ecosystem Diagnostic Analysis in the GEF UNDP Sargasso Sea Project which they are co-funding. Specifically, they are providing assistance for data capture to analyse ecological sensitivity as well as establishing group to define impacts from climate change; Identifying mechanisms to integrate monitoring and gap-filling into the SAP Process

The proposed alternative scenario and the intended outcomes and components of the project

In considering this threats causes and barriers, and in accordance with the requirements of the UN Law of the Sea Convention - Article 206 (which deal with environmental impact assessment requirements for ABNJ) the following are areas that the Project aims to consider as the primary areas for building on the baseline and to support an alternative scenario:

1. **Overall need for a more detailed understanding of the ecosystem and its various physical, chemical and biological interactions**

   Many of the impacts at the environmental level as defined by the Causal Chain Analysis are threats to the overall ecosystem itself. Yet mitigation or removal of these threats requires a better understanding of the baseline status of the ecosystem along with a strategy for monitoring, measuring and responding to change. A more detailed programme of analysis and understanding of the ecosystem is essential along with long-term plans for monitoring basic parameters and indicators of change.

2. **Improvements in the identification and understanding of appropriate responses to the effects of changes within the ecosystem (including Ocean Warming and Ocean Acidification) on the Sargasso Sea Ecosystem**

   Identification of the requirements for more detailed and regular data collection and analysis (e.g. SST, Currents, pH, etc.) which could be linked into an overall strategy for monitoring of changes in the ecosystem. The information arising from this collection and analysis of data can then be used for the development of scenarios and even predictive models that can be used to test the robustness of different strategies to uncertainty and change. This would logically lead to associated adaptive management and policy recommendations and actions.

3. **Improved coordination within and between fisheries management activities and monitoring within the Sargasso Sea:**

   This includes improvements in accessing reliable and comprehensive bycatch data as well as accessing information on observer programmes, including the use of Electronic Monitoring and Electronic Recording (observation and monitoring tool now coming into common usage)

4. **A review and assessment of management strategies of Eel fisheries in 'Home ranges' and how these may be affected by changes in the Sargasso Sea Ecosystem:**

   This would seek a better understanding of the migratory routes and expanding the knowledge on the actual distribution of spawning in relation to the Sargasso Sea, the existing management approaches taken by individual countries on eels within their waters, the benefit of further studies on recruitment from the Sargasso Sea into theses home ranges and back into Sargasso Sea,

5. **Improved information on Shipping and Vessel Routes and Impacts with the intention of providing information to relevant bodies**

   This would include a review of any records of impacts from vessels as well as a study of IMO Compliance by vessels transiting the Sargasso Seas (in particular, relating to ballast water management, hull fouling and associated invasive species transmission, the MARPOL convention requirements, underwater noise, direct physical contact, etc.). One of the objectives here would be to look into the need and the feasibility of establishing a Special Area are or a Particularly Sensitive Sea Area through IMO with associated protection

measures. Another important set of activities would be an assessment of plastics accumulation within the Sargasso Sea[9] and similarly a review of ALDFG (abandoned, lost or discarded fishing gear) to ascertain possible mitigation. Ship strikes on cetaceans will also be a further consideration in relation to shipping movements across the Sargasso Sea.

6. Identifying other Commercial Activities within the Sargasso Sea Ecosystem

An initial review and assessment of all the commercial activities within the ecosystem, including Sargassum harvesting, seabed exploration and exploitation, cable laying, and any others that may be conducted. The objective would be to review and assess, when needed, environmental impacts and monitoring needs for commercial activities.

III. STRATEGY

The primary needs defined in the Development Challenge above form the basis of more effective conservation and sustainable use of the Sargasso Sea ecosystem. These can then be elaborated into the problems that are inhibiting the resolution of these needs and a set of proposed solutions to eliminate the problems and fulfill the needs as follows:

- An analysis of the ecosystem to define its status/ baseline and identify information gaps with a view to finding opportunities to fill those gaps
- Partnerships for Long-Term Monitoring Strategy to identify changes
- More stakeholder collaboration and interaction in management of activities and reduction in threats and risks to the ecosystem
- Clear definition of value of ecosystem & cost benefit analysis to promote conservation
- Open sharing of information and communications across all sectors

The intended purpose of and contribution from the proposed Project (supported by GEF through UNDP implementation) would be:

A. To assist with collaboration between the signatories to the Hamilton Declaration and other partners and stakeholders in pursuing possible conservation measures for the Sargasso Sea ecosystem through existing regional and international organisations with relevant mandates and competencies (as articulated in the Declaration)

B. To consider the means and modalities by which Signatories could, according to their mandate and their means, further support the work of the Commission in strengthening stewardship within the Sargasso Sea Ecosystem

C. Encourage collaboration with and between relevant regional and international organisations, as well as other bodies and entities, who wish to contribute to efforts to conserve the Sargasso Sea ecosystem in accordance with the Declaration

Conservation and protection of the biodiversity value contained within the Sargasso Sea will be pursued through the support of focused and effective collaborative stewardship for the long-term conservation and sustainable use of the Sargasso Sea, consistent with the UNCLOS and its implementation agreements and following an Ecosystem-

[9] Woods Hole environmental studies through Sea Semester have been collecting data on plastics and microplastics for this part of the Atlantic for several decades and those data should be accessed and used by the project where possible. See https://www.sea.edu/sea_research/ocean_plastics_marine_pollution

Based Approach. Such stewardship cooperation would include the involvement of the mandated bodies responsible for management in the ecosystem along with other stakeholders and partners.

In the context of this Project, stewardship differs from actual management. The dictionary definition of 'stewardship' is the careful and responsible management of something entrusted to one's care. While management on its own is the 'act' or 'skill' of controlling and making i.e. that will further the needs and associated actions to realise that stewardship approach. Stewardship is now generally recognized as the acceptance or assignment of responsibility to shepherd and safeguard the values of others. Environmental Stewardship (as is the case here in the context of the Sargasso Sea Project objectives) is defined as "the responsible use and protection of the natural environment through conservation and sustainable practices to enhance ecosystem resilience and human well-being"[10].

GEF, through its various Implementing Agencies, has evolved a very effective approach to developing and implementing regional monitoring and management approaches for Large Marine Ecosystems (LMEs) that could be tailored to the needs for supporting Sargasso Sea stewardship. This involves undertaking a Transboundary Diagnostic Analysis to identify the importance of the ecosystem in question, the value of its goods and services, who benefits from these goods and services, what the threats and real/ potential impacts are to the ecosystem and its goods and services (i.e. a more detailed Causal Chain Analysis approach), and how these threats might be mitigated or eradicated. A similar process is now proposed for the Sargasso Sea, although it would be referred to as an Ecosystem Diagnostic Analysis (EDA) as the Sea is not strictly transboundary, being an ABNJ. The standard next step then within an LME Project is to translate the information from the TDA into a Strategic Action Programme that defines what actions could be taken and by whom. It also defines partnerships and sustainability including management, administrative and financial needs. The process will be underpinned by the principles of Strategic Environmental and Social Assessment, with the purpose of combining analytical and participatory approaches in an iterative fashion, as integral to the development of the Strategic Action Programme.

The SAP is a negotiated policy document which the various and appropriate stakeholders to the LME endorse and implement. Similarly, the EDA for the Sargasso Sea would form the technical basis for a SAP which may be endorsed and implemented by the various signatories to the Hamilton Declaration along with the partners to the Sargasso Sea Commission, including other States.

Addressing this challenge of developing an effective partnership for stewardship of this economically and biologically significant high seas area falls within GEF's overall Programmatic Approach for the GEF 7 Common Oceans ABNJ Program. This Child Project aims to provide a concrete demonstration of how partnerships can play a leading role in sustaining and restoring the health, productivity and resilience of such an area beyond the jurisdiction of any one country but within the regime established by the UN Convention Law of the Sea, 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. The demonstration of the sustainable use of ABNJ living resources and improved conservation of biodiversity and ecosystem services within this Sargasso Sea marine ecosystem arising from the Project and the medium-term continuation of effective stewardship, scientific monitoring and associated socioeconomic and food security benefits will provide a model for achieving the overall Project Goal that can be replicated and scaled up elsewhere as applicable. The sustainability at the global level will be further supported through the sharing and distribution of specific lessons and best practices from this GEF initiative. Continuing the support to sustainable use of ABNJ living resources will be the ongoing flow of updated information for better understanding and analysis of this ABNJ and how this can also be considered in other ABNJ ecosystems around the world.

IV. RESULTS AND PARTNERSHIPS

Expected Results:

[10] https://www.noaa.gov/resource-collections/common-measures-definitions/stewardship-definitions#:~:text=Environmental%20stewardship%3A%20The%20responsible%20use,Chapin%20et%20al%2C%202011%20)

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.
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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.

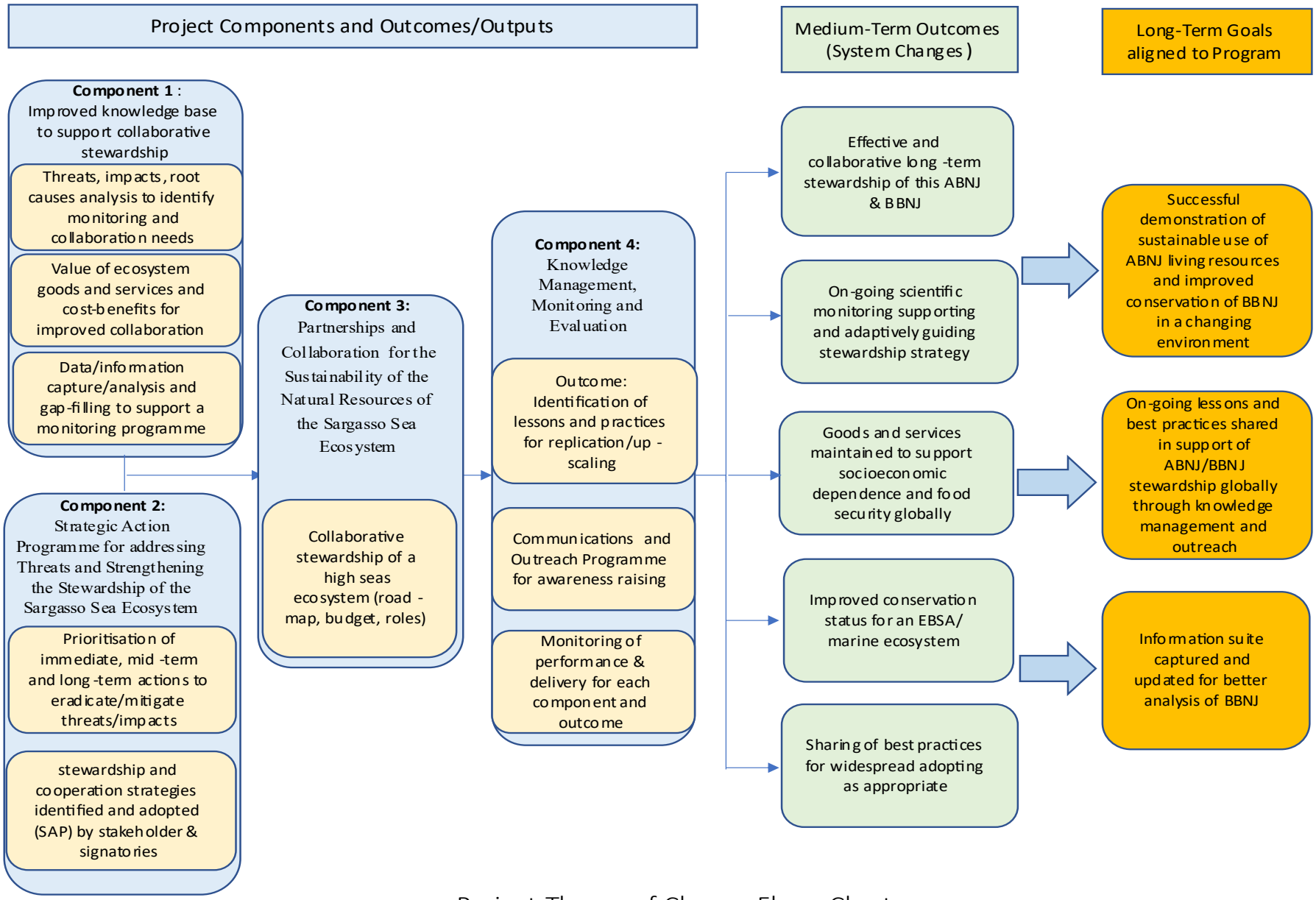
Activities:

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

Theory of Change and Linkages to the Overall Programme

Extrapolating from the **Baseline** and **Alternative Scenario** descriptions, the Theory of Change Schematic in Table 1 below has been developed which effectively represents a road-map for resolving the constraining problems and for delivering changes to the system by way of Medium-Term Outcomes while delivering on the long-term plans aligned to the overall Program. This ToC provides the logic behind the various Components, Outcomes, Outputs and Activities of this Child Project.

Table 1: Theory of Change



Project Theory of Change Flow -Chart

Logic to Project Delivery (as defined in the Theory of Change diagram above)

Component 1 will undertake the necessary technical and scientific work through the direction of the Partnerships of Component One to improve overall knowledge of the Sargasso Sea, identify the threats and root causes while developing an appropriate and effective monitoring programme and advising the institutional and organisational partners on the value and cost-effective nature of an ecosystem approach (an Ecosystem Diagnostic Analysis).

Component 2 will then use the Outputs from Component 1 to guide and evolve a long-term Strategic Action Programme through Component 2, including the long-term activities and road-map with associated budget to mitigate or eradicate threats to the ecosystem and maintain a sustainable use of its resources.

Component 3 will deliver the partnerships (existing and new) that will contribute to effective stewardship in the Sargasso Sea as well as various activities, deliveries and outcomes.

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 effective stewardship are shared globally.

Alignment with GEF focal area and/or Impact Program strategies

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

The Outcomes listed above will directly respond to the requirements of the GEF 7 Programming Directions by aiming to deliver improved stewardship within a globally important ABNJ and to address any identified threats from commercial activities. The project will build on the existing collaborative efforts of the Commission through the Hamilton Declaration in achieving an area-based ecosystem management approach and will encourage and promote coordination and cooperation across a wide range of stakeholders and responsible institutions/bodies, including neighbouring LME management mechanisms. The existing collaborations and partnerships have some considerable history of success already and this will help to ensure further the long-term uptake and sustainable impact of this project into the future, The Commission has already reached out to the Caribbean LME community which has expressed a willingness to establish a partnership with the Commission to their mutual benefit, particularly in the area of fisheries and tourism. The full Project Document will elaborate on this partnership and its objectives and deliverables. Other linkages to the relevant Eastern Caribbean States will be further explored during Project Preparation and captured as appropriate in the full Project Document. This will help to enhance the linkages between this ABNJ and dependent coastal communities. One particular area of collaboration between the Commission and

the Eastern Caribbean States (through the Secretariat of the Cartagena Convention, Caribbean Regional Coordinating Unit) and West African States (through the Abidjan Convention) would be related to the causes and impacts of massive accumulations of the brown macro-algae Sargassum in the nearshore environment of the Caribbean and West Africa. This issue is now of such global concern that it has been referred to GESAMP[11] for a scoping activity to advise the UN agencies on the extent of the problem, its long-term predictability and potential mitigating or adaptive actions. Although the source of such massive accumulations has not been traced back to the Sargasso Sea (but to other sources), information related to the Sargassum arising from the TDA and on-going monitoring processes established thereafter could be of considerable value.

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

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

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

Incremental/Additional Cost Reasoning

In order to counter the actual/potential threats and impacts to the Sargasso Sea, certain shortfalls (in such areas as information, knowledge, monitoring and compliance-related activities) need to be addressed and resolved which

[11] Joint Group of Experts on the Scientific Aspects of Marine Environmental Pollution - http://www.gesamp.org/

will require resources both from the GEF funding and from the co-financing by partners (both Grant and In-Kind). These have been elaborated in the Preliminary Causal Chain Analysis and include:

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

GEF, through its various Implementing Agencies, has evolved a very effective approach to developing and implementing regional management approaches for Large Marine Ecosystems (LMEs) which admirably suits the needs for developing and adopting a Sargasso Sea stewardship mechanism. This involves undertaking a Transboundary Diagnostic Analysis to identify the importance of the ecosystem in question, the value of its goods and services, who benefits from these goods and services, what the threats and real/ potential impacts are to the ecosystem and its goods and services, and how these threats might be mitigated or eradicated. A similar process will be used for the Sargasso Sea, although it would be referred to as an Ecosystem Diagnostic Analysis (EDA) as the Sea is not strictly transboundary, being an ABNJ. The project will then translate the information from the EDA into a Strategic Action Programme that defines what actions need to be taken for effective management of the areas and by whom. The SAP will also confirm partnerships and sustainability including management, administrative and financial requirements. This SAP will be a negotiated policy-level document which the various and appropriate stakeholders to the Sargasso Sea ecosystem and its goods and services sign up to and implement. Essentially, this SAP would be agreed and implemented by the various signatories to the Hamilton Declaration along with the partners to the Sargasso Sea Commission.

Further expected contributions from the baseline to support the GEF funding are defined in Table 2 - Partnership/Stakeholder List (Existing Initiatives, Roles and Expected Inputs and/ or Guidance into Project Activities) and in the list of co-financing contributions.

Global Environmental Benefits

The expected benefits from this project promise to extend significantly beyond the cost of the GEF investment. The demonstration of the sustainable use of ABNJ living resources and improved conservation of biodiversity and ecosystem services within this Sargasso Sea marine ecosystem arising from the Project and the medium-term continuation of effective stewardship, scientific monitoring and associated socioeconomic and food security benefits will provide a model for achieving the overall Project Goal that can be replicated and scaled up elsewhere as applicable. The Project will further the knowledge not only of the Sargasso Sea as an ecosystem but also provide a demonstration of how effective stewardship process may be evolved that can pave the way for better global

management of ABNJ and BBNJ. Interaction and input to such global information bases such as IW:LEARN, (OBIS) the Ocean Biogeographic Information System), ICES (International Council for the Exploration of the Sea) and similar bodies and mechanisms will assist and promote the sharing of such knowledge and experiences. It is intended that the experiences and results from this project will be replicable in other similar (ABNJ) geographic areas and ecosystems and this project will thereby constitute an innovative opportunity for development of such mechanisms.

Furthermore, the Sargasso Sea is the only known spawning area for the critically endangered European eel (Anguilla anguilla) and the endangered American eel (A. rostrata), both of which are at the centre of what has recently become a global multi-million dollar industry as a result of the rise in their popularity as a food item. The goods and services associated with the Sargasso Sea have a direct as well as indirect inherent value to many countries outside of its borders as is clearly defined in the Project Document under the section on 'Development Challenge'. The Sargasso Sea also has an inherent socioeconomic value to humankind because of its existence as a unique ecosystem and home to rare and charismatic species. Based on all the best available science, the Sargasso Sea has been estimated to contribute significant values to the global community in the order of multi-millions to billions of US$. Furthermore, the Sargasso Sea has been shown to meet six out of the seven possible criteria for being described as an EBSA or Ecologically or Biologically Significant Area. The Ecosystem Diagnostic Analysis will capture the baseline on socioeconomic value within the Sargasso Sea (Fisheries, tourism, dependent livelihoods, shipping, etc.). The Strategic Action Programme will define and adopt the scientific and technical (including socioeconomic) monitoring requirements for SAP implementation along with a clear road-map and roles/responsibilities. This focus on socioeconomic benefits, although not captured within the main Program document, is important here for the Sargasso Child Project as any attempt to define and adopt a stewardship or management approach within an ABNJ like the Sargasso will need to have its foundation set within the intrinsic value of the goods and services provided by such an ABNJ. This is why the Ecosystem Diagnostic Analysis and the Strategic Action Programme have such specific activities related to the capturing the baseline on socioeconomics (Fisheries, tourism, dependent livelihoods, shipping, etc.) and the monitoring and review of findings from the Project that include a publication "Sargasso - The State of the Marine Environment and Socioeconomics'.

The Project will work with a range of stakeholders including the Sargasso Sea Commission and Secretariat, the Signatories to the Hamilton Declaration, beneficiary government representatives, NGOs, private sector, and academic and research institutions, with the aim of fostering cooperation in line with an ecosystem approach that recognizes climate change and other potential impacts on the Sargasso Sea ecosystem and subsequently the socioeconomic well-being of the dependent beneficiary countries. Table 2 provides a list of the main partners and stakeholders in the Project. The Project will ensure that men, women, youth and marginalized groups benefit adequately from capacity enhancement and effective participation in decisions related to resource management and livelihood support, as well as the distribution of benefits. The Project will contribute to gender equality and women's empowerment in areas related to capacity building, MCS and any activities which may relate to resource management and monitoring, etc. Socioeconomic assessments will draw out any inequalities and propose mitigation and/or resolution practices and activities.

Overall, the Project will aim to deliver an effective example of long-term conservation, protection and sustainable use of an ABNJ marine ecosystem through stewardship, supported and guided (through an adaptive ecosystem-based approach and process) by on-going and continuous monitoring of the ecosystem and its goods and services. This will demonstrate and maintain sustainability of socioeconomic interests and food security related to this unique ecosystem and will provide a model for achieving the overall Project Goal that can be replicated and scaled up elsewhere as applicable.

As a contribution to the generation of global environmental benefits, GEF's corporate scorecard (as of June 2020) has a target to deliver 28 million hectares of area of marine habitat under improved practices to benefit biodiversity. In this context, the Project is aiming to deliver some 685 million hectares (i.e. 24 times the area targeted by GEF 7). The Project will further address aspects related to a number of the SDG 14 targets and indicators as follows:

14.1 Steps will be taken to attempt to minimize ship-based pollution within the Sargasso Sea. (e.g. by identifying sources and causes and developing actions and mechanisms to mitigate)

14.2 The Project objective will be to promote protection of the Sargasso Sea to avoid any significant adverse impacts and support a healthy and sustainable ocean through a process of monitoring and stewardship.

14.3 Improved understanding of the impacts of climate change, including ocean acidification, through an on-going time series of measurements at a suite of sampling stations throughout the area

14.4 Collaboration with SSC partners and particularly the appropriate existing and mandated regional bodies in measures designed to regulate and eliminate IUU fishing and other destructive fishing practices and to promote a more effective science-based management approach. This would include collaboration with NAFO and ICCAT, the latter having adopted the Sargasso Sea as a case study area for Ecosystem-Based Fisheries management.

14.5 Contribute to the global conservation of 10 percent of marine areas consistent with international law and based on best available scientific evidence

14.7 Increase the economic benefits to Small Island Developing States (i.e. Dominican Republic, Bahamas, Haiti) and least developed countries from the sustainable use of marine resources, including through sustainable management of fisheries, aquaculture and tourism which depends on the Sargasso Sea ecosystem and the species it supports.

14.a Increasing scientific knowledge and developing research capacity in order to improve ocean health

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

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

Socioeconomic Benefits

The Section above on Global Benefits captures what is most relevant and appropriate to this ABNJ project. At national levels this ABNJ project will deliver socioeconomic benefits as follows. the Sargasso Sea is the only known spawning area for the critically endangered European eel (Anguilla anguilla) and the endangered American eel (A. rostrata), both of which are at the centre of what has recently become a global multi-million dollar industry as a result of the rise in their popularity as a food item. The goods and services associated with the Sargasso Sea have a direct as well as indirect inherent value to many countries outside of its borders as is clearly defined in the Project Document under the section on 'Development Challenge'. As noted above in the section on Global Benefits, the Sargasso Child Project focuses on socioeconomic benefits by identifying the intrinsic value of the goods and services provided by such an ABNJ. This is why the Ecosystem Diagnostic Analysis and the Strategic Action Programme have such specific activities related to the capturing the baseline on socioeconomics (Fisheries, tourism, dependent livelihoods, shipping, etc.) and the monitoring and review of findings from the Project that include a publication "Sargasso - The State of the Marine Environment and Socioeconomics'. . Furthermore, both the European Eel and the American Eel are know to be heavily over-fished. The European Eel is assessed as critically endangered by the IUCN red list. Since the early 1980s, a steady and almost continent-wide decline of ~90% has been observed, particularly in the recruitment of European glass eels. Less is known about the state of American eel stocks, but they are also assessed as endangered and the number of eels reaching the rivers of Europe and North America has already fallen dramatically over the last 4-5 decades. In the absence of this Sargasso project and its objective to develop a Strategic Action Programme for conservation and stewardship of this important nursey area, this could have dramatic socioeconomic impacts on communities on both sides of the Atlantic as well as on the food-chain within

the ecosystem itself and beyond even at a global level. Clearly, these benefits translate in supporting the achievement of global environment benefits as has already been articulated in that section on Global Benefits

Innovativeness, Sustainability and Potential for Scaling Up:

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

This UNDP GEF project will innovatively be the first application of the GEF IW strategic planning methodology i.e. the TDA-SAP approach, within an ABNJ setting. Along with the Costa Rica Dome project (FFEM) Its also represents one of the first efforts to create a management and governance regime that aims to sustain a unique and globally-significant ABNJ ecosystem. The 'Sargasso' project also demonstrates a rare example of a GEF project which has sizeable cost-sharing from FFEM.

As well as the above, the Project will interact with the overall Program to include more general innovative elements that will be common across the child projects. These will include:

1. Promotion of new technologies and approaches that lead to more cost-effective management and conservation of goods and services within the Sargasso Sea Collaboration Area. This would include technological advancement in handling 'big' data that can provide cross-referencing of information for interactive analysis and interpretation across scientific, technical and socioeconomic inputs. It would also include monitoring of vessel movements to identify IUU activities;
2. Building and enhancing both sectoral and cross-sectoral capacity to effectively engage in cross-sectoral cooperation and coordination through the use of, *inter alia,* area-based management tools, environmental impact assessments, and marine spatial planning;
3. The overall development of a novel practical approach to multi-sectoral governance in ABNJ piloted for the Sargasso Sea and based on the successful TDA-SAP model which is widely used in GEF LME projects; an
4. Improving management of knowledge and access to the best available information on ANBJ for a network of stakeholders (including RFMOs, etc.) to enable well-informed decision-making in order to improve the effectiveness of the science-management interface as well as cross-sectoral collaboration for ABNJ management.

The overall Program's strategy to support sustainability of results and impacts is built into the design of the Program and constituent projects targeting the individual, institutional and system levels. Fostering the capacity of individuals and institutions is seen as central to ensuring lasting collective ability to address issues of common concern in the ABNJ. However, capacity building is always a concern after intervention funding ceases. The Program therefore identifies several mechanisms for institutionalizing sustained capacity building, including through the development of strategic partnerships, networking and cross-organizational knowledge exchange, and financing among stakeholders (e.g. fostering national and regional centers of excellence and cross-national networks of universities on ocean governance related to ABNJ and to EEZs; institutionalization of curricula and courses related to ABNJ; networked utilization of manuals, guidance, criteria, standards, and reference materials related to ABNJ; etc.).The sustainability of the Program's results will be facilitated through its integration into the implementing and executing partners and through the mechanisms built into the program for knowledge management, and the close links and

involvement of global and regional bodies with the Program, such as the FAO COFI and regional organizations will further support sustainability of Program results and provide opportunities for up-scaling. The individual child projects are building on existing initiatives and structures, which will enhance the likelihood of the sustainability of their results.

Specific elements within the Sargasso Child Project will support sustainability. These include:

- Targeting the science-management interface through the SAP development o improve uptake and mainstreaming of best practices and guidelines for management of the ABNJ ecosystem that is the Sargasso Sea.
- Further strengthening cross-sectoral linkages and communication and partnerships with the development and implementation of a partnership strategy and knowledge sharing strategy and platforms in coordination with the Program itself and the Global Coordination Project of the Program.
- Identification of long-term financing, particularly through private sector investment for measures to address sustainable use of ABN. The Strategic Action Program for the Sargasso Sea will have a standard element that addresses long-term funding.
- Further strengthening mechanisms for more effective and equitable participation of diverse stakeholders, which currently have little capacity to engage with decision-making processes related to the ABNJ. This will include wider participation by civil society groups and different sector bodies in multi-sector governance processes and planning for the ABNJ. Wherever possible this will focus on working with existing structures (such as science-management committees) rather than establishing new structures and the Sargasso Project will strengthen and facilitate these, providing them with information and orienting their discussion and decision-making processes related to ABNJ management issues.
- Improving individual, institutional and system-wide technical capacity to address sustainable use of ABNJ through targeted capacity building efforts such as training on marine spatial planning, data management and analysis, etc.

In particular, 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 and lessons and practices for replication and up-scaling are shared as appropriate to other similar areas. Technical and scientific information will be collected on issues related to the ABNJ which may be of value in other ABNJ. Information exchange mechanisms will be developed and implemented. This innovative Project will provide significant lessons, practices and opportunities for up-scaling and replication in other ABNJ. The Project includes twinning arrangements with the Costa Rica Thermal Dome Project (through FFEM), another demonstration of ABNJ management/stewardship. The Project will develop an exit strategy and sustainability plan in the first half prior to the Mid-Term Review. This will also form a part of the Strategic Action Programme which will similarly have a Sustainability Plan. Lessons and Best Practices will be shared with IW:LEARN and appropriate bodies such as RFMOs, Regional Seas Programmes and LME Projects as well as GEF so as to encourage further use and replication in other appropriate bodies of water that are ABNJ.

Drawing from the projects' experience, there will be significant potential to inform and impact ongoing negotiations on the ABNJ treat. Particularly vis-à-vis the lessons from its implementation approach at the level of specific ABNJ ecosystems. Thus, it is further hoped that this demonstration of such a management and stewardship process for the Sargasso Sea will benefit the BBNJ agreement that is currently under development and negotiation.

Coordination with the overall Common Oceans Program and other associated Child projects

This is a Child Project which falls within the overall Programmatic approach as part of the GEF 7 ABNJ Programme which includes similar Child Projects on high seas fisheries, etc. The Program 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 a 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). The overarching Program will support capacity building - mechanisms, tools and resources - to facilitate information exchange and coordination between key stakeholders over ABNJ governance and management arrangements to address threats and cumulative impacts while maintaining sustainable resource utilization. This programmatic approach will facilitate better coordination of knowledge management under one strategic program framework and harmonization of project monitoring and evaluation (M&E) systems to facilitate reporting.

The basic vision behind the interactive and collaborate approach being adopted by the Global Oceans Program is that, while the other four child projects will address various barriers, the GCP will assist and collaborate with the four child projects so that they will deliver outcomes in a consistent, coordinated, synergistic and efficient manner so that the impact of the projects operating as a programme is greater than the impact of four independent projects. The programmatic approach is also more cost-effective from an operational point of view than dealing with the different child projects independently as it avoids duplication of efforts and resources, facilitates partners working together effectively and offers better coordination of knowledge management under one strategic program framework and harmonization of project monitoring and evaluation (M&E) systems to facilitate reporting. In this context, Component 1 of the Global Coordination Child Project focuses on Programme coordination, monitoring and adaptive management and particularly through Output 1.3.1. addressing the 'Harmonised programmatic M&E system to guide adaptive program management and reporting. Through this a harmonised M&E system will be established using standard methods and incorporating child project M&E results and program-level indicators, to guide adaptive program management and reporting including program-wide contributions to GEF-7 core indicators and SDGs. This component will seek to generate synergies between projects, resulting in increases in cumulative impacts, and limit the risk of duplication or conflicts. In particular, it will be monitoring and evaluating the performance and progress of projects to support adaptive management and, to this effect, the Sargasso Child Project will coordinate and interact to achieve these aims.

It will be important for the Child Projects to coordinate and communicate with each other as well as with the overall Programme management body. Each Project which will have its own Project Management Unit, under the oversight of a Project Steering Committee (PSC), including the respective GEF Implementing Agency, the GEFSEC and project partners and beneficiaries. A Chair will be elected for each PSC. FAO, who will also be the lead GEF agency for the Program, will participate in each of the respective PSCs. The Program as a whole will be coordinated, facilitated and supported by an additional project, the Global Coordination Project (GCP), to be the only project executed by FAO, to provide consistency and coherence in the delivery of program-level outcomes. The Global Coordinator of the program will also act as the Coordinator of the GCP. The GCP will assist the child projects in delivering their respective outcomes by providing support to the projects on coordination, monitoring and evaluation, knowledge management, and communications to ensure cohesiveness and consistency at the Program level. Although the GCP will not be responsible for the implementation of the technical activities of the child projects, it will identify possible areas of cooperation and invite interested child projects to participate in proposed joint activities.

The Program as a whole will be guided by a Global Steering Committee, the membership and functioning of which will be defined in detail during the process of detailed formulation of the GCP and the child projects. Each of the child projects will have its own monitoring and evaluation (M&E) system, to enable it to measure progress against the indicators defined in its results framework, thereby functioning as a tool for adaptive management. These project-specific results frameworks and M&E systems will be closely aligned with their respective child project concept notes and theory of change and underlying PFD, but refined to reflect further detailed project formulation.

The GCP will track and report progress towards achieving program-level outcomes, in collaboration with the child projects, utilizing appropriate outcome indicators with well-defined targets, in order to track the cumulative impact of the program as a whole. A partnership strategy, to be fully developed during the formulation of the projects, will be key to ensuring that all stakeholders understand and commit to the Program goals and objectives as well as contributing to the success of their respective projects. The Global Coordination Project, responsible for program-wide coordination, knowledge management, communication and outreach, monitoring, and adaptive management, will play a vital role in ensuring that the potential for value-added offered by the programmatic approach, in terms of effectiveness, impacts, partnerships, collaboration, sustainability and upscaling, is realized.

The child projects will conduct their own communications, supported by the GCP which will play a key role in the overall synthesis of output and outcome results across the four child projects for the production of global knowledge products and in the coordination of dissemination mechanisms. It is expected that the Child Projects will regularly meet up with each other under the umbrella of the Programme itself. However, interim arrangements will be made to maintain communications, share information and particularly exchange lessons and best practices between the Child Projects. These arrangements will include meetings between child projects that help to address areas of mutual interest and concern, arrangements for regular sharing of results/ stories/ lessons between Child projects, (e.g. through webinars, social media, etc.), participation in GEF International Waters Conferences and organisation or relevant sessions at these IWCs and other appropriate venues such as meetings of the LMEs.

Coordination with other Non-GEF Initiatives:

Table 2 below provides a list of the existing partnerships and various stakeholders already involved during project development and which will remain engaged during project implementation. The Table provides details of their roles and expected inputs and/or guidance into project activities. 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. The Sargasso Sea Commission Secretariat and IOC-UNESCO will aim 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. This overall coordination mechanism will evolve from the EDA (Ecosystem Diagnostic Analysis) which will help to identify any further stakeholders and initiatives with mutual aims and objectives and will aim to develop a longer-term and sustainable coordination and engagement mechanism through the SAP (Strategic Action Programme).

Medium-Term outcomes and System Changes:

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

Long-Term Goals aligned to the Overall Program:

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

The demonstration of the sustainable use of ABNJ living resources and improved conservation of biodiversity and ecosystem services within the Sargasso Sea Geographical Area of Collaboration and the medium-term continuation of effective stewardship, scientific monitoring and associated socioeconomic and food security benefits will provide a model for achieving the overall Project Goal that can be replicated and scaled up elsewhere as applicable. The sustainability at the global level will be further supported through the sharing and distribution of specific lessons

and best practices from this GEF initiative. Continuing the support to sustainable use of ABNJ living resources will be the ongoing flow of updated information for better understanding and analysis of this ABNJ and how this can also be used in other global ABNJ ecosystems.

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

Table 2: Conformity between ABNJ Programme and Child Project

Common Ocean ABNJ Program Outcomes	Conformity within Child Project
Outcome 1: Frameworks and processes for more effective governance and management in ABNJ (including fisheries management) strengthened	The Child Project has an overall Objective To facilitate 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. This will be achieved through the multi-stakeholder negotiation and adoption of a Strategic Action Programme for the long-term conservation and sustainable use of the Sargasso Sea, consistent with the UNCLOS and its implementation agreements To this effect, the Project aims to deliver effective monitoring and stewardship of the ecosystem as whole as a primary Outcome. Appropriate ecosystem conservation and sustainable use strategies will be explored in support of this aim/objective working with the appropriate institutions and governments already committed to these aims. Furthermore, the Project will work closely both with the relevant RFMOs and with the market countries for products from the Sargasso Sea to ensure compliance with relevant legislation (such as the fisheries legislation of UK, Norway, South Africa as an example) and to promote sustainability through greater control within the natural resource markets, including incentives for marketing sustainable products. Component 1 will focus on building this effective collaborative stewardship and monitoring along with the appropriate institutional structure
Outcome 2: Capacity for better implementation of ecosystem-based management in fisheries management in the ABNJ strengthened	Through the EDA-SAP process, the Child Project will identify capacity needs for strengthening ecosystem stewardship and the Ecosystem Approach to Fisheries and then set out to address them through the appropriate capacity building and training programme(s). This will include building and supporting capacity for scientific monitoring of the ecosystem and its resources (including data collection, compliance monitoring and reporting to support science-based decision making and implementation) as well as promoting capacity building for adaptive, solutions-based ecosystem and fisheries stewardship and institutional support. This will be covered through both Component 1 & 2
Outcome 3: Participation in multi-sectoral coordination for more effective governance and management of ABNJ improved	The Project as a whole will develop and strengthen multi-sectoral Partnerships and Organisational Infrastructure for Stewardship of the Sargasso Sea Ecosystem. The Project will focus on improving, developing and adopting stewardship options that would acknowledge the role of existing sectoral and other organisations and institutions with responsibilities and interests in the Sargasso Sea area while addressing the gaps in the measures needed for the conservation and stewardship of the ecosystem in its entirety. The Project will specifically work closely with the RFMOs in this region (ICCAT and NAFO) as well as with neighbouring LMEs, the IMO and ISA. The end landscape delivered by the Project will thus include a dedicated and sustainable partnership program and a supporting institutional base with appropriate collaborative and partnership arrangements
Outcome 4: Knowledge and information exchange for more informed decision-making among stakeholders to support sustainable utilization of ABNJ improved	The Project will strengthen and expand the knowledge base in support of the adaptive ecosystem-based approach which it will be promoting through collaboration. This will include mechanisms for handling and managing this wealth of information and knowledge. Not only would this be used to support the ecosystem monitoring process and its collaborative stewardship structure, but it will also define best lessons and practices for replication and up-scaling as appropriate to other similar areas. The Project includes twinning arrangements with other ABNJ initiatives, particularly the Costa Rica Thermal Dome Project (through FFEM). Technical and scientific information will be collected on issues related to the ABNJ which may be of value in other ABNJ. Information exchange mechanisms will be developed and implemented. This innovative Project will provide significant lessons, practices and opportunities that could be considered for up-scaling and replication in other similar areas.

The Theory of Change in Table 1 also demonstrates how this Project aligns with the Criteria for selection of Child Projects for the Common Oceans ABNJ Programme.

Partnerships:

The Project will take advantage of the many partnerships already created through the Sargasso Sea Commission as well as those that have been realised during the preparation of the Project Document. Such partnerships will be very important to both the Ecosystem Diagnostic Analysis process as well as the implementation of the Strategic Action Programme itself. The following table lists the confirmed partnerships, the current mandates and responsibilities of the entities involved, and the expected roles in the Project activities and deliverables.

Table 3: Partnership/Stakeholder List (Existing Initiatives Roles and Expected Inputs and/ or Guidance into Project Activities)

NAME OF PARTNER OR STAKEHOLDER	DESCRIPTION, MANDATES AND RESPONSIBILITIES	POTENTIAL INPUTS AND/OR GUIDANCE INTO PROJECT-RELATED ACTIVITIES
MGEL - Duke University **https://mgel.env.duke.edu/**	Duke University's Geospatial Ecology Laboratory (MGEL), headed by Professor Pat Halpin, is a research centre for the application of geospatial technologies to issues of marine ecology, resource management and ocean conservation. It works closely with the CBD Secretariat on the mapping of EBSAs. The MGEL regularly works on high seas issues with Global Fishing Watch and the two sites of this Project. It has a strong capacity to mobilise oceanic data, monitor migratory species, and integrate data on ecosystems and uses, etc. Their longstanding work with the SSC has led them to provide a majority of the delegated services on the issue of ecosystems, database management, presentation of global data given the small size of the team in place at the SSC Secretariat. The knowledge of the migratory phenomena and ecosystem connectivity in such places as the Thermal Dome area of the East Pacific also makes them a valuable partner of the Project in the analysis of the gaps and the crossing of ecological and socio-economic/usage data.	1.1.1 Major Inputs to the data capture and processing for the EDA including mapping 1.3.1. Inputs to Gaps Analysis and required research/studies 2.1.1 Assist in establishing a Monitoring and Review process for ecosystem stewardship 3.1.1 Scientific and Technical Monitoring requirements for the SAP 4.1.2 Lead the establishment of a 'Big Data' platform to deal with predictive analytics with appropriate guidance from and linkages to other platforms
NOAA – United States National Oceanic and Atmospheric Administration	NOAA will be bringing a diverse set of skills and expertise that can be shared as part of the scientific and technical support to the project. In particular, NOAA Ocean Exploration will be implementing a series of marine ecosystem research and assessment expeditions in areas within and adjacent to the Sargasso Sea, most specifically on and around the New England and Corner Seamounts. The data from these research cruises will be of considerable value to the UNDP GEF Sargasso project as they will provide detailed information on these unique deep sea ecosystems within the Sargasso Sea that will support the Ecosystem Diagnostic Analysis and may well provide some useful guidance when developing the Strategic Action Programme.	1.1.1 Providing data to the EDA, 1.3.1. Inputs to Gaps Analysis and required research/studies 1.3.1 Adoption of a Science Monitoring Programme and required research/studies for long-term monitoring through provision of ship's time and oceanographic research/data 4.1.2 Input to the establishment of a 'Big Data' platform to deal with predictive analytics including AIS tracking and machine learning elements
Global Fishing Watch	Global Fishing Watch (GFW) is an NGO dedicated to promoting ocean sustainability. GFW uses state-of-the-art technology to visualise, monitor	1.3.1 Adoption of a Science Monitoring Programme

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https://globalfishingwatch.org/	and share data on fishing activities, shipping, historical and real-time ocean use. The strength of this NGO lies in its ability to also rely on new satellite and radar observation tools. The data can only be interpreted after an analysis that will be developed with the MGEL team as part of the Project on both sites. GFW's contributions to the understanding of seasonal or annual practices and pressures will be particularly useful in generating better knowledge and new dialogue with RFMOs and regional institutions.	2.1.1 Establishing regular monitoring and review processes for the ecosystem 4.1.2 Input to the establishment of a 'Big Data' platform to deal with predictive analytics including AIS tracking and machine learning elements
BIOS http://www.bios.edu/#!/who-we-are	The Bermuda Institute of Ocean Sciences (BIOS) is an independent, non-profit, American organization dedicated to education and scientific research. Founded in 1903, BIOS has become a world-class research institution in marine biology, genetics and molecular biology, chemistry, air and environmental quality, biogeochemistry and climate change, both locally and globally. BIOS has a research vessel, the Atlantic Explorer, under the American flag, equipped with laboratories. BIOS is host to some of the longest-running oceanic and atmospheric measurement programs in the world, facilitating research on both local and global environmental issues. These include, in particular, Hydrostation S established in 1954 and the subsequent Bermuda Atlantic Time-series Study (BATS) established in 1988. These oceanographic time-series represent one of the few locations in the world where oceanographers have collected continuous physical, chemical, and biological data from moored sensor arrays and monthly research cruises over a period of decades. These data have advanced our understanding of both seasonal processes and long-term trends in the global ocean, and are instrumental in interpreting data from other, more focused, studies. Furthermore, the BIOS-SCOPE program (Bermuda Institute of Ocean Sciences – Simons Collaboration on Ocean Processes and Ecology) was established in 2015 and is a long-term investigation into the microbial ecology of the Sargasso Sea. The BIOS-SCOPE program has recently received five years of additional funding from the Simons Foundation International to continue its study of the microbial oceanography of the Sargasso Sea. (see http://www.bios.edu/currents/bios-scope-funding-renewed/ for further details)	1.1.1 Providing data to the EDA, esp. from BATS (Atlantic Time Series) Study and from Hydrostation S. 1.3.1. Inputs to Gaps Analysis and required research/studies for long-term monitoring through provision of ship's time and oceanographic research/data 2.1.1 Assist in establishing a Monitoring and Review process for ecosystem stewardship 4.1.2 Inputs to the 'Big Data' Platform
Cartagena Convention on Marine environment of Wider Caribbean Area https://www.unep.org/cep/who-we-are/cartagena-convention	The **Convention** for the Protection and Development of the Marine Environment of the Wider Caribbean Area. Although the Sargasso Sea area is outside of the Convention geographically, there are several linkages including the migratory pathways of the eels. The Convention also covers issues of similar importance to the Sargasso Sea such as: 1. pollution from ships 2. pollution caused by dumping 3. pollution from sea-bed activities	No direct involvement but sharing of information as needed. The Cartagena Convention will be updated on the progress and achievements within the Sargasso Sea Project and will be A. informed of any information and knowledge that directly affects their region and B. requested to provide any information to the Project which may be pertinent. Where appropriate, arrangements will be made for a Steering Committee representative from the Sargasso Sea Project to attend meetings of the Convention as an observer and to provide updates

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Convention on Migratory Species https://www.cms.int/en/legalinstrument/cms	As an environmental treaty of the United Nations, CMS provides a global platform for the conservation and sustainable use of migratory animals and their habitats. CMS brings together the States through which migratory animals pass, the Range States, and lays the legal foundation for internationally coordinated conservation measures throughout a migratory range. As the only global convention specializing in the conservation of migratory species, their habitats and migration routes, CMS complements and co-operates with a number of other international organizations, NGOs and partners in the media as well as in the corporate sector. Migratory species threatened with extinction are listed on Appendix I of the Convention. CMS Parties strive towards strictly protecting these animals, conserving or restoring the places where they live, mitigating obstacles to migration and controlling other factors that might endanger them. Besides establishing obligations for each State joining the Convention, CMS promotes concerted action among the Range States of many of these species. Migratory species that need or would significantly benefit from international co-operation are listed in Appendix II of the Convention. For this reason, the Convention encourages the Range States to conclude global or regional agreements. In this respect, CMS acts as a framework Convention. The agreements may range from legally binding treaties (called Agreements) to less formal instruments, such as Memoranda of Understanding and Single Species Action Plans and can be adapted to the requirements of particular regions. The development of models tailored according to the conservation needs throughout the migratory range is a unique capacity to CMS. CMS are key partners in the work that the SSC is doing in relation to the European Eel. They have hosted four workshops on that issue and SSC has a mandate from their 2020 CoP to develop a single Species Action plan for the European Eel. Sweden, Monaco and the EU are supporting SSC in this undertaking.	As per above with the Cartagena Convention, no direct involvement but sharing of information as needed. The Convention Secretariat will be updated on the progress and achievements within the Sargasso Sea Project and will be A. informed of any information and knowledge that directly affects their interest and/or mandate and B. requested to provide any information to the Project which may be pertinent. SSC Secretarial is already collaborating with the CMS Secretariat and Range States on European eel conservation. Where appropriate, arrangements will be made for a Steering Committee representative from the Sargasso Sea Project to attend meetings of the Convention as an observer and to provide updates
The Convention on International Trade in Endangered Species of Wild Fauna and Flora) https://cites.org/eng	CITES is an international agreement between governments. Its aim is to ensure that international trade in specimens of wild animals and plants does not threaten the survival of the species.	A number of the species that occur in the Sargasso Sea are various points in their life cycle are subject to CITS authorized trade restrictions. SSC has history of collaborating with regarding providing information to its Animals Committee
Centre for Environmental Policy, Imperial College, London https://www.imperial.ac.uk/environmental-policy/research/	The Centre for Environmental Policy, headed by Professor John Mumford, conducts basic and applied research on environmental sustainability. It works at the interface between science, policy and development, in relation to nature, in three main areas: energy and climate, environmental management, and the human dimensions of environmental change. The work developed with RFMOs and ICCAT in particular will be complementary to the work carried out on ecosystems for the Sargasso Sea.	1.3.1 Input to development of a Science-based Monitoring programme, esp. through development of environmental indicators as well as CB&T in these areas 2.1.1 Input to establishing a regular Monitoring and Review process for the ecosystem 3.1.1 Input to an adaptive stewardship mechanism (including responses to

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		changes in environmental indicators) for the SAP
Hamilton Declaration Signatories (Governments) and the Sargasso Sea Commission http://www.sargassoseacommission.org/	In March 2014, five governments signed the Hamilton Declaration on Collaboration for the Conservation of the Sargasso Sea,. The Hamilton Declaration is the result of a two-year negotiation between interested governments that are either located in the broader Sargasso Sea area or have an interest in high seas conservation. The Hamilton Declaration is a non-binding political statement which authorized the establishment of the Sargasso Sea Commission with a mandate to "Exercise a stewardship role for the Sargasso Sea and keep its health, productivity and resilience under continual review." The Signatories agree to hold a regular Meeting of Signatories and to encourage and facilitate voluntary collaboration toward the conservation of the Sargasso Sea. The current signatories are: Azores, Bahamas, Bermuda, British Virgin Islands, Canada, Cayman Islands, Dominican Republic, Monaco, UK and USA. The Commission and Signatories have endorsed the current overarching goals: a) Promoting international recognition of the unique ecological and biological nature and global significance of the Sargasso Sea; b) Encouraging scientific research to expand existing knowledge of the Sargasso Sea ecosystem in order to further assess its health, productivity and resilience; and international organizations to promote the objectives of the Hamilton Declaration; c) Developing proposals for submission to existing regional, sectoral and The Commission has a wide network of collaborating partners from academia, the private sector and the national and international NGO community and bodies such as IUCN which represents both government and civil society. These partners, along with the existing mandated bodies variously responsible for activities within the Sargasso Sea area, will create the stakeholder base for the Project initially and further partnerships will be developed and embraced as appropriate through the Project and their different roles recognised and employed in the overall stewardship process. In particular these stakeholders will form the basis of both the delivery and the targets for capacity building and cooperation. The stakeholder engagement and partnership process will aim to develop stronger cooperation and coordination that will help to promote and implement effective stewardship in this ecosystem.	The Signatories to the Hamilton Declaration will provide a general Review of the EDA and its implications for stewardship as well as discussion and negotiation over the Strategic Action programme and its activities. They will be the primary actors needed to endorse the SAP and will have representation on the Project Steering Committee. The Commission and its Secretariat are hosting the GEF and the FFEM Project. The Commissioners provide their time and expertise to support the Project. The time of the Secretariat Staff and their budget constitutes a major contribution in kind to the functioning of this Child Project.
AFB (Agence Francais de Biodiverité)	The French Office for Biodiversity (AFB) is a public institution dedicated to the protection and restoration of biodiversity in metropolitan France and overseas territories, under the supervision of ministères de la Transition écologique et de l'Agriculture et de l'Alimentation. Its five missions are as follows: 1. knowledge, research and expertise on species, environments and their uses 2. the environmental police and the wildlife health police 3. support for the implementation of public policies 4. management and support for managers of natural areas 5. the support to the actors and the mobilization of the society AFB will provide strategic and diplomatic support to the Project. The AFB is not a beneficiary of the Project, but remains both a partner involved in the implementation with its own funds and a co-financer of the Project, which shows the involvement of this structure.	AFB is one of the four partners in the FFEM Project which is supporting and providing co-financing for the GEF Project. AFB is facilitating and financing many of the meetings under the FFEM Project which will be complementary to the GEF Project. Also provides office French sponsorship for events at international conferences.
NASA-led CEOS Ocean Variables Enabling Research	The CEOS Ocean Variables Enabling Research and Applications for GEO (COVERAGE) initiative is a three-year, NASA-led R&D Project and initiative within Committee on Earth Observation Satellites (CEOS) involving	3.1.1 Scientific and Technical Monitoring requirements for the SAP

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and Applications for GEO (COVERAGE) https://coverage.ceos.org/	international collaboration. COVERAGE seeks to facilitate improved usage of multivariate, inter-agency satellite datasets in support of applications for societal benefit via an advanced, web-based data access platform providing also value added services. Utility of the COVERAGE system will be illustrated in the context of a priority set of use cases and target demonstration application relevant to partnering stakeholders, including the GEO-Marine Biodiversity Observation Network (MBON), GEO-Blue Planet, and the Sargasso Sea Commission (SSC).	4.1.2 Involvement in the establishment of a 'Big Data' platform to deal with predictive analytics with appropriate guidance from and linkages to other platforms
Edinburgh University UK (ATLAS & I-Atlantic Project) https://www.eu-atlas.org/ https://www.iatlantic.eu/	Professor Murray Roberts is the coordinator of the two European Horizon 2020 Projects - ATLAS and iAtlantic. He leads the Changing Ocean Research Group in the School of Geosciences at the University of Edinburgh. His work marine ecosystem response to global change will be useful to the Project. He also provides some co-funding (see Appendix). The ATLAS Project was completed in 2020 and work continues in the iAtlantic Project[12]. ATLAS has greatly improved understanding of complex deep-sea ecosystems and their associated species, including many that are new to science. Researchers are using the data to predict future changes to these ecosystems and species together with their vulnerabilities in the face of climate change. As well as carrying out pioneering research and discovery. ATLAS developed a scientific knowledge base that can inform the development of international policies to ensure deep-sea Atlantic resources are managed effectively. iAtlantic is a multidisciplinary research programme seeking to assess the health of deep-sea and open-ocean ecosystems across the full span of the Atlantic Ocean and aims to determine the resilience of deep-sea animals – and their habitats – to threats such as temperature rise, pollution and human activities. The Sargasso Sea plays a crucial role in the wider North Atlantic ecosystem as habitat, foraging area, spawning ground and important migratory corridor. iAtlantic will align deep-ocean observing capacities to provide accurate and detailed insights into ocean circulation in the past, present and future at a range of spatial and temporal scales. The latest marine robotics and imaging technology will be used to develop predictive mapping tools to advance understanding of deep-sea habitat distribution across the ocean. Combined with genomic data and ecological timeseries data, all this new information will provide an unprecedented view of the impacts of climate change on the ecosystem, allowing the identification of key drivers of ecosystem change and determine which areas of the Atlantic Ocean, including the Sargasso Sea, are most vulnerable to the effects of sustained, increasing and multiple pressures. To generate the enormous quantities of data required to achieve this, iAtlantic is underpinned by an extensive field programme of research expeditions.	1.1.1 Contributions to Deep Sea elements of the ecosystem diagnostic analysis 2.1.1 Data capture to analyse ecological sensitivity of seamount ecosystems, including from abandoned, discarded or otherwise lost fishing gear and the need for improved marking and tracking of such 2.2.1 Assist in developing stewardship and policy recommendations for SAP
FFEM Project	The objective of the Project is to contribute to the protection of biodiversity and ecosystem services in the high seas on the Thermal Dome and the Sargasso Sea. It will incorporate and contribute to the elements of the UN negotiations on BBNJ by informing on possible implementation models for regional and international/global coordination, consistent with the UN Convention on the Law of the Sea and its implementing agreements and as part of a strategy based on an ecosystem approach. The strategy proposed by the Project is to develop a DPSIR (driving force-pressure-state-impact-response) analysis in each site, followed by a synthesis, analysis of governance, and then a set of conclusions that will lead to proposals to improve the governance of these sites. These results will help inform future	1.1.1 Major input to the EDA process through this co-funding including a review of institutional, management and other arrangements 1.2.1 Major input to the Ecosystem Valuations process through this co-funding 2.1.1 Funding assistance for data capture to analyse

[12] Wilson A..M., Eighteen,J., Roberts J.M., and M.Reuver Atlas compendium of results unlocking the potential of the deep Atlantic Ocean July 1 2020. Zenedo.http//doi.org/10.5281/zenedo.3925096

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	agreements on the BBNJ and other high seas areas wishing to designate ABMTs including MPAs. The knowledge gained will also support the development of agreements and action plans for the Thermal Dome and the Sargasso Sea. In essence, a lot of the work undertaken by the partners in the FFEM Project will contribute to the Ecosystem Diagnostic Analysis in the GEF UNDP Sargasso Sea Project	ecological sensitivity as well as establishing group to define impacts from climate change; Identifying mechanisms to integrate monitoring and gap-filling into the SAP Process 4.1.1 Capture of Lessons and Best Practices 4.1.2 assistance to the establishment of the 'Big Data' Platform; Output documents and briefings for management and policy makers and other high-quality scientific publications 4.1.3 assistance to attendance at appropriate international gatherings: Support to the Project Steering Committee In addition, FFEM will support the Finance and Administration Officer post for this GEF Project as part of its co-financing contribution
ICCAT https://www.iccat.int/en/	The International Commission for the Conservation of Atlantic Tunas is an intergovernmental organization responsible for the management and conservation of tuna and tuna-like species in the Atlantic Ocean and adjacent seas. The Convention area covers the entire Atlantic Ocean, including the Sargasso Sea Alliance Study Area, and the authority is limited to management of tuna and tuna-like species. In its 2015 report, the SCRS (Standing Committee on Research and Statistics) noted that the Sargasso Sea is an important and unique ecosystem for some ICCAT species Importance of the Sargasso Sea now recognised by ICCAT who have recommended that the Sargasso Sea be a case study to help develop Ecosystem Based Management	2.2.1: A Strategic Action Programme defining priority actions, endorsed by the appropriate mandated institutions, partners and collaborators Potential development of ecosystem-based approaches to fisheries be captured by the Strategic Action Programme Also review inputs to any fisheries data collected by the EDA that are pertinent to ICCAT
MarViva	MarViva is a Central American NGO created in 2002, contributes to spatial and marine planning, the promotion of responsible market dynamics for marine products and services, and the strengthening of institutional and local capacities to optimize the sustainable management of the sea. In the Context of this Current Project, MarViva is a partner through the FFEM 'sister' Project	Involvement in the joint Steering Committee process between the two Projects and comparing methodologies and results
NAFO https://www.nafo.int/	The Northwest Atlantic Fisheries Organization (NAFO) is an intergovernmental fisheries science and management body with an overall objective to ensure long term conservation and sustainable use of the fishery resources in the Convention Area and, in so doing, to safeguard the marine ecosystems in which these resources are found. The NAFO Convention on Cooperation in the Northwest Atlantic Fisheries applies to most fishery resources of the Northwest Atlantic except salmon, tunas/marlins, whales, and sedentary species (e.g. shellfish). Under NAFO, a Commission is responsible for the management and conservation of the	2.2.1. A Strategic Action Programme defining the priority actions, endorsed by the appropriate mandated institutions, partners and collaborators NAFO may collaborate with the Project partners in relation to the status of the seamounts

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	fishery resources of the Regulatory Area. The Commission adopts proposals for joint action by the Contracting Parties designed to achieve optimum utilization of the fishery resources of the Regulatory Area. In considering such proposals, the Commission takes into account any relevant information or advice provided to it by the Scientific Council. The Commission collaborates with Scientific Council in the conservation and management measures to minimize the impact of fishing activities on living resources and their ecosystems, total allowable catches and/or levels of fishing effort and determine the nature and extent of participation in fishing. The Scientific Council (SC) is a constituent body of NAFO as laid out in the NAFO Convention. The Scientific Council compiles and maintains statistics and records, and publishes information pertaining to the fisheries including environmental and ecological factors. NAFO responsibility overlaps with a small northern section of the Sargasso Sea. NAFO has been discussing whether the Sargasso Sea provides forage area or habitat for living marine resources that could be impacted by different types of fishing; and on whether there is a need for any management measure including a closure to protect this ecosystem. In 2019, NAFO closed the Corner Rise Seamount chain in the northeastern corner of the Sargasso Sea to bottom-fishing. There is also currently a moratorium on fishing on the New Engaland Seamounts.	and associated fisheries with a view to identifying environmentally sensitive deep sea areas Northern area of Sargasso Sea including part of the Bermuda EEZ is within the NAFO Convention area
Université de Bretagne Occidental	The European Institute for Marine Studies (IUEM, www-iuem.univ-brest.fr) is based at UBO and hosts seven Joint Research Units (UMR) that bring together staff from UBO, the University of Southern Brittany (UBS) and national research organizations (CNRS, IRD, IFREMER) in natural and social sciences. The IUEM also hosts a multidisciplinary master's and doctoral program. AMURE (www.umr-amure.fr) is one of the IUEM's mixed units and one of the main French and European research centers on public policies related to the management of the use of resources and marine and coastal spaces. The AMURE initiative implements actions in the field of North-South cooperation at the science-policy interface and in support of capacity development. It is within this framework, and in support of the development and implementation of the BBNJ agreement, that UBO is a partner in this Project. The existing skills from a methodological, economic, governance of the high seas or on integrative and spatial approaches to ocean management, give it a relevant place in the grouping of all the partners.	UBO will be a partner on the joint Steering Committee between the FFEM and GEF Project and will assist in capturing lessons learned. They will contribute significantly to the production of integrated socio-ecological diagnoses comparative analysis to support the Strategic Action Programme and to the Knowledge Management and Capacity building activities complementary to both Projects.
International Maritime Organization **https://www.imo.org/**	The International Maritime Organization – is the United Nations specialized agency with responsibility for the safety and security of shipping and the prevention of marine and atmospheric pollution by ships. IMO's work supports the UN SDGs. IMO has a range of regulatory instruments which might be applicable to the Sargasso Sea.	2.1.1 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 The Project will work with the IMO Secretariat to help to assess the relevance of IMO measures
International Cable Protection Committee	Membership comprised of governmental administrations and commercial companies that own or operate submarine telecommunications or power cables, as well as other companies that have an interest in the submarine cable industry—including most of the world's major cable system owners	2.1.1: A list of priority immediate and long-term actions needed along with identified partnerships and

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https://www.iscpc.org/	and cable ship operators. The primary purpose of the ICPC is to help its Members to improve the security of undersea cables by providing a forum in which relevant technical, legal and environmental information can be exchanged. .	responsible entities for delivering on these priority actions. This is a potentially important private sector player in view of the possible impacts from submarine telecommunications cables but also the possibilities for collaboration and using the cables as sensors to detect change in the immediate environment alongside the cable
IOC UNESCO	Executing agency (UNDP Implementing Partner) for the Project. Its regional organization IOCARIBE has been working on Sargassum inundations in the Caribbean and is an interested potential partner. Through its Marine Policy and Regional Coordination Section (IOC/MPR), the IOC is fully engaged in multi-agency consultation processes with the aim of fostering partnerships related to ocean and coastal matters. IOC is also coordinating the \United Nations Decade of Ocean Science for Sustainable Development (2021-2030). The Ocean Decade provides a common and cooperative framework to ensure that ocean science provides greater benefits for ocean ecosystems and wider society can fully support countries to achieve the 2030 Agenda for Sustainable Development. UNESCO is the only UN agency with a mandate in the field of culture. UNESCO's Culture Sector, through its culture conventions and programmes, plays a unique role in promoting human creativity and safeguarding culture and heritage worldwide. UNESCO's mandate for the social sciences enables exploration of the ethical considerations of nature's intrinsic value, while UNESCO's work on gender provides a space to examine how biodiversity is experienced and utilized differently by women and men. UNESCO's work in culture, communication and information demonstrates that language is key to how we understand and perceive the world, and shows how the concepts of biodiversity and nature are expressed in many different languages.	Project Execution and data provision for the Ecosystem Diagnostic Analysis e.g. through GOOS, WCRP. Etc. See the Ocean Sciences portfolio of IOC at http://www.unesco.org/new/en/natural-sciences/ioc-oceans/sections-and-programmes/ocean-sciences/ Also, IOC has its International Oceanographic Data and Information Exchange (IODE) to enhance marine research, exploitation and development, by facilitating the exchange of oceanographic data and information between participating Member States, and by meeting the needs of users for data and information products.
International Seabed Authority	The International Seabed Authority is mandated under the UN Convention on the Law of the Sea to organize, regulate and control all mineral-related activities in the international seabed area for the benefit of mankind as a whole. In so doing, ISA has the duty to ensure the effective protection of the marine environment from harmful effects that may arise from deep-seabed related activities. https://www.isa.org.jm/	2.1.1 Data capture to feed into regional environmental planning at the International Seabed Authority
Inter-American Sea Turtle Convention (IAC) http://www.iacseaturtle.org/acerca-eng.htm	The Inter-American Convention for the Protection and Conservation of Sea Turtles ("IAC") is an intergovernmental treaty which provides the legal framework for countries in the American Continent to take actions in benefit of these species. The IAC entered into force in May of 2001 and currently has sixteen Contracting Parties. The Convention promotes the protection, conservation, and recovery of the populations of sea turtles and those habitats on which they depend, on the	1.1.1 Capture the Baseline Environmental Status (oceanography, productivity, fisheries, biodiversity, etc.) 2.1.1

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	basis of the best available data and taking into consideration the environmental, socioeconomic and cultural characteristics of the Parties (Article II, Text of the Convention). These actions should cover both nesting beaches and the Parties' territorial waters.	Establish a Regular Monitoring and Review process for identified threats, potential risks and impacts as well to identify emerging concerns This would follow on from the Adoption of a Science Monitoring Programme (1.3.1) as appropriate
World Maritime University Sasakawa Global Ocean Institute **https://www.wmu.se/goi**	The vision of the Institute is to act as an independent focal point for the ocean science-policy-law-industry-society interface where policy makers, the scientific community, regulators, industry actors, academics, and representatives of civil society meet to discuss how best to manage and use ocean spaces and their resources in accordance with the United Nations 2030 Agenda for Sustainable Development. In delivering the mission of the Institute, faculty and staff at the Institute undertake evidence-based research, capacity building programmes and outreach on a broad range of topics in contemporary ocean affairs. The Land-to-Ocean Leadership PhD Scholarship and Post-Doctoral Fellowship Programme is one of the lighthouse initiatives of the Institute. The research of the Institute provides new perspectives on how to address the manifold threats facing the ocean. The WMU-Sasakawa Global Ocean Institute sets out to seek answers and to build knowledge that facilitates the conservation and sustainable use of the ocean and its resources. The Global Ocean Institute's 'Closing the Circle' programme (https://closing-the-circle.wmu.se/) is well underway and there are many synergies with the GEF Project. The GOI have expressed willingness to host capacity building workshops on such topics as Environmental Impact Assessment, Area-Base Management Tools, etc.	1.3.1 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 3.1.1 Reconfirm the training and capacity building needs required to support SAP implementation and define and adopt a CB&T SAP Plan-of-Action
The International Union for Conservation of Nature **https://www.iucn.org/**	IUCN is a membership Union composed of both government and civil society organizations. It harnesses the experience, resources and reach of its more than 1,400 Member organizations and the input of more than 18,000 experts. This diversity and vast expertise makes IUCN the global authority on the status of the natural world and the measures needed to safeguard it.	The SSC Secretariat is located in the North America Office of IUCN in Washington DC and the Anguillid eel expert group – that assesses the Red list status of anguillids - is a key partner.
WECAFC - Western Central Atlantic Fishery Commission **http://www.fao.org/fishery/rfb/wecafc/en**	The general objective of the Commission is to promote the effective conservation, management and development of the living marine resources of the area of competence of the Commission, in accordance with the FAO Code of Conduct for Responsible Fisheries, and address common problems of fisheries management and development faced by members of the Commission. The work of the Commission is guided by the following three principles: • promote the application of the provisions of the FAO Code of Conduct on Responsible Fisheries and its related instruments, including the precautionary approach and the ecosystem approach to fisheries management; • ensure adequate attention to small-scale, artisanal and subsistence fisheries; and • coordinate and cooperate closely with other relevant international organizations on matters of common interest.	WECAFC's area of competence includes high seas as well as national waters and cover much of the Sargasso Sea Geographical Area of Collaboration. The Project would expect to interact with WECAFC in the following areas: 1.1.1The detailed Ecosystem Diagnostic Analysis 1.2.1 Development of the Ecosystem Valuation and the potential value of goods and services

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		1.3.1 Filling of information gaps for monitoring purposes, as well as 2.2.1 Development of a Strategic Action Programme

Risks:

Annex 6 provides the UNDP Risk Register for the Project. The main risk management strategies that the Project will employ include:

- Identification of any new risks or altered risk status within the Project quarterly Reports, particularly any issues or problems what may have arisen as a result of the on-going COVID pandemic.
- Risk reviews at the scheduled regular Steering Committee Meetings (based on Quarterly Reports)
- Annual Project Implementation Reviews (which include a Critical Risk Management section). PIRs will include an update on any of the issues related to the on-going COVID pandemic that may be affecting the Project and what actions are needed.
- Mid-Term Review

The Social and Environmental Screening Procedure (Annex 5) has assessed the primary social and environmental risks arising from the Project including the level of significance of those risks and identifying what social and environmental assessment and management measures have been conducted and/or are required to address potential moderate to high risks. This further arrives at an overall Project risk categorization. This overall process helps to identify any risks of economic displacement or adverse impacts on livelihoods arising from Project activities and deliverables.

Summary of the Social and Environmental Screening Procedure (SESP)

The Social and Environmental Screening Procedure (Annex 6) has assessed the primary social and environmental risks arising from the Project including the level of significance of those risks and identifying what social and environmental assessment and management measures have been conducted and/or are required to address potential low to moderate risks. Four (4) out of five (5) risks have been rated as low risk and will not require further assessments. One (1) risk has been rated as Moderate, Risk 5. This further arrives at an overall project risk categorization of Moderate. This overall process helps to identify upstream risks arising from Project activities and deliverables.

Risk 5: The results of the project and downstream implementation of the SAP may be sensitive or vulnerable to the effects of climate change: Insufficient global policy and regulatory mechanisms to mitigate GHG emissions have the potential to negatively impact on both the vertical column stratification and prevailing currents which could ultimately contribute negatively to the Sargasso ecosystem functioning.

On whether project outputs and outcomes will be sensitive/vulnerable to potential impacts of climate change and/or disasters, the Sargasso Sea as per the global ocean is already changing as a result of climate change, becoming warmer and more acidic and deoxygenating. In the absence of the project, there will be insufficient data or monitoring to be able to foresee and predict such changes and to take mitigation or adaptive action. The project is designed to analyse and model possible impacts on the ecosystem from climate change and recognize and promote any associated adaptive management/Stewardship requirements or guidelines.

On whether project activities will impact on the increase of greenhouse gas emissions, black carbon emissions or other drivers of climate change; the project may consider re-routing shipping around the said area to avoid impacts on the environmental and species.

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. The project will also ensure that the status, adequacy and applicability of relevant climatic and disaster risk information is assessed throughout the project and if/when significant risks are identified, then further scoping and assessment of vulnerability; potential impacts and avoidance and mitigation measures including alternatives to reduce potential risks will be required.

Through the Stakeholder Engagement Plan, the project will ensure that decision making on Climate Change and disaster risks during the development of the SAP is inclusive and risk informed while using a multi-hazard approach. Targeted Assessment: The Ecosystem Diagnostic Analysis will include a specific review and assessment of the threats and impacts from climate change to the Sargasso Sea Ecosystem and its goods and services and those that depend on it for their livelihoods. The results from the EDA will be used to refine adaptive management measures under the Strategic Action Programme and will inform the project's SESA. Further management frameworks to mitigate any adverse impacts will be developed, established and embedded in the SAP.

Stakeholder Engagement:

The stakeholder engagement and partnership process will aim to develop stronger cooperation and coordination that will help to promote and implement stronger and more effective cross-sectoral management and stewardship of the Sargasso Sea ecosystem. The existing collaborations and partnerships have some considerable history of success already and this will help to ensure further the long-term uptake and sustainable impact of this Project into the future. In particular, there will be close and regular engagement with the appropriate existing and mandated regional bodies to promote a more effective science-based approach for the ecosystem.

Annex 8 provides a detailed Stakeholder Engagement Plan. The table above lists the main partners and stakeholder to the Project. Stakeholder engagement will focus on generating buy-in and support from specific partners and beneficiaries who are taking responsibility for certain activities. The Project will prioritise such interventions and partner strategies to deliver outputs in an appropriate sequential manner. The Project will ensure that stakeholders and partners are well-informed and updated on the intended Project goals and delivery. Stakeholder meetings will be held regularly (see Annex 8 - Stakeholder Engagement Timetable) to ensure interaction not only between the Project and individual stakeholders and partners but also between various stakeholders.

Stakeholder engagement and the development and/or strengthening of partnerships will be central to the long-term sustainability of this Project. 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 encouraging effective stewardship and decision-making. This would build on work already undertaken by the SSC and its partners and would aim to identify further partnerships and collaborators and their expertise to assist in addressing these gaps.

Stakeholder collaboration and cooperation will extend beyond the Project itself. The Sargasso Sea is also relevant to fisheries at the community level outside the geographical Project area but in the countries that are partners in the Project. There is a local fishery for glass eels in Hispaniola (Haiti and DR) but not in the Bahamas. Only limited information existed on the extent of harvesting in Algeria or Morocco prior to the Project development process. The PPG process therefore allowed for a review of these countries' dependence on the Sargasso Sea and its resources and this is included as Annex 14 (Status of the Eel Fishery in five Countries that are Dependent on Eel migration from the Sargasso Sea Ecosystem for livelihoods and export). In light of this review and assessment, these countries will

now be considered as stakeholders to the Project and consequently kept engaged wherever possible and particularly through the EDA and SAP processes. The Project will also provide for replication of lessons and best practices to further opportunities for stewardship of ecosystem areas beyond national jurisdiction The Project can also facilitate dissemination of such lessons and practices through platforms such as IW:LEARN , UNDP EXPOSURE , the UN South-South Galaxy knowledge sharing platform, etc. Annex 8 provides a Stakeholder Engagement Plan for the Project.

Private Sector Engagement

As noted in the baseline, he Commission works closely with other appropriate bodies and collaborating partners with interests or mandates that overlap into the Sargasso Sea. The general strategy of the Sargasso Sea Commission and its activities is to identify the most important threats to the Sargasso Sea ecosystem and to address these by seeking appropriate conservation measures within the relevant existing international or regional sectoral organizations and the Project will aim to assist in this, particularly through the EDA process. Some of these threats will result from the activities of the private sector but, in many cases, the private sector activities fall under the mandates and control of IGOs such as RFMOs and the International Maritime Organisation. Consequently, such actual and/or possible threats from shipping or vessel source pollution will be addressed through the International Maritime Organization (IMO); threats from fishing through the only two relevant fishing organizations, the International Commission for the Conservation of Atlantic Tunas (ICCAT) and (for the small area of the Sargasso sea above 35°N) the North-west Atlantic Fisheries Organization (NAFO); and seabed mining issues through the International Seabed Authority (ISA). Such interactions and relationships with existing bodies have and will allow for certain improvements to be made. For example, NAFO has already enacted protection measures for the Northern seamounts in the Sargasso Sea. The Project will use the Ecosystem Diagnostic Analysis process to develop closer links with the Private Sector, engaging them into the discussions and analyses on risks to their stakeholder interests and overall threats and root causes as a prelude to development of the Strategic Action Programme. Relevant private sector stakeholders will also be invited to share key data and information into the EDA exercise. The Private Sector will also be invited to take part in the development of the SAP as important potential partners in the SAP Development and Drafting team, and then in the implementation of the SAP, providing support to its aims and objectives. The Project thus aims to ensure their full engagement and contribution to the immediate and longer-term sustainability of actions committed to under the SAP.

One specific body that is primarily run by the Private sector is the International Cable Protection Committee, which has already shown considerable interest in the Project and has been involved in discussions with the Sargasso Sea Commission and Secretariat about areas of mutual interest and possible activities. Its membership comprises of governmental administrations and commercial companies that own or operate submarine telecommunications or power cables, as well as other companies that have an interest in the submarine cable industry, including most of the world's major cable system owners and cable ship operators. The primary purpose of the ICPC is to help its Members to improve the security of undersea cables by providing a forum in which relevant technical, legal and environmental information can be exchanged. This is a potentially important private sector player in view of the possible impacts from submarine telecommunications cables but also the possibilities for collaboration and using the cables as sensors.

Gender equality and Women's Empowerment:

Annex 9 provides details of the Gender Analysis and Gender Action Plan relative to the Project. The Gender Analysis responds to GEF and UNDP guidance regarding gender mainstreaming in Project development and identifies the needs, priorities, power structures, status, and relationship between men and women that are identified and incorporated into the design, implementation, and evaluation of the Project; in this way men and women can participate proportionally and benefit equally from the Project intervention. Annex 9 defines the activities that will be developed through this GAP to address the various Outputs of the Project. Building on these, a Gender Action Plan will be developed as part of the early inception phase of the Project and implemented within the first 4 months

Gender discrimination has been identified as a risk within the Project as it has the potential to negatively impact in the absence of an effective project outcome: Because of the 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. However, 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.

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.

The Project will ensure that men, women, youth and marginalized groups benefit adequately from capacity enhancement and effective participation in decisions related to resource management and livelihood support, as well as the distribution of benefits. The Project will contribute to gender equality and women's empowerment in areas related to capacity building, MCS and any activities which may relate to resource management and monitoring, etc. Socioeconomic assessments will draw out any inequalities and propose mitigation and/or resolution practices and activities. The Results Framework includes gender-related quantifiable targets to the compulsory indicators on direct and indirect beneficiaries as well as at the Outcome level. These indicators will from part of the overall Gender Action Plan, along with the list in Annex 9 of the intended Project Outputs under each Component and how Gender Equality/Equity and Mainstreaming will be captured in these Outputs through the Gender Action Plan.

V. PROJECT RESULTS FRAMEWORK

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 actions being taken to address these	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) Inadequate capacity within SSC or current partners to determine baseline or future status Baseline Score: 1	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

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)
	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 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%

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)
				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				
Outcome 3.1 Collaborative stewardship of an iconic high seas ecosystem through the development of interactive, partnerships for the conservation	**INDICATOR 12:** Collaborative arrangements for implementation of a Strategic Action Programme for stewardship of the Sargasso Sea ecosystem clearly defined into the	No existing ecosystem-based Strategic Action Programme of activities in the region. Hamilton Declaration recognises a need for greater collaboration and	SAP Implementation Planning Team established Mid-Term Score ; 2	A fully developed and endorsed initiative to support the implementation of the SAP post-Project End of Project Score: 3

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)
and sustainable use of its natural resources	future with a road-map and supportive budgeting	interaction between stakeholders in the long-term Baseline Score: 1		
Outputs to achieve the Outcome	**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.			
COMPONENT 4: KNOWLEDGE MANAGEMENT, MONITORING AND EVALUATION				
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)	**INDICATOR 13:** Innovative mechanism for handling large and diverse data sets is developed through a data management and handling platform	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 Baseline Score: 1	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. Mid-Term Score: 2	Data Platform fully functional and guiding scientific analysis and decisions End of Project Score: 3
	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	Data analysis, conclusions and knowledge are not being made accessible or communicated to those bodies that most have need of them 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 Baseline Score: 1	A series of high-quality contributions to the scientific literature as well as the popular literature and press (Score 1) Knowledge arising from the Project activities is being fed into ecosystem approach and appropriate actions are being taken (Score 1) Knowledge and information is being shared with the GCP Child Project and collaborative /coordinated outputs are prepared and distributed (Score 1) Mid-Term Score: 4	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) 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) Briefing documents, and documentation of lessons and practices coordinated with GCP 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)	Final Report on Lessons and Practices shared with IW:LEARN and available on IW:LEARN website (Score 1)

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)
			Mid-Term Lessons and Practices Report shared with IW:LEARN and available on IW:LEARN website (Score 1) Mid-Term Score: 2)	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	**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 **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. **Output 4.1.3:** Project support to and engagement with IW:LEARN activities with allocated (1% plus) budget. **Output 4.1.4**: Effective ongoing Project Monitoring and Evaluation			

VI. MONITORING AND EVALUATION (M&E) PLAN

The Project results, corresponding indicators and mid-term and end-of-Project targets in the Project results framework will be monitored annually and evaluated periodically during Project implementation. The Monitoring Plan included in Annex 4 details the roles, responsibilities, and frequency of monitoring Project results.

Project-level monitoring and evaluation will be undertaken in compliance with UNDP requirements as outlined in the UNDP POPP and UNDP Evaluation Policy. The lead UNDP Country Office, UNDP HQ in the case of this global Project, is responsible for ensuring full compliance with all UNDP Project monitoring, quality assurance, risk management, and evaluation requirements.

Additional mandatory GEF-specific M&E requirements will be undertaken in accordance with the GEF Monitoring Policy and the GEF Evaluation Policy and other relevant GEF policies. The costed M&E plan included below, and the Monitoring Plan in Annex 4 will guide the GEF-specific M&E activities to be undertaken by this Project.

In addition to these mandatory UNDP and GEF M&E requirements, other M&E activities deemed necessary to support Project-level adaptive management will be agreed during the Project Inception Workshop and will be detailed in the Inception Report.

Additional GEF monitoring and reporting requirements:

Inception Workshop and Report:

A Project inception workshop will be held within 60 days of Project CEO endorsement, with the aim to:

a. Familiarize key stakeholders with the detailed Project strategy and discuss any changes that may have taken place in the overall context since the Project idea was initially conceptualized that may influence its strategy and implementation.
b. Discuss the roles and responsibilities of the Project team, including reporting lines, stakeholder engagement strategies and conflict resolution mechanisms.
c. Review the results framework and monitoring plan.
d. Discuss reporting, monitoring and evaluation roles and responsibilities and finalize the M&E budget; identify national/regional institutes to be involved in Project-level M&E; discuss the role of the GEF OFP and other stakeholders in Project-level M&E.
e. Update and review responsibilities for monitoring Project strategies, including the risk log; SESP report, Social and Environmental Management Framework and other safeguard requirements; Project grievance mechanisms; gender strategy; knowledge management strategy, and other relevant management strategies.
f. Review financial reporting procedures and budget monitoring and other mandatory requirements and agree on the arrangements for the annual audit.
g. Plan and schedule Project Board meetings and finalize the first-year annual work plan.
h. Formally launch the Project.

GEF Project Implementation Report (PIR):

The annual GEF PIR covering the reporting period July (previous year) to June (current year) will be completed for each year of Project implementation. Any environmental and social risks and related management plans will be monitored regularly, and progress will be reported in the PIR. The PIR will also specifically address any issues or problems what may arise as a result of the on-going COVID pandemic. The PIR submitted to the GEF will be shared

with the Project Board. The quality rating of the previous year's PIR will be used to inform the preparation of the subsequent PIR.

GEF and/or LDCF/SCCF Core Indicators:

The GEF and/or LDCF/SCCF Core indicators included as Annex 11 will be used to monitor global environmental benefits and will be updated for reporting to the GEF prior to Mid-term Review (MTR) and terminal evaluation (TE). Note that the Project team is responsible for updating the indicator status. The updated monitoring data should be shared with MTR/TE consultants prior to required evaluation missions, so these can be used for subsequent ground-truthing. The methodologies to be used in data collection have been defined by the GEF and are available on the GEF website.

Independent Mid-term Review (MTR):

The terms of reference, the review process and the final MTR report will follow the standard templates and guidance for GEF-financed Projects available on the UNDP Evaluation Resource Center (ERC).

The review will be 'independent, impartial and rigorous'. The reviewer(s) that will be hired to undertake the assignment will be independent from organizations that were involved in designing, executing or advising on the Project to be evaluated. Equally, they should not be in a position where there may be the possibility of future contracts regarding the Project under review. The Mid Term Review is primarily a monitoring tool to identify challenges and outline corrective actions to ensure that a Project is on track to achieve maximum results by its completion. Its main purpose is to i) provide an assessment of progress towards results, ii) monitor implementation and adaptive management to improve outcomes, iii) provide an early identification of any risks to sustainability, and iv) provide supportive recommendations for the Project to move forward toward a successful terminal evaluation.

The GEF Operational Focal Point and other stakeholders will be actively involved and consulted during this review process. Additional quality assurance support is available from the BPPS/GEF Directorate.

The final MTR report and MTR TOR will be publicly available in English and will be posted on the UNDP ERC. A management response to MTR recommendations will be posted in the ERC within six weeks of the MTR report's completion.

Terminal Evaluation (TE):

An independent TE will take place upon completion of all major Project outputs and activities. The terms of reference, the evaluation process and the final TE report will follow the standard templates and guidance for GEF-financed Projects available on the UNDP Evaluation Resource Center.

The evaluation will be 'independent, impartial and rigorous'. The evaluators that will be hired to undertake the assignment will be independent from organizations that were involved in designing, executing or advising on the Project to be evaluated. Equally, the evaluators should not be in a position where there may be the possibility of future contracts regarding the Project being evaluated. The Terminal Evaluation aims to undertake a final assessment of the achievements of the Project in delivering on its overall objective. In this context it will i) Assess and document Project results, and the contribution of these results towards achieving GEF strategic objectives aimed at global environmental benefits; ii) identify mechanisms arising that can help to improve the sustainability of benefits and aid in overall enhancement of UNDP programming, iii) capture and synthesize lessons that can help to improve the selection, design and implementation of future UNDP-supported GEF-financed initiatives, iv) gauge the extent of Project convergence with other priorities within the UNDP country programme, including poverty alleviation;

strengthening resilience to the impacts of climate change, reducing disaster risk and vulnerability, as well as cross-cutting issues such gender equality, empowering women and supporting human rights.

The GEF Operational Focal Point and other stakeholders will be actively involved and consulted during the terminal evaluation process. Additional quality assurance support is available from the BPPS/GEF Directorate.

The final TE report and TE TOR will be publicly available in English and posted on the UNDP ERC by September 2025. A management response to the TE recommendations will be posted to the ERC within six weeks of the TE report's completion.

Final Report:

The Project's terminal GEF PIR along with the TE report and corresponding management response will serve as the final Project report package. The final Project report package shall be discussed with the Project Board during an end-of-Project review meeting to discuss lesson learned and opportunities for scaling up.

Agreement on intellectual property rights and use of logo on the Project's deliverables and disclosure of information**:**

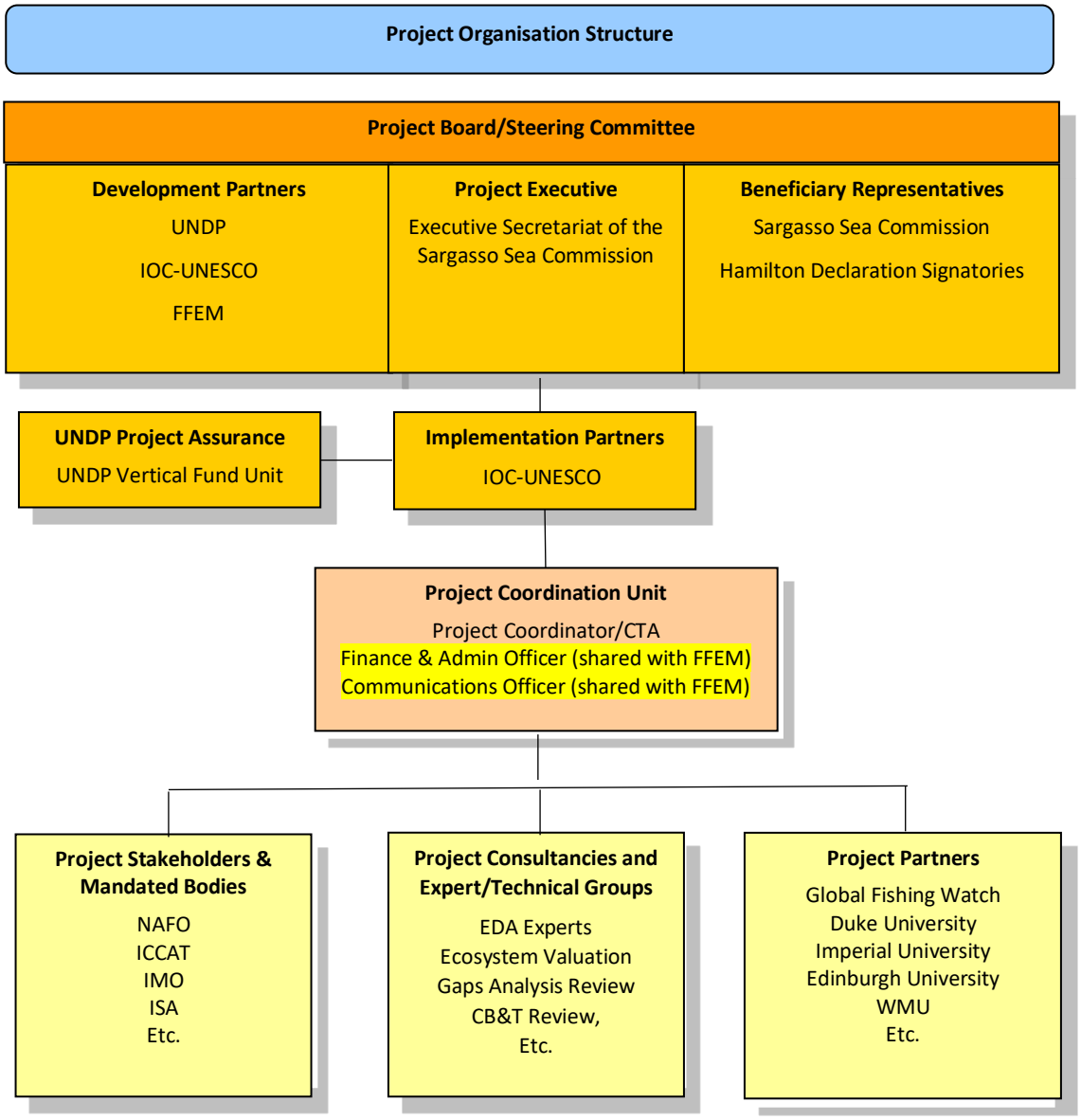
To accord proper acknowledgement to the GEF for providing grant funding, the GEF logo will appear together with the UNDP logo on all promotional materials, other written materials like publications developed by the Project, and Project hardware. Any citation on publications regarding Projects funded by the GEF will also accord proper acknowledgement to the GEF. Information will be disclosed in accordance with relevant policies notably the UNDP Disclosure Policy[13] and the GEF policy on public involvement[14].

Monitoring and Evaluation Plan and Budget: This M&E plan and budget provides a breakdown of costs for M&E activities to be led by the Project Coordination Unit during Project implementation. These costs are included in the budget notes for the TBWP.			
GEF M&E requirements	**Indicative costs (US$)**	**Time frame**	**Output Target**
Inception Workshop	$30,000 (Budget Line 34)	Within 60 days of CEO endorsement of this Project.	1 Inception Workshop for Project Stakeholders (approximately 35 people)
Inception Report	None	Within 90 days of CEO endorsement of this Project.	1 Inception Report
M&E of GEF core indicators and Project results framework	None	Annually and at mid-point and closure.	3 PIRs
GEF Project Implementation Report (PIR)	None	Annually typically between June-August	3 PIRs
Supervision missions	From UNDP Agency Fees	Annually	4 Mission Reports
Independent Mid-term Review (MTR)	$21,000 (Budget Line 25 & 28)	November 2023	I Mid-Term Review Report
Independent Terminal Evaluation (TE)	$21,000 (Budget Line 25 & 28)	September 2025	I Terminal Evaluation Report
TOTAL indicative COST	$72,000	*Project Lifetime*	

[13] See http://www.undp.org/content/undp/en/home/operations/transparency/information_disclosurepolicy/
[14] See https://www.thegef.org/gef/policies_guidelines

VII. PROJECT GOVERNANCE AND MANAGEMENT ARRANGEMENTS

Figure 1: Project Organisation Structure



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?SBJID=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 posts will be shared with FFEM who are contributing co-financing for this support to the PMC in the order of $220,000 (62.5%) to complement the $132,000 (37.5%) 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.

Management under COVID 19 Constraints:

The pandemic has created serious delays and constraints on delivery of certain activities over the last 22 months prior to submission of this Project Document. Most of the pandemic-related difficulties encountered by projects relate to travel restrictions and physical interaction. This has caused fairly severe delays and poor delivery related to workshops, training, demonstration/pilot activities, and management meetings such as Steering Committees and Task Forces (particularly for regional and global projects). This also has a knock-on effect on budget disbursements causing low ratings and poor assessments from annual Project Implementation Reviews as well as Mid-Term Reviews. In most cases ,where projects have been close to their Terminal Evaluation, this has often required requests for extension in order to deliver on the agreed targets in the Results Frameworks. A very useful document that one Project has developed (UNDP-IMO-GEF GloFouling Partnership's Project)[15] identifies mechanisms that have been

[15] https://www.glofouling.imo.org/post/delivering-global-Projects-during-a-pandemic-sharing-the-experience

used for addressing this problem through more use of virtual interaction etc. Generally, the growing advice and experience being developed and documented within the UN system and beyond will assist this Project in the event that the pandemic continues to create these problems. The Quarterly Reports will be expected to focus attention on the current status at reporting in relation to the pandemic and any associated problems that need to be addressed and the annual Project Implementation Reviews will do the same. Much of this concern is addressed in Annex 6 – the UNDP Risk Register.

Project extensions**:** The UNDP-GEF Executive Coordinator must approve all Project extension requests. Note that all extensions incur costs and the GEF Project budget cannot be increased. A single extension may be granted on an exceptional basis and only if the following conditions are met: one extension only for a Project for a maximum of six months; the Project management costs during the extension period must remain within the originally approved amount, and any increase in PCU costs will be covered by non-GEF resources; the UNDP Country Office oversight costs in excess of the CO's Agency fee specified in the DOA during the extension period must be covered by non-GEF resources.

Principles guiding the projects contributions to the functioning of the Common Oceans Program

The Project is part of the Common Oceans ABNJ Program, together with three other technical child projects and under the overall coordination and support of a Global Coordination Project (GCP), implemented and executed by FAO. The projects, all working with different elements of ABNJ management, will each contribute to address the issues affecting ABNJ management identified in the programmatic Theory of Change.

The results, lessons learned, experiences and best practices of the individual child projects will be translated by the GCP Program Coordination Unit team into a cohesive narrative that describes the joint progress of the child projects towards the programmatic goals.

For this approach to be effective, the Common Oceans child projects agree to uphold principles that will guide their collaboration on coordination, knowledge management and communications (KM&C), as well as monitoring and evaluation (M&E). These principles are:

1. The Project will participate in coordination meetings, at a frequency and times to be determined in consultation with the GCP Program Coordination Unit (PCU), to discuss topics of relevance to the implementation of the GCP. In addition, the Project will participate in the meetings of the programmatic Global Steering Committee to discuss strategic and implementation issues related to the Program.

2. The Project will participate in efforts coordinated by the PCU to identify and implement opportunities for conducting shared activities when there is full complementarity between already planned activities between two or more child projects. This could allow for a more efficient and effective use of resources, including sharing relevant capacity building material and exercises.

3. The Project will share all reports, knowledge management and communication products produced during implementation, and will participate in the development of programmatic synthesis products by the GCP that are based on those inputs.

4. The GCP KM&C team will provide guidance to the child projects according to a programmatic KM&C strategy to be developed at the beginning of the implementation phase in consultation with all child projects. This KM&C strategy will provide recommendations on common issues such as Programme branding, visibility, common boilerplates, etc.

5. The GCP M&E team will assist and guide the child projects, if requested, to provide information according to a programmatic M&E strategy, agreed by all child projects, including programme level indicators, to allow a proper monitoring of the programmatic progress and an adaptive management of the Program.

6. The Project will maintain its independence as to the conduct of the technical activities described in this project document.

VIII. FINANCIAL PLANNING AND MANAGEMENT

The total cost of the Project is USD $35,683,160. This is financed through a GEF grant of USD $2,652,294 and USD $33,030,866 in Project co-financing. UNDP, as the GEF Implementing Agency, is responsible for the oversight of the GEF resources and any cash co-financing transferred to UNDP bank account only.

Confirmed Co-financing: The Partnership Section of this Project Document lists the established partners which have agreed to work closely with the Project and to provide additional services and input. The actual realization of Project co-financing will be monitored during the lifetime of the Project and at the terminal evaluation process and will be reported to the GEF. Co-financing will be used for the following Project activities/outputs:

Table 4: Co-Financing Sources and Amounts

Co-financing source	Co-financing type	Co-financing amount	Planned Activities/Outputs
WMU - World Maritime University	Grant	$400,000	1.3.1 Capacity Building and Training Workshops 3.1.1 SAP CB&T Needs
BIOS - Bermuda Institute of Ocean Sciences	Grant	$23,190,000	1.1.1 Providing data to the EDA, esp. from BATS (Atlantic Time Series) Study and from Hydrostation S. 1.3.1. Inputs to Gaps Analysis and required research/studies for long-term monitoring through provision of ship's time and oceanographic research/data 2.1.1 Assist in establishing a Monitoring and Review process for ecosystem approach 4.1.2 Inputs to the 'Big Data' Platform
Duke University	In-Kind	$2,300,000	1.1.1 Major Inputs to the data capture and processing for the EDA 1.3.1. Inputs to Gaps Analysis and required research/studies 2.1.1 Assist in establishing a Monitoring and Review process for ecosystem approaches 4.1.2 Lead the establishment of a 'Big Data' platform to deal with predictive analytics with appropriate guidance from and linkages to other platforms
Edinburgh University ATLAS & iAtlantic	In-Kind	$200,000	1.1.1 Contributions to Deep Sea ecosystem diagnostic analysis 2.1.1 Reviewing seamount ecosystems for ecological sensitivity 2.2.1 Assist in developing Management and policy recommendations for SAP
Global Fishing Watch	Grant	$1,300,000	1.3.1 Adoption of a Science Monitoring Programme 2.1.1 Establishing regular monitoring and review processes for the ecosystem 4.1.2 Input to the establishment of a 'Big Data' platform to deal with predictive analytics including AIS tracking and machine learning elements

FFEM- Fonds Français pour l'Environnement Mondial (French Facility for the Environment)	Grant	$1,088,000	1.1.1 Major input to the EDA process 1.2.1 Major input to the Ecosystem Valuations process through this co-funding 2.1.1 Funding assistance with ecological studies for impacts from shipping and mining as well as establishing group to define impacts from climate change; Identifying mechanisms to integrate monitoring and gap-filling into the SAP Process 4.1.1 Capture of Lessons and Best Practices 4.1.2 assistance to the establishment of the 'Big Data' Platform; Output documents and briefings for management and policy makers and other high-quality scientific publications 4.1.3 assistance to attendance at appropriate international gatherings: Support to the Project Steering Committee This FFEM co-financing also represents support to the PMC in the amount of $220,000 (which constitutes 62.5%) of the PMC costs supported via co-financing
Sargasso Sea Commission (with financial support for the Hamilton Declaration Signatory Countries)	Grant	$1,000,000	The Commission will be directly involved in driving all of the Project components but particularly the process of defining the Ecosystem Diagnostic Analysis and the Ecosystem Valuation exercise and carrying this forward into a Strategic Action Programme. This process of developing the GEF Project has leveraged/mobilized as least $1 million from various Commission supporters that will be available to assist in this process throughout the 4 years of the Project. The Signatories to the Hamilton Declaration currently provide much of this financial support to the Sargasso Sea Commission and its Secretariat
	In-Kind	$600,000	Contributions to all of the Components by the Sargasso Sea Commissioners and the Secretariat throughout the lifetime of the Project
National Oceanic and Atmospheric Administration (NOAA) - USA	Grant	$1,209,145	1.1.1 Providing data to the EDA, 1.3.1. Inputs to Gaps Analysis and required research/studies 1.3.1 Adoption of a Science Monitoring Programme and required research/studies for long-term monitoring through provision of ship's time and oceanographic research/data
	In-Kind	$1,056,913	1.3.1 Adoption of a Science Monitoring Programme and required research/studies for long-term monitoring through provision of ship's time and oceanographic research/data 4.1.2 Input to the establishment of a 'Big Data' platform to deal with predictive analytics including AIS tracking and machine learning elements
United Nations Development Programme	Grant	$498,500	Illegal, unreported, and unregulated (IUU) fishing and unsustainable behaviour of Distant Water Fishing Fleets = $248,500 Universal Fishery IDs: Expanding transparency, data flow, and equity for fisheries globally = $250,000
Intergovernmental Oceanographic Commission of the United Nations Educational, Scientific and Cultural Organisation	Grant	$68,308	Component 1 = $17,077; Component 2 = $17,077; Component 3 = $17,077; Component 4 = $17,077
	In-Kind	$120,000	Component 1 = $40,000; Component 2 = $40,000; Component 3 = $40,000;
TOTAL		$33,030,866	

Budget Revision and Tolerance: As per UNDP requirements outlined in the UNDP POPP, the Project Steering Committee (PSC) will agree on a budget tolerance level for each plan under the overall annual work plan allowing the Project coordinator to expend up to the tolerance level beyond the approved Project budget amount for the

year without requiring a revision from the PSC. Should the following deviations occur, the Project Coordinator and UNDP Country Office (HQ for this global Project) will seek the approval of the UNDP-GEF team to ensure accurate reporting to the GEF: a) Budget re-allocations among components in the Project with amounts involving 10% of the total Project grant or more; b) Introduction of new budget items/or components that exceed 5% of original GEF allocation.

Any over expenditure incurred beyond the available GEF grant amount will be absorbed by non-GEF resources (e.g. UNDP TRAC or cash co-financing).

Audit: The Project will be audited as per UNDP Financial Regulations and Rules and applicable audit policies. Audit cycle and process must be discussed during the Inception workshop. If the Implementing Partner is an UN Agency, the Project will be audited according to that Agency's applicable audit policies.

Project Closure: Project closure will be conducted as per UNDP requirements outlined in the UNDP POPP. All costs incurred to close the Project must be included in the Project closure budget and reported as final Project commitments presented to the Project Board during the final Project review. The only costs a Project may incur following the final Project review are those included in the Project closure budget.

Project extensions**:** The UNDP-GEF Executive Coordinator must approve all Project extension requests. Note that all extensions incur costs and the GEF Project budget cannot be increased. A single extension may be granted on an exceptional basis and only if the following conditions are met: one extension only for a Project for a maximum of six months; the Project management costs during the extension period must remain within the originally approved amount, and any increase in Project Management costs will be covered by non-GEF resources; the UNDP Country Office oversight costs during the extension period must be covered by non-GEF resoruces.

Operational Completion: The Project will be operationally completed when the last UNDP-financed inputs have been provided and the related activities have been completed. This includes the final clearance of the Terminal Evaluation Report (that will be available in English) and the corresponding management response, and the end-of-Project review PSC meeting. Operational closure must happen within 3 months of posting the TE report to the UNDP ERC. The Implementing Partner through a Project Board decision will notify the lead UNDP Country Office (HQ) when operational closure has been completed. At this time, the relevant parties will have already agreed and confirmed in writing on the arrangements for the disposal of any equipment that is still the property of UNDP.

Transfer or Disposal of Assets: In consultation with the Implementing Partner and other parties of the Project, UNDP is responsible for deciding on the transfer or other disposal of assets. Transfer or disposal of assets is recommended to be reviewed and endorsed by the Project board following UNDP rules and regulations. Assets may be transferred to the government for Project activities managed by a national institution at any time during the life of a Project. In all cases of transfer, a transfer document must be prepared and kept on file. The transfer should be done before Project Coordination Unit (team) complete their assignments.

Financial Completion (closure): The Project will be financially closed when the following conditions have been met: a) the Project is operationally completed or has been cancelled; b) the Implementing Partner has reported all financial transactions to UNDP; c) UNDP has closed the accounts for the Project; d) UNDP and the Implementing Partner have certified a final Combined Delivery Report (which serves as final budget revision).

The Project will be financially completed within 6 months of operational closure or after the date of cancellation. Between operational and financial closure, the implementing partner will identify and settle all financial obligations and prepare a final expenditure report. The UNDP Country Office will send the final signed closure documents

including confirmation of final cumulative expenditure and unspent balance to the UNDP-GEF Unit for confirmation before the Project will be financially closed in Atlas by the UNDP Country Office.

Refund to GEF: Should a refund of unspent funds to the GEF be necessary, this will be managed directly by the UNDP-GEF Directorate in New York. No action is required at CO level on the actual refund from UNDP Project to the GEF Trustee.

IX. CONSISTENCY WITH NATIONAL PRIORITIES

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

Consequently, the Project is primarily consistent with the vision and mandate of the Hamilton Declaration (http://www.sargassoseacommission.org/storage/Hamilton_Declaration_with_signatures_April_2018.pdf) as signed by the 10 signatories which currently consist of Azores, Bahamas, Bermuda, British Virgin Islands, Canada, Cayman Islands, Dominican Republic, Monaco, UK and USA. The Hamilton Declaration formally states that the signatories recognize that the Sargasso Sea is an important open ocean ecosystem, the majority of which lies beyond national jurisdiction, which deserves recognition by the international community for its high ecological and biological significance, its cultural importance and its outstanding universal value. The signatories further affirm that the guiding principle of this Declaration is to conserve the Sargasso Sea ecosystem for the benefit of present and future generations.

Furthermore, the national signatories to the Hamilton Declaration have adopted a mandate to undertake the following actions:

a. Exercise a stewardship role for the Sargasso Sea and keep its health, productivity and resilience under continual review;

b. Develop a work programme and action plans for the conservation of the Sargasso Sea ecosystem;

c. Develop its rules and procedures as appropriate;

d. Develop a regular budget and generate necessary financial reports;

e. Serve as a focal point for the gathering and exchange of such information and data, develop a repository of information and scientific data relating to the condition of the Sargasso Sea ecosystem and make it publicly accessible;

f. Foster and promote outreach, public awareness and scientific research and observation, and liaise with appropriate national, regional and international organisations to this effect;

g. Publish and/or publicise reports of the results of scientific research and, as appropriate, submit such reports to governments, national, regional and international organisations with relevant competences for their consideration;

h. Monitor the effects, including cumulative effects, of any anthropogenic activities in order to determine whether such activities are likely to have adverse impacts on the Sargasso Sea ecosystem and to assess the appropriateness and effectiveness of any measures being adopted for the conservation of the Sargasso Sea;

i. Liaise with the Signatories, as well as with other governments in the region and appropriate national, regional and international organisations with relevant competences, including those with competence in adjacent marine areas, to obtain a better understanding of issues of common concern and interest through, where appropriate, developing exchange of data, sharing of databases and collecting data in standardised formats;

j. Cooperate with governments, national, regional and international organisations with relevant competences in the development of environmental impact assessments, strategic environmental assessments and equivalent instruments;

k. Encourage cooperation among governments, national regional and international organisations with relevant competences in developing and promoting contingency plans for responding to any significant pollution incidents; and

l. Undertake such other tasks as may be deemed appropriate by the Meeting of the Signatories.

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

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

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

In its resolution 69/292 of 19 June 2015, the United Nations General Assembly decided to develop an international legally binding instrument under the United Nations Convention on the Law of the Sea (UNCLOS) on the conservation and sustainable use of marine biological diversity of areas beyond national jurisdiction. The CBD COP 9 Decision IX/20 on Marine and Coastal Biodiversity recalled the Joint Statement by the Co-Chairpersons of the second meeting of the Ad Hoc Open-ended Informal Working Group to study issues relating to the conservation and sustainable use of marine biological diversity beyond areas of national jurisdiction, established by General Assembly, and registered support for the scientific criteria for the identification of ecologically or biologically significant marine areas in need of protection developed in the context of the Convention on Biological Diversity, The Sargasso Sea is one such area that is considered to be of high priority, as is recognised by the Clearing-House Mechanism of the Convention on Biological Diversity which lists the Sargasso sea as an EBSA (Ecologically or Biologically Significant Area - https://chm.cbd.int/database/record?documentID=200098).

Annex 14 of the Project Document captures information provided by expert consultants from five developing countries that have a growing dependency on eel fishing and/or propagation through aquaculture and then exportation. These countries include the Dominican Republic, Cuba, Haiti, Jamaica and Morocco. This Annex offers useful guidance on the importance of the Sargasso Sea in the context of the goods and services that it provides as an ecosystem beyond its geographical boundaries. The full reports from these consultants are available on the Sargasso Sea Commission website (http://www.sargassoseacommission.org/publications-and-news). These reports were commissioned as part of the PPG process to capture basic information on the value and importance of goods and services arising from the Sargasso Sea ecosystem.

All of the five countries report a fairly wide distribution of eels in their rivers and coastal systems (Anguilla anguilla in Morocco and A. rostrata in the other four countries). In-country consumption is limited for all five countries (with the exception of Asian communities) and eels (both wild-caught and those raised in aquaculture facilities) are primarily for export to Asian and North American markets where there is a high demand. With the placement of A. anguilla on CITES Appendix II there is an increasing demand and more interest in fishing for A. rostrata.

The fishery has both economic importance for the countries and direct livelihood importance for the fishermen ., Eel fishing can be an important subsistence activity for poorer families in these countries. In Haiti for example, although eel is not commonly consumed in country, eel fishing improves the economic conditions for many fishing families who are otherwise discouraged from other forms of traditional fishing due to material costs.

Legislation and management vary across these five countries in the context of levels of regulation and enforcement., There are incidence of 'black-market' fisheries in some countries and, as prices increase, the illegal trade has also grown. Conservation measures also vary from country to country and it is further recongised that effort is needed to improve knowledge on population dynamics and scientific monitoring of this species as well as the importance of international cooperation to this end.

It is clear, therefore, that the Sargasso Sea Geographical Area of Collaboration is of significant important to many countries by way of the goods and services it provides as an ecosystem. The countries which provided this information on the value of the eel species during the PPG (and which directly benefit from these goods and services) will be engaged further in the Project during the development of the Ecosystem Diagnostic Analysis. They will also be engaged in the development of the Strategic Action Programme to provide suggestions and advice related to further conservation of these iconic species.

All of the countries recognise that more effective management protocols at the national level are important and should be developed. Adult eels need to survive in their home-ranges in sufficient numbers to be able to return to the Sargasso Sea for spawning. However, such management protocols at the national level will be of little value if the spawning grounds and early life-stages are not protected. Similarly, sufficient numbers of glass eels and elvers need to return to their home ranges to keep the species flourishing and sustainable.

This Project will provide opportunity for member States of the relevant RFMOs (NAFO and ICCAT) to better fulfil their obligations under "The United Nations Convention on the Law of the Sea (UNCLOS)", in particular Articles 116 to 119 on conservation and management of the living resources of the high seas and other relevant articles. The project will also work closely with the signatories and RFMOS to address the global requirement to reduce as much as possible the Illegal, Unreported and Unregulated (IUU) fishing, as specifically requested in various fisheries instruments such as the "Agreement to Promote Compliance with International Conservation and Management Measures by Fishing Vessels on the High Seas (the Compliance Agreement)", the "Agreement on Port State Measures to Prevent, Deter and Eliminate IUU fishing (Port State Measures Agreement)", the "Code of Conduct for Responsible Fisheries (the Code)" and the "International Plan of Action to Prevent, Deter and Eliminate IUU Fishing (IPOA-IUU)".

The Project will also respond to concerns from various meetings of the Parties to the Convention on Biological Diversity (CBD) about the serious threats posed by destructive fishing practices and IUU fishing to marine biodiversity beyond national jurisdiction, in particular in relation to overfishing and damage to seamounts and other ABNJ habitats and ecosystems.

Clearly, the Project further aims to help assist the signatories to the Hamilton Declaration on Collaboration for the Conservation of the Sargasso Sea and their partners to deliver conservation measures for the Sargasso Sea ecosystem, including through an area-based ecosystem management approach and coordination and cooperation across a wide range of stakeholders and responsible institutions/bodies, including neighbouring LME management mechanisms, and the Sargasso Sea Commission with its mandate to "exercise a stewardship role for the Sargasso Sea and keep its health, productivity and resilience under continual review."

Its is also consistent with addressing a number of the challenges identified by the IOC UNESCO Decade on Ocean Science, especially in relation to research on science that will improve the general knowledge on ocean processes. The Project will also support national priorities by further addressing aspects related to a number of the SDG 14 targets and indicators as noted above under Global Benefits.

X. KNOWLEDGE MANAGEMENT.

At the Program level, the overall approach to knowledge management is to support the flow of Program and individual child project results, lessons learned and best practices and other knowledge products, to, and from, both global, regional and national policy and decision-making processes (such as RFMO science-management committees, BBNJ process), as well as exchange of knowledge between child projects and global repositories of relevant information (such as IW:LEARN), while harmonizing knowledge management within the child projects and across the Program as a whole. To do this the Program will utilize its main partners and others as information conduits and platforms and build on existing lessons and best practices, including from GEF-5, as well as on relevant lessons from other relevant projects, programs, initiatives and evaluations. A key element of the Program's coordinated programmatic approach will aim to help promote two-way interaction between program and project levels and ensure harmonized action, strong coherence and linkages between all levels, and ensure that projects 'talk to each other' as well as help foster partner ownership of Program activities and results. KM activities will tap into Program partners' platforms and their networks, and be carried out in close consultation with all program partners and their respective knowledge management services.

The child projects, including the Sargasso Project, will coordinate and interact with the overall Program to contribute to sustained uptake and scaling out of impacts by ensuring that lessons learned are effectively systematized and fed into knowledge hubs and disseminated to stakeholders both within and beyond the Program. In doing so, the Sargasso Project will work with the Program to help to fill knowledge gaps at global, regional and national levels and support the creation of larger more relevant knowledge sources (relevant to more stakeholders) that will help improve availability and use of data and science by the public, decision- and policy-makers, and private sector and in turn support better, more informed decision-making on sustainable utilization of ABNJ resources. Equally, the Program will contribute to the effectiveness of child project investments by ensuring that they respond to lessons learned regionally and globally and to the cutting edge of science and best practice by linking them to existing regional and global knowledge management platforms and hubs and technical communities of practice. These are likely to include: IW:LEARN, Ocean Biogeographic Information System (OBIS), International Council for the Exploration of the Sea (ICES), IOC-UNESCO's Global Ocean Observing System (GOOS) and International Oceanographic Data and Information Exchange (IODE), Ocean+ Data, and the Ocean Data Platform. The Program and child projects are expected to particularly assist in further building the IW:LEARN network, through strong engagement in the GEF biennial IW Conferences and sharing of experiences and production of IW:LEARN Experiences Notes and newsletters. Project support to IW:LEARN has been reflected in the KM budget. The Program will provide a common analytical framework to organize and analyze information gathered by the different child projects, collect and share best practices, lessons learned, and innovative solutions to ABNJ issues across the Program, and ensure that key target audiences are kept informed of the Program and individual child project objectives, activities and achievements.

The Knowledge Management and Communications Strategy of the Program will aim to define the audiences targeted and determine the particular knowledge management goals for each target audience. Target audiences include: program partners including RFMO Member States; relevant national government agencies; private sector representatives, e.g. seafood industry; representatives from oil and gas, shipping, cable, and mining sectors; academia; environmental NGOs; civil society groups and the general public; and the donor community, in particular the GEF.

The Sargasso Project has an entire Component dedicated to Knowledge Management and Communications (Component 4) and an associated strategy to ensure that key target audiences are aware of each project's objectives, activities and achievements, that processes are put in place to facilitate the synthesis, exchange and uptake of project-specific lessons learned, best practices, and expertise generated during project implementation, and to support monitoring and adaptive management of each project. The effectiveness of the this strategy will be reviewed annually through the appropriate indicators to monitor and evaluate the impact of knowledge exchange and learning activities included in the results framework as part of the Monitoring and Evaluation framework. These annual reviews will take into account new innovative approaches and developing technology in knowledge management and effective communication as required.

Consequently, the Sargasso Project has an entire Component dedicated to Knowledge Management (Component 4). The Indicators of Knowledge Management and associated targets under this Component include:

INDICATOR 13: Innovative mechanism for handling large and diverse data sets is developed through a data management and handling platform	A data platform handling/management mechanism is established (through confirmed partners) and has begun to be 'populated' and its analysis results and performance are the subject of a Conference.	Data Platform fully functional and guiding scientific analysis and adaptive management decisions
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	A series of high-quality contributions to the scientific literature as well as the popular literature and press Knowledge arising from the Project activities is being fed into a review process and appropriate actions are being taken	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 Lessons and Practices from the Sargasso Sea Project are formally documented and available for use by other ABNJ management strategies as appropriate along with an End-of Project Workshop on Lessons & Best Practices

GEF funding allocated to this Knowledge Management Components is $652,950 and from co-financing is $8,711,500.

There are a number of other areas within the Project and in other Components which address Knowledge Management. The timeline for delivery is throughout the Project lifetime with specific steps and activities defined in the Multi-Year Work Plan in the Full Project Document (Annex 3). Key Deliverables will be:

- A set of best lessons and practices (captured at Mid Term and End-of-Project) for effective application and distribution to support other planned ABNJ management processes. These will also help to identify and pitfalls and actions to be avoided.
- Information packages that will be disseminated through a communications strategy and which aim to inform appropriate government bodies and regional entities. Knowledge products, services and assets will 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).
- 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. The Sargasso project will establish linkages between the project website and the IW_LEARN website and share its Mid Term and Final Lessons and Practices with IW:LEARN in

coordination with the GCP Child project. The Sargasso Project will also provide IW:LEARN with 'Experience Notes' and other appropriate capacity building and training materials

- 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.

Component 3 of the Sargasso Project also includes an Activity to: 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 has a GEF allocation of $16,000 with co-financing to be identified at that stage of the Project (i.e. the development of the SAP Implementation Plan in the final year of the Project).

At the 'Child-to-Child' level, the Sargasso Child Project will specifically interact with the relevant Components and intended Outputs of the Global Coordination (Child) Project for the Common Oceans ABNJ Program as follows:

2.1.1 Integrated Program and Child Project communication strategy developed and implemented with common messaging and guidance for coordinated, consistent and harmonized dissemination of knowledge.

The Sargasso Child Project will coordinate with the GCP Child Project in its earliest stages to develop a common and integrated communications strategy in order to ensure consistency and a harmonised dissemination strategy for knowledge that benefits not only the Sargasso Project stakeholders but all of the Programmatic stakeholder

2.1.2 Guidance and support provided to the projects for consistent and harmonized dissemination of knowledge products that capture lessons learned.

The Sargasso Child Project will liaise and interact with the GCP Child Project, seeking its guidance on ensuring that lessons learned and best practices are effectively captured and disseminated to all appropriate programmatic stakeholders

2.3.1 Consistent and branded outreach for civil society and stakeholders of knowledge and results communicated by Child Projects and coordinated at the Program level

The Sargasso Child Project will liaise and interact with the GCP Child Project in the context of Project branding and outreach strategies in delivering knowledge and results. The GCP will provided the appropriate coordination for this process with the Sargasso Child Project and the other Child Projects.

XI. TOTAL BUDGET AND WORK PLAN

Total Budget and Work Plan			
Atlas Award ID:	00139036	Atlas Output Project ID:	0012886
Atlas Proposal or Award Title:	Strengthening the stewardship of an economically and biologically significant high seas area – the Sargasso Sea		
Atlas Business Unit	UNDP1		
Atlas Primary Output Project Title	Strengthening the stewardship of an economically and biologically significant high seas area – the Sargasso Sea		
UNDP-GEF PIMS No.	6526		
Implementing Partner	IOC UNESCO		

GEF Component/Atlas Activity	Responsible Party/ (Atlas Implementing Agent)	Fund ID	Donor Name	Atlas Budget Account Code	ATLAS Budget Description	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Amount Year 4 (USD)	Total (USD)	See Budget Note:
COMPONENT 1: IMPROVED KNOWLEDGE BASE TO SUPPORT A COLLABORATIVE, ADAPTIVE ECOSYSTEM-BASED STEWARDSHIP APPROACH	IOC/UNESCO	62000	GEF TF	71200	International Consultants	$122,084	$95,620	$49,772	$15,724	$283,200	1
				71400	Contractual Services - Individual	$11,200	$12,000	$12,000	$4,800	$40,000	2
				71600	Travel	$5,800	$5,600	$5,600	$5,000	$22,000	3
				72100	Contractual services (Companies)	$21,160	$13,800	$8,280	$2,760	$46,000	4
				72400	Comm & Audio Visual Equip	$10,120	$6,600	$3,960	$1,320	$22,000	5
				72500	Supplies	$5,106	$3,330	$1,998	$666	$11,100	6
				74200	AudVisPrint	$920	$600	$360	$120	$2,000	7
				74500	Miscell. Expenses	$5,014	$3,270	$1,962	$654	$10,900	8
				75700	Train, Work & Conf	$256,450	$167,250	$100,350	$33,450	$557,500	9
				Total Outcome 1		**$437,854**	**$308,070**	**$184,282**	**$64,494**	**$994,700**	
COMPONENT 2: DEVELOPMENT OF A STRATEGIC ACTION PROGRAMME FOR ADDRESSING THREATS AND	IOC/UNESCO	62000	GEF TF	71200	International Consultants	$25,000	$25,500	$47,760	$47,740	$146,000	10
				71400	Contractual Services - Individual	$2,575	$5,425	$10,000	$9,000	$27,000	11

STRENGTHENING STEWARDSHIP THROUGH COLLABORATION AND CONSERVATION OF THE SARGASSO SEA ECOSYSTEM				71600	Travel	$1,500	$1,500	$1,500	$1,500	$6,000	12
				72100	Contractual services (Companies)	$1,525	$4,575	$12,200	$12,200	$30,500	13
				72400	Comm & Audio Visual Equip	$600	$1,800	$4,800	$4,800	$12,000	14
				72500	Supplies	$250	$750	$2,000	$2,000	$5,000	15
				73300	Info Tech. Equip	$600	$1,800	$4,800	$4,800	$12,000	16
				74500	Miscell. Expenses	$50	$150	$400	$400	$1,000	17
				75700	Train, Work & Conf	$15,930	$47,790	$127,440	$127,440	$318,600	18
					Total Outcome 2	**$48,030**	**$89,290**	**$210,900**	**$209,880**	**$558,100**	
COMPONENT 3: PARTNERSHIPS AND COLLABORATION FOR THE SUSTAINABILITY OF THE NATURAL RESOURCES OF THE SARGASSO SEA ECOSYSTEM	**IOC/UNESCO**	**62000**	**GEF TF**	71200	International Consultants	$0	$25,000	$25,000	$25,000	$75,000	19
				71400	Contractual Services - Individual	$0	$10,000	$10,000	$5,000	$25,000	20
				72100	Contractual services (Companies)	$0	$0	$0	$16,000	$16,000	21
				72400	Comm & Audio Visual Equip	$0	$0	$0	$12,000	$12,000	22
				72500	Supplies	$0	$0	$0	$2,500	$2,500	23
				75700	Train, Work & Conf	$0	$0	$0	$134,000	$134,000	24
					Total Outcome 3	**$0**	**$35,000**	**$35,000**	**$194,500**	**$264,500**	
COMPONENT 4: KNOWLEDGE MANAGEMENT, MONITORING AND EVALUATION	**IOC/UNESCO**	**62000**	**GEF TF**	71200	International Consultants	$30,520	$36,432	$30,600	$29,448	$127,000	25
				71300	Local Consultants	$60,000	$60,000	$60,000	$60,000	$240,000	26
				71400	Contractual Services - Individual	$7,050	$6,780	$5,875	$3,795	$23,500	27
				71600	Travel	$7,710	$7,196	$6,425	$4,369	$25,700	28
				72100	Contractual services (Companies)	$7,950	$7,420	$6,625	$4,505	$26,500	29
				72400	Comm & Audio Visual Equip	$1,575	$1,470	$1,313	$892	$5,250	30

				72500	Supplies	$420	$392	$350	$238	$1,400	31
				73300	Info Tech. Equip	$1,560	$1,456	$1,300	$884	$5,200	32
				74200	AudVisPrint	$7,400	$7,944	$6,500	$5,100	$26,944	33
				75700	Train, Work & Conf	$66,450	$62,020	$55,375	$37,655	$221,500	34
				Total Outcome 4		**$190,635**	**$191,110**	**$174,363**	**$146,886**	**$702,994**	
				71200	International Consultants	**$5,250**	**$5,250**	**$5,250**	**$5,250**	**$21,000**	25
				71600	Travel	**$5,250**	**$5,250**	**$5,250**	**$5,250**	**$21,000**	28
				75700	Train, Work & Conf	**$30,000**	**$0**	**$0**	**$0**	**$30,000**	34
				Total M & E above inOutcome 4		**$40,500**	**$10,500**	**$10,500**	**$10,500**	**$72,000**	
Project Management Unit	**IOC/UNESCO**	**62000**	**GEF TF**	71200	International Consultants	$32,500	$32,500	$32,500	$32,500	$130,000	35
				74100	Prof Services	$600	$560	$500	$340	$2,000	36
				Total PMU		$33,100	$33,060	$33,000	$32,840	$132,000	
					ANNUAL AND PROJECT TOTAL	**$709,619**	**$656,530**	**$637,545**	**$648,600**	**$2,652,294**	

Summary of Fund	Year 1	Year 2	Year 3	Year 4	Total
GEF	$709,619	$656,530	$637,545	$648,600	**$2,652,294**
Government (FFEM)	$440,660	$417,596	$383,000	$290,744	**$1,532,000**
Other Donors	$9,282,454	$8,695,078	$7,814,014	$5,464,512	**$31,256,058**
TOTAL	$10,437,733	$9,766,704	$8,832,059	$6,403,856	**$35,440,352**

Note	Budget Note Description
1	Ecosystem Diagnostic Analysis Technical Inputs by CTA = $30,000; EDA Tech Dev and Review Board Development and Management by CTA = $30,000; TD&R body for EDA - Members= $33,000; Ecosystem Valuation Specialist = $26,000; Gaps Analysis CTA input = $25,000, 4 other members of Gaps Analysis Team = $72,000; CTA - Input to CB&T workshops/training = $25,000. 5 Trainers for CB&T workshops = $42,200. **Total = $283,200**
2	Running workshop for value-chain calculation = $2,500; Running workshop on an effective ecosystem approach = $2,000; Organise and run annual review of data information gaps = $8,000; Organise capacity building and training assessment of gaps and weaknesses = $6,500; Organise and run training workshops during course of Project = $21,000. **Total = $40,000**
3	Travel for EDA Expert = $6,000; Travel for Ecosystem Valuation Expert = $6,000. Travel for Gaps Analysis Team = $10,000. **Total = $22,000**

4	Workshop Venue Revision of EDA after Peer Review = $2,000; Conference Venue for Stakeholders to adopt Final EDA Document = $2,000; Venue for effective ecosystem approach $4,000; Workshop venue to finalise report on value of ecosystem = $4,000; Venue to prioritise gaps in data = $2,000; Venue to agree options for gaps-analysis with partners = $2,000; Venues for annual review of data and info gaps = $4,000; Venue for capacity needs and infrastructure for monitoring and identify infrastructure needs = $6,000; Venues for Training workshops and courses = $20,000. **Total = $46,000**
5	Comms and Audio support to meeting to adopt draft EDA by Tech Board = $1,500; Comms and Audio support to stakeholder meeting to adopt final EDA = $1,000; Support to Value-Chain Analysis workshop/meeting = $3,500; Support for effective ecosystem approach workshop = $2,000; Support to Report on Value of Ecosystem = $2,000; Support to workshop on information gaps = $1,000; Support to Gap-filling partnership workshop = $1,000; Support to annual data review = $2,000; Support to monitoring needs workshop = $2,500; Support to training workshops = $5,500. **Total = $22,000**
6	Supplies to support following meetings: EDA Peer Review= $500; Value -Chain $2,000: Ecosystem Approach Workshop = $1,000; Ecosystem Value = $1,000; Info Gap-filling options = $1,000; Annual Data Reviews = $1,000; Capacity weaknesses and needs = $1,600; CB&T Workshops = $3,000. **Total = $11,100**
7	Printing/Publishing Costs for: Report on Ecosystem Valuation and Approaches. T**otal = = $2,000**
8	Miscellaneous costs for: EDA adoption = $200; Value-Chain Calculations $4,800; Ecosystem Management Scenarios = $1,000; Report on Value of ecosystem = $1,000; Identifying gap-filling options = $400; Annual review of data gaps = $1,000; Capacity Needs = $1,000; CB&T workshops = $1,500. **Total = $10,900**
9	Workshop/Conference costs (Flights, DSAs) for following: Revision workshop on EDA following Peer Review = $20,000; Stakeholder Adoption Meeting for final EDA document = $45,000; Value Chain linkages = $40,000; Cost Benefit Analysis of the Ecosystem Approach = $40,000; Finalise report on ecosystem approach value and cost-effectiveness = $40,000; Info Gaps and Needs = $15,000: Partnership workshop on gap-filling options and responsibilities = $70,000; Data and Info Annual Review = $80,000; Capacity weaknesses and needs = $70,000; CB&T workshops (5 workshops @ 10 persons each)= $137,500. **Total = $557,500**
10	Threat/Risk mitigation analysis and response inputs from CTA = $20,000. Threat/Risk mitigation analysis and response group = $45,000; Partnership on potential impacts from Climate Change = CTA input = $20,000. rest of partnership = $36,000; SAP Dev and Drafting work by CTA= $25,000. **Total = $146,000**
11	Organisation and running of: Regular monitoring and review process to ID risk, impacts, emerging issues, etc. = $8,000; Regular publication of Monitoring and Review findings = $8,000; Stakeholder meeting for SAP objectives and aims = $5,500; Adoption of SAP - formal workshop and conference= $5,500. **Total = $27,000**
12	Travel for data capture related to ISA. Total = $6,000
13	Workshop and Conference/Meeting Venue costs for data presentation and discussions with IMO = $5,500; Identifying partnership stakeholder roles and activities =$4,000; Regular Monitoring and Review process = $3,000; Publication of M&R findings = $3,000; SAP Dev & Drafting = $2,500; Stakeholder SAP objectives meeting = $2,500; Revision of SAP = $3,000; Final Revision of SAP = $3,000; Formal Adoption of SAP = $4,000. **Total = $30,500**
14	Comms and Audio Visual Equipment rental for: Partnership meeting = $1,000; Regular Monitoring and Review process = $2,000; Publication review for M&R process = $1,500; SAP Dev and Drafting Team = $1,500; Stakeholder review of SAP objectives = $1,500; First SAP Revision = $1,500; Final Sap Revision = $1,500; Formal adoption of SAP = $1,500. **Total = $12,000**
15	Supplies to support following activities: Partnership/stakeholder roles and activities = $1,000; Regular Monitoring and Review = $1,500; Publication of M&R = $1,000; Revision of SAP text = $500; Final SAP revision = $500; Formal Adoption of SAP = $500. **Total = $5000**
16	Information Technology Equipment to support the regular Monitoring and Review to identify threats, potential risks and impacts as well as emerging issues. **Total = $12,000**
17	Miscellaneous costs in support of: Regular Monitoring and Review Process = $500; Publications of Reviews = $500. **Total = $1,000**
18	Workshop/Conference costs (Flights, DSAs) for following: Discussions with IMO PSSA = $10,000; Identification/allocation of partnership/stakeholder roles and activities = $55,000; Establishing the regular Monitoring and Review process = $58,000; Procedures for regular publication of the M&R= $70,000; SAP Dev and Drafting = $15,000; Stakeholder SAP Objectives and Aims = $38,000; SAP Drafting review = $15,000; Final SAP revision = $15,000; Formal Adoption Meeting for SAP = $42,600. **Total = $318,600**
19	CTA to undertake SAP Implementation Planning = $25,000; CTA to undertake SAP Budget Formulation = $25,000; CTA to develop/draft SAP Implementation Project = $25,000. **Total = $75,000**

20	Organising and running negotiations on: Reconfirmation of Scientific and Technical Monitoring requirements = $5,000; Defining a strategy for a collaborative ecosystem approach = $7,000; Update CB&T requirements that need to be addressed by SAP = $3,000; Formulation of budget and funding requirements needed to support SAP = $5,000; Drafting of further initiative/Project to implement SAP = $5,000. **Total = $25,000**
21	Workshop and Conference/Meeting Venue costs for: Agreement with stakeholders on road-map for adoption of SAP = $2,000; Confirmation of partnerships and inputs to SAP Implementation = $2,000; Scientific and Technical Monitoring Requirement needs under SAP implementation = $2,000; Adaptive Management mechanism for the SAP = $2,000; Comms and Knowledge Management Methodologies under SAP = $ 2,000; CB& T needs assessment and agreement for SAP = $2,000; Budget and funding requirements for SAP Implementation = $2,000; SAP Implementation Project Development = $2,000. **Total = $16,000**
22	Comms and Audio Visual Equipment rental for: Road-Map for SAP meeting = $1,500; Partnership inputs to SAP = $1,500; Scientific and Tech. Monitoring = $1,500; SAP workshop for an ecosystem approach workshop = $1,500; Comms and Knowledge Management workshop = $1500; CB&T Needs workshop = $1,500; SAP Budget and funding workshop = $1,500; SAP Implementation/Project Development workshop = $1,500. **Total = $12,000**
23	Supplies to support following meetings and activities: Road-Map for SAP = $500; Partnerships Input to SAP = $500; Comms and Knowledge = $500; CB&T for SAP = $500; Budget and Funding = $500. **Total = $2,500**
24	Workshop/Conference costs (Flights, DSAs) for following: Road-map for SAP Implementation = $26,000; Partnerships for SAP = $8,000; Review of Scientific and technical monitoring needs for SAP = $21,000; SAP mechanism formulation = $22,000; SAP Comms and Knowledge management = $12,000; SAP CB&T needs = $12,000; Budget and funding for SAP = $18,000; SAP implementation Project Development = $15,000. **Total = $134,000**
25	CTA to undertake Project achievements review at Half-way point = $20,000; CTA to capture new potential ecosystem-related SAP response mechanisms in ABNJ = $20,000; CTA to produce Final Report on Lessons and Practices = $20,000; CTA to produce Experience Notes for IW:LEARN = $20,000; CTA to oversee information management and Communications Officer = $20,000 Mid-Term and Terminal Evaluations = $27,000. **Total = $127,000**
26	Contract for Communications Officer. **Total = $240,000**
27	Organising and running negotiations on: end-of-Project lessons and practices = $3,500; 'Big Data' Platform establishment = $10,000; Briefings on the SAP ecosystem approach= $10,000. **Total = $23,500**
28	Travel to support the Mid Term Reviewer = $5,000; Travel for review of final achievements = $4,500; for Travel for Comms Officer = 13,200; Travel for MTR and TE Consultants = $3,000. **Total = $25,700**
29	Workshop and Conference/Meeting Venue costs for: end-of-Project lessons and practices workshop = $1,500; Briefings on the SAP ecosystem approach = $1,000; ; IW and LME meetings = $4,000; Project Steering Committee organisation = $20,000**. Total = $26,500**
30	Comms and Audio Visual Equipment rental for: End-of-Project Lessons workshop = $1,250; Project Steering Committee Meetings = $4,000. **Total = $5,250**
31	Supplies to support following meetings and activities: Updates and Briefings on the SAP ecosystem approach = $1,000; Project Steering Committee meetings = $400. **Total = $1,400**
32	Information Technology Equipment to support the establishment of a 'Big Data' platform. **Total = $5,200**
33	Printing/Publishing Costs for: End-of-Project lessons and practices report = $5,000; Reports from 'Big Data' Platform = $6,944; Adaptive management briefings and reports = $10,000. **Total = $26,944**
34	Workshop/Conference costs (Flights, DSAs) for following: Project Achievements Review (half-way) = $20,000; Final Achievements review = $19,500; End-of-Project Lessons and practices workshop = $20,000; Workshops related to 'Big Data' platform = $32,000; SAP ecosystem approach briefings and update workshops = $30,000; Project Steering Committee meetings = $100,000; (including $30,000 for Inception Workshop). **Total = $221,500**
35	Project Manager/Chief Technical Advisor (N.B. This is an international Consultancy post. Specific functions and deliverables are covered by Components and their Outputs above). **Total = $130,000.**
36	Auditing (Mainly covered from FFEM Budget). **Total = $2,000**

XII. LEGAL CONTEXT

This Project forms part of an overall programmatic framework under which several separate associated activities will be implemented. When assistance and support services are provided from this Project to the associated country level activities, this document shall be the "Project Document" instrument referred to in: (i) the respective signed SBAAs for the specific countries; or (ii) in the Supplemental Provisions to the Project Document attached to the Project Document in cases where the recipient country has not signed an SBAA with UNDP, attached hereto and forming an integral part hereof. All references in the SBAA to "Executing Agency" shall be deemed to refer to "Implementing Partner."

This Project will be implemented by the IOC of UNESCO ("Implementing Partner") in accordance with its financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply.

The designations employed and the presentation of material on this map do not imply the expression of any opinion whatsoever on the part of the Secretariat of the United Nations or UNDP concerning the legal status of any country, territory, city or area or its authorities, or concerning the delimitation of its frontiers or boundaries.

XIII. RISK MANAGEMENT

1. IOC-UNESCO as the Implementing Partner will comply with the policies, procedures and practices of the United Nations Security Management System (UNSMS.)

2. In the implementation of the activities under this Project Document, IOC-UNESCO as the Implementing Partner will handle any sexual exploitation and abuse ("SEA") and sexual harassment ("SH") allegations in accordance with its regulations, rules, policies and procedures. Notwithstanding the foregoing, the IOC-UNESCO as the Implementing Partner, will notify UNDP of any such allegations and investigations it may conduct further to such allegations.

3. IOC-UNESCO as the Implementing Partner will ensure that the following obligations are binding on each responsible party, subcontractor and sub-recipient that is not a UN entity:

    a. Consistent with the Article III of the SBAA, the responsibility for the safety and security of each responsible party, subcontractor and sub-recipient and its personnel and property, and of IOC-UNESCO's property in such responsible party's, subcontractor's and sub-recipient's custody, rests with such responsible party, subcontractor and sub-recipient. To this end, each responsible party, subcontractor and sub-recipient shall:

        i. put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the Project is being carried;
        ii. assume all risks and liabilities related to such responsible party's, subcontractor's and sub-recipient's security, and the full implementation of the security plan.

    b. IOC-UNESCO reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the responsible party's, subcontractor's and sub-recipient's obligations under this Project Document.

c. In the performance of the activities under this Project, IOC-UNESCO as the Implementing Partner shall ensure, with respect to the activities of any of its responsible parties, sub-recipients and other entities engaged under the Project, either as contractors or subcontractors, their personnel and any individuals performing services for them, that those entities have in place adequate and proper procedures, processes and policies to prevent and/or handle SEA and SH.

4. IOC-UNESCO agrees to undertake all reasonable efforts to ensure that none of the [Project funds][16] [UNDP funds received pursuant to the Project Document][17] are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml.

5. Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (http://www.undp.org/ses) and related Accountability Mechanism (http://www.undp.org/secu-srm).

6. The Implementing Partner shall: (a) conduct Project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the Project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other Project stakeholders are informed of and have access to the Accountability Mechanism.

7. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or Project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to Project sites, relevant personnel, information, and documentation.

8. The Implementing Partner will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, responsible parties, subcontractors and sub-recipients in implementing the Project or programme or using the UNDP funds. The Implementing Partner will ensure that its financial management, anti-corruption and anti-fraud policies are in place and enforced for all funding received from or through UNDP.

9. The Implementing Partner and UNDP will promptly inform one another in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

   Where the Implementing Partner becomes aware that a UNDP Project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, the Implementing Partner will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). The Implementing Partner shall provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

10. UNDP shall be entitled to a refund from the Implementing Partner of any funds provided that have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of this Project Document. Such amount may be deducted by UNDP from any payment due to the Implementing Partner under this or any other agreement. Recovery of such amount by UNDP shall not diminish or curtail the Implementing Partner's obligations under this Project Document.

    Where such funds have not been refunded to UNDP, the Implementing Partner agrees that donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities under this Project Document, may seek recourse to the Implementing Partner for the recovery of any funds

16 To be used where UNDP is the Implementing Partner
17 To be used where the UN, a UN fund/programme or a specialized agency is the Implementing Partner

determined by UNDP to have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

Note: The term "Project Document" as used in this clause shall be deemed to include any relevant subsidiary agreement further to the Project Document, including those with responsible parties, subcontractors and sub-recipients.

11. Each contract issued by the Implementing Partner in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract execution, and that the recipient of funds from the Implementing Partner shall cooperate with any and all investigations and post-payment audits.

12. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the Project, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.

13. The Implementing Partner shall ensure that all of its obligations set forth under this section entitled "Risk Management Standard Clauses" are passed on to each responsible party, subcontractor and sub-recipient and that all the clauses under this section entitled "Risk Management" are included, *mutatis mutandis*, in all sub-contracts or sub-agreements entered into further to this Project Document.

XIV. ANNEXES

Annex 1: Project Map and Geospatial Coordinates of Project Site

Annex 2: Causal Chain Analysis

Annex 3: Multi Year Work Plan

Annex 4: Monitoring Plan

Annex 5: UNDP Social and Environmental Screening Procedure (SESP)

Annex 6: UNDP Risk Register

Annex 7: Overview of Project Staff and Technical Consultancies

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Annex 11: GEF Core indicators

Annex 12: GEF 7 Taxonomy

Annex 13: GEF Budget Template

Annex 14: Status of the Eel Fishery in five Countries that are Dependent on Eel migration from the Sargasso Sea Ecosystem for livelihoods and export

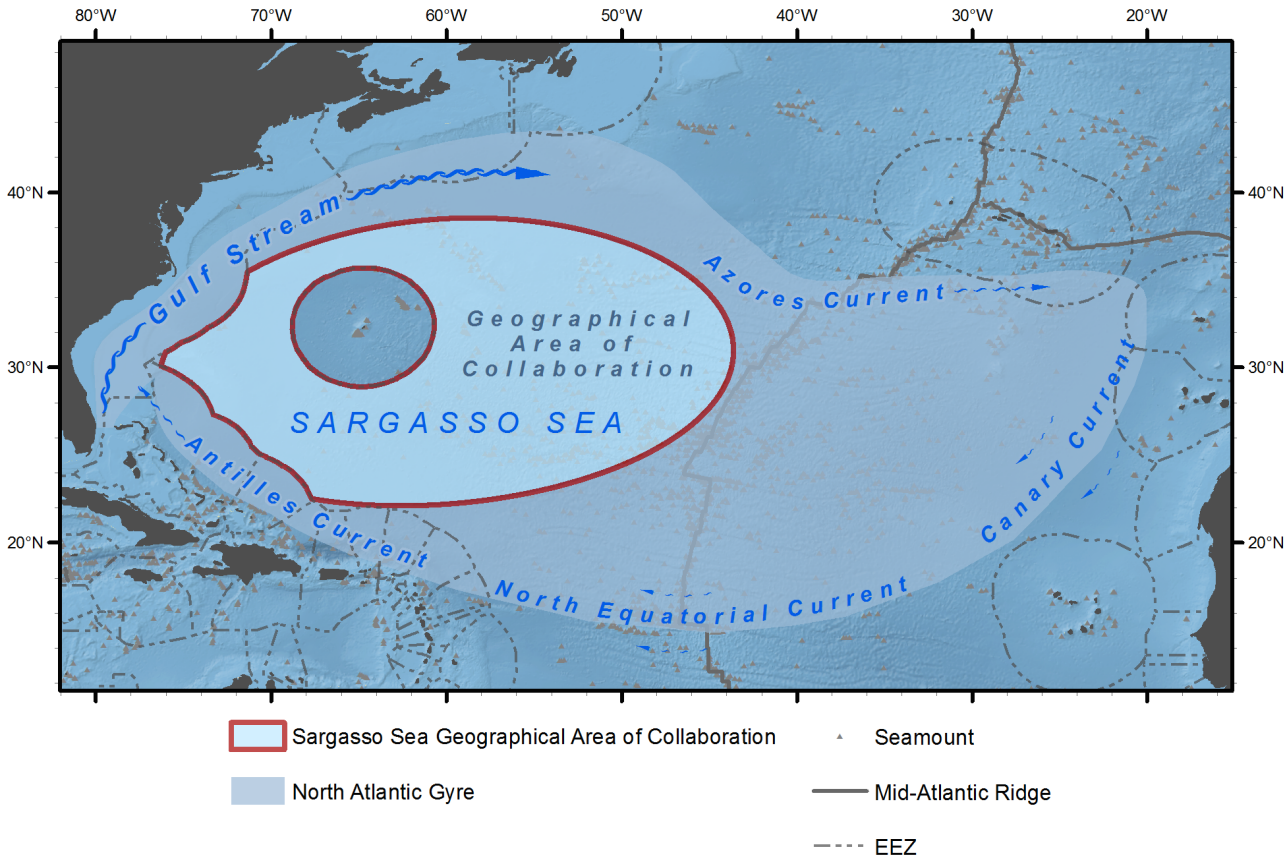
Annex 15: World Ocean Assessment 2021 - Chapter Seven. The Sargasso Sea

Annex 16: UNDP Quality Assessment Check List

Annex 1: Project Map and Geospatial Coordinates of Project Site

THE SARGASSO SEA GEOGRAPHICAL AREA OF COLLABORATION AND THE HAMILTON DECLARATION

The map below indicates the Sargasso Sea "Geographical Area of Collaboration" (as annexed to the Hamilton Declaration[18]) including some of the major features that influence overall boundary definition and location. The line around Bermuda represents the innermost boundary of the area marking the edge of the 200 nm Bermuda EEZ.



[18] http://www.sargassoseacommission.org/about-the-commission/hamilton-declaration

Annex 2: Preliminary Causal Chain Analysis

To be reviewed confirmed and defined in detail through the Ecosystem Diagnostic Analysis

POTENTIAL THREAT TO ECOSYSTEM	ENVIRONMENTAL IMPACT	SOCIOECONOMIC IMPACT	IMMEDIATE CAUSE	ROOT CAUSE	BARRIERS
Fisheries					
Bycatch of non-target species unknown	Potential for overfishing of fish stocks and other endangered, threatened and protected marine species if reporting on catch returns is NOT accurate or frequent leading to an overall change in the ecosystem, species interactions and connectivity beyond the Sargasso Sea	Potential for overfishing of some stocks/species if catch returns and reporting are NOT accurate leading to collapse in fisheries revenues and livelihoods Risk of removal of too many non-target species to the detriment of the overall ecosystem and its species connectivity	Effort and catch data not available or incomplete By-catch data not collected or incomplete	Data not being captured and/or recorded by RFMOs and not being shared Absence of (or insufficient) observer coverage on fishing vessels	Inadequate incentives, mechanisms and oversight in place for effective fisheries management and to control fishery access and effort
Increasing fishing pressure within and adjacent to Sargasso Sea ecosystem	Probability of ecological changes and likelihood of permanent damage to ecosystem services	Smaller catches (spp. and overall size) for greater effort impacting on welfare of dependent fishermen and on food security	General increase in global fishing effort along with stricter management measures in other areas leading to displacement of effort Consequently, more fishing vessels targeting the area	Increased demand for fish as protein source Need for jobs	Global population growth and economic growth increasing overall demand for fish protein including that harvested from Sargasso and linked ecosystems
Fishing pressure on eels outside of Sargasso Sea ecosystem	Fall in recruitment and number of adults return to spawn Impact on food chains within the ecosystem and possibly beyond	Reduction or collapse in legal eel fisheries with subsequent social and economic impacts (Europe, N. America, Dom. Rep and Haiti, possible Algeria & Morocco)	Increases fishing pressure in recruitment rivers and coastal areas; reduced CPUE; obstructions on rivers (e.g. dams etc.) Parasitism (e.g. the nematode *Anguillicola crassus*) adversely affecting migration	Over-licensed 'legal' fishery Growth of 'illegal' fishery Uncontrolled aquaculture related eel shipments Insufficient data on eel fisheries to inform ecosystem-based catch limits	Inadequate management of eel fishery in coastal/estuary areas 'home-range' rivers Inadequate monitoring and 'sterilisation' of shipping processes for eels used in aquaculture (to eradicate parasites)
Impacts from Shipping and land-based pollutants					
Discharges from vessels:	Localised toxicity and possible mortality near discharge area	Difficult to determine as could affect a number of commercial species in the ecosystem	Illegal or accidental discharge inconsistent with existing laws and regulations	Illegal – vessels know they are not being adequately monitored	Poor enforcement and inadequate monitoring of vessels for IMO compliance

POTENTIAL THREAT TO ECOSYSTEM	ENVIRONMENTAL IMPACT	SOCIOECONOMIC IMPACT	IMMEDIATE CAUSE	ROOT CAUSE	BARRIERS
Mainly chemical discharges which could have significant toxic effects Also, plastics which contain or absorb toxins and break down into microplastics	(depending on type of discharge) Ingestion leading to fatality for many species and bioaccumulation in food webs	Potential for tainted flesh of commercial spp. and transmission of microplastics up the food chain to humans General mortality issues with deaths of charismatic spp.	Widespread rise in plastic pollution into the ocean including that discharged illegally from ships as well as from land-based sources	Accidental - inadequate vessel design or maintenance; poor crew training Accumulation of plastic from distant sources as a result of the 'gyre' effect of boundary currents	Overdependence and inadequate management of plastics outside of the Sargasso Sea ecosystem
Abandoned, lost or otherwise discarded fishing gear	Ghost fishing; entanglement. Threat thereby to endangered or threatened spp.	Minimal – primarily social concerns over entanglements and deaths of 'popular' species Some financial loss to fishing companies that experience net loss	Fishing gear accidentally lost or deliberately abandoned (including FADs) or discarded from vessels	Operational factors (weather, failure of equipment, etc.) Illegal fishing operations along with cost-effectiveness to discard No other economic choice 'Lost' gear, either misplaced or damaged/destroyed by other vessels/other fishing practices	IUU fishing practices and poor enforcement Lack of 'reception' facilities for unwanted fishing gear plus economic cost of keeping on-board (space) Fishing with static gear in shipping lanes Poor records and tracking on FAD deployment Lack of incentives and technologies that facilitate net recovery and reuse
Introduction of Alien Species e.g. Invasive species carried in ship ballast water and/or fouled hulls	Possible incursions by invasive species which may identify ecological niches to occupy leading to potential competition and/or predation on 'native' species can cause alterations in ecosystem structure and functioning	Potentially harmful to commercial species Potentially harmful to other threatened or endangered species	Introduction primarily through passing vessels (commercial and recreational) Possibility of 'aquarium' species making their way to the Sargasso Sea	Transportation by hull fouling and by ballast water and bilge discharges Aquarium releases (accidental and deliberate)	Inadequate global regulations on transportation of alien species by shipping and recreational vessels Inadequate enforcement and compliance of global regulations (e.g. Global Convention on Ship's Ballast Water)

POTENTIAL THREAT TO ECOSYSTEM	ENVIRONMENTAL IMPACT	SOCIOECONOMIC IMPACT	IMMEDIATE CAUSE	ROOT CAUSE	BARRIERS
					Inadequate social awareness among aquarists of threats from invasives
Impacts from vessels (to cetaceans, Sargassum mats), including noise	Direct impacts on surface species (cetaceans, turtles, etc.) Damage to integrity of Sargassum mats Potential impacts of noise on native and migratory spp.	Primarily social concerns over animal welfare Potential for disturbance of migratory routes or specific life-cycle activities	General vessel movements within the SS ecosystem	No clearly demarcated shipping lanes designed to minimize impacts on threatened species	Inadequate management of vessel movements and shipping within the ecosystem No Particularly Sensitive Sea Area demarcations
Other Commercial Activities					
Potential harvesting of Sargassum	Habitat destruction Widescale alteration of the ecosystem Loss of habitat for endemic or migratory species (fish, turtles, etc.) Loss of carbon sequestration by Sargassum	Probable loss of income and food security for a large proportion of population that depends on associated fisheries Alteration and possible loss of a unique and enigmatic ecosystem	Possible growing interest in Sargasso harvesting by commercial enterprises	Problems with Sargassum weed in other parts of the world encouraging harvesting technique and economic development of this resource	Lack of any global regulations/ban on harvesting within the Sargasso Sea Ecosystem
Future seabed exploration (minerals)	Habitat destruction Potential toxicity	Long-term loss of unique slow-growth benthic habitat types which may support important biological and genetic materials	Direct damage to seabed at and around mining areas which tend to be associated with seamounts or unique habitat types Indirect damage to water quality and adjacent areas from sediment plumes	Inappropriate approval mechanisms for licences for exploration and exploitation	Currently inadequate global Strategic Environmental Assessment of risks from seabed mining Licensing of exploration and exploitation with insufficient environmental impacts assessment

POTENTIAL THREAT TO ECOSYSTEM	ENVIRONMENTAL IMPACT	SOCIOECONOMIC IMPACT	IMMEDIATE CAUSE	ROOT CAUSE	BARRIERS
					Absence of effective monitoring procedures
Impacts from cables and cable-laying	Seabed disturbance (minimal) Species interaction with cables	No apparent impact Previous concern with cetacean entanglements	Physical alteration of immediate substrate on laying and repair Attraction of sharks and possibly other marine life to electromagnetic fields (Now resolved with introduction of fibre optic cable) Repair sites used to create coiling which could lead to entanglement	Laying and/or burying the cable Old style telegraphic cables produced EM signals Outdated methodology - now replaced (e.g. torsional balancing of cables to avoid coiling at repair sites)	Primarily old methodology – now replaced consistently with fibre optic cables and new cable laying technology – a minimal concern now as a threat
Impacts from Climate Change & Acidification arising from GHG Emissions					
Shift in intensity and direction of ocean currents; movement of frontal systems; Changes in vertical water column stratification	Changes in animal and plant distributions Interference with eel spawning and migration to and from adult home-ranges Interruption/interference with migratory routes for other spp. Changes in productivity and spawning within the ecosystem	Probable loss of income and food security for a large proportion of population that depends on associated fisheries Alteration and possible loss of a unique and enigmatic ecosystem	Increased sea surface temperature Switches in North Atlantic Oscillation caused circulation changes leading to seeding of Sargassum into the tropical Atlantic and subsequent damaging Sargassum blooms	Primarily increased GHG emissions causing sea surface warming, acidification and deoxygenation Changes in ocean circulation as a result of variation in ocean/atmosphere interactions	Insufficient global policy and regulatory mechanisms to effectively mitigate GHG emissions causing global climate change Insufficient data over adequate periods of time to understand trends and develop adaptive management measures if feasible Potential mitigation actions perceived to have adverse impacts on global economies
Warming of the upper (300m) layer of the water column in Sargasso Sea Ecosystem; reduction in natural upwelling rate due to increased stratification	Seasonal changes in plankton productivity impacting food webs, lifecycles and migrations within the ecosystem Alteration in ranges of different spp. of Sargassum with northward movement of *S. natans viii* into Sargasso Sea (a Sargassum Sp. which supports less biodiversity than previously dominant Sargassum sp.)	Possible loss of income and food security for a large proportion of population that depend on associated fisheries Changes in the entire Sargasso ecosystem if Sargassum spp. dominance is altered. Probable changes and possible loss of unique and enigmatic ecosystem			

POTENTIAL THREAT TO ECOSYSTEM	ENVIRONMENTAL IMPACT	SOCIOECONOMIC IMPACT	IMMEDIATE CAUSE	ROOT CAUSE	BARRIERS
	Reduced levels of dissolved 02 affecting metabolism (e.g. tuna, marlin, etc.	Risk of widespread socioeconomic damage due to stranding of massive blooms Loss of local fish and turtle spp. caught up in the blooms			
Increased salinity	Impacts on various marine life trying to regulate intake of saltwater and balance body fluids. This may lead to changes in migratory patterns and the overall balance of organisms within the ecosystem Impacts on ocean currents and global conveyor belt (including Gulf stream) as increased salinity alters water density	Probable loss of income and food security for a large proportion of population that depends on associated fisheries Changes in currents and gyre leading to alteration and possible loss of unique and enigmatic ecosystem	Increased sea surface temperature leading to increased evaporation Changes in ocean current dynamics		
Falling pH and increased acidity resulting from lowered pH	Reduction in availability of carbonate ions for calcifying organisms including some plankton groups Pressures on metabolic rates and growth of marine organism Potential increase in Harmful Algal Blooms (HABS) Cumulative effect of increased acidity and SST lead to generally detrimental effects on overall ecosystem Increased mortalities and deformities in larval tuna	Changes in organism presence and density as well as size could alter trophic chains and threaten fisheries HABs can negatively affect most oceanic life-forms Potential for significant declines in tuna population Overall change in biodiversity within ecosystem	Increased carbon uptake by ocean (about 30% of anthropogenic CO2 dissolves into the ocean) along with increased sea surface temperature		

Annex 3: Multi Year Work Plan

Numbers in boxes represent the timing for realising Indicator Targets as per the Results Framework (A - Mid-Term Review, B = Terminal Evaluation)																			
PROJECT OUTCOMES	PROJECT OUTPUTS	OVERALL PROJECT ACTIVITIES & DELIVERABLES	YEAR 1				YEAR 2				YEAR 3				YEAR 4			
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.	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	5A														
		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			4A	5B													

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	X												
		Draft report circulated to stakeholders and partners for comment and amendment as appropriate					6A	A											
		Finalise an overall report and guidance on the value of the ecosystem for use in the development of the SAP							6B	6B									
Outcome 1.3: Knowledge and Information capture and analysis to support effective stewardship (N.B. Capacity building and training under this Outcome will target 50;50 male	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	X												
		Identifying and agreeing options for gap--filling through partnerships and stakeholders (MoUs)						8A											
		Adoption of a science and technical programme for data and information capture						X	X										
		Annual review of data and information gaps								X	X			X	X				
		Adoption of a long-term partnership-based Science Monitoring Programme for monitoring Ecosystem health							8B	4B	X	X	X	4B	X	X	X	4B	
		identification of weaknesses in capacity to support long-term monitoring of the Sargasso Sea Ecosystem and training and infrastructure requirements needed to rectify				9A					X					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				9B		9B		9B		9B		9B		9B			

to female balance)																		
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. (N.B. Target of 60% of publications to include female authors)	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	X											
		Data capture to feed into regional environmental planning at the International Seabed Authority				X	X											
		Threat/Risk mitigation analysis and response group established						X	X									
		Establishment of a specific group of partners to consider the potential impacts from climate change							X									
		Identification/allocation of partnership/stakeholder roles and activities for delivering on priority actions to remove or mitigate threats and risks								10 A								
		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								X			X				X	
		Establish a procedure for regular publication of Monitoring and Review findings (e.g. Sargasso 'State of the Marine Environment and Socioeconomics')											10 B	X	X	X	X	X
		Identify the required mechanisms to integrate the above processes into a long-term implementation plan for the Strategic Action Programme													X	X		
Outcome 2.2. Priority actions to strengthen collaborative stewardship endorsed by	2.2.1: A Strategic Action Programme defining the priority actions, endorsed by the institutions, partners and	Establish a SAP Development and Drafting team involving appropriate stakeholders and partners including relevant private sector representation								11 A								
		Clearly define the objectives and the 'content' of the SAP with the various stakeholders and particularly with the Hamilton Declaration Signatories								X								
		Populate' the various sections of the SAP document (with a clear emphasis on sustainability of SAP actions									X							

various partner institutions and other stakeholders to support actions for the conservation and sustainable use of the Sargasso Sea.	collaborators supporting partnerships for implementation of conservation processes within the Sargasso Sea	and appropriate gender balance and women's empowerment where appropriate)																	
		First Draft of SAP circulated to appropriate stakeholders and partners for comment									X								
		SAP Development and Drafting team review and revise SAP text as appropriate following comments										X							
		Second Draft to Stakeholders and partners.										X	X						
		Final revision of SAP											X	X					
		Endorsement of the Strategic Action Programme for the Stewardship of the Sargasso Sea													11 B				
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	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.	Establish a SAP Implementation Planning Group to guide and monitor the following activities													12 A				
		Define and approve a road-map (timing and work-plan) for long-term implementation of the SAP													X				
		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													X				
		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														X	X		
		Provide the results of monitoring and any emerging scientific and technical issues and concerns to the attention of responsible and/or mandated parties														X	X		
		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)														X	X		

		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)															X	
		Formulate a budget and funding needs for SAP Implementation beyond this Project identifying sources wherever possible															X	
		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															X	12 B
COMPONENT 4: KNOWLEDGE MANAGEMENT, MONITORING AND EVALUATION																			
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	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	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								X	X								
		Coordinate the development and presentation of these lessons with the GCP prior to sharing with the various stakeholders and partners for comment									X								
		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 and to establish an Exit Strategy for the Project														X	X	14 A	
		Coordinate the development and presentation of these lessons with the GCP prior to sharing with the various stakeholders and partners for comment																X	X
		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																	X
		Organise/hold an end-of-Project 'lessons and practices' international-level workshop in collaboration with the GCP to share experiences and discuss other options for ABNJ stewardship/management																14 A	X
	4.1.2: Information packages developed and disseminated	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		X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X

and branding.	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.	needed to support the Project as well as to inform partners and stakeholders																	
		Conference on the use of data analytics and use with associated peer-reviewed publications	X	X	X	X													
		Establish a complex data set handling platform to deal with predictive analytics with appropriate guidance from and linkages					X	X	13 A										
		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			14 B			14 B			14 B			14 B			14 B		
		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						14 B			14 B			14 B			14 B		
		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			14 A			14 A		14 A					14 A				
	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																
		Send Mid-Term Lessons and Practices Report to IW:LEARN								X	X								
		Send a final report on Lessons and Practices to IW:LEARN														X	14 B		
		Provide IW:LEARN with 'Experience Notes' and other appropriate capacity building and training materials							X	X						X	X		
		Attendance at various appropriate International Waters Conferences and other GEF-related workshops and meetings (e.g. LME workshops)				X				X				X					X
	4.1.4: Effective ongoing Project	Adoption/formation and functioning of a Project Steering Committee	X			X			X			X			X				X
		Recruitment of Project Staff/Lead Consultants	X	X															

	Monitoring and Evaluation	Quarterly and Annual reviews of progress (Quarterly Reports and PIRs) with main focus on RF Indicators and Targets	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
		Mid-Term and Terminal Evaluations								X	X							X	X	
		UNDP 'on-site' Project review meetings				X				X				X					X	

Annex 4: Monitoring Plan

The Project Coordinator will collect results data according to the following monitoring plan.

Monitoring	Indicators	Description	Data Source/Collection Methods	Frequency	Responsible for Data Collection	Means of Verification	Assumptions and Risks
Project objective from the results framework	Direct Project beneficiaries	Total: 8470 Male: 3752 Female: 4718	Report with evidence to MT Review and Terminal Evaluator	Mid- term and Terminal	PCU/Project Coordinator	Revisit original sources for data as updated	Assumes original data sources have been updated since or new sources are available. (If the information sources have been found once then it is most likely that can be sought out once again for verification)
	Area of marine habitat under improved practices to benefit biodiversity	685 Million hectares of ABNJ with improved practices and enhanced monitoring strategies	Reports to Project Steering Committee and from 'lessons learned ' exercises	End of Project	Project Steering Committee (PSC); PCU	Confirmation by TE through signatories and stakeholders; PIRs	Project will be successful in establishing cooperation amongst partners and stakeholders through a SAP (the primary aim of the Project as discussed with all the stakeholders and partners)
	Number of shared water ecosystems (fresh or marine) with improved cooperation	1	Reports to Project Steering Committee and from 'lessons learned ' exercises	End of Project	Project Steering Committee (PSC); PCU	Confirmation by TE through signatories and stakeholders; PIRs	Political will among Hamilton Declaration Signatories is strong enough to support improved cooperation

Monitoring	Indicators	Description	Data Source/Collection Methods	Frequency	Responsible for Data Collection	Means of Verification	Assumptions and Risks
							within an ecosystem approach
Component 1	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 actions being taken to address these	Ecosystem Diagnostic Analysis (EDA) completed by Mid-Term (confirmed by MTR) Annual report on the ongoing monitoring of baseline parameters (as established in EDA) which also identifies trends in impacts, threats and improvements and guiding adaptive responses (appropriate policy documents and decisions available to TE)	The Ecosystem Diagnostic Analysis (EDA) Monitoring of the ecosystem through identified partnership/stakeholder roles regular publication of Monitoring and Review findings	EDA by Mid Term Annual reports yearly following Mid-Term. Briefing documents on the findings from the EDA and subsequent monitoring processes	Partners in the EDA process Various Project stakeholders with assigned activities Partners in the Monitoring and Review process Mid Term Review	Final EDA Report Available and approved by PSC Annual monitoring reports to PSC and relevant stakeholders and subsequent briefing documents related to the ecosystem approach	Stakeholder engagement and establishment of Partnerships is successful (most of these have already been agreed and written into budget and c-funding)
	Compilation of current organizations related to Sargasso Sea leading to actions for increased cooperation within the Strategic Action Programme	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	Review of existing institutional arrangements and collaboration /cooperation as part of EDA process (1.1.1) SAP drafting and development team SAP signatories	MTR to ensure review and assessment in EDA TE to ensure adopted SAP includes a realistic mechanism for collaboration and cooperation	Mid Term Reviewer Terminal Evaluator	Review of organisations and their collaboration / cooperation in the EDA Cooperative structure proposed and adopted through SAP	Needs to identify a workable mechanism of collaboration within an ecosystem approach that is acceptable to and can be adopted by the SAP signatories.
	Raised awareness generally of the long-term value of this ecosystem and its goods and services supporting the need for improved cooperation	An Ecosystem Valuation Report drafted and circulated to all Commissioners, Signatories and appropriate partners/collaborators for feedback.	Ecosystem Valuation process (1.2.1)	Ecosystem Valuation Report by Mid-Term review Ecosystem Valuation used as justification in SAP by TE	Ecosystem Valuation Technical Team SAP Development and Drafting Team PSC	Ecosystem Valuation Report approved by PSC Adopted SAP include ecosystem valuation data and information	Ecosystem Valuation provides sufficient cause and justification to support cooperation within the SAP (existing

Monitoring	Indicators	Description	Data Source/Collection Methods	Frequency	Responsible for Data Collection	Means of Verification	Assumptions and Risks
	(through published articles and other media distributions)	Final Ecosystem Valuation Report adopted and used to 'inform' the SAP			Hamilton Declaration Signatories	as justification for cooperation	valuation evidence already presents the beginnings of a strong case)
	Current and potential future conservation and sustainable use bodies advised on different practices and their actual values	A draft report provides initial information on ecosystem goods and services with associated figures Briefings providing guidance on protection and conservation of ecosystem goods and services circulated to appropriate bodies	Ecosystem Valuation process (1.2.1) Briefings and similar information documentation	Ecosystem Valuation Report by Mid-Term review	Ecosystem Valuation Technical Team PSC Communications Officer	Ecosystem Valuation Report approved by PSC	Ecosystem valuation Report received by senior managers and decision-makers that form part of the 'stakeholder' body for the Sargasso Sea i.e. the Hamilton Declaration Signatories, other GEF-Eligible partner countries, etc. (this would be an element of the negotiated SAP)
	Partnerships and collaborations with SSC following a clear road-map to fill gaps in knowledge and information and effective distribute this knowledge and information	Partnership Agreements (MoUs) as appropriate) adopted to support filling of data and information gaps and to develop a monitoring programme A long-term 'partnership-based' Science Monitoring Programme (SMP) drafted and adopted by PSC and Partners	MoUs SMP documentation	MoUs by Mid-Term (and reviewed annually) SMP by Mid-Term and annual reports	PCU PSC Stakeholder workshops on Science Monitoring Programmes	MoUs (PIR & MTR) SMP Documentation (PIR & MTR)	MoUs are adopted (acceptable) by various partners (subject of negotiation but expected by the partners) Sufficient capacity and funding to support an on-going SMP (this has been identified

Monitoring	Indicators	Description	Data Source/Collection Methods	Frequency	Responsible for Data Collection	Means of Verification	Assumptions and Risks
							through both the GEF funding & budget as well as the co-funding partners)
	Capacity to monitor the Sargasso Sea ecosystem expanded and strengthened	Capacity Building and Training needs identified and partners for CB&T adopted Relevant Capacity Building and Training Workshops (3) and Training Courses (4) delivered: Male attendance = 50% Female attendance = 50%	CB&T gaps analysis CB&T workshops and courses reports	Approximately every 6 months from end of first year	Annual review of data and CB&T gaps PSC reviews of workshop reports MTR and TE	CB&T 'Weaknesses' identified as part of the gaps analysis (1.3.1) along with agreed partnerships to address Training workshops delivered (4 by MTR and a total of 7 by TE)	Assumes that partners are willing to support CB&T workshops and training and/or funds are available. (many partners already identified and agreed; Project budget and co-funding addresses costs)
Component 2	The actions to address impacts and threats to the ecosystem are negotiated and endorsed by SSC, Signatory Countries and other partners.	All actions have been endorsed by stakeholders at the MTR Formal scientific and/or professionally recognised publications define the actions that have been endorsed along with a preliminary road-map/work-plan for activities (60% of publications include female authors)	Threat/Risk mitigation analysis and response group established Data capture to analyse environmental impacts from shipping Data capture to feed into regional environmental planning at the ISA Establishment of a specific group of partners to consider the potential impacts from climate change	Progress reports in PIR All established reporting/reported by MTR Ad Hoc scientific publications as data available	PCU PSC MTR Scientific experts and partners (publications)	Report on impacts from shipping Report on potential impacts from mining Partners report on the potential impacts from climate change Scientific publications	Assumes data warrants additional steps through the IMO or ISA.

Monitoring	Indicators	Description	Data Source/Collection Methods	Frequency	Responsible for Data Collection	Means of Verification	Assumptions and Risks
			Publications define actions needed and/or taken				
	A negotiated Strategic Action Programme endorsed by the main stakeholders and accepted by other partners and collaborators.	A SAP Development Drafting Team established with broad representation from the stakeholders 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)	Details of team and functions Strategic Action Programme	Established once prior to Mid Term Review Adopted SAP available to TE	SAP Development Drafting Team PSC Mid Term Reviewer Terminal Evaluator	Team members and ToRs identified and information available to MTR Final adopted SAP with all appropriate sections and agreed actions	Assumes the appropriate stakeholders can accept and endorse a SAP for the Sargasso Sea (this is an endorsed approach by the stakeholders based on the original Child Concept document)
Component 3	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	SAP Development Team has produced first draft of SAP A fully developed and endorsed initiative to support the implementation of the SAP post-Project	SAP Proposal for SAP Implementation (UNDP GEF submission document)	SAP available by TE UNDP GEF draft submission available by TE	PSC SAP Implementation Planning Group UNDP	TE SAP document UNDP GEF draft Submission for SAP Implementation	Assumes sufficient progress and success in this initial Project to ensure support for further funding (this would be most likely the case if the Project has arrived at an adopted SAP by TE)
Component 4	Innovative mechanism for handling large and diverse date sets is established through a Big Data platform	A data platform handling/management mechanism is established (through confirmed partners) and has begun to be 'populated' and its analysis	Big Data Analysis Team established Conference documentation 'Platform' publications	Through annual PIRs Conference and platform by MTR	Big Data Analysis Team PSC	Report from a Conference on Big Data management TE establishes existence of a	Partnerships to work on Big Data capture and analysis can be established and agreed (much of this has already

Monitoring	Indicators	Description	Data Source/Collection Methods	Frequency	Responsible for Data Collection	Means of Verification	Assumptions and Risks
		results and performance are the subject of a Conference. Big Data Platform fully functional, monitoring sustainability of natural resources and guiding scientific analysis	Adaptive Management Briefings and Guidelines		All Sargasso Sea Management Stakeholders	'fit-for-purpose' Data Platform	been discussed and agreed during Project development)
	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	A series of high-quality contributions to the scientific literature as well as the popular literature and press Knowledge arising from the Project activities Briefing documents are circulated to managers and policy makers with responsibilities/mandates related to activities in the Sargasso Sea or influenced by it as a process for informing management and policy bodies that is responding to the results of a monitoring process Lessons and Practices from the Sargasso Sea Project are documented and available for use by other ABNJ management strategies as appropriate along with an End-of Project Workshop on	Scientific publications Adaptive Management Briefings and Guidelines Mid Term and Terminal Lessons and Best Practices	Annual PIRs Reports to PSC Mid-Term Review TE	PCU PSC UNDP MTR TE	Mid Term and Terminal Lessons and Best Practices documentation captured in reports	High-quality science is available for publication (most likely in view of high quality scientific partnerships already negotiated) Stakeholders (Senior management and decision-makers) are prepared to act on Adaptive Management guidelines Lessons and {practices are of value to other water bodies (most likely as this is one of the first ABNJ/BBNJ Projects)

Monitoring	Indicators	Description	Data Source/Collection Methods	Frequency	Responsible for Data Collection	Means of Verification	Assumptions and Risks
		Lessons & Best Practices (Score 1)					

Annex 5: UNDP Social and Environmental Screening Procedure (SESP)

Social and Environmental Screening Template (2021 SESP)

Project Information

Project Information	
1. Project Title	**Strengthening the stewardship of an economically and biologically significant high seas area – the Sargasso Sea**
2. Project Number (i.e. Atlas project ID, PIMS+)	PIMS 6526
3. Location (Global/Region/Country)	International Waters (Areas beyond National Jurisdiction) in the North Atlantic Ocean
4. Project stage (Design or Implementation)	Design – Pre-endorsement
5. Date	August 15, 2021

Part A. Integrating Programming Principles to Strengthen Social and Environmental Sustainability

QUESTION 1: How Does the Project Integrate the Programming Principles in Order to Strengthen Social and Environmental Sustainability?
Briefly describe in the space below how the project mainstreams the human rights-based approach

The Hamilton Declaration on Collaboration for the Conservation of the Sargasso Sea forms the principal foundation for this Project. The Hamilton Declaration establishes the guiding principle to conserve the Sargasso Sea ecosystem for the benefit of present and future generations and further states that the 1982 United Nations Convention on the Law of the Sea sets out the legal framework within which all activities in the oceans and seas must be carried out, including the obligation to protect and preserve the marine environment. The United Nations Convention on the Law of the Sea embraces various human rights concepts that relate to the activities of this project and its deliverables. These include the right of innocent passage; freedom of the high seas; the common heritage of mankind which includes the requirement that all activities be carried out for the benefit of mankind as a whole and the understanding that all rights to the resources of an Area Beyond National Jurisdiction such as the Sargasso Sea are vested in mankind as a whole and such resources are not subject to alienation. The 1995 agreement for the implementation of UNCLOS relating to the Conservation and Management of Straddling Fish Stocks and Highly Migratory Fish Stocks, and related instruments recognises that the effective management of marine capture fisheries has been made difficult in some areas by unreliable information and data caused by unreported and misreported fish catch and fishing effort and that this lack of accurate data contributes to overfishing in some areas. Recognizing the significant contribution of sustainable fisheries to global food security, income, wealth and poverty alleviation for present and future generations, there is an urgent need for action at all levels to ensure the long-term sustainable use and management of fisheries resources through the wider application of the precautionary approach and through the mitigation of illegal, unreported and unregulated fishing noting that such IUU may give rise to safety and security concerns for individuals on vessels engaged in such activities. The new international legally binding instrument (ILBI) current under negotiation within the United Nations takes a human rights perspective to regulating biodiversity beyond national jurisdiction (BBNJ), and countries have agreed that it must incorporate the 'common heritage of mankind' (CHM) principle. Without this, states will be left to exploit marine genetic resources (MGR) on a first-come, first-served basis, leading to global inequities.

The Sargasso Sea has an inherent socioeconomic value to humankind because of its existence as a unique ecosystem and home to rare and charismatic species. Based on all the best available science, the Sargasso Sea has been estimated to contribute significant values to the global community in the order of multi-millions to billions of US$. The objective of the proposed Child Project will be to assist the Sargasso Sea Commission, the signatories to the Hamilton Declaration and other partners to fulfil the mandate of the Declaration in exercising a stewardship role for the Sargasso Sea, to keep its health, productivity and resilience under continual review for all of human kind. Although the Sargasso Sea is an iconic high seas ecosystem, its governance is typical of most high seas areas – in that human activities are regulated purely on a sectoral basis – with no overarching co-ordination framework that can detect governance gaps or cumulative impacts of such activities. This new stewardship approach pilots and promotes closer interaction and partnership

Briefly describe in the space below how the project is likely to improve gender equality and women's empowerment

Gender diversity for this Project is reflected within the representation of women in the Government Focal points of the Signatory Governments (5 out of 10) and in the Secretariat (50%). Two of the seven current Commissioners are women and the Commission is striving to increase this participation. The Project has little control over the human activities taking place within the Sargasso Sea – such as international shipping and fishing which are traditionally male oriented, but it can ensure gender and other diversity in its staff, the stakeholders with which it engages, and the meetings and processes that it convenes. As per GEF and UNDP requirements, a Gender Analysis and Mainstreaming Plan (GAMP) has been prepared and annexed to the Project Document which identifies its four primary goals as:

- Strengthening institutional capacities, improving the situation of equality between men and women and ensuring women's empowerment.
- Assessing and steering the project's activities, as well as the direct and indirect benefits of the project, in order to promote gender equality.
- Supporting the equal participation of men and women in the project, especially at the decision-making level.
- Establishing indicators that effectively help to measure progress towards gender equality.

The GAMP includes a comparative table showing how each Component and Output has associated gender-related activities and responses. It also notes that 'specific resources will be allocated through the EDA process to identify any opportunities for improving gender equality and mainstreaming and these will also be in place during the development of the SAP'. The text specifically notes that the EDA process itself will include a section on gender equity and potential for women's empowerment which will have its own consultancy funded by the project. The Results Framework for the project identifies mid-term and end-of-project gender-related indicators both in the overall Objective and in the appropriate Outcomes

Briefly describe in the space below how the project mainstreams sustainability and resilience

The project is specifically designed to improve and mainstream environmental sustainability in an area beyond national jurisdiction. The Project will aim to deliver an effective example of long-term sustainable management, using the precautionary approach, through stewardship, supported and guided (through an adaptive management process) by on-going and continuous monitoring of the ecosystem and its goods and services. This will demonstrate and maintain sustainability of socioeconomic interests and food security related to this unique ecosystem. Further system changes include the improved conservation of an economically and ecologically/biologically significant ecosystem. The demonstration and sharing of this process and the consequent Lessons and Best Practices will hopefully provide opportunities to further catalyze system changes elsewhere, particularly in other ABNJ. Through this process of demonstration and knowledge distribution, along with the private sector partnerships already established and to be established, it is intended to mainstream environmental sustainability at the level of Areas Beyond National Jurisdiction into the activities and policies of the resource exploiters and beneficiaries, particularly the private sector including the shipping and fishery industries among others. Under **Outcome 1.1 Quantified threats and impacts identified along with their immediate and root causes establishing a baseline for on-going monitoring and adaptive management** project activities will specifically focus on capturing any risks, threats and emerging concerns related to gender mainstreaming, climate change, ocean acidification. Furthermore, the Ecosystem Diagnostic Analysis delivered through this Outcome will identify the baseline on socioeconomics (Fisheries, tourism, dependent livelihoods, shipping, etc.).Both of these will be achieved through the inputs from the various partnerships and stakeholder agreements. The information from this stage of the project will be used develop risk-informed management processes and associated early warning systems, capacity building and preparedness as part of the Strategic Action Programme (SAP), The Project aims to develop a Sustainability Strategy as an integral part of the SAP which will which identify the partners and funding needs to support all of the requirements of the SAP and thus secure a sustainable ecosystem-based management approach for the Sargasso Sea. The overall ecosystem sustainability of ABNJ at the global level will be further supported through the sharing and distribution of specific lessons and best practices from this GEF initiative.

Briefly describe in the space below how the project strengthens accountability to stakeholders

The existing collaborations and partnerships developed through the Sargasso Sea Commission and during project development have some considerable history of success already and this will help to ensure further the long-term uptake and sustainable impact of this project into the future. In particular, there will be close and regular engagement with the appropriate existing and mandated regional bodies in such measures as are designed to regulate and eliminate IUU fishing and other destructive fishing practices and to promote a more effective science-based management approach for the ecosystem. Consequently, the project will take advantage of the many partnerships already created through the Sargasso Sea Commission as well as those that have been realised during the preparation of the Project Document. Such partnerships will be very important to both the Ecosystem Diagnostic Analysis process as well as the implementation of the Strategic Action Programme itself. Table 3 in the Project Document provides a detailed list of partnerships and stakeholders along with their roles and Involvement in the project. This was developed and agreed through in-depth discussions and negotiations with these partners and stakeholders. Annex 8 in the project Document provides a full Stakeholder Engagement Plan including a discussion of engagement methods and communication practices as well as a specific timetable for stakeholder engagement which highlights the intended interactions. The Plan also outlines the grievance mechanism that stakeholders can access if required.

The Project will set aside resources for effective stakeholder engagement as highlighted in the Multi-Year Work-Plan thorough its annual workplan and budget review and adoption and through approval by the Steering Committee.

Part B. Identifying and Managing Social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks? *Note: Complete SESP Attachment 1 before responding to Question 2.*	**QUESTION 3: What is the level of significance of the potential social and environmental risks?** *Note: Respond to Questions 4 and 5 below before proceeding to Question 5*			**QUESTION 6: Describe the assessment and management measures for each risk rated Moderate, Substantial or High**
Risk Description (broken down by event, cause, impact)	***Impact and Likelihood (1-5)***	***Significance (Low, Moderate Substantial, High)***	***Comments (optional)***	***Description of assessment and management measures for risks rated as Moderate, Substantial or High***
Risk 1: That some duty-bearers (e.g. government agencies) may not have or achieve the capacity to meet their obligations in the project? Human rights: P.2	I = 3 L =1	**Low**	The principal government agencies involved in the Project , in the development of the EDA and who would be endorsing the Strategic Action Programme and its objectives and actions would be the Hamilton Declaration Signatories. These currently include Azores, Bahamas, Bermuda, British Virgin Islands, Canada, Cayman Islands, Dominican Republic, Monaco, UK and US and these countries are all formally committed to the requirements of the Hamilton Declaration in pursuing conservation measures for the Sargasso Sea ecosystem and to exercise a stewardship role for the Sargasso Sea and keep its health, productivity and resilience under continual review; and to further develop a work programme and action	

			plans for the conservation of the Sargasso Sea ecosystem. Consequently, the project is specifically designed to achieve its aims through a wide range of government, intergovernmental, NGO, academic and private sector partners to create the enabling conditions to significantly enhance the conservation, protection and sustainable use of the ecologically significant Sargasso Sea. In the absence of the project, both the Impact and Probability of negative environmental impacts on this unique ecosystem (e.g. in a 'business as usual' context) would be higher. The SAP will be prepared in a highly participatory, inclusive manner, including close examination of the roles and needs of stakeholders at community level where relevant (e.g. glass eel fishery) and any requirements for capacity building which is a standard focus within such a GEF Strategic Action Programme. While the specific content of the SAP cannot be predicted in advance, the exercise will most certainly lead to proposed actions which are environmentally sustainable, equitable and gender responsive.	
Risk 2: The project may inadvertently sustain and/or reproduce gender discrimination: Principle 3 Gender: p. 10	I=2 L=2	**Low**	Because of the 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 However, 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.	
Risk 3: The project may result in unintended downstream environmental and social impacts as a result of subsequent SAP implementation or newly emerging risks: Standard 1: 1.1.	I = 3 L= 1	**Low**	The initial causal chain analysis has identified that, because of the general increase in global fishing efforts and more fishing vessels targeting the Sargasso Sea, there is increased fishing pressure that has the potential to	

			negatively impact on the ecological changes and the likelihood of permanent damage to the ecosystem. Consequently, there is a slight but potential risk involved here that such threats and impacts could persist should the project be unable to deliver a comprehensive EDA leading to quality SAP. This is also generally true of the overall project objectives and aims inasmuch as the EDA process itself may well identify new/previously unidentified emerging risks, particularly from potential downstream environmental and social impacts and/or which may arise as a result of the SAP itself. The ESMF, as an integral process embedded within the EDA-SAP development will ensure that such risk and impacts will be identified in advance and either addressed/mitigated or appropriate responses agreed and adopted within the SAP. The project is specifically designed (using tried, tested and trusted mechanisms and approaches) to identify threats and harmful impacts to the overall ABNJ ecosystem and to threatened and endangered species which depend on the Sargasso Sea. It expressly aims to encourage improved stewardship mechanisms which will address these threats and SAP will be based on the best available	

			science which will in turn inform scientifically robust and defensible strategies and actions to further protect threatened species and the overall sustainability of the ecosystem and its good and services. The SAP itself will be developed and adopted through a rigorous stakeholder engagement process which is intentionally focused on avoiding this sort of risk, consequently the risk factor is deemed to be low	
Risk 4: Insufficient data on fisheries may lead to inadequate management measures and ecosystem based catch limits identified in the SAP. Standard 1: 1.4;	I = 2 L = 1	**Low**	The Project will promote data capture on fisheries through the EDA process and would then propose conservation and management strategies that will be captured in the SAP.	
Risk 5: The results of the project and downstream implementation of the SAP may be sensitive or vulnerable to the effects of climate change. Standard 2 Climate Change: 2.2	I =3 L=2	**Moderate**	Insufficient global policy and regulatory mechanisms to mitigate GHG emissions have the potential to negatively impact on both the vertical column stratification and prevailing currents which could ultimately contribute negatively to climate change. For 2.2., the Sargasso Sea as per the global ocean is already changing as a result of climate change, becoming warmer and more acidic and deoxygenating. In the absence of the Project, there will be insufficient data or monitoring to be able to foresee and predict such changes and to take mitigation or adaptive action. The project is designed to analyse and model possible	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. The project will also ensure that the status, adequacy and applicability of relevant climatic and disaster risk information is assessed throughout the project and if/when significant risks are identified, then further scoping and assessment of vulnerability; potential impacts and avoidance and mitigation measures including alternatives to reduce potential risks will be required. Through the Stakeholder Engagement Plan, the project will ensure that decision making on Climate Change and disaster risks during the development of the SAP is inclusive and risk informed while using a multi-hazard approach. Targeted Assessment: The Ecosystem Diagnostic Analysis will include a specific review and assessment of the threats

			impacts on the ecosystem from climate change and recognize and promote any associated adaptive management /stewardship requirements or guidelines For 2.4., there may be a requirement arising through the Project for re-routing shipping around this area to avoid impacts on the environment and species. This could, in principle, increase GHGs from ships. Thus it will be important to assess the cost/benefit which would be done through the cost-benefit and economic assessments that will form part of the Ecosystem Diagnostic Analysis	and impacts from climate change to the Sargasso Sea Ecosystem and its goods and services and those that depend on it for their livelihoods. The results from the EDA will be used to refine adaptive management measures under the Strategic Action Programme and will inform the project's SESA. Further management frameworks to mitigate any adverse impacts will be developed, established and embedded in the SAP.

	QUESTION 4: What is the overall project risk categorization?		
	Low Risk		
	Moderate Risk	**X**	
	Substantial Risk		
	High Risk		

	QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are triggered? (check all that apply)				
	Question only required for Moderate, Substantial and High Risk projects				
	Is assessment required? (check if "yes")	**X**			***Status? (completed, planned)***
	if yes, indicate overall type and status		**X**	Targeted assessment(s)	Gender analysis completed

			☐	ESIA (Environmental and Social Impact Assessment)	
			X	Ecosystem Diagnostic Analysis	Planned for early stages of project and will include all of the requirements for a Social and Environmental Screening Assessment (SESA)
	Are management plans required? (check if "yes)	**X**			
	If yes, indicate overall type		**X**	Targeted management plans (e.g. Gender Action Plan, Emergency Response Plan, Waste Management Plan, others)	Gender Analysis and Mainstreaming Action Plan Completed
			X	ESMF (Environmental and Social Management Framework)	Completed
	Based on identified <u>risks</u>, which Principles/Project-level Standards triggered?		**Comments (not required)**		
	Overarching Principle: Leave No One Behind				
	Human Rights				
	Gender Equality and Women's Empowerment				
	Accountability				
	1. Biodiversity Conservation and Sustainable Natural Resource Management				
	2. Climate Change and Disaster Risks	**X**	As with all such projects related to ecosystem management, climate change will inevitably pose a risk and a challenge. This risk alone has triggered a 'Moderate' risk rating overall		
	3. Community Health, Safety and Security				
	4. Cultural Heritage				
	5. Displacement and Resettlement				
	6. Indigenous Peoples				

	7. Labour and Working Conditions		
	8. Pollution Prevention and Resource Efficiency		

Final Sign Off

Final Screening at the design-stage is not complete until the following signatures are included

Signature	***Date***	***Description***
QA Assessor		UNDP staff member responsible for the project, typically a UNDP Programme Officer. Final signature confirms they have "checked" to ensure that the SESP is adequately conducted.
QA Approver		UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have "cleared" the SESP prior to submittal to the PAC.
PAC Chair		UNDP chair of the PAC. In some cases PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.

SESP Attachment 1. Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental Risks		
INSTRUCTIONS: The risk screening checklist will assist in answering Questions 2-6 of the Screening Template. Answers to the checklist questions help to (1) identify potential risks, (2) determine the overall risk categorization of the project, and (3) determine required level of assessment and management measures. Refer to the SES toolkit for further guidance on addressing screening questions.		
Overarching Principle: Leave No One Behind **Human Rights**		**Answer (Yes/No)**
P.1	Have local communities or individuals raised human rights concerns regarding the project (e.g. during the stakeholder engagement process, grievance processes, public statements)?	NO
P.2	Is there a risk that duty-bearers (e.g. government agencies) do not have the capacity to meet their obligations in the project?	YES
P.3	Is there a risk that rights-holders (e.g. project-affected persons) do not have the capacity to claim their rights?	NO
Would the project potentially involve or lead to:		
P.4	adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	NO
P.5	inequitable or discriminatory impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups, including persons with disabilities? [19]	NO
P.6	restrictions in availability, quality of and/or access to resources or basic services, in particular to marginalized individuals or groups, including persons with disabilities?	NO
P.7	exacerbation of conflicts among and/or the risk of violence to project-affected communities and individuals?	NO
Gender Equality and Women's Empowerment		

[19] Prohibited grounds of discrimination include race, ethnicity, sex, age, language, disability, sexual orientation, gender identity, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender and transsexual people.

P.8	Have women's groups/leaders raised gender equality concerns regarding the project, (e.g. during the stakeholder engagement process, grievance processes, public statements)?	NO
Would the project potentially involve or lead to:		
P.9	adverse impacts on gender equality and/or the situation of women and girls?	NO
P.10	reproducing discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	YES
P.11	limitations on women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? *For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being*	NO
P.12	exacerbation of risks of gender-based violence? *For example, through the influx of workers to a community, changes in community and household power dynamics, increased exposure to unsafe public places and/or transport, etc*.	NO
Sustainability and Resilience: Screening questions regarding risks associated with sustainability and resilience are encompassed by the Standard-specific questions below		
Accountability		
Would the project potentially involve or lead to:		
P.13	exclusion of any potentially affected stakeholders, in particular marginalized groups and excluded individuals (including persons with disabilities), from fully participating in decisions that may affect them?	NO
P.14	grievances or objections from potentially affected stakeholders?	NO
P.15	risks of retaliation or reprisals against stakeholders who express concerns or grievances, or who seek to participate in or to obtain information on the project?	NO
Project-Level Standards		
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management		
Would the project potentially involve or lead to:		
1.1	adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services?	YES

	For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes	
1.2	activities within or adjacent to critical habitats and/or environmentally sensitive areas, including (but not limited to) legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	NO
1.3	changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	NO
1.4	risks to endangered species (e.g. reduction, encroachment on habitat)?	YES
1.5	exacerbation of illegal wildlife trade?	NO
1.6	introduction of invasive alien species?	NO
1.7	adverse impacts on soils?	NO
1.8	harvesting of natural forests, plantation development, or reforestation?	NO
1.9	significant agricultural production?	NO
1.10	animal husbandry or harvesting of fish populations or other aquatic species?	NO
1.11	significant extraction, diversion or containment of surface or ground water? *For example, construction of dams, reservoirs, river basin developments, groundwater extraction*	NO
1.12	handling or utilization of genetically modified organisms/living modified organisms?[20]	NO
1.13	utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)[21]	NO
1.14	adverse transboundary or global environmental concerns?	NO
Standard 2: Climate Change and Disaster Risks		
Would the project potentially involve or lead to:		
2.1	areas subject to hazards such as earthquakes, floods, landslides, severe winds, storm surges, tsunami or volcanic eruptions?	NO

[20] See the Convention on Biological Diversity and its Cartagena Protocol on Biosafety.
[21] See the Convention on Biological Diversity and its Nagoya Protocol on access and benefit sharing from use of genetic resources.

2.2	outputs and outcomes sensitive or vulnerable to potential impacts of climate change or disasters? *For example, through increased precipitation, drought, temperature, salinity, extreme events, earthquakes*	YES
2.3	increases in vulnerability to climate change impacts or disaster risks now or in the future (also known as maladaptive or negative coping practices)? *For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding*	NO
2.4	increases of greenhouse gas emissions, black carbon emissions or other drivers of climate change?	NO
Standard 3: Community Health, Safety and Security		
Would the project potentially involve or lead to:		
3.1	construction and/or infrastructure development (e.g. roads, buildings, dams)? (Note: the GEF does not finance projects that would involve the construction or rehabilitation of large or complex dams)	NO
3.2	air pollution, noise, vibration, traffic, injuries, physical hazards, poor surface water quality due to runoff, erosion, sanitation?	NO
3.3	harm or losses due to failure of structural elements of the project (e.g. collapse of buildings or infrastructure)?	NO
3.4	risks of water-borne or other vector-borne diseases (e.g. temporary breeding habitats), communicable and noncommunicable diseases, nutritional disorders, mental health?	NO
3.5	transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	NO
3.6	adverse impacts on ecosystems and ecosystem services relevant to communities' health (e.g. No food, surface water purification, natural buffers from flooding)?	NO
3.7	influx of project workers to project areas?	NO
3.8	engagement of security personnel to protect facilities and property or to support project activities?	NO
Standard 4: Cultural Heritage		
Would the project potentially involve or lead to:		

4.1	activities adjacent to or within a Cultural Heritage site?	NO
4.2	significant excavations, demolitions, movement of earth, flooding or other environmental changes?	NO
4.3	adverse impacts to sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	NO
4.4	alterations to landscapes and natural features with cultural significance?	NO
4.5	utilization of tangible and/or intangible forms (e.g. practices, traditional knowledge) of Cultural Heritage for commercial or other purposes?	NO
Standard 5: Displacement and Resettlement		
Would the project potentially involve or lead to:		
5.1	temporary or permanent and full or partial physical displacement (including people without legally recognizable claims to land)?	NO
5.2	economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	NO
5.3	risk of forced evictions?[22]	NO
5.4	impacts on or changes to land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	NO
Standard 6: Indigenous Peoples		
Would the project potentially involve or lead to:		
6.1	areas where indigenous peoples are present (including project area of influence)?	NO
6.2	activities located on lands and territories claimed by indigenous peoples?	NO
6.3	impacts (positive or negative) to the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the project is located within or outside of the lands and	NO

[22] Forced eviction is defined here as the permanent or temporary removal against their will of individuals, families or communities from the homes and/or land which they occupy, without the provision of, and access to, appropriate forms of legal or other protection. Forced evictions constitute gross violations of a range of internationally recognized human rights.

	territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)? *If the answer to screening question 6.3 is "yes", then the potential risk impacts are considered significant and the project would be categorized as either Substantial Risk or High Risk*	
6.4	the absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	NO
6.5	the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	NO
6.6	forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources? *Consider, and where appropriate ensure, consistency with the answers under Standard 5 above*	NO
6.7	adverse impacts on the development priorities of indigenous peoples as defined by them?	NO
6.8	risks to the physical and cultural survival of indigenous peoples?	NO
6.9	impacts on the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices? *Consider, and where appropriate ensure, consistency with the answers under Standard 4 above.*	NO
Standard 7: Labour and Working Conditions		
Would the project potentially involve or lead to: (note: applies to project and contractor workers)		
7.1	working conditions that do not meet national labour laws and international commitments?	NO
7.2	working conditions that may deny freedom of association and collective bargaining?	NO
7.3	use of child labour?	NO
7.4	use of forced labour?	NO
7.5	discriminatory working conditions and/or lack of equal opportunity?	NO
7.6	occupational health and safety risks due to physical, chemical, biological and psychosocial hazards (including violence and harassment) throughout the project life-cycle?	NO
Standard 8: Pollution Prevention and Resource Efficiency		

Would the project potentially involve or lead to:		
8.1	the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	NO
8.2	the generation of waste (both hazardous and non-hazardous)?	NO
8.3	the manufacture, trade, release, and/or use of hazardous materials and/or chemicals?	NO
8.4	the use of chemicals or materials subject to international bans or phase-outs? *For example, DDT, PCBs and other chemicals listed in international conventions such as the Montreal Protocol, Minamata Convention, Basel Convention, Rotterdam Convention, Stockholm Convention*	NO
8.5	the application of pesticides that may have a negative effect on the environment or human health?	NO
8.6	significant consumption of raw materials, energy, and/or water?	NO

Annex 6: UNDP Risk Register

#	Description/Event	Cause	Impact(s)	Risk Category	Likelihood = Risk Level	Risk Treatment / Management Measures	Expected Effects from Treatment	Risk Owner	Risk Valid From/To[23]
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

[23] 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[23]
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 recongised 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
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 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	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	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	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[23]
			Sargasso Sea goods and services		supporting the EDA-SAP process		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		
4	Gender discrimination has the potential to negatively impact	Limited opportunities accessible to women in the	There is a risk that if the project is unable to deliver satisfactorily,	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	The Ecosystem Diagnostic Analysis will act as a	PCU PSC Partners	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[23]
	on the project in the absence of an effective project outcome	international shipping and fishing industry	there may be the potential to sustain and/or reproduce gender discriminations against women			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.	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.		
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	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	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[23]
					Letters of Confirmation will be quite specific on amounts and types of co-financing.		be addressed through interactive dialogue. Full stakeholder financial support is expected as defined 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[23]
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	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	Long-term sustainability of natural resources, goods and services within the Sargasso Sea as well as beyond the system boundary in	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[23]
					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 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	'knock-on' effects to such human welfare as food security and livelihoods.	countries that depend on those goods and services so as to protect livelihoods and welfare.		
9	The results of the project and downstream implementation of the SAP may be	Climate Change and Ocean Acidification caused by	It is difficult to predict too far ahead what effect climate change and associated	Safety & Security Social & Environmental	I = 3 L = 2 The Likelihood cannot be	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	Proposed project activities have been screened and assessed	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[23]
	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	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 currents which could ultimately contribute negatively to climate change.	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 metres0 could also significantly affect this productive area of the ecosystem and acidification could also impact 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.		ignored and there is a possibility that this could happen.	planet's ecosystems under increasing climate change related extremes and global warming, one can only monitor, mitigate and, when necessary, adapt.	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, goods and services. The results and conclusions will inform the SAP		

#	Description/Event	Cause	Impact(s)	Risk Category	Likelihood = Risk Level	Risk Treatment / Management Measures	Expected Effects from Treatment	Risk Owner	Risk Valid From/To[23]
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, capacity building workshops, training exercises and sessions). This has further led to significant under-spending and disbursement	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[23]
			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						

Annex 7: Overview of Project Staff and Technical Consultancies

Consultant	Time Input	Tasks, Inputs and Outputs
For Project Management		
Local / National contracting		
Chief Technical Advisor $500/day	960 days (20 working days per month)	The Chief Technical Advisor (CTA), will be responsible for the overall coordination of all of the technical aspects of the Project as well as advising and assisting on the mobilization of Project inputs, supervision of Project technical staff, consultant scientists and sub-technical contractors. <u>Duties and Responsibilities</u> • Coordinate the development of the Ecosystem Diagnostic Analysis, 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 • Identify priority gaps in knowledge and information and promote appropriate measures to address these gaps through the adoption of a science and technical programme for data and information capture • Identify and promote an effective, sustainable scientific and socioeconomic monitoring programme to support immediate Project objectives as well as to support the Strategic Action Programme beyond the Project lifetime • Coordinate an Ecosystem Valuation and Value-Chain Analysis procedure for the Project • Coordinate and engage relevant Child Project Activities with other Child Projects and the Common Ocean Programme as well as with IW:LEARN • Develop closer technical and scientific links to the various stakeholders (including the private sector, NGOs, RFMOs, etc.) via an active stakeholder engagement programme • Identify capacity building and training needs and develop an appropriate, gender-sensitive training and capacity building programme • Coordinate the development of a Strategic Action Programme for addressing threats and strengthening stewardship through collaboration and conservation of the Sargasso Sea ecosystem • Coordinate the endorsement process for the Strategic Action Programme • Capture best lessons and practices arising from the Project and its Outputs both at Mid-Term and at the end of the Project and share these with the Global Coordination Project (GCP) and IW:LEARN, this to include organising an End-of-Project 'lessons and practices' international-level workshop • Develop and implement 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 • Assist with the establishment of a complex data set handling platform to deal with predictive analytics • Provide technical input to quarterly and annual project reviews and as a member of the Project Steering Committee • Coordinate the overall technical conduct and delivery of the Project as well as any other requirements as identified by the Implementing Agency and Implementing Partner <u>Qualifications and Experience</u> **Essential**

Consultant	Time Input	Tasks, Inputs and Outputs
		The selected candidate is expected to have more than 15 years demonstrated successful experience in UNDP GEF International Waters Project management and implementation roles and will have: • A tertiary qualification (preferably at a Doctorate level) in a discipline relevant to environmental management and institution building (e.g., marine science, natural resources, environmental/international law); • Significant experience in Project coordination and management with evidence of delivery on time, and within budget; • In particular, significant experience in the development of Diagnostic Analyses leading to active Strategic Action Programmes • Experience managing people, finance and budgets; • Working experience in the development of Ecosystem Valuations and Value-Chain Analyses • Experience in the preparation of work programs, budgets and the provision of management and financial reports; • Experience developing performance indicators, monitoring, evaluating and reporting on complex Projects; • Demonstrated diplomatic and negotiating skills; • Demonstrable excellent English verbal and written communications skills, both at a technical level and in the preparation of information destined to the general public; • Previous experience in the operational aspects of UN or similar donor funded Projects with a focus on capacity building in developing countries, • Previous experience in direct liaison with funding organizations such as the GEF; • Experience in managing the work of consultants, work as part of an inter-disciplinary and/or multi-cultural team **Desirable** Other desirable attributes are: • Knowledge of UNCLOS and experience/awareness of the issues involved in ABNJ and BBNJ • Relevant post graduate qualifications; • Familiarity and knowledge of participating countries and the geographical/system area of the Project • Familiarity with the goals and procedures of international organizations (e.g. UNDP, GEF, IOC-UNESCO, ICCAT, NAFO)
Project Finance and Administrative Officer Total of $220,000	This position is covered through the FFEM Budget as co-financing	<u>Duties and Responsibilities</u> • Assist the Project Coordinator in day-to-day management and oversight of Project activities; • Assist in the preparation of progress reports; • Ensure all Project documentation (progress reports, consulting and other technical reports, minutes of meetings, etc.) are properly maintained in hard and electronic copies in an efficient and readily accessible filing system, for when required by PM, PSC, UNDP, Project consultants and other PCU staff; • Provide PCU-related administrative and logistical assistance. • Keep records of Project funds and expenditures, and ensure all Project-related financial documentation are well maintained and readily available when required by the Project Coordinator; • Review Project expenditures and ensure that Project funds are used in compliance with the Project Document and GoI financial rules and procedures; • Validate and certify FACE forms before submission to UNDP; • Provide necessary financial information as and when required for Project management decisions;

Consultant	Time Input	Tasks, Inputs and Outputs
		• Provide necessary financial information during Project audit(s); • Review annual budgets and Project expenditure reports, and notify the Coordinator if there are any discrepancies or issues; • Consolidate financial progress reports submitted by the responsible parties for implementation of Project activities; • Liaise and follow up with the responsible parties for implementation of Project activities in matters related to Project funds and financial progress reports. Qualifications and Experience **Essential** • A minimum diploma level qualification in the areas of commerce, accounting, or business administration or similar (or equivalent professional accounting or finance qualifications and experience); • Extensive experience in accounting or finance with practical experience in the use of computer based financial management systems; • Sound English written and verbal communication skills and experience in preparing submissions and briefings for senior managers on relevant financial and administrative issues; • Experience with computerized general ledger accounts systems including accounts payable and accounts receivable processing and the preparation of bank reconciliations; • Excellent organizational skills including experience in procurement of office equipment and the preparation of travel plans/arrangements; • Understanding of independent audit processes; and • Capacity to work as part of a multidisciplinary team **Desirable** Other desirable attributes are: • Experience in establishing and implementing new systems and procedures relating to the provision of financial, managerial and administrative information
Communications Officer $240/day	960 days (20 working days per month) This position will also support the FFEM project	Duties and Responsibilities • Develop a Communications and Knowledge Sharing Strategy • Identify various information packages needed to support the Project and to inform partners and stakeholders • Assist in the preparation of specific information documents for senior managers and policy makers (including Policy Briefs) • Prepare and distribute general updates and briefings for the various stakeholders at various levels • Coordinate and promote high-quality contributions from Project partners to the scientific literature • Assist in the development and populating of a Project website • Assist in establishing linkages to other related websites (including IW:LEARN) • Provide IW:LEARN with Experience Notes as appropriate and as agreed with the Project Coordinator • Assist in capturing Lessons and Best Practices for the Mid-Term Review and for the Terminal Evaluation

Consultant	Time Input	Tasks, Inputs and Outputs
		• Assist the Project Coordinator in organising and running an 'en-of-Project' Workshop to present lessons and practices from the Project • Any other communications and knowledge sharing activities and outputs as required by the Project Manager and/or the Project Steering Committee <u>Qualifications</u> **Essential** • A Bachelor's degree or minimum diploma level qualification either in communications or in an environmental field relevant to the Project (ideally both) • At least two years of work experience in communications, preferably related to environmental and marine issues • Evidence of successful communication and awareness raising through specific cases • Excellent computer skills and experience in preparing and maintaining communication materials; • Excellent English writing and communication skills • Capacity to work as part of a multidisciplinary team **Desirable** Other desirable attributes are: • Good networking and negotiation skills • Demonstrated ability to work with minimum supervision, be dynamic, proactive and creative;
International / Regional and global contracting		
Ecosystem Diagnostic Analysis Expert $700/day	60 days	• Confirm the objective of the EDA and the required content and output of the EDA Report • 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 • Assist the Project Coordinator in establishing a Technical Development and Review body for the EDA • Ensure that all of the necessary baseline information is captured • Update the Causal Chain Analysis (DPSIR) based on the baseline information • Assist in presenting the EDA to the SSC and other stakeholders for its final adoption • Any other aspects or requiremwnts for the EDA process as identified by the Project Coordinator and/or the Project Steering Committee
Ecosystem Valuation Specialist $650/day	40 days	• Confirm the objective of the Ecosystem Valuation and Value Chain Analysis and the required content and output of the associated Report • Assist the Project Coordinator in establishing an Ecosystem Valuation Technical Team to work on the report • Capture information on the value that the individual goods and services provide over a fixed period • 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 • Define the costs involved (administration, staffing, training)and the benefits that can be obtained from more effective ecosystem management scenarios (including behavioural changes)

Consultant	Time Input	Tasks, Inputs and Outputs
		• Finalise a draft report for approval by the Project Coordinator and the Project Steering Committee, to include guidance on the value of the ecosystem and the most cost-effective management schemes for use in the development of the SAP
Technical Development and Review Board Members (6 persons) $600/day	30 days	• Assist the EDA Expert in confirming the objective of the EDA and the required content and output of the EDA Report • Assist the EDA Expert in identifying 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 • Assist the EDA Expert in capturing all of the necessary baseline information for the EDA • Assist the EDA Expert in finalising the draft report (as above)
Gaps Analysis Team (5 persons) $600/day	30 days	• Identify the gaps in information and prioritise the gap-filling needs • Identify the requirements and potential partnerships for gap-filling • Assist the Project Coordinator in identifying a long-term partnership-based Science Monitoring Programme • Identify the capacity building and training needs to support long-term monitoring of the Sargasso Sea
Six Trainers for CB&T Workshops $600/day	Approx. 14 days per trainer	• Assist the PCU in reviewing and confirming the capacity building and training needs to support long-term monitoring of the Sargasso Sea • Draft a training programme for each priority area (including class and field training as appropriate • Deliver and assess training courses/workshops to support data and information capture, analysis and management; • Provide a brief report on the training process and further needs
IMO Expert $600/day	30 days	• Collate and assess existing data on shipping threats in collaboration with IMO as relevant • Identify further information required and advise PCU on how to capture any priority missing information • Draft a 'next steps' report for the PCU and steering committee as appropriate (with input from IMO as relevant) •
ISA Expert $600/day	40 days	• Collate and assess existing data on mining threats in collaboration with ISA and other partners as relevant • Identify further information required and advise PCU on how to capture any priority missing information • Draft a 'next steps' report for the PCU and steering committee as appropriate (with input from ISA as relevant) •
Threat/Risk mitigation analysis and response group (6 persons) $600/day	15 days per consultant member	• Review the established threats and impacts to the Sargasso Sea Ecosystem as identified by the EDA • Identify potential stakeholder and partner inputs and roles for monitoring and mitigation of threats and impacts • Establish a Regular Monitoring and Review process for identified threats, potential risks and impacts as well to identify emerging concerns (as part of the overall science Monitoring Programme (1.3.1) • Establish a procedure for regular publication of Monitoring and Review findings • Identify the necessary mechanisms to integrate the above processes into a long-term implementation plan for the Strategic Action Programme

Consultant	Time Input	Tasks, Inputs and Outputs
Partnership on potential impacts from Climate Change (6 persons) $600/day	15 days per consultant member	• Establish a specific partnership to review the known threats and impacts from climate change to the Sargasso Sea Ecosystem as identified by the EDA and other sources • Draft a report for the Project Steering Committee and other stakeholders that identifies the threats and impacts • Advise on the monitoring requirements of climate change impacts (to be included/ amalgamated into the overall science Monitoring Programme (1.3.1)
SAP Dev and Drafting Expert $700/day	30 days	• Confirm the objective of the SAP and the required content • Identify the stakeholders and partners that need to be involved (drafting or reviewing) in the SAP drafting process through an appropriate workshop(s) and dialogue • Assist the Project Coordinator in establishing a Drafting and/or Review Team for the EDA as appropriate • Assist in presenting the Draft SAP to the SSC and other stakeholders for its refinement and final adoption
SAP Implementation Planning Group (4 persons) $600/day	20 days	• Define and agree a road-map (timing and work-plan) for long-term implementation of the SAP • Confirm Partnership inputs and contributions to long-term implementation on the SAP. This includes identifying any Centres of Excellence that can or have contributed or that may arise as part of SAP implementation • Reconfirm the scientific and technical (including socioeconomic) monitoring requirements for SAP implementation (including those feeding into or arising from the 'Big-Data' Platform - see 4.1.2) with a clear road-map and roles/responsibilities • Define process for encouraging the results of monitoring and any emerging scientific and technical issues and concerns are brought to the attention of responsible and/or mandated parties • 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 • Reconfirm the training and capacity building needs required to support SAP implementation and define and adopt a CB&T SAP Plan-of-Action
SAP Implementation Project Development Specialist $600/day	30 days	• Formulate a budget and funding needs for SAP Implementation beyond this Project identifying sources wherever possible • Review the needs and expectations of the various Sargasso Sea Stakeholders • 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 a sustainable ecosystem-based approach for the Sargasso Sea
Project Monitoring and Assessment Specialist $700/day	82 days	• 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 • Draft a report on lessons and achievements at mid-term for review by the Project Steering Committee • Finalise the report for the PSC and for sharing with the Mid-Term Reviewer • Undertake a similar review of achievements and constraints at the end-point of the Project • Draft a report on lessons and achievements at the end of the Project for review by the Project Steering Committee • Finalise the report for the PSC and for sharing with the Terminal Evaluator

Consultant	Time Input	Tasks, Inputs and Outputs
		• Compile a final report on Lessons and Practices for the PCU and PSC to forward to appropriate bodies/institutions/organisations to support replication as appropriate in other ABNJ • Provide IW:LEARN with 'Experience Notes' at both Mid-Term and end-of-Project
Mid-Term Evaluator $650/day	30 days	• Use the standard Terms of Reference for the Mid-Term Review as provided by UNDP
Terminal Evaluator $650/day	30 days	• Use the standard Terms of Reference for the Termina Evaluation as provided by UNDP

Annex 8: Stakeholder Engagement Plan

Objective of the Stakeholder Engagement process

The Stakeholder Engagement Plan below identifies the means of engagement and interaction with and between the stakeholders and the Project. This has been reviewed and cleared by the UNDP Stakeholder Engagement Team including as part of the Environmental and Social Management Framework and represents the most detailed articulation possible of the SEP at this stage This will be revised and evolved as the Project moves on The TDA-SAP process which has been thoroughly tried-and-tested by GEF over more than two decades, particularly through its LME projects, recognises the need for the TDA (or, in this case, the EDA) to A. further identify stakeholders that wish to engage and may not have done so at the development and submission stage, and B. for the SAP to identify the long-term stakeholder interaction processes and how these will be maintained and sustained. Both of these requirements form part of the project implementation process, which builds on the existing SEP and will ensure this the SEP becomes fully tailored and sustainable for the needs of the Project stakeholders through the SAP and therefore beyond the project lifetime.

The Sargasso Sea Project constitutes a pilot at the regional level within Component 3 of the overarching Common Oceans Program aimed at 'Improving stakeholder coordination and engagement in multi-sectoral processes addressing governance and management of ABNJ'. Consequently, the main objectives of the Sargasso Sea Project is to build better and more effective stakeholder engagement in order to demonstrate the sustainable use of ABNJ living resources and improved conservation of biodiversity and ecosystem services within this Sargasso Sea EBSA/marine Ecosystem arising from the Project, and to support and sustain the medium-term continuation of effective stewardship, scientific monitoring and associated socioeconomic and food security benefits through interactive partnerships and stakeholder collaboration which will provide a model for achieving the overall Project Goal that can be replicated and scaled up elsewhere as applicable.

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

Background

The Sargasso Sea constitutes a fundamentally important part of the global ocean due to an interdependent mix of physical oceanography, its ecosystems and its role in global-scale ocean and earth-system processes. It contributes significantly to local as well as global economies both directly from fisheries for highly migratory species (including European and American eels), coral reefs, whale watching and "turtle tourism", and indirectly from its role in climate regulation, conservation of genetic diversity and biogeochemical cycling. It is also an important transit route for shipping between Europe and North America. As a unique high seas marine ecosystem, the Sargasso Sea is home to numerous endemic species and essential habitat for a very large number of others. It is an important migratory route for many commercially important species, such as Anguillid eels, bill fishes and tunas, as well as non-commercial species such as whales and turtles. It is also the only known spawning are for the critically endangered European eel (Anguilla anguilla) and the endangered American eel (A. rostrata), both of which are at the centre of what has recently become a global multi-million dollar industry as a result of the rise in their popularity as a food item. The goods and services associated with the Sargasso Sea have a direct as well as indirect inherent value to many countries outside of its borders. The current price of glass eels (the early life stage of the species that develop prior to their enter river mouths on return from the sea) stands at $5,500 per kilo. In addition, the Sargasso Sea has an inherent socioeconomic value to humankind because of its existence as a unique ecosystem and home to rare and charismatic

species. Based on all the best available science, the Sargasso Sea has been estimated to contribute significant values to the global community in the order of multi-millions to billions of US$. The 'Development Challenge' for this Project has identified six primary areas for further review in order to identify any threats and impact to the Project area:

1. Overall need for a more detailed understanding of the ecosystem and its various physical, chemical and biological interactions
2. Improvements in the identification and understanding of appropriate responses to the effects of changes within the ecosystem (including Global Warming and Acidification) on the Sargasso Sea Ecosystem
3. Improved coordination within and between fisheries management activities and monitoring within the Sargasso Sea:
4. A review and assessment of management strategies of Eel fisheries in 'Home ranges' and how they may be affected by changes in the Sargasso Sea Ecosystem
5. Improved information on Shipping and Vessel Routes and Impacts with the intention of providing information to relevant bodies
6. Identifying other Commercial Activities within the Sargasso Sea Ec**o**system

Furthermore, it has identified one of the outstanding solutions to these needs as 'More stakeholder collaboration and interaction in management of activities and reduction in threats and risks to the ecosystem'.

Project Stakeholders

The Project will work with a range of stakeholders including the Sargasso Sea Commission, the Signatories to the Hamilton Declaration, beneficiary government representatives, NGOs, private sector, and academic and research institutions, with the aim of strengthening stewardship approaches in line with an ecosystem-based conservation and sustainable use strategy that embraces adaptive management toward climate change and other potential impacts on the Sargasso Sea ecosystem and subsequently the socioeconomic well-being of the dependent beneficiary countries. Partnerships are listed in that Section of the document above (Results and Partnerships) which provides a list of the main partners and stakeholders in the Project. As this is an Area Beyond National Jurisdiction and therefore hundreds of kilometres from any local communities, this area is not fished or exploited by any recreational fishing organisations or dependent communities as such. However, there are a variety of opportunities to expand Private Sector stakeholder engagement. The Sargasso Sea Commission already had a range of Collaborating Partners prior to the development of this project. These includes important private sector players or private sector representative intergovernmental bodies such as the International Cable Protection Committee, and tourism bodies such as LookBermuda and Non-Such Expeditions. Further to this, the Project plans to engage with the Cruise Lines International Association (he world's largest cruise industry trade association), the International Chamber of Shipping (the global trade association for shipowners and operators) and the World Shipping Council (representing the 'voice' of liner shipping and working closely with policymakers and industry groups across the globe).

Stakeholder Engagement - Objective and Principles

The main objective of the stakeholder engagement plan (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.

As a main deliverable of the project, a stakeholder engagement plan will be prepared specifically for the development of the SAP, to also help ensure the principles of a SESA process are applied therein.

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.

The stakeholder engagement plan will be implemented according to five basic principles that will aim to ensure its effectiveness and inclusiveness:

I). **Participation**: Open representation and participation of stakeholders will be facilitated at all levels and across all relevant sectors

II). **Gender equity**: Project design and implementation will be responsive to gender-sensitive considerations including the specific capacity development needs of women, the youth and marginalized/vulnerable groups.

III). **Respect for cultural diversity**: Project design and implementation will respect existing customs, traditions, and forms of organization and decision-making.

IV). **Communication and transparency**: Care will be taken to design and implement a communication strategy that guides messages coherently to specific stakeholder groups and audiences targeted by the Project. Adequate communication will help avoid unrealistic/false expectations or erroneous interpretations between actors. Information will be provided transparently, without marginalizing any stakeholder groups.

V). **Partnerships and synergies**: Continuous efforts will be made to ensure mapping of other interventions with similar objectives as the Project, or initiatives that are related to the same thematic scope as the Project. Opportunities will be explored to establish synergies that can help to maximize Project impact and avoid duplication of efforts.

Involvement of Stakeholders during Project Development

Table 3 lists all of the stakeholders that were engaged in the project development and submission process. It further lists the processes and venues in which they were variously involved and which discussions and negotiations supported the project development process

Stakeholders with input to the Project Development Process and Project Document

Name	*Affiliation*
Andrew Hudson	United Nations Development Programme
Julian Barbière	Intergovernmental Oceanographic Commission of UNESCO
David Vousden	Lead Project Consultant
Dr David Freestone	Sargasso Sea Commission
Teresa Mackey	Sargasso Sea Commission
Dr Tammy Warren	Sargasso Sea Commission
Professor Stephen de Mora	Sargasso Sea Commission
Professor Howard Roe	Sargasso Sea Commission
Mark Spalding	sargasso Sea Commission
Wilfred Moore	Sargasso Sea Commission
Frederico Cardigos	Sargasso Sea Commission

Kristina Gjerde	President Sargasso Sea Project Inc.(SSPI)
Kevin Monkman	Treasurer SSPI
Dan Laffoley	Board Members SSPI
Maya Gold	Fisheries and Oceans Canada
Rick Vaughan	Fisheries and Oceans Canada
Nelson Garcia Marcano	Government of the Dominican Republic
Craig Powell	Government of Bahamas
Lowri Griffiths	UK Foreign and Commonwealth Office
Elizabeth McLanahan	US National Oceanic and Atmospheric Administration
Victoria Luu	US National Oceanic and Atmospheric Administration
Murray Roberts	The University of Edinburgh/I-Atlantic
Ellen Kenchington	Fisheries and Oceans Canada/I-Atlantic
Fred Kingston	Northwest Atlantic Fisheries Organization
Pat Halpin	Marine Geospatial Ecology Lab, Duke University
Corrie Curtice	Marine Geospatial Ecology Lab, Duke University
Jesse Cleary	Marine Geospatial Ecology Lab, Duke University
Professor Nick Bates	Bermuda Institute of Ocean Sciences (BIOS)
Laurence Kell	Imperial College London
John Mumford	Imperial College London
Ronán Long	World Maritime University
Jorge Jimenez	MARVIVA
Janique Etienne	Fonds Français pour l'Environnement Mondial (FFEM)
Joelle Richards	Ocean University Brest
Cesar Toro	IOCARIBE Sub-Commission Secretariat
Laamiri Badr	Government of Morocco
Dr Billy Causey	NOAA's Office of National Marine Sanctuaries
Felipe Mora Porteiro	Governo dos Açores (Government of Azores)
HE Minister Walton Brown	Government of Bermuda
Dr Rozy Azhar	Government of Bermuda
Nadia Bouffard	Fisheries and Oceans Canada
Mrs. Gina Ebanks-Petrie	Cayman Islands
HE Tidiani Couma	Government of Monaco
Philip Weech	Bahamas Environment Science and Technology Commission
Ronald Smith-Berkeley	British Virgin Islands Ministry of Natural Resources and Labour
Dr Brian Luckhurst	Government of Bermuda
Professor Laurie Kell	Imperial College London
ProfessorMurray Roberts	The University of Edinburgh
Professor Chris Wold	Lewis & Clark Law School
Dr Eric Lindstrom/Dr Vardis Tsontos	NASA Jet Propulsion Laboratory
Ambassador David Balton	Wilson Center, DC
Professor David Johnson	UK
Gary Melvin	ICCAT
Michael Lodge/Alfonso Ascencio-Herrera	International Seabed Authority
Dr Bradnee Chambers/Melanie Virtue	Convention on Migratory Species
Fredrik Haag	International Maritime Organization
Lisa Svensson	UN Environment, Nairobi
Dr Matthew Gollock	London Zoological Society
Dr Lorna Inniss	UNEP Cartagena Convention
Walter Roban	Bermuda Government
Florian Botto	Permanent Mission of Monaco to the United Nations
Peter Oppenheimer	US Government
Keke Motsepe	South Africa
Phénia Marras – Aït Razouk	France
Fae Sapsford	Sargasso Sea Commission
Haydée Rodriguez	Marviva

Kimberley Galvez	NOAA
Denis Bailly	University of Brest, Ocean University Initiative Coordinator
Mishal Hamid	IOC-UNESCO
Kasey Cantwell	NOAA Okeanos Explorer
Natalie Degger	IOC-UNESCO
Pedro Neves	Governmental Focal Point – The Azores
Rolanda Davis	Government of The Bahamas
Ronan Long	World Maritime University
Ana Colaço	Sargasso Sea Commissioner

Stakeholder Involvement during Project Development

Meeting	*Outcome*
March 2019, Bermuda – Next Steps to Strengthen Stewardship of the Sargasso Sea	General endorsement and support of the GEF project concept. The concept note was discussed at the Bermuda Signatories meeting, followed by further review by the Signatories and Commissioners. The Project Development consultant revised the concept note in light of these comments.
April 2019, Rome – Common Oceans Meeting	The project was presented, discussed and well-received by participants.
July 2019, Bahamas – GEF Project Review Meeting	The Commission, Signatories, UNDP, and other partners met in The Bahamas and discussed plans to submit to the GEF Council. The GEF process was discussed, including the need to submit a PIF and to carry out an EDA and create an SAP. The preferred implementing agency was agreed to be UNDP, while the executing agency was still under discussion.
January 2020, Rome	The inclusion of the project in the Common Oceans program was negotiated – it was allocated $3 million of the overall $30 million program. FAO incorporated the UNDP submission as a child project in the ABNJ programme, and submitted documentation to GEF in April 2020.
December, 2020 – Project Development Inception Workshop	The project had now been approved for development by the GEF Council. Progress to date was summarized, and the structure of the project was presented to stakeholders.
October, 2021 – Validation Workshop	The Project Document was circulated to a wide representation of stakeholders prior to the Validation Workshop. Stakeholder comments to the project document were discussed. It was agreed that IOC-UNESCO would be the Implementing Partner/Executing Agency and the project document was successfully validated for submission to the GEF Council.

Project Engagement Methods

Methodologies used by the Project to target and engage stakeholders and beneficiaries will depend on the actor, and the stage of Project implementation.

- **Project Board/Steering Committee**: Meetings of the PSC will be organized on a regular basis to ensure relevant partners remain actively engaged in monitoring progress and steering the implementation of Project activities towards its intended outcomes.
- **Workshops**: Workshops will be used to inform and actively engage larger groups of stakeholders in consultation processes, generating buy-in and sharing knowledge.
- **A Communications Office**: The Project will engage/contract an officer whose responsibility will be capturing information and communicating this information as appropriate to the relevant stakeholders (See 'Communication' below).

- **Strategic / informal meetings**: Meetings will be held bilaterally or with groups with the purpose to inform stakeholders and/or obtain agreement on issues of importance for successful Project implementation. Group meetings will also form an important means of communication at the community level.
- **Expert consultations**: Recognized experts in thematic areas will consult and inform stakeholders on strategic aspects of the Project.
- **Exchange visits**: Project partners and beneficiaries at the national level may be selected to participate in visits to other Projects in order to exchange knowledge and learn from good practices and successful approaches implemented elsewhere that could be replicated in the Project sites.

From time to time, as deemed appropriate by the Project Steering Committee or requested by other stakeholders, a formal full Stakeholder Consultation Workshop may be called to discuss specific issues and/or update all parties on progress within the Project Components and their Deliverables. At other times, groups of stakeholders with specific interest or concerns (e.g. RFMOs, NGOs, private sector) may request the Project to convene an open Stakeholder Meeting for discussion of pre-selected issues and concerns. The outcome and proposed solutions to the issues and concerns raised will then be carried forward to a formal Stakeholder Consultation Workshop (to be convened no less than 6 weeks after the open Stakeholder Meeting) by selected representation (e.g. from the NGO and/or other stakeholder groups).

Full and transparent stakeholder involvement in Project activities and in delivery of its objectives will be encouraged and supported. This included the understanding that all stakeholders should have access to the knowledge needed for them to support, understand and contribute to the review, monitoring and effectiveness of regulations and management initiatives.

Communication

In addition to the abovementioned engagement tools, the Project will develop a communication strategy that will take into consideration this stakeholder engagement plan and which can be adapted depending on the stage of the Project, and in response to feedback from stakeholders (as well as responding to the grievance mechanism where necessary and required).

Contents and format of information dissemination will be specifically adapted to targeted audiences, their educational background, cultural contexts, and languages, in order to obtain the highest possible levels of understanding and buy-in, including through the following mechanisms:

- **Brochures/flyers/newsletters**: Printed materials will be used for sharing Project summaries and knowledge products with stakeholders (Government representatives, scientific community, the broader public as appropriate).
- **Radio, TV, newspapers, press releases**: The media will be used to reach broader stakeholder groups globally, mobilize support and raise awareness on Project activities and relevant environmental topics.
- **Exhibitions**: Posters, photos, banners, and/or short videos may be produced for display in national and international fora and fairs.
- **Policy briefs**: To inform decision-makers on recommendations, lessons learned and good practices resulting from Project implementation and enable replication/upscaling, policy briefs may be developed for sharing with Government stakeholders.
- **Progress reports**: Reports produced as part of M&E processes (e.g. UNDP GEF PIR) will be shared with the Steering Committee, UNDP, donor(s), as well as other relevant stakeholders (as appropriate).
- **Lessons and Best Practices:** Lessons learned (positive and negative) from the Project will be captured at both mid-term and at the end of the Project for dissemination and replicability. A close relationship will be

developed with IW:LEARN to ensure that Project progress as well as lessons and best practices are made available through that UNDP GEF website.

- **Online media**: The Project will share progress updates and good practices to the general public through online media, including a Project Website with links into and from the websites of the Project and the Sargasso Sea Commission, the partner FFEM Project and other websites that may be related to ABNJ/BBNJ. Posts may include stories, photographs, photo-blogs, short video's etc. To reach national and global audiences, the Project could also consider establishing accounts on social media including Facebook, Twitter, Instagram and YouTube.

The above mechanisms will form part of an overall Project Communication Strategy to developed as part of **Component 4 - Output 4.1.2: Information packages developed and disseminated through a communications strategy.** This will help to support full engagement with the Project stakeholders so as to raise awareness of Project aims and achievements and to better understand and capture the needs and requirements of the various stakeholders.

Stakeholder Engagement Timetable

ACTIVITY	FREQUENCY OR EXPECTED 'DUE BY' DATE (FROM NOVEMBER 2021 FORWARD)
Inception Phase and Workshop with stakeholder attendance	Once – beginning of Project
Meetings of Project Steering Committee	At least every 9-12 months during life of Project
Development and Adoption of a Stakeholder Engagement Strategy	Inception plus 4 months
Grievance Mechanisms established as part of the SEP	Inception plus 4 months
Development and Adoption of a Communications and Awareness Strategy	Inception plus 6 months
All Communications and Outreach Platforms in place (website, media reports, frequent Policy Briefings, etc.)	Inception plus 10 months
Open *ad hoc* Stakeholder Meetings	As required but initially within 6 months of Inception
Formal Stakeholder Consultation Workshops	Every 9-12 months during life of Project alongside Steering Committee meetings
Stakeholder engagement through capacity enhancement and technical support.	As required and as defined by the Steering Committee and Stakeholder Consultation Workshops, particularly in support of 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 (see Multi-Year Work-Plan)
Project monitoring with participation of stakeholders (including monitoring of Project safeguards and risks with a particular emphasis on the affects and problems created by the on-going COVID pandemic)	At annual PIR, Mid-Term Review and Terminal Evaluation of Project

Resources and Responsibilities

The Project Coordinator will be responsible for ensuring implementation of the Stakeholder Engagement Plan and achieving its objectives. He/she will mobilise the Project team and partners to conduct the specified stakeholder engagement activities noted above and to manage the grievance mechanism (see below) as required, according to the objectives and principles of the plan. He/she will allocate resources from the Project budget and funds as appropriate to support stakeholder engagement.

The Project will set aside resources for effective stakeholder engagement as highlighted in the Multi-Year Work-Plan thorough its annual workplan and budget review and adoption and through approval by the Steering Committee.

Grievance Mechanism

In case any grievances exist among Project beneficiaries, stakeholders or partners, they will initially be encouraged to direct these to the Project Coordination Unit and provide the PCU with sufficient background information in order to assess the cause of the grievance and identify possible solutions. If the PCU based on its assessment of the seriousness and complexity of the problem is not able to provide a solution, the grievance may be escalated to the relevant (Government) partners and/or the Project Board/Steering Committee. The PSC may decide to organise an *ad hoc* meeting in order to address the issue, or, if appropriate depending on the urgency, park the issue until the next planned regular meeting.

All grievances should be adequately documented and flagged by the PC, including the causes, responses, and outcomes of actions taken to address the problem. In case of grievances that may directly/indirectly hamper Project implementation and/or (potentially) affect the reputation of the organisation, the UNDP Office responsible for the Project (Bureau for Policy and Programme support) should be notified immediately through the Head, Water and Ocean Governance Programme.

UNDP recognizes that even with strong planning and stakeholder engagement, unanticipated issues can still arise. Therefore, it's social and environmental compliance reviews and stakeholder response mechanisms are underpinned by an Accountability Mechanism[24] with two key components:

1. A Social and Environmental Compliance Review Unit (SECU) to respond to claims that UNDP is not in compliance with applicable environmental and social policies; and
2. A Stakeholder Response Mechanism (SRM) that ensures individuals, peoples, and communities affected by Projects have access to appropriate grievance resolution procedures for hearing and addressing Project-related complaints and disputes.

The Accountability Mechanism is available to all of UNDP's Project stakeholders. SECU investigates concerns about non-compliance with UNDP's Social and Environmental Standards and Screening Procedure raised by Project-affected stakeholders and recommends measures to address findings of non-compliance. The Stakeholder Response Mechanism helps Project-affected stakeholders, UNDP's partners (governments, NGOs, businesses) and others jointly address grievances or disputes related to the social and/or environmental impacts of UNDP-supported Projects.

Existing national and sector forums may also provide important opportunities for stakeholders to provide feedback on Project implementation. Utilization of existing structures and processes to engage stakeholders is encouraged, as this may provide opportunities for issues to be raised before they develop into more significant grievances. However, such fora would not substitute for specific Project grievance redress mechanisms (GRM[25]) that may be required.

Accessibility is a key principle for any accountability mechanism. Since accessibility starts with awareness raising, the Project Coordinator will need to take responsibility for ensuring that Project-affected people and communities are informed of UNDP's Accountability Mechanism and the GRM. The stakeholder engagement process provides a key entry point to do this awareness raising and ensure that information about UNDP's Accountability Mechanism is made available to all Project beneficiaries and partners. Communication materials are available in the online SES Toolkit[26] to support this effort.

[24] https://www.undp.org/content/undp/en/home/accountability/audit/secu-srm.html
[25] https://info.undp.org/sites/bpps/SES_Toolkit/SES%20Document%20Library/Uploaded%20October%202016/Supplemental%20Guidance_Grievance%20Redress%20Mechanisms.pdf
[26] https://info.undp.org/sites/bpps/SES_Toolkit/SitePages/Communication%20Materials.aspx

Monitoring and Reporting

Participatory Project monitoring and evaluation is a key part of the results-based management (RBM) approach practiced by UNDP and GEF for all Projects. Similarly, stakeholder engagement activities will be integrated in the M&E processes for this Project to provide sufficient information for adaptive stewardship decision-making. Beneficiaries and Project partners will be encouraged to participate in different steps of the process, including design and verification of the logical framework and its indicators, tracking tools, reviews, field visits for monitoring progress, etc. The Project will also ensure to regularly disseminate progress reports to relevant stakeholders for inputs, reviews, feedback and information sharing purposes.

The Project will use standard UNDP approaches and procedures for M&E processes (see Monitoring and Evaluation Plan section for details).

Annex 9: Gender Analysis and Gender Action Plan

1. Introduction and Overview

This gender analysis aims to provide a systematic analysis based on sex-disaggregated and gender information to identify, understand, and describe gender differences and the relevance of gender roles and power dynamics in relation to the proposed project *Strengthening the Stewardship of an Ecologically and Biologically Significant High Seas Area - The Sargasso Sea.*

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 UNDP Gender Equality Strategy 2018-2021 is aligned with the 2030 Development Agenda and UNDP's Strategic Plan. The strategy recognizes gender equality as a human right as well as instrumental to the achievement of sustainable development. It considers women and men as active agents of change and development, not simply beneficiaries and vulnerable groups and it recognizes how working with men and boys is of critical importance to change gender norms and attitudes and achieve gender equality.

The GEF Council approved a new GEF Policy on Gender Equality, in November 2017. The policy outlines the need to address gender equality and promote women's empowerment across GEF operations, and, in particular, in its projects and programs. The policy requires gender-responsive actions, from design to implementation, monitoring and evaluation to ensure that GEF programs and projects are not only designed with a good understanding of relevant gender differences, roles and needs, but also actively pursue activities that contribute to equal access to and control over resources, decision-making, and empowers women and girls.

Both UNDP and the GEF require a gender responsive approach, an approach in which the particular needs, priorities, power structures, status and relationships between men and women are recognized and adequately addressed in the design, implementation and evaluation of activities. The approach seeks to ensure that women and men are given equal opportunities to participate in and benefit from an intervention, and promotes targeted measures to address inequalities and promote the empowerment of women.

Gender equality and women's empowerment are matters of fundamental human rights and social justice, as well as a prerequisite for sustainable development and achieving the SDGs and other global agendas. The GEF Gender Implementation Strategy identifies three gender gaps most relevant to GEF Projects and programs in the GEF-7 programming directions:

a) **Unequal access to natural resources:** Women continue to be held back by structural constraints and gender norms related to access to and control of land, water, and other productive assets and biological resources. Even when the law guarantees women equal rights as men, many women have less control over natural resources. Research shows that if women were given same access to productive resources as men, agricultural productivity in developing countries could increase 20-30 percent, which in turn would reduce poverty, and improve women's ability to support their families, and sustainably manage and use natural resources.

b) **Unbalanced participation and decision making in environmental planning at all levels**: Gender norms, women's greater time constraints and other structural constraints continue to prevent women the same opportunities as men to decision-making related to the management and sustainable use of natural resources. Addressing gender gaps related to participation and leadership in decision-making processes, from the local to global levels, can help making institutions and policies more representative, as well as helping women better engage in decisions that shape environmental planning, policy-making, as well as sustainable solutions and practices.

c) **Uneven access to socio-economic benefits and services:** Women, in many places, don't have the same access to income-generation opportunities, credit, and technology as men. Moreover, women often face more obstacles than men in accessing financing, training and information. Broadening women's socio-economic benefits can significantly contribute to improvements in the global environment in areas such as natural resource management, reducing land degradation, renewable energy, sustainable fisheries etc.

The goal of gender mainstreaming is, on one hand, to improve the environmental results of the Project; on the other hand, the goal is to promote gender equality and women's empowerment. To achieve this goal, a plan to incorporate gender into the Project **Strengthening cooperation in an economically and biologically significant high seas area – the Sargasso Sea** has been designed, in which the following actions will be developed:

- Strengthen institutional capacities, improving the situation of equality between men and women and ensuring women's empowerment.
- 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.

Considering gender issues in relation to ecosystems and related biodiversity involves identifying the influence of gender roles and relations on the use, management and conservation of ecosystem resources and biodiversity. Gender roles of women and men include different labour responsibilities, priorities, decision-making power, and knowledge, which affect how women and men use and manage biodiversity resources.

The Project will aim to understand and expose gender-differentiated ecosystem resource usage and biodiversity management/exploitation practices, gendered knowledge acquisition and usage, as well as gender inequalities in control over resources. The Project will aim to understand the influences of gender differences and inequalities on the conservation and sustainable use of biodiversity, and the ways in which these differences and inequalities influence how women and men might be affected by biodiversity policies, planning and programming.

2. Main International and National Commitments related to Gender Equality

At the International level, it is noted that neither UNCLOS, ICCAT nor NAFO (three of the most relevant legal agreements pertaining to the Sargasso Sea) carry any specific references to gender equality. The **2015-2020 Gender Plan of Action under the Convention on Biological Diversity** does define the role that the Secretariat of the Convention on Biological Diversity will play in stimulating and facilitating efforts, both in-house and with partners and Parties at the national, regional and global levels, to overcome constraints and take advantage of opportunities to promote gender equality.

The **Convention on the Elimination of all Forms of Discrimination Against Women (CEDAW)** is an international treaty adopted in 1979 by the United Nations General Assembly. Described as an international bill of rights for women, it was instituted on 3 September 1981. CEDAW, is an international legal instrument that requires countries to eliminate discrimination against women in all areas and promotes women's equal rights. CEDAW is often described as the international bill of rights for women. The spirit of the Convention is rooted in the goals of the United Nations: to reaffirm faith in fundamental human rights, in the dignity and worth of the human person, in the

equal rights of men and women. The present document spells out the meaning of equality and how it can be achieved. In so doing, the Convention establishes not only an international bill of rights for women, but also an agenda for action by countries to guarantee the enjoyment of those rights. The **Optional Protocol to the Convention on the Elimination of All Forms of Discrimination against Women** is an international treaty which establishes complaint and inquiry mechanisms for the Convention on the Elimination of All Forms of Discrimination Against Women. Parties to the Protocol allow the Committee on the Elimination of Discrimination against Women to hear complaints from individuals or inquire into "grave or systematic violations" of the Convention.

3. Women's Activities and Participation in relation to the Sargasso Sea

Essentially, there are two geographically distinct areas where gender issues may be identified and confronted, A. within the Sargasso Sea ecosystem itself and B. within the industries and activities in the 'home-range' countries where the juvenile eels grow to adulthood.

In the case of A. within the Sargasso Sea Ecosystem, the activities that may relate to any gender imbalance primarily include the commercial fishing industry and the scientific and management community. The Project will endeavour to identify any imbalance within the fishing industry and raise this with the appropriate institutional body or management entity, recognising the difficulties inherent in such a male-dominated industry where at-sea facilities and safety measures may not be fully appropriate.

In the case of B., the activities related to the role of women within the eel capture/culture and processing industry within each 'home-range' country will be considered during the EDA development process with a view to identifying opportunities to improve equity and to mainstream gender considerations and gender balance within the various commercial operations related to eel capture, aquaculture and/or processing as well as the overall management of these activities. In this context, the EDA and SAP will include gender analysis, especially sex-disaggregated data. Due consideration will be given to the FAO Knowledge Materials study entitled 'Scoping study on decent work and employment in fisheries and aquaculture: Issues and actions for discussion and programming' (http://www.fao.org/3/a-i5980e.pdf).

Gender discrimination has the potential to negatively impact on the project in the absence of an effective project outcome: Because of the 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. However, 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.

Gender diversity for this Project is reflected, to some extent, within the Government Focal points of the Signatory Governments (an equal gender balance across the 10 signatories) and in the Secretariat (50%). Two of the seven current Commissioners are women and the Commission is striving to increase this participation. There are no local communities engaged in activities within the Sargasso Sea area, which is an ABNJ and hundreds of miles from land. The Project has little control over the human activities taking place within the Sargasso Sea, such as navigation and fishing which are traditionally male oriented, but it can reach out to the relevant overarching and/or supervisory institutions and bodies in an effort to ensure that there is equity of livelihood security where this is appropriate. The Project will ensure gender and other diversity in its staff and the meetings that it convenes as does the Commission already(see Gender Action Plan).

Knowledge products and resources that can be consulted by the project team to further develop the project's gender action plan and related gender results:

- Gender Hub for the GEF International Waters portfolio. Resources include a dedicated webinar series titled "Engendering International Waters" which was developed for GEF IW:LEARN by WWAP and WWF; a "gender and water library" to accompany the webinar series; resources on gender sensitive water assessment, monitoring, and reporting; and "Best Practice from the GEF IW Portfolio"

- Gender Policy and Action Plan developed by the Benguela Current Convention (supported by UNDP-GEF BCLME III Project). Through this milestone, the Benguela Current Convention recognizes the need to ensure that the rights of both men and women and their different knowledge, needs, roles and interests are effectively recognized and addressed in the work of the Convention. The knowledge products were produced as part of the policy development process, namely an infographic on gender & ocean governance, a process map, and a summary / situational analysis. The process map is especially useful as it outlines the steps taken to develop the Benguela Current Convention Gender Policy and Action Plan, including developing a Gender Situational Analysis, Gender Policy Development, Gender Action Plan, and Supporting Implementation.

- Free online open course on Gender and Environment, developed by the GEF Secretariat, UNDP and partners, and includes a module on Gender and International Waters:
    - English: https://unccelearn.org/course/view.php?id=39&page=overview
    - Spanish: https://unccelearn.org/course/view.php?id=106&page=overview
    - French: https://unccelearn.org/course/view.php?id=107&page=overview

- FAO resource: Scoping study on decent work and employment in fisheries and aquaculture: Issues and actions for discussion and programming (includes good gender analysis and sex-disaggregated data throughout the report, though sole focus is not on gender): http://www.fao.org/3/a-i5980e.pdf

- ILO resource: Gender-based violence in global supply chains: Resource Kit: https://gbv.itcilo.org/index.php/index.html#home-index *particularly module 2 - Global supply chains: where do women work and under what conditions?* https://gbv.itcilo.org/index.php/module/show/id/3.html

- UNDP Gender Inequality Index

- UNDP Gender Development Index

4. Activities and Goals of the Plan to Incorporate Gender into the Project - the Gender Action Plan

A Gender Action Plan (GAP) to guide implementation of gender related activities gender into the project **Strengthening cooperation in an economically and biologically significant high seas area – the Sargasso Sea** will be developed as part of the early inception phase of the Project and implemented within the first 4 months. The following actions will be developed through this GAP:

- Strengthen institutional capacities, improving the situation of equality between men and women and ensuring women's empowerment.
- Integrate gender analysis into relevant project outputs, including around the development of the Ecosystem Diagnostic Analysis, Ecosystem valuation and value system analysis, and Strategic Action Programme. This should include sex-disaggregated data and gender and social inclusion related information.

- 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.

The following is a list of the intended Project Outputs under each Component with a related list of how Gender Equality/Equity and Mainstreaming will be captured in these Outputs through the Gender Action Plan.

PROJECT COMPONENTS AND OUTPUTS	GENDER-RELATED ACTIVITIES AND RESPONSES
COMPONENT 1: IMPROVED KNOWLEDGE BASE TO SUPPORT A COLLABORATIVE, ADAPTIVE ECOSYSTEM-BASED STEWARDSHIP APPROACH	
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	Target: Substantive gender analysis, included sex-disaggregated data and gender-related information, integrated in EDA and used to guide the long-term monitoring and stewardship of the Sargasso Sea. This will require a number of skilled scientists to address specific aspects of the EDA. The Project will endeavour to ensure an equitable gender balance in the selection of these experts. Furthermore, the EDA process itself will include a section on gender equity and potential for women's empowerment which will have its own consultancy
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	Target: Ecosystem valuation and value-chain analysis delivered that includes sex-disaggregated data and gender-related information, including on women's formal and informal roles in Sargasso Sea ecosystem value chains. In undertaking this ecosystem valuation and cost-benefit analysis, attention will be given to the gender balance in the value arising from the ecosystem, looking into how the benefits are balanced, the role of women in the marketing of ecosystems good and services, and identification of areas where not only gender equality but equity could be strengthened.
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	Strengthen institutional capacity around gender and social inclusion issues as they relate to stewardship of the Sargasso Sea ecosystem Target: Three Capacity building/training sessions and 4 training courses for Sargasso Sea Commission and relevant partners/collaborators emphasising gender and social inclusion and water governance/ecosystems approaches/Sargasso Sea livelihoods value chains . This would aim to identify expertise and collaborators to assist in addressing these gaps. As with Output 1.1.1. attention will be given to reaching an equitable balance in gender involvement wherever possible. This would further recognise the need for such equity within any long-term monitoring programmes
COMPONENT 2: DEVELOPMENT OF A STRATEGIC ACTION PROGRAMME FOR ADDRESSING THREATS AND STRENGTHENING STEWARDSHIP THROUGH COLLABORATION AND CONSERVATION OF THE SARGASSO SEA ECOSYSTEM	

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.	In defining these actions and identifying the appropriate partnerships and actions to address and mitigate impacts and threats the Project will also endeavour to ensure that such partnerships and specific activities reflect a broad gender balance and mainstream this into the overall activities under this output
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	Target: Substantive gender analysis, included sex-disaggregated data and gender-related information, integrated in and used to inform the development of the Strategic Action Programme. The SAP itself will be developed with gender mainstreaming in mind and will define its own gender mainstreaming plan building on the gender analysis undertaken within the EDA process (See Output 1.1.1 above)
COMPONENT 3: PARTNERSHIPS AND COLLABORATION FOR THE SUSTAINABILITY OF THE NATURAL RESOURCES OF THE SARGASSO SEA ECOSYSTEM	
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.	In defining the roles and mandates of the various stakeholders, the Project will consider the gender equity and need for greater balance within the partnership and organisational structure which may arise from this process
COMPONENT 4: KNOWLEDGE MANAGEMENT, MONITORING AND EVALUATION	
Output 4.1.1: Best lessons and practices captured at Mid Term for effective application and distribution.	This will include a section on BL&P for gender mainstreaming and equality (as is a requirement within the MTR and in the final TE)
Output 4.1.2: Information packages developed and disseminated through a communications strategy which inform appropriate government bodies and regional entities.	These will include information on how this Project has managed to capture gender mainstreaming and improve gender balance and equity as an example for potential up-scaling and replication within other ABNJ-related Projects
Output 4.1.3: Project support to and engagement with IW:LEARN activities with allocated (1% plus) budget.	Information on achieving gender balance and mainstreaming arising from 4.1.1 and 4.1.2 will be provided to IW:LEARN as an Experience Note from this Project
Output 4.1.4: Effective ongoing Project Monitoring and Evaluation	Such effective M&E will take full consideration of the core indicators and the gender balance related targets in the Results Framework. These will be reviewed annual at least, during the PIR process where such a review is a requirement.

5. Monitoring and Evaluation:

The overall Monitoring and Evaluation Plan identifies the need for annual Project Implementation Reviews as well as a Mid -Term and Terminal Evaluation. The PIR reviews the status of each of the indicators and targets within the Results Framework including the Core Indicators under the main objective, as well as those related to gender balance and specifically the ones that consider targets that are sex-disaggregated. Furthermore, the PIR has a mandatory section which review the Progress in Advancing Gender Equality and Women's Empowerment that all Projects must complete annually that reviews the gender and social assessment with specific questions. This information is used in the UNDP-GEF Annual Performance Report, UNDP-GEF Annual Gender Report, reporting to the UNDP Gender Steering and Implementation Committee and for other internal and external communications and learning.

6. Resources:

As noted above, specific resources will be allocated through the EDA process to identify any opportunities for improving gender equality and mainstreaming and these will also be in place during the development of the SAP. Such activities will be funded through the main GEF budget as allocations into these Outcomes and Outputs but due consideration will begiven to negotiating any similar resources to support Gender Equality and Women's Empowerment from co-financing partners.

Annex 10: Procurement Plan

Project Outcome to which procurement relates	Type of Supply	Description of goods, services or works	Unit of Measure	Quantity	Estimated Unit Price	Estimated Total Price	Available Budget	Estimated Date of Completion	Responsible Authority
Component 1: Improved Knowledge Base To Support A Collaborative, Adaptive Ecosystem-Based Stewardship Approach	International Consultants	Ecosystem Diagnostic Analyst	Contract Period	1	$42,000	$42,000	$122,084	Nov-22	IOC-UNESCO
		Technical Dev. & Review Board	Contract Period	1	$48,000	$48,000		Nov-22	
		Ecosystem Valuation Specialist	Contract Period	1	$13,000	$13,000		Nov-22	
		Gaps Analysis Team	Contract Period	1	$12,000	$12,000		Nov-22	
		Trainers for CB&T Workshops	Contract Period	1	$7,084	$7,084		Nov-22	
	Contractual Services - Individual	Organising the Adoption Meeting for EDA	Contract Period	1	$5,800	$5,800	$11,200	Sep-22	
		Running workshop for value-chain calculation	Contract Period	1	$3,500	$3,500		Nov-22	
		Organise capacity building and training assessment of gaps and weaknesses	Contract Period	1	$1,900	$1,900		Nov-22	
	Travel	Travel for EDA Expert	Flight and DSA	1	$3,000	$3,000	$5,800	Nov-22	
		Travel for Ecosystem Valuation Expert	Flight and DSA	1	$2,800	$2,800		Nov-22	
	Contractual services (Companies)	Workshop Venue EDA Tech Dev and Review Body	Contract Period	1	$6,000	$6,000	$21,160	Aug-22	
		Workshop Venue Revision of EDA after Peer Review	Contract Period	1	$5,000	$5,000		Oct-22	
		Conference Venue for Stakeholders to adopt Final EDA Document	Contract Period	1	$4,000	$4,000		Dec-22	
		Venue to prioritise gaps in data	Contract Period	1	$2,160	$2,160		Nov-22	

Project Outcome to which procurement relates	Type of Supply	Description of goods, services or works	Unit of Measure	Quantity	Estimated Unit Price	Estimated Total Price	Available Budget	Estimated Date of Completion	Responsible Authority
		Venues for Training workshops and courses	Contract Period	1	$4,000	$4,000		Nov-22	
	Comm & Audio Visual Equip	Comms and Audio support to meeting to adopt draft EDA by Tech Board	Contract Period	1	$2,000	$2,000	$10,120	Nov-22	
		Comms and Audio support to stakeholder meeting to adopt final EDA	Contract Period	1	$2,000	$2,000		Dec-22	
		Support to Value-Chain Analysis workshop/meeting	Contract Period	1	$3,500	$3,500		Nov-22	
		Support to workshop on information gaps	Contract Period	1	$1,300	$1,300		Nov-22	
		Support to training workshops	Contract Period	1	$1,320	$1,320		Nov-22	
	Supplies	EDA Peer Review	Item Costs	1	$506	$506	$5,106	Sep-22	
		Value -Chain	Item Costs	1	$1,000	$1,000		Nov-22	
		Ecosystem Value	Item Costs	1	$1,000	$1,000		Nov-22	
		Capacity weaknesses and needs	Item Costs	1	$1,600	$1,600		Nov-22	
		CB&T Workshops	Item Costs	1	$1,000	$1,000		Nov-22	
	AudioVisual	Final Report on Ecosystem Valuation	Item Costs	1	$920	$920	$920	Nv-22	
	Miscell. Expenses	Value-Chain Calculations	Item Costs	1	$2,400	$2,400	$5,014	Nov-22	
		Capacity Needs	Item Costs	1	$2,000	$2,000		Nov-22	
		CB&T workshops	Item Costs	1	$614	$614		Nov-22	
	Train, Work & Conf	Revision workshop on EDA following Peer Review	Flight, DSA, Attendance, Venue	1	$45,000	$45,000	$256,450	Oct-22	
		Stakeholder Adoption Meeting for final EDA document	Flight, DSA, Attendance, Venue	1	$45,000	$45,000		Dec-22	
		Value Chain linkages	Flight, DSA, Attendance, Venue	1	$35,000	$35,000		Oct-22	

Project Outcome to which procurement relates	Type of Supply	Description of goods, services or works	Unit of Measure	Quantity	Estimated Unit Price	Estimated Total Price	Available Budget	Estimated Date of Completion	Responsible Authority
		Info Gaps and Needs	Flight, DSA, Attendance, Venue	1	$35,000	$35,000		Nov-22	
		Capacity weaknesses and needs	Flight, DSA, Attendance, Venue	1	$70,000	$70,000		Nov-22	
		CB&T workshops	Flight, DSA, Attendance, Venue	1	$26,450	$26,450		Nov-22	
						$437,854	$437,854		
Component 2: Development of a Strategic Action Programme for Addressing Threats and Strengthening Stewardship through Collaboration and Conservation of the Sargasso Sea Ecosystem	International Consultants	Organising Threats and Risks Mitigation Analysis	Contract Period	1	$25,000	$25,000	$25,000	Oct-22	IOC-UNESCO
	Contractual Services - Individual	Organisation of Stakeholder Meetings	Contract Period	1	$2,575	$2,575	$2,575	Oct-22	
	Travel	Travel for mining data capture/discussions	Flight and DSA	1	$1,500	$1,500	$1,500	Dec-22	
	Contractual services (Companies)	Discussions with IMO regarding the Sargasso Sea Ecosystem and its vulnerability	Contract Period	1	$1,525	$1,525	$1,525	Dec-22	
	Comm & Audio Visual Equip	Rental	Item Costs	1	$600	$600	$600	Dec-22	
	Supplies	Support to Stakeholder Meetings	Item Costs	1	$250	$250	$250	Dec-22	
	Info Tech. Equip	Rental	Item Costs	1	$600	$600	$600	Dec-22	

Project Outcome to which procurement relates	Type of Supply	Description of goods, services or works	Unit of Measure	Quantity	Estimated Unit Price	Estimated Total Price	Available Budget	Estimated Date of Completion	Responsible Authority
	Misc. Expenses	Support to Stakeholder Meetings	Item Costs	1	$50	$50	$50	Dec-22	
	Train, Work & Conf	Workshop/Conference costs (Flights, DSAs) for discussions with IMO regarding the Sargasso Sea Ecosystem and its vulnerability	Flight, DSA, Attendance, Venue	1	$15,930	$15,930	$15,930	Dec-22	
						$48,030	$48,030		
Component 3: Partnerships and Collaboration for the Sustainability of the Natural Resources of the Sargasso Sea Ecosystem	No Activities in First Year so no budget requirement here								
Component 4: Knowledge Management, Monitoring and Evaluation	International Consultants	Consultancy to undertake a Project achievements review	Contract Period	1	$30,520	$30,520	$30,520	Dec-22	IOC-UNESCO
	Local Consultants	Contract for Communications Officer	Contract Period	1	$60,000	$60,000	$60,000	Jun-22	
	Contractual Services - Individual	'Big Data' Platform establishment	Contract Period	1	$5,000	$5,000	$7,050	Dec-22	
		Briefings on Adaptive Management	Contract Period	1	$2,050	$2,050		Dec-22	
	Travel	Travel for Comms Officer	Flight and DSA	1	$7,710	$7,710	$7,710	Dec-22	
	Contractual services (Companies)	Briefings for adaptive management workshop	Contract Period	1	$1,150	$1,150	$7,950	Dec-22	
		IW and LME meetings	Contract Period	1	$1,800	$1,800		Dec-22	

Project Outcome to which procurement relates	Type of Supply	Description of goods, services or works	Unit of Measure	Quantity	Estimated Unit Price	Estimated Total Price	Available Budget	Estimated Date of Completion	Responsible Authority
		Project Steering Committee organisation	Contract Period	1	$5,000	$5,000		Dec-22	
	Comm & Audio Visual Equip	Project Steering Committee Meetings	Contract Period	1	$1,575	$1,575	$1,575	Dec-22	
	Supplies	Project Steering Committee meetings	Item Costs	1	$420	$420	$420	Dec-22	
	Info Tech. Equip	Information Technology Equipment to support the establishment of a 'Big Data' platform	Contract Period	1	$1,560	$1,560	$1,560	Dec-22	
	AudVisPrint	Reports from 'Big Data' Platform	Contract Period	1	$5,000	$5,000	$7,400	Dec-22	
		Adaptive management briefings and reports	Contract Period	1	$2,400	$2,400		Dec-22	
	Train, Work & Conf	Project Steering Committee meetings (including Inception Workshop)	Flight, DSA, Attendance, Venue	1	$66,450	$66,450	$66,450	Dec-22	
						$190,635	$190,635		
Project Management Unit	International Consultants	Chief Technical Advisor	Contract Period	1	$32,500	$32,500	$32,500	Dec-22	IOC-UNESCO
	ProfSer Audit	Auditing (Mainly covered from FFEM Budget)	Contract Period	1	$600	$600	$600	Dec-22	
						$33,100	$33,100		
					TOTAL ESTIMATED BUDGET FOR YEAR ONE	**$709,619**	**$709,619**		

Annex 11: GEF Core indicators

Core Indicator 5	**Area of marine habitat under improved practices to benefit biodiversity**					**685 Million Ha**
Indicator 5.1	Number of fisheries that meet national or international third-party certification that incorporates biodiversity considerations					
Third party certification(s):			Number			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
Indicator 5.2	Number of large marine ecosystems (LMEs) with reduced pollution and hypoxia					
			Number			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
Indicator 5.3	Amount of Marine Litter Avoided					
			Metric Tons			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
Core Indicator 7	**Number of shared water ecosystems (fresh or marine) under new or improved cooperative management**					**1**
Indicator 7.1	Level of Transboundary Diagnostic Analysis and Strategic Action Program (TDA/SAP) formulation and implementation					
		Shared water ecosystem	Rating (scale 1-4)			
			PIF stage	Endorsement	MTR	TE
		Sargasso Sea ABNJ	*1*	*1*		
Indicator 7.2	Level of Regional Legal Agreements and Regional Management Institutions to support its implementation					
		Shared water ecosystem	Rating (scale 1-4)			
			PIF stage	Endorsement	MTR	TE
		Sargasso Sea ABNJ	*1*	*1*		
Indicator 7.3	Level of National/Local reforms and active participation of Inter-Ministerial Committees					
		Shared water ecosystem	Rating (scale 1-4)			
			PIF stage	Endorsement	MTR	TE
Indicator 7.4	Level of engagement in IWLEARN through participation and delivery of key products					
		Shared water ecosystem	Rating (scale 1-4)			
			Rating		Rating	

			PIF stage	Endorsement	MTR	TE
		Sargasso Sea ABNJ	*1*	*1*		
Core Indicator 11	**Number of direct beneficiaries disaggregated by gender as co-benefit of GEF investment**					***8470***[27]
			Number			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
		Female	*4718*	*4718*		
		Male	*3842*	*3842*		
		Total	*8560*	*8560*		

N.B.1 Indicators 5 & 7 at MTR: In the context of Indicator 5, The Sargasso Sea is an open ocean ecosystem in the North Atlantic. Its specific boundaries vary seasonally and depending on the defining boundary current currents. For the purposes of this Project the Sargasso Sea 'Geographical Area of Collaboration' is defined in the Hamilton Declaration as the portion of high seas and the 'Area' under that portion of the high seas, (excluding the exclusive economic zone (EEZ) and territorial sea around Bermuda, and the extended continental shelves of neighbouring states) as shown on the illustrative map therein and in **Annex E: Project Map(s) and Coordinates** appended to this document. This covers an area of approximately 685 million hectares **.** Both Indicator 5 and Indicator 7 would have to show '0' at MTR as neither of these can realistically be shown to have been fully achieved until after the Strategic Action Programme has been adopted, which will not happen until into the second half of the Project. Consequently, these indicators will only be realised by the time of the Terminal Evaluation

N.B.2 Indicator 11. Number of direct beneficiaries disaggregated by gender as co-benefit of GEF investment: It is quite challenging to calculate potential direct beneficiaries from a high seas Project with no resident population. Two groups of possible beneficiaries might be the artisanal glass eel fisheries of the Caribbean and North Africa (due to critical role of Sargasso Sea in the eel's life cycle) and high seas fishers who operate in the Sargasso Sea. Country reports to an American Eel range State meeting in 2018 organized each of the large Northern Caribbean island countries had approx. 25 organizations (of average some 5 individuals – usually male) fishing for glass eels with some family back up including females. So very roughly 170-200 in each country Haiti, DR, Jamaica and Cuba that means that a sustainable eel fishery could have about 800 beneficiaries of whom 200 may be women. Assuming similar figures for Algeria, Libya, Tunisia, Morocco, and Egypt, 1000 beneficiaries of whom 250 may be women. Totals: 1800 (1350 male; 450 female). Regarding high seas fishers- Global Fishing Watch has identified 92 vessels fishing in the Sargasso Sea in 2018 and 2019. Using averages of crew sizes for relevant vessel types that is 1334 beneficiaries– predominantly men. For each distant water fisher, there are on average some 4 shore support workers most of whom are women fish processors, i.e. 5336 and if 80% of shore workers are women - 4268. Totals –6760 (2402 male; 4268 female). Grand total: 3842 male, 4718 female.

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

Annex 12: GEF 7 Taxonomy

Level 1	Level 2	Level 3	Level 4
☒**Influencing models**			
	☒ **Transform policy and regulatory environments**		
	☐ **Strengthen institutional capacity and decision-making**		
	☒ **Convene multi-stakeholder alliances**		
	☒ **Demonstrate innovative approaches**		
	☐ **Deploy innovative financial instruments**		
☒**Stakeholders**			
	☐ **Indigenous Peoples**		
	☒**Private Sector**		
		☒Capital providers	
		☐ Financial intermediaries and market facilitators	
		☐Large corporations	
		☐SMEs	
		☐Individuals/Entrepreneurs	
		☐Non-Grant Pilot	
		☐Project Reflow	
	☒**Beneficiaries**		
	☒ **Local Communities**		
	☒**Civil Society**		
		☒Community Based Organization	
		☒ Non-Governmental Organization	
		☐Academia	
		☐ Trade Unions and Workers Unions	
	☒ **Type of Engagement**		
		☒Information Dissemination	
		☒Partnership	
		☒Consultation	
		☒Participation	
	☒ **Communications**		
		☒Awareness Raising	
		☒Education	
		☐Public Campaigns	
		☒Behaviour Change	

☒ **Capacity, Knowledge and Research**			
	☐ **Enabling Activities**		
	☒ **Capacity Development**		
	☒ **Knowledge Generation and Exchange**		
	☒ **Targeted Research**		
	☒**Learning**		
		☐Theory of Change	
		☒Adaptive Management	
		☒Indicators to Measure Change	
	☒**Innovation**		
	☒**Knowledge and Learning**		
		☒Knowledge Management	
		☒Innovation	
		☒Capacity Development	
		☒Learning	
	☒ **Stakeholder Engagement Plan**		
☒**Gender Equality**			
	☒ **Gender Mainstreaming**		
		☒Beneficiaries	
		☐Women groups	
		☒Sex-disaggregated indicators	
		☒Gender-sensitive indicators	
	☒ **Gender results areas**		
		☐Access and control over natural resources	
		☐Participation and leadership	
		☒Access to benefits and services	
		☒Capacity development	
		☐Awareness raising	
		☐Knowledge generation	
☐**Focal Areas/Theme**			
	☐ **Integrated Programs**		
		☐ Commodity Supply Chains (Good Growth Partnership)	
			☐ Sustainable Commodities Production
			☐Deforestation-free Sourcing
			☐Financial Screening Tools
			☐High Conservation Value Forests
			☐High Carbon Stocks Forests
			☐Soybean Supply Chain
			☐Oil Palm Supply Chain
			☐Beef Supply Chain

			☐ Smallholder Farmers
			☐ Adaptive Management
		☐ Food Security in Sub-Sahara Africa	
			☐ Resilience (climate and shocks)
			☐ Sustainable Production Systems
			☐ Agroecosystems
			☐ Land and Soil Health
			☐ Diversified Farming
			☐ Integrated Land and Water Management
			☐ Smallholder Farming
			☐ Small and Medium Enterprises
			☐ Crop Genetic Diversity
			☐ Food Value Chains
			☐ Gender Dimensions
			☐ Multi-stakeholder Platforms
		☐ Food Systems, Land Use and Restoration	
			☐ Sustainable Food Systems
			☐ Landscape Restoration
			☐ Sustainable Commodity Production
			☐ Comprehensive Land Use Planning
			☐ Integrated Landscapes
			☐ Food Value Chains
			☐ Deforestation-free Sourcing
			☐ Smallholder Farmers
		☐ Sustainable Cities	
			☐ Integrated urban planning
			☐ Urban sustainability framework
			☐ Transport and Mobility
			☐ Buildings
			☐ Municipal waste management
			☐ Green space
			☐ Urban Biodiversity
			☐ Urban Food Systems
			☐ Energy efficiency
			☐ Municipal Financing
			☐ Global Platform for Sustainable Cities
			☐ Urban Resilience
	☒ **Biodiversity**		
		☒ Protected Areas and Landscapes	
			☐ Terrestrial Protected Areas
			☐ Coastal and Marine Protected Areas
			☐ Productive Landscapes
			☒ Productive Seascapes
			☐ Community Based Natural Resource Management
		☐ Mainstreaming	
			☐ Extractive Industries (oil, gas, mining)
			☐ Forestry (Including HCVF and REDD+)

			☐ Tourism
			☐ Agriculture & agrobiodiversity
			☐ Fisheries
			☐ Infrastructure
			☐ Certification (National Standards)
			☐ Certification (International Standards)
		☒ Species	
			☐ Illegal Wildlife Trade
			☒ Threatened Species
			☐ Wildlife for Sustainable Development
			☐ Crop Wild Relatives
			☐ Plant Genetic Resources
			☐ Animal Genetic Resources
			☐ Livestock Wild Relatives
			☐ Invasive Alien Species (IAS)
		☐ Biomes	
			☐ Mangroves
			☐ Coral Reefs
			☐ Sea Grasses
			☐ Wetlands
			☐ Rivers
			☐ Lakes
			☐ Tropical Rain Forests
			☐ Tropical Dry Forests
			☐ Temperate Forests
			☐ Grasslands
			☐ Paramo
			☐ Desert
		☒ Financial and Accounting	
			☐ Payment for Ecosystem Services
			☒ Natural Capital Assessment and Accounting
			☐ Conservation Trust Funds
			☐ Conservation Finance
		☐ Supplementary Protocol to the CBD	
			☐ Biosafety
			☐ Access to Genetic Resources Benefit Sharing
	☐ **Forests**		
		☐ Forest and Landscape Restoration	
			☐ REDD/REDD+
		☐ Forest	
			☐ Amazon
			☐ Congo
			☐ Drylands
	☐ **Land Degradation**		
		☐ Sustainable Land Management	
			☐ Restoration and Rehabilitation of Degraded Lands
			☐ Ecosystem Approach

			☐ Integrated and Cross-sectoral approach
			☐ Community-Based NRM
			☐ Sustainable Livelihoods
			☐ Income Generating Activities
			☐ Sustainable Agriculture
			☐ Sustainable Pasture Management
			☐ Sustainable Forest/Woodland Management
			☐ Improved Soil and Water Management Techniques
			☐ Sustainable Fire Management
			☐ Drought Mitigation/Early Warning
		☐ Land Degradation Neutrality	
			☐ Land Productivity
			☐ Land Cover and Land cover change
			☐ Carbon stocks above or below ground
		☐ Food Security	
	☒ **International Waters**		
		☒ Ship	
		☐ Coastal	
		☐ Freshwater	
			☐ Aquifer
			☐ River Basin
			☐ Lake Basin
		☒ Learning	
		☒ Fisheries	
		☐ Persistent toxic substances	
		☐ SIDS : Small Island Dev States	
		☐ Targeted Research	
		☐ Pollution	
			☐ Persistent toxic substances
			☐ Plastics
			☐ Nutrient pollution from all sectors except wastewater
			☐ Nutrient pollution from Wastewater
		☒ Transboundary Diagnostic Analysis and Strategic Action Plan preparation	
		☐ Strategic Action Plan Implementation	
		☒ Areas Beyond National Jurisdiction	
		☐ Large Marine Ecosystems	
		☐ Private Sector	
		☐ Aquaculture	
		☐ Marine Protected Area	
		☐ Biomes	
			☐ Mangrove
			☐ Coral Reefs
			☐ Seagrasses
			☐ Polar Ecosystems
			☐ Constructed Wetlands

	☐ **Chemicals and Waste**		
		☐ Mercury	
		☐ Artisanal and Scale Gold Mining	
		☐ Coal Fired Power Plants	
		☐ Coal Fired Industrial Boilers	
		☐ Cement	
		☐ Non-Ferrous Metals Production	
		☐ Ozone	
		☐ Persistent Organic Pollutants	
		☐ Unintentional Persistent Organic Pollutants	
		☐ Sound Management of chemicals and Waste	
		☐ Waste Management	
			☐ Hazardous Waste Management
			☐ Industrial Waste
			☐ e-Waste
		☐ Emissions	
		☐ Disposal	
		☐ New Persistent Organic Pollutants	
		☐ Polychlorinated Biphenyls	
		☐ Plastics	
		☐ Eco-Efficiency	
		☐ Pesticides	
		☐ DDT - Vector Management	
		☐ DDT - Other	
		☐ Industrial Emissions	
		☐ Open Burning	
		☐ Best Available Technology / Best Environmental Practices	
		☐ Green Chemistry	
	☒ **Climate Change**		
		☒ **Climate Change Adaptation**	
			☐ Climate Finance
			☐ Least Developed Countries
			☐ Small Island Developing States
			☐ Disaster Risk Management
			☒ Sea-level rise
			☐ Climate Resilience
			☒ Climate information
			☒ Ecosystem-based Adaptation
			☐ Adaptation Tech Transfer
			☐ National Adaptation Programme of Action
			☐ National Adaptation Plan
			☐ Mainstreaming Adaptation
			☐ Private Sector
			☐ Innovation
			☐ Complementarity
			☐ Community-based Adaptation
			☒ Livelihoods
		☐ **Climate Change Mitigation**	

			☐ Agriculture, Forestry, and other Land Use
			☐ Energy Efficiency
			☐ Sustainable Urban Systems and Transport
			☐ Technology Transfer
			☐ Renewable Energy
			☐ Financing
			☐ Enabling Activities
		☐ **Technology Transfer**	
			☐ Poznan Strategic Programme on Technology Transfer
			☐ Climate Technology Centre & Network (CTCN)
			☐ Endogenous technology
			☐ Technology Needs Assessment
			☐ Adaptation Tech Transfer
		☐ **United Nations Framework on Climate Change**	☐ Nationally Determined Contribution
	☒ **Rio Markers**		
		☐ Paris Agreement	
		☒ Sustainable Development Goals	
		☐ Climate Change Mitigation 0	
		☐ Climate Change Mitigation 1	
		☐ Climate Change Mitigation 2	
		☐ Climate Change Adaptation 0	
		☐ Climate Change Adaptation 1	
		☐ Climate Change Adaptation 2	

Annex 13: GEF Budget

Expenditure Category	Detailed Description	Component (USDeq.)						Total (USDeq.)	Responsible Entity
		Component 1	*Component 2*	*Component 3*	*Sub-Total*	*M&E*	*PMC*		(Executing Entity receiving funds from the GEF Agency)[1]
		Sub-component 1.1	*Sub-component 2.1*	*Sub-component 3.1*					
Furniture/Equipment	Comms and Audio support to meeting to adopt draft EDA by Tech Board = $1,500; Comms and Audio support to stakeholder meeting to adopt final EDA = $1,000; Support to Value-Chain Analysis workshop/meeting = $3,500; Support for effective ecosystem approach workshop = $2,000; Support to Report on Value of Ecosystem = $2,000; Support to workshop on information gaps = $1,000; Support to Gap-filling partnership workshop = $1,000; Support to annual data review = $2,000; Support to monitoring needs workshop = $2,500; Support to training workshops = $5,500	22,000			22,000			22,000	IOC/UNESCO
Furniture/Equipment	Comms and Audio Visual Equipment rental for: Partnership meeting = $1,000; Regular Monitoring and Review process = $2,000; Publication review for M&R process = $1,500; SAP Dev and Drafting Team = $1,500; Stakeholder review of SAP objectives = $1,500; First SAP Revision = $1,500; Final Sap Revision = $1,500; Formal adoption of SAP = $1,500		12,000		12,000			12,000	IOC/UNESCO
Furniture/Equipment	Information Technology Equipment to support the regular Monitoring and Review to identify threats, potential risks and impacts as well as emerging issues = $12,000		12,000		12,000			12,000	IOC/UNESCO
Furniture/Equipment	Comms and Audio Visual Equipment rental for: Road-Map for SAP meeting = $1,500; Partnership inputs to SAP = $1,500; Scientific and Tech. Monitoring = $1,500; SAP			12,000	12,000			12,000	IOC/UNESCO

Expenditure Category	Detailed Description	Component (USDeq.)						Total (USDeq.)	Responsible Entity
		Component 1	*Component 2*	*Component 3*	*Sub-Total*	*M&E*	*PMC*		(Executing Entity receiving funds from the GEF Agency)[1]
		Sub-component 1.1	*Sub-component 2.1*	*Sub-component 3.1*					
	workshop for an ecosystem approach workshop = $1,500; Comms and Knowledge Management workshop = $1500; CB&T Needs workshop = $1,500; SAP Budget and funding workshop = $1,500; SAP Implementation/Project Development workshop = $1,500								
Furniture/Equipment	Comms and Audio Visual Equipment rental for: End-of-Project Lessons workshop = $1,250; Project Steering Committee Meetings = $4,000				-	5,250		5,250	IOC/UNESCO
Furniture/Equipment	Information Technology Equipment to support the establishment of a 'Big Data' platform = $5,200				-	5,200		5,200	IOC/UNESCO
Contractual Services – Company	Workshop Venue Revision of EDA after Peer Review = $2,000; Conference Venue for Stakeholders to adopt Final EDA Document = $2,000; Venue for effective ecosystem approach $4,000; Workshop venue to finalise report on value of ecosystem = $4,000; Venue to prioritise gaps in data = $2,000; Venue to agree options for gaps-analysis with partners = $2,000; Venues for annual review of data and info gaps = $4,000; Venue for capacity needs and infrastructure for monitoring and identify infrastructure needs = $6,000; Venues for Training workshops and courses = $20,0000	46,000			46,000			46,000	IOC/UNESCO

Expenditure Category	Detailed Description	Component (USDeq.)						Total (USDeq.)	Responsible Entity
		Component 1	*Component 2*	*Component 3*	*Sub-Total*	*M&E*	*PMC*		(Executing Entity receiving funds from the GEF Agency)[1]
		Sub-component 1.1	*Sub-component 2.1*	*Sub-component 3.1*					
Contractual Services – Company	Workshop and Conference/Meeting Venue costs for data presentation and discussions with IMO = $5,500; Identifying partnership stakeholder roles and activities =$4,000; Regular Monitoring and Review process = $3,000; Publication of M&R findings = $3,000; SAP Dev & Drafting = $2,500; Stakeholder SAP objectives meeting = $2,500; Revision of SAP = $3,000; Final Revision of SAP = $3,000; Formal Adoption of SAP = $4,000		30,500		30,500			30,500	IOC/UNESCO
Contractual Services – Company	Workshop and Conference/Meeting Venue costs for: Agreement with stakeholders on road-map for adoption of SAP = $2,000; Confirmation of partnerships and inputs to SAP Implementation = $2,000; Scientific and Technical Monitoring Requirement needs under SAP implementation = $2,000; Adaptive Management mechanism for the SAP = $2,000; Comms and Knowledge Management Methodologies under SAP = $ 2,000; CB& T needs assessment and agreement for SAP = $2,000; Budget and funding requirements for SAP Implementation = $2,000; SAP Implementation Project Development = $2,000			16,000	16,000			16,000	IOC/UNESCO
Contractual Services – Company	Workshop and Conference/Meeting Venue costs for: end-of-Project lessons and practices workshop = $1,500; Briefings on the SAP ecosystem approach = $1,000; ; IW and LME meetings = $4,000; Project Steering Committee organisation = $20,000				-	26,500		26,500	IOC/UNESCO

Expenditure Category	Detailed Description	Component (USDeq.)						Total (USDeq.)	Responsible Entity
		Component 1	*Component 2*	*Component 3*	*Sub-Total*	*M&E*	*PMC*		(Executing Entity receiving funds from the GEF Agency)[1]
		Sub-component 1.1	*Sub-component 2.1*	*Sub-component 3.1*					
Contractual services-Individual	Running workshop for value-chain calculation = $2,500; Running workshop on an effective ecosystem approach = $2,000; Organise and run annual review of data information gaps = $8,000; Organise capacity building and training assessment of gaps and weaknesses = $6,500; Organise and run training workshops during course of Project = $21,000.	40,000			40,000			40,000	IOC/UNESCO
Contractual services-Individual	Organisation and running of: Regular monitoring and review process to ID risk, impacts, emerging issues, etc. = $8,000; Regular publication of Monitoring and Review findings = $8,000; Stakeholder meeting for SAP objectives and aims = $5,500; Adoption of SAP - formal workshop and conference= $5,500.		27,000		27,000			27,000	IOC/UNESCO
Contractual services-Individual	Organising and running negotiations on: Reconfirmation of Scientific and Technical Monitoring requirements = $5,000; Defining a strategy for a collaborative ecosystem approach = $7,000; Update CB&T requirements that need to be addressed by SAP = $3,000; Formulation of budget and funding requirements needed to support SAP = $5,000; Drafting of further initiative/Project to implement SAP = $5,000.			25,000	25,000			25,000	IOC/UNESCO
Contractual services-Individual	Organising and running negotiations on: end-of-Project lessons and practices = $3,500; 'Big Data' Platform establishment = $10,000; Briefings on the SAP ecosystem approach= $10,000.				-	23,500		23,500	IOC/UNESCO

Expenditure Category	Detailed Description	Component (USDeq.)						Total (USDeq.)	Responsible Entity
		Component 1	*Component 2*	*Component 3*	*Sub-Total*	*M&E*	*PMC*		(Executing Entity receiving funds from the GEF Agency)[1]
		Sub-component 1.1	*Sub-component 2.1*	*Sub-component 3.1*					
International Consultants	Ecosystem Diagnostic Analysis Technical Inputs by CTA = $30,000; EDA Tech Dev and Review Board Development and Management by CTA = $30,000; TD&R body for EDA - Members= $33,000; Ecosystem Valuation Specialist = $26,000; Gaps Analysis CTA input = $25,000, 4 other members of Gaps Analysis Team = $72,000; CTA - Input to CB&T workshops/training = $25,000. 5 Trainers for CB&T workshops = $42,200.	283,200			283,200			283,200	IOC/UNESCO
International Consultants	Threat/Risk mitigation analysis and response inputs from CTA = $20,000. Threat/Risk mitigation analysis and response group = $45,000; Partnership on potential impacts from Climate Change = CTA input = $20,000. rest of partnership = $36,000; SAP Dev and Drafting work by CTA= $25,000.		146,000		146,000			146,000	IOC/UNESCO
International Consultants	CTA to undertake SAP Implementation Planning = $25,000; CTA to undertake SAP Budget Formulation = $25,000; CTA to develop/draft SAP Implementation Project = $25,000.			75,000	75,000			75,000	IOC/UNESCO
International Consultants	CTA to undertake Project achievements review at Half-way point = $20,000; CTA to capture new potential ecosystem-related SAP response mechanisms in ABNJ = $20,000; CTA to produce Final Report on Lessons and Practices = $20,000; CTA to produce Experience Notes for IW:LEARN = $20,000; CTA to oversee information management and Communications Officer = $20,000 Mid-Term and Terminal Evaluations = $27,000				-	127,000		127,000	IOC/UNESCO

Expenditure Category	Detailed Description	Component (USDeq.)						Total (USDeq.)	Responsible Entity
		Component 1	*Component 2*	*Component 3*	*Sub-Total*	*M&E*	*PMC*		(Executing Entity receiving funds from the GEF Agency)[1]
		Sub-component 1.1	*Sub-component 2.1*	*Sub-component 3.1*					
International Consultants	Project Manager/Chief Technical Advisor = $130,000;This is an international Consultancy post. Specific functions and deliverables are covered by Components and their Outputs above				-		130,000	130,000	IOC/UNESCO
Local Consultants	Contract for Communications Officer = $240,000				-	240,000		240,000	IOC/UNESCO
Training, Workshops, Meetings	Workshop/Conference costs (Flights, DSAs) for following: Revision workshop on EDA following Peer Review = $20,000; Stakeholder Adoption Meeting for final EDA document = $45,000; Value Chain linkages = $40,000; Cost Benefit Analysis of the Ecosystem Approach = $40,000; Finalise report on ecosystem approach value and cost-effectiveness = $40,000; Info Gaps and Needs = $15,000: Partnership workshop on gap-filling options and responsibilities = $70,000; Data and Info Annual Review = $80,000; Capacity weaknesses and needs = $70,000; CB&T workshops (5 workshops @ 10 persons each)= $137,500	557,500			557,500			557,500	IOC/UNESCO
Training, Workshops, Meetings	Workshop/Conference costs (Flights, DSAs) for following: Discussions with IMO PSSA = $10,000; Identification/allocation of partnership/stakeholder roles and activities = $55,000; Establishing the regular Monitoring and Review process = $58,000; Procedures for regular publication of the M&R= $70,000; SAP Dev and Drafting = $15,000; Stakeholder SAP Objectives and Aims = $38,000; SAP Drafting review = $15,000; Final SAP revision = $15,000; Formal Adoption Meeting for SAP = $42,600		318,600		318,600			318,600	IOC/UNESCO

Expenditure Category	Detailed Description	Component (USDeq.)						Total (USDeq.)	Responsible Entity
		Component 1	*Component 2*	*Component 3*	*Sub-Total*	*M&E*	*PMC*		(Executing Entity receiving funds from the GEF Agency)[1]
		Sub-component 1.1	*Sub-component 2.1*	*Sub-component 3.1*					
Training, Workshops, Meetings	Workshop/Conference costs (Flights, DSAs) for following: Road-map for SAP Implementation = $26,000; Partnerships for SAP = $8,000; Review of Scientific and technical monitoring needs for SAP = $21,000; SAP mechanism formulation = $22,000; SAP Comms and Knowledge management = $12,000; SAP CB&T needs = $12,000; Budget and funding for SAP = $18,000; SAP implementation Project Development = $15,000			134,000	134,000			134,000	IOC/UNESCO
Training, Workshops, Meetings	Workshop/Conference costs (Flights, DSAs) for following: Project Achievements Review (half-way) = $20,000; Final Achievements review = $19,500; End-of-Project Lessons and practices workshop = $20,000; Workshops related to 'Big Data' platform = $32,000; SAP ecosystem approach briefings and update workshops = $30,000; Project Steering Committee meetings = $100,000; (including 30,000 for Inception Workshop)				-	221,500		221,500	IOC/UNESCO
Travel	Travel for EDA Expert = $6,000; Travel for Ecosystem Valuation Expert - $6,000; Travel for Gaps Analysis Team = $10,000	22,000			22,000			22,000	IOC/UNESCO
Travel	Travel for data capture under ISA = $6,000		6,000		6,000			6,000	IOC/UNESCO
Travel	Travel to support the Mid Term Reviewer = $5,000; Travel for review of final achievements = $4,500; for Travel for Comms Officer = 13,200; Travel for MTR and TE Consultants = $3,000				-	25,700		25,700	IOC/UNESCO

Expenditure Category	Detailed Description	Component (USDeq.)						Total (USDeq.)	Responsible Entity
		Component 1	*Component 2*	*Component 3*	*Sub-Total*	*M&E*	*PMC*		(Executing Entity receiving funds from the GEF Agency)[1]
		Sub-component 1.1	*Sub-component 2.1*	*Sub-component 3.1*					
Office Supplies	Supplies to support following meetings: EDA Peer Review= $500; Value -Chain $2,000: Ecosystem Approach Workshop = $1,000; Ecosystem Value = $1,000; Info Gap-filling options = $1,000; Annual Data Reviews = $1,000; Capacity weaknesses and needs = $1,600; CB&T Workshops = $3,000	11,100			11,100			11,100	IOC/UNESCO
Office Supplies	Supplies to support following activities: Partnership/stakeholder roles and activities = $1,000; Regular Monitoring and Review = $1,500; Publication of M&R = $1,000; Revision of SAP text = $500; Final SAP revision = $500; Formal Adoption of SAP = $500		5,000		5,000			5,000	IOC/UNESCO
Office Supplies	Supplies to support following meetings and activities: Road-Map for SAP = $500; Partnerships Input to SAP = $500; Comms and Knowledge = $500; CB&T for SAP = $500; Budget and Funding = $500			2,500	2,500			2,500	IOC/UNESCO
Office Supplies	Supplies to support following meetings and activities: Updates and Briefings on the SAP ecosystem approach = $1,000; Project Steering Committee meetings = $400				-	1,400		1,400	IOC/UNESCO
Other Operating Costs	Printing/Publishing Costs for: Report on Ecosystem Valuation and Approaches = $2,000;	2,000			2,000			2,000	IOC/UNESCO
Other Operating Costs	Miscellaneous costs for: EDA adoption = $200; Value-Chain Calculations $4,800; Ecosystem Approach Scenarios = $1,000; Report on Value of ecosystem = $1,000; Identifying gap-filling options = $400; Annual review of data gaps = $1,000; Capacity Needs = $1,000; CB&T workshops = $1,500	10,900			10,900			10,900	IOC/UNESCO

Expenditure Category	Detailed Description	Component (USDeq.)						Total (USDeq.)	Responsible Entity
		Component 1	*Component 2*	*Component 3*	*Sub-Total*	*M&E*	*PMC*		(Executing Entity receiving funds from the GEF Agency)[1]
		Sub-component 1.1	*Sub-component 2.1*	*Sub-component 3.1*					
Other Operating Costs	Miscellaneous costs in support of: Regular Monitoring and Review Process = $500; Publications of Reviews = $500		1,000		1,000			1,000	IOC/UNESCO
Other Operating Costs	Printing/Publishing Costs for: End-of-Project lessons and practices report = $10,000; Reports from 'Big Data' Platform = $6,944; Adaptive management briefings and reports = $10,000.				-	26,944		26,944	IOC/UNESCO
Other Operating Costs	Auditing (Mainly covered from FFEM Budget)				-		2,000	2,000	IOC/UNESCO
Grand Total		1,006,900	559,000	301,500	1,867,400	652,950	131,944	2,652,294	
		$1,006,900	**$559,000**	**$301,500**	**$1,867,400**	**$652,950**	**$131,944**	**2,652,294**	

Annex 14: Status of the Eel Fishery in five Countries that are Dependent on the Eel Migration from the Sargasso Sea Ecosystem for Livelihoods and Export Incomes

INFORMATION	Dominican Republic	Cuba	Haiti	Jamaica	Morocco
Historical Record and Pollution Status	A. rostrata has a wide distribution in all coastal freshwater systems in D.R. There is limited in-country consumption of eel and is primarily in Asian communities. In the 1980s, a Korean citizen introduced eel fishing techniques to develop an export market to Asia. *Anguilla* meat is imported smoked and other ways and is used in sushi restaurants. The population status is unknown as is the relative abundance of elver eels in the country's water courses.	A. rostrata has been reported in several rivers on the island of Cuba, both those that flow into the Atlantic (North) and into the Caribbean Sea (South). There are no studies on the size and status of the A. rostrata populations in Cuba, but every year before fishing begins in August, samples of the resource are carried out in the main rivers and sent to the Fisheries Research Center (CIP) for their analysis,	Eel fishing is an expanding market in the country since 2013. The American eel is caught in the juvenile stage (Glass eel) in Haiti exclusively for export to countries of Asia (historically mainly Hong Kong). The fishing period is September to April from dusk until dawn. It does not require expensive materials and uses simple handcrafted baskets made with bamboo or iron and covered with mosquito net.	The specific distribution of A. rostrata across the river systems is unknown. Some elvers may remain in brackish waters while others ascend rivers far inland. Eels may stay in growing areas from 8-25 years before migrating back to sea to spawn.	A. *anguilla* is found in the coastal waters and river systems of Morocco. Eel fishing in Morocco takes place mainly in estuaries and lagoons. The Department of Water and Forests is in charge of eel management.
Production, Use & Trade	Currently D.R. issues an average of 20 permits per year to capture eel larvae. They are exported for breeding or fattening in fish farms to China, Hong Kong, Canada, USA, United Kingdom, etc. Spawning of mature eels in captivity is not yet achievable, therefore, the aquaculture industry depends on, and is supported by, the capture of wild eels	Commercial fishing for Eels in Cuba is mainly for capture, breeding and exportation. They are not commonly consumed in Cuba and, as such, they are not found in the internal market. Fishing is mainly for elvers although some adult eels are taken. the season runs from August to March, with the highest catch volumes being obtained in October and November. Elvers can be kept alive in the rivers in set-nets for up to 24 hours, as long as there is a good current flow. They are later processed by depositing them in nylon within polyfoam boxes and exported alive	The glass eels are stored in bags of treated by reverse osmosis. At this stage they do not need to be fed. Storage has costs. At the least, every fisherman needs a 25-pound oxygen tank which costs ~ US$ 30 and 18.5 litres treated water which costs ~ US$ 1.5	Small-scale exploratory Eel fishing has been allowed since 2013. Restriction on catches of *A. anguilla* (European Eel) under Appendix II of CITES has increased interest. Between 2013 and 2015 Fisheries Division issued Exploratory Fishing Licences for a period of three to five years to determine if a viable fishery for glass eels could be established in Jamaica. During this period a total of 121.5 kg of glass eel were harvested and 23.5 kg were exported. The glass eels are mainly exported to the USA or Canada where they are held in aquaculture facilities for grow-out before being re-exported to Asia.	Each of the two private operators (see below) has an aquaculture unit approved according to the regulations in force. The culture system adopted is an intensive recirculating aquaculture system with a potential production capacity of 600 tons annually

INFORMATION	Dominican Republic	Cuba	Haiti	Jamaica	Morocco
Value as an Import/Export	When fishermen discovered the true value of eels outside the D.R. there was a boom in the industry and the artisanal business changed forever. The price is now about US$ 2,000.00 per kg. In the period 2016-2021, 12,102.2 kgs of live eels were exported according to customs database records analysis, with an average of 2,017.3 kgs per year. Between 2016-2020, the D.R. imported around 1,588.79 kilograms (eel BBQ, eel UNAGI, frozen mature eel products) , mostly from USA, Spain, Vietnam, China and Hong Kong. Exports were primarily to Canada Export Figures: 2016 = 4,083 kg 2017 = 1,380 kg 2018 = 1,569 kg 2019 = 1,925 kg 2020 = 1,245 kg 2021 = 1,900 kg Export Value = $922.5 / kg	This is a resource that constitutes an important item for export and the expenses incurred annually, after the initial investment, are minimal compared to the high income for its price in the international market. Although the tonnage of eels captured against the overall fishery products tonnage only represents some 0.002% the Export value is equivalent to 7.5%. Both the weight exported and the price per kilo rose between 2017-19 and then both fell off again between 2019-21. Export Figures (and price/kg) 2017 = 155 kg (US$1,828) 2018 = 1,177 kg (US$4,927) 2019 = 1,651 kg (US$5,389) 2020 = 912 kg (US$3,289) 2021 = 449 kg (US$3,780)	The buyers pay the fishermen between US$1-5 per gram for glass eels. The Ministry of Agriculture, Natural Resources and Rural Development (MARNDR) sets an export fee of ~ US$ 30 to exporters who then resell ~ US$ 700 per kilo on the international market. Haiti has an 'estimated' export capacity of 800 metric tons of eel according to MARNDR (2019) Export Figures: 2013-14 = 12,220 kg 2014-15 = 9,600 kg 2015-16 = 8,100 kg 2016-17 = 6,300 kg Export Value = $3,600/kg Comment – falling annually	Over the period October 2013 to February 2020 approximately 425 kgs of A. rostrata glass eels/elvers were harvested and 91 kgs were exported. However, a review of the existing available data indicates that there is discrepancy between the trade data recorded and the export permits issued. During the period under review the data indicated that a total of 2,875 kgs of glass eel were exported which were valued at US$ 81,796. During the period 2006 to 2012 approximately 12,654 kgs of *Anguilla* spp. were imported into Jamaica valued at US$102,976 Importation stopped in 2013 then, during the period 2017 to 2020, 52,004 kgs of eels were imported valued at US$203,421 The imports were mainly from Canada and one instance of importation from St. Lucia. Export Figures: See above but some uncertainty and discrepancy in the records	Currently in Morocco, eel fishing is authorized for the benefit of two private operators for an annual quota of 2,000 kg of glass eel and 7,000 kg of silver eel. These operators are subject to well-defined regulations which prohibit or control the trade and export of glass eel, the authorized fishing quotas per year for eels destined for aquaculture, the establishment of a traceability system for fishery and aquaculture products as well as participation in restocking programs. The catches are made by local fishermen employed by the two operators and all the catches are declared and controlled in accordance with traceability procedures Production from aquaculture provides the vast amount of export with 95% or more going to South Korea and the rest to Japan, Vietnam and China. This is primarily from Glass Eel farming Export Figures: 2018 = 201,.680 kg 2019 = 273,559 kg 2020 = 271,528 kg Comment - fairly consistent
Value to Livelihoods And/or Food Security	In the context of socioeconomic benefits, this fishery resource, even though seasonal	In general, this fishery is very artisanal since it depends fundamentally on the constant	Eel fishing improves the economic conditions for many fishing families in Haiti who	There are no data and information regarding the total number of persons employed in	No data provided

INFORMATION	Dominican Republic	Cuba	Haiti	Jamaica	Morocco
	(autumn-winter), can be economically important for a segment of local fishermen because of the high value of eels.	vigilance and cleaning of the gear, as well as the regular harvesting of eels throughout the fishing season. However, although the fishing of this species is carried out with artisanal means, once it is removed from the environment, its conservation and transfer becomes more complicated to avoid high mortality. With the aim of stimulating the fishery, new payment rates were established for fishermen and all the personnel involved, increasing the payment and making it progressive according to the number of kilograms caught	have been discouraged by traditional fishing due to material costs. Eel is not commonly consumed in country	this fishery. The data which is available is restricted to the number of fishers that participated in the exploratory fishing activities. Thirty-two persons were issued exploratory fishing licences to harvest glass eels	
Legislation/Management	The exploitation and export of eels requires special licenses that are granted by CODOPESCA. Fishermen must reside in the areas from which the fish are extracted, be "duly registered" and have an identification card of the companies to which they sell their products. In turn, these companies must have licenses of commercialization and export. Occasionally some fishermen sell their eels to the black-market dealers at better prices than those paid by the companies with licences. A general ban is established for fishing and trade of A. rostrata, in the period between (1st) April to (31) October of each year and will cover all stages of its life cycle. In addition, it establishes	Fishing requires licenses issued by the Ministry of Food Industry (MINAL) like any other fishing resource. The licenses regulate fishing areas, gear and fishing effort, among other aspects. The Ministry of Fishing Industry approved a Manual of Work Procedures for the management of *Anguilla* rostrata, which is mandatory. There is a system of fishing licenses for each company, and there is a control system for the entire process that includes daily, monthly and annual reports of fisheries, transportation, shipping and international trade. The system is monitored at the national level by the Ministry of the Food Industry. There is only one company authorized for export.	There are currently no eel fishermen's associations at either local or national level, and no requirement for a permit or total allowable catch (TAC). Exporters need an export permit and to remain within the quota limit of 6,400 kilograms per exporter	The interest generated in the glass eel fishery resulted in the Fisheries Division developing special Terms and Conditions and Methodology for Exploratory Glass Eel Fishing, that were to "…be read and construed as one with the Conditions of any licence issued to a person and/or company to engage in Exploratory Glass Eel Fishing in Jamaican Rivers". Based on the results of the initial survey, several rivers were designated and assigned to the licensed companies for the fishing of the glass eels/elvers. One of the conditions of a licence sets out a requirement that all licensed fishing entities must submit data/reports to the NFA to facilitate the monitoring of the	Eel fishing can only be authorized within the framework of a leasing of fishing rights and according to the available quotas. Eel operators must have an aquaculture station and are subject to specific rules applicable to eel fishing, particularly fishing conditions, traceability and restocking. These include that A. The captured glass eels must be intended exclusively for breeding and trade in glass eels, whether alive or dead, is strictly prohibited. B. quotas must be adhered to - during the 2021-2022 season the fishing quota has been set at 2,000 kg of glass eel and 7,000 kg of silver eel, 3. There are restrictions on seasons/dates

INFORMATION	Dominican Republic	Cuba	Haiti	Jamaica	Morocco
	a quota of 150 kg per company, and 2,500 kg per season in total	In addition to the fines and depending on the seriousness of an infraction, other measures such as the suspension or cancellation of a license and the confiscation of the product, fishing gear and equipment, including ships, boats and naval devices and any other means used to commit the offense or directly linked to it can be applied.		fishing activities. All products that are to be exported have to be issued with an Export Health Certificate.	for fishing for glass eels and for silver eels. With *A. Anguilla* in CITES Appendix II, any collection of specimens of this species requires authorization issued by the Department of Water and Forest after consultation with the national fisheries committee, which brings together all the research institutions concerned with aquatic biodiversity. Export is subject to obtaining an export permit issued by the Department of Water and Forests. The Department of Water and Forests adopted an action plan with the objective of rebuilding eel stocks and minimizing the main sources of mortality, particularly measures related to the exploitation of this species.
Protection/Conservation	A workshop held in the Dominican Republic in 2018, brought together American eel range states with a specific focus on enhancing coordination and information sharing regarding fisheries, and capacity building for data collection on harvests and exports. The commercial boom started in 2012, which coincided with the moratorium of the European eel, *A. anguilla,* in the USA. In parallel with the legal trade, an illegal market also developed. To counter this illegal trade, the authorities launched an operation entitled	A. rostrata is not a listed species in Cuba's "Regulations for the control and protection of species of special significance for biological diversity in the country' so it is not controlled by the Office of Regulation and Environmental Safety (ORSA), or the CITES Management Authority.	There have been limited mitigation measures so far to preserve the species in Haiti	The Jamaican Fisheries Act provides for the management of fisheries and aquaculture through, among other things, the development of management plans and the establishment of fishery/aquaculture management areas, zones, and buffer zone. This includes ensuring that there is free passage of fish (migratory fish) up and down rivers by prohibiting any obstacles. Provisions are also made for the notification of the NFA in instances where the fish habitat is altered (and ensuring that the	Since the inclusion of the *A.* Anguilla in Annex 2 of the CITES in 2009, Morocco has set up a number of measures for the sustainable management of the eel based on a precautionary approach. These focus mainly on fishing quotas, specifications for fishing activity, glass eel aquaculture, restocking programmes, establishment of a traceability system for products, and enforcement measures against poaching and illegal trafficking. The scientific authority makes recommendations on

INFORMATION	Dominican Republic	Cuba	Haiti	Jamaica	Morocco
	´´Broken Glass´, which culminated in 2017, with the dismantling of illegal traffic to Asian markets.			habitat can be protected in the case of a harmful event. These provisions ensure the conservation and protection of the Jamaican *Anguilla rostrata* population.	measures or restrictions relating to the exploitation of the species, such as the reduction of the catch quota, the reduction of the fishing period, the setting aside of an aquatic area or the prohibition of the use of fishing gear.
Ongoing Studies & Science	The literature on studies of this species is scarce for D.R. "Biodiversity of the American Eel, *Anguilla rostrata* in the Dominican Republic.". Mellissa DeBiasse, PhD; Tara Pelletier, PhD; Lucy Howey, Msc., MBA.; and others. Another study focused on the social and economic impact is being carried out according to officials from CODOPESCA	Although several research centres in the fisheries sector have been studying the breeding, feeding and reproduction of the American eel, that they have not so far been successful. The Fisheries Research Center (CIP) has created a line of research on eels, to be able to take management measures for the species. The Aquaculture Development and Technologies Company (EDTA) has a Project to grow the species, but it has not been possible to find a foreign partner with experience in the matter, as trials have been carried out and they have not been successful	None reported	The available data is sparse and inconclusive and also indicates that more research needs to be conducted to determine the viability of a glass eel/elver fishery for A. rostrata in Jamaica.	The Department of Water and Forests is committed to carrying out a study on eel stocks in its fisheries. The aim is to estimate the existing stocks and update the authorized fishing quotas accordingly. The results of this study are expected by 2022.
Problems with Eel Fishery	Fishermen indicate that their catch has been declining over the past years primarily because of contamination, fragmentation of its habitat, and other factors. The licensed glass eel fisheries are carried out in estuaries, which are generally within the National System of Protected Areas. They therefore conflict with and contravene a number of environmental and protected	Construction of roads, bridges and other man-made structures including damming of rivers has created artificial barriers and reduced river flow	Main concerns relate to impacts from water pollution, loss of habitat and overfishing. Risk of losing this important economic source over the next decades, especially if the Haitian state continues to take threat mitigation measures without relying on reliable data from scientific research.	Catch and other data indicate that more research is required to determine if a sustainable fishery can be established for glass eels. There have been low yields of the glass eels/elvers and the population of the adult eels of this species is unknown. As a result of longer dry periods (related to climate change) river flow is impacted and the ability of eels to migrate to spawning grounds in the	Steps need to be taken to deepen knowledge on population dynamics and scientific monitoring of this species, hence the importance of international cooperation.

INFORMATION	Dominican Republic	Cuba	Haiti	Jamaica	Morocco
	areas laws. Incursions for the glass eel fishery within the limits of the Protected Areas System has recently led to clashes between armed people in the service of authorized fishing companies and staff of the Ministry of Environment. Some staff have been attacked, while trying to bring order and control to the fishing activities. There have also been clashes between fishermen over disputes to control fishing areas of rivers or estuaries. Some incidents resulted in people being injured or killed.			Sargasso Sea or return and migrate upstream to the head waters of river systems will be impeded. The alteration of riverine systems by the use of dams or dredging will also hinder migration	
Improvements and Needs	With the growing interest in the capture and export of this species, major data gaps need to be filled and an overall management and conservation plan develop. There is a current proposal for a series of regulations to be implemented prior to granting possible future capture permits for commercial purposes, as well as evaluating the sites allowed for fishing and some conservation and restoration measures. These measures include promoting the placement of ladders in those dams that require it, to allow the upstream and downstream movement of adult eels.	The Fisheries Advisory Commission is in charge of proposing regulations and legal issues to achieve sustainable economic exploitation. In recent years this Commission has been paying attention to this resource mainly due to its economic potential and the need to conserve it. A new specific legislation is currently being drafted for this fishing resource.	Current data is not considered reliable and opens the way to accelerate the overfishing of the eel instead of reducing it.	Limited data available at present indicates that more research is required to determine if a sustainable fishery can be established for glass eels. Existing data suggests that the glass eel and elver densities were not very high for the periods and areas sampled. In addition, for various reasons, sampling effort has been inconsistent. The population of the adult eels of this species is unknown.	Morocco requires investments, in particular for the installation of recirculating aquaculture systems, the organization of artisanal fishing and the establishment of a traceability system.
Main Conclusions & Recommendations	Need for better collaboration among American eel range States, including the organization of regional meetings to discuss how to fill		In order for the Haitian State to be better involved in the conservation of the species, it needs to carry out ecological assessment aimed mainly at	Population dynamics, abundance, and distribution of the stock in Jamaican waters is unknown. Other concerns for the population include the	Following the recommendations of the CITES Secretariat, Morocco is committed to carrying out a study on eel stocks in its

INFORMATION	Dominican Republic	Cuba	Haiti	Jamaica	Morocco
	gaps of information and ensure sustainability in the face of the growing demand for international trade. Available data suggest that the resource is being exploited to its maximum capacity. A Management Protocol is needed at the national level to regulate eel fisheries including long-term conservation measures like, reduction of pollution, ladders in dams and other barriers that prevent movement upstream in rivers, as well as other conservation actions. Addressing this problem will require local and international financial support.		estimating the state of the national eel stock. Fishermen need to be registered and their operations monitored and controlled, including encouraging them to reduce pollution in fishing areas. Finally, the authorities concerned must be involved in actively participating in the conservation of the species with other stakeholders at the international level.	impacts of watershed management on the health of the eels. Further, climate change and its attendant impacts on the ocean ecology in general and specifically that of the Sargasso Sea may have negative consequences on the larger A. rostrata population. If a fishery is to be further developed it will have to be managed carefully with strict harvest controls and restricted access to the fishery. The conservation and management of the local stocks will require a holistic approach that involves all key stakeholders.	fisheries. The aim is to estimate the existing stocks and update the authorized fishing quotas accordingly. The results of this study are expected by 2022. In Morocco, the eel management plan is relatively different from the one developed at the level of the European Union or at the level of other countries of North Africa, All the glass eels caught are destined for aquaculture, and all production is oriented towards export.

Chapter 7Q
Sargasso Sea

Contributors: Howard S.J. Roe (convener), David Freestone, Laurence Kell, Brian E. Luckhurst and Tammy Warren.

Keynote points

- The Sargasso Sea is an area of the high seas that is internationally recognized as a fundamentally important part of the global ocean because of its role in climate regulation and its unique ecosystems.
- The Bermuda Atlantic Time-series Study continues to collect observations enabling inferences on the impact of climate changein the ocean and increased understanding ofocean processes. Continuation of that fundamental long-term research is essential.
- Mass blooms and strandings of *Sargassum* since 2011 are attributable to a previously rare form of *Sargassum natans*. They are causing major socioeconomicproblems for the region and may also adversely affect unique oceanic *Sargassum* communities.
- The importance of the Sargasso Sea as a spawning area for both the European eel (*Anguilla anguilla*) and the American eel (*Anguilla Anguilla anguilla*) has been emphasized by satellite tracking of adults and widespreadlarval surveys. An increased understand- ing of the ecology of commercial tuna and tuna-like species and awareness of the use of the area by endangered and threatenedspecies is increasing the need for ecosystem-based fisheries management.
- Most changes and threats, including cli- mate change, overfishing of eels, plastic pollution and mass blooms of *Sargassum*,are externally driven. Those increasing threats will adversely affect the contribution of the Sargasso Sea to Sustainable Development Goal 14 to conserve and sustainably use the oceans, seas and marine resources for sustainable development and, therefore, other Goals.[1]
- The increasing activity in the SargassoSea demonstrates the importance of ad- dressing the cumulative impacts of human activities on the high seas.

1. Introduction

The present chapter builds on developments and knowledge of the previous baseline state, as reported in chapter 50 of the first *World Ocean Assessment* (United Nations, 2017). Continuing research around the ocean time series hosted by the Bermuda Institute of Ocean Sciences underpins the understanding of fundamental ocean processes, including the importance of microbes and the effectsof climate change. Progress in understanding the broader ecology of the Sargasso Sea is described, in particular: *Sargassum* weed, its distribution, associated fauna and the real and potential impact of recent blooms on coastal communities; ongoing research into the life cycle of the European eel (*Anguilla Anguil-la*) and the American eel (*Anguilla Anguilla anguilla*); increased awareness of the biology of some commercial fish species and ongoing developments in ecosystem modelling; and increased threats from plastic pollution. Ongoing and recent international developments pertaining to the Sargasso Sea are outlined in the light of the ongoing intergovernmental conference on an international legally binding instrumentunder the United Nations Convention on the Law of the Sea[2] on the conservation and sustainable use of marine biological diversity of areas beyond national jurisdiction.

[1] See General Assembly resolution 70/1.

[2] United Nations, *Treaty Series*, vol. 1833, No. 31363.

The 2016 baseline case contained a descriptionof the background oceanography of the Sargasso Sea, the unique surface ecosystem and communities based upon floating aggregations of two species of *Sargassum* and their role as feeding and nursery areas for fishes, juvenile turtles and seabirds. Many animals migrate through the Sargasso Sea and many migrate to it to breed. It is the only known spawning areafor the European eel (*Anguilla anguilla*) and the American eel (*Anguilla Anguilla anguilla*). Many of the species inhabiting the Sargasso Sea are endangered or threatened and are listed as such in the International Union for Conservation of NatureRed List of Threatened Species, the Convention on International Trade in Endangered Speciesof Wild Fauna and Flora,[3] and the Protocol concerning Specially Protected Areas and Wildlife to the Convention for the Protection and Development of the Marine Environment of the Wider Caribbean Region[4] (Laffoley and others, 2011).

Threats, economic values and conservation responses were summarized.

There have been changes and developments to the baseline case, but the Sargasso Sea remains a fundamentally important part of the global ocean owing to an interdependent mix of physical oceanography, its ecosystems andits role in global-scale ocean and Earth-system processes. It contributes significantly to local as well as global economies both directly from fisheries for highly migratory species (including the European eel and the Americaneel), coral reefs, whale watching and "turtle tourism", and indirectly from its role in climateregulation, conservation of genetic diversity and nutrient cycling (Laffoley and others, 2011; Pendleton and others, 2015). On the other hand, it is also threatened by climate change, pollution, increased fishing activities and in- creased shipping.

2. Change of state

2.1 Ocean time series

The continuing importance of long-term ocean time series in understanding variability in the ocean and ocean processes has been rein- forced both locally by the results from Hydro-station S and the Bermuda Atlantic Time-series Study, and globally through numerous reviews (Neuer and others, 2017; O'Brien and others, 2017). The Bermuda Atlantic Time-seriesStudy programme is one of the few ocean time series with long enough records to enable anthropogenic change to be distinguished from natural variability (Henson and others, 2016). The breadth of research utilizing those data is summarized on the Bermuda Atlantic Time-series Study website.[5]

2.2 Sargassum

The baseline case contained a description of the role of two species, namely, *Sargassum natans* and *Sargassum fluitans*, primarily for their role in hosting specialized communities of animals and acting as nursery and feeding areas. Advances in the knowledge of those communities have implications for future conservation measures. The communities vary in both time and space. Considerable variability over a 40-year period, and also between samples taken a year apart, was found by Huffard and others (2014). The reasons are unknown,but increasing ocean acidity may be the cause of the reduction in calcareous epibionts, such as bryozoans. Variability at the molecular level

[3] United Nations, *Treaty Series*, vol. 993, No. 14537.
[4] Ibid., vol. 2180, No.25974.
[5] See http://bats.bios.edu.

within species occurs in the widely dispersed slender Sargassum shrimp (*Latreutes fuco- rum*), and it is suggested that conservation measures for such species should cover large areas or have networks of protected areas (Sehein and others, 2014).

Since the mass stranding of thousands of tons of *Sargassum* on beaches in the Caribbean and the Gulf of Mexico and on the coasts of West Africa and South America in 2011, there have been considerable efforts to identify the blooms, their causes and their movementsusing satellite tracking, modelling, direct sampling at sea and a combination of different techniques (Schell and others, 2015; Franks and others, 2016; Djakouré and others, 2017; Brooks and others, 2018; Putnam and others, 2018). The blooms were identified as a previously rare form of *Sargassum* (*S. natans* VIII) by Schell and others (2015). The identification was subsequently confirmed by genetic studies (Amaral-Zettler and others, 2017). *S. natans* VIII was described from the Caribbean by Parr(1939), but it was then largely forgotten. It differs morphologically from both *S. fluitans* and *S. natans* and hosts reduced communities of animals, which, in turn, make it less attractiveto fishes, turtles and seabirds, which feed on or beneath the *Sargassum* mats (Martin, 2016). Consequently, changes in *Sargassum* type or distribution could affect species diversity and abundance. The distributions of the different species and forms of *Sargassum* differ both spatially and temporally, and *S. natans* VIII is believed to be limited by temperature, since it is most abundant in warm water to the south of the Sargasso Sea and the Caribbean. It is rare further north, but it has been found off Bermuda since 2016 (Clover, 2017). So far, theblooms have not affected the Sargasso Sea directly, but they have the potential to do so through reduced *Sargassum* communities and because they are preventing the successful nesting of turtles on the affected beaches around the Caribbean.

The blooms originate in the North Equatorial Recirculation Region south of the Sargasso Sea and, from there, are carried into the Caribbean (Johnson and others, 2013; Franks and others, 2016; Djakouré and others, 2017; Putnam and others, 2018) Such blooms have been an annual event since they were first observed in 2011. High levels of dead *Sargassum* that has sunk from the surface have alsobeen reported on the sea floor in the Vema Fracture Zone beneath the North Equatorial Recirculation Region, potentially providing a food source to deep-sea benthic ecosystems(Baker and others, 2018). The causes of the blooms are the subject of ongoing research and may include modifications induced by climate change, such as increased temperature and changes in ocean currents, enhanced nutrient levels originating from the Congo, Orinoco and especially Amazon Rivers, equatorial upwelling and dust from the Sahara (Djakouré and others, 2017). The question is whether the regime shift in the tropical and subtropical Atlantic is primarily caused by human activity.Various monitoring satellites, which feed information to the Sargassum Watch System, for example, inform communities on the locationof blooms and warn them of potential beach- ing events (Hu and others, 2016).

2.3 Fishes

The importance of the Sargasso Sea to the European eel and the American eel has been rein- forced. The larvae of both species were knownto occur in the south-west of the Sargasso Sea in the vicinity of the seasonal subtropical con- vergence (Munk and others, 2010; Miller and others, 2015). Satellite tagging tracked migrating European eels from European rivers as faras the Azores (Righton and others, 2016). Simi- lar tagging of American eels showed migrationfrom Canada to the Sargasso Sea (Béguer-Ponsand others, 2015). More recently, it has been shown that European eels spawn across a 2,000 km swathe of the southern Sargasso

Sea in an area bounded by temperature fronts(Miller and others, 2019). The wide spawning area may reflect different starting times of migrations, different swimming abilities or larvaldrift in ocean currents. Recruitment levels to fisheries for both species have collapsed, andthe reduction is matched by declines in numbers of eel larvae in the Sargasso Sea (Hanel and others, 2014). Climate change, rising sea temperatures, changes in ocean currents and the North Atlantic Oscillation all potentially adversely affect the marine life cycle of eels (Miller and others, 2016).

New information on food webs and spawning sites of tuna and tuna-like species managed by the International Commission for the Conservation of Atlantic Tunas has reinforced theimportance of the Sargasso Sea in providing habitat, foraging and spawning grounds, and migratory corridors for those species (Luck- hurst, 2015a; Luckhurst and Arocha, 2016; Anonymous, 2016). The Northwest Atlantic Fisheries Organization has acted to protect seamounts in the northern Sargasso Sea by closing the area to bottom trawling until 2020(Northwest Atlantic Fisheries Organization (NAFO), 2015).

Despite decreases in catches worldwide and in the relative abundance of the main commercial pelagic species, the capacity of the global fishing fleet has continued to increase (Rousseau and others, 2019). Spatial estimates of fishing effort are not available from the Commission for the Sargasso Sea. In their absence, the percentage of the catches of themain Commission species (stock boundaries defined by the Commission) has been plottedas an indicator of the level of fishing in the Sargasso Sea over time.

The figure below contains an updated analysis of Luckhurst (2015b), which provided catch analyses from 1992 to 2011 for the principal Commission species, with the latest catches reported by the Commission.[6] The latest catches reported are up to and including 2017; more recent data are not available owing to delays in reporting to and processing by theCommission. Up to a maximum of 12 per centof North Atlantic albacore and 10 per centof West Atlantic bluefin catches are taken in the region. Catches of tropical tunas (bigeye, yellowfin and skipjack) and billfishes (sword-fishes, sailfishes, blue marlin and white marlin) are smaller but still significant. The proportionof the catches taken from the Sargasso Sea show considerable variability over time, potentially owing to changes in targeting by the longline fleets, but effort data to evaluate thatare not available from the Commission. The longline fleet is shown because of the eco- logical importance of by-catch species, such as billfishes, sharks, seabirds and sea turtles.To move towards ecosystem-based fisheries management in the Sargasso Sea, it will be important to understand the spatial overlap between fishing effort and the behaviour of non-target species, including the migrationroutes, aggregating behaviour and habitat useof all species that use it (Kell and Luckhurst, 2018; Boerder and others, 2019).

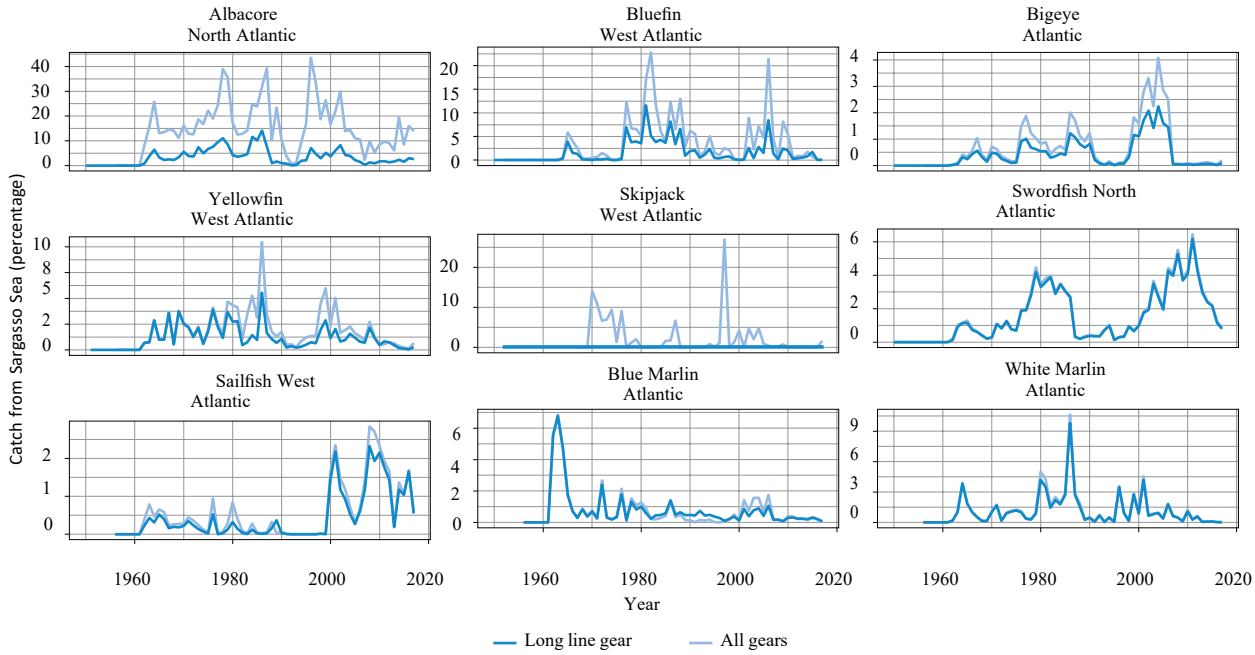
2.4. Plastic pollution

Plastic pollution in the Sargasso Sea was first observed in 1972 (Carpenter and Smith, 1972). Concentrations of microplastics in the surface of the Sea were found to be orders of magnitude greater than previously recorded, with the greatest concentration in the subtropical convergence zone (Law and others, 2010). The accumulation of surface particles in the zone was forecast by models used to guide sampling by the "7th Continent" expedition in 2014. It was estimated that the North Atlanticsubtropical gyre, that is, the Sargasso Sea, had about 56,000 tons of floating plastic in 2014 (Eriksen and others, 2014). Presumably, more

[6] See www.iccat.int/en/accesingdb.html.

is present today. There have been extensive re- views of plastic pollution and its effects in theglobal ocean and in ocean gyres (Joint Groupof Experts on the Scientific Aspects of Marine Environmental Protection (GESAMP), 2014, 2016; Law, 2017; Eriksen and others, 2016). More recently, laboratory experiments havefound adverse effects of plastic leachates on the photosynthetic bacterium *Prochlorococcus* (Tetu and others, 2019). *Prochlorococcus* produces up to 20 per cent of atmospheric oxygen. If the results are confirmed in situ, plastic pollution poses a threat to global oxygen production by marine bacteria. The adverse impacts described in the various reviews will apply to the Sargasso Sea, and the concentrating effects of the ocean gyre and the sub- tropical convergence trap plastic within mats of *Sargassum*, which makes the Sargasso Sea particularly vulnerable.

Time series showing the percentage of the total and longline catches that come fromthe Sargasso Sea region



Source: Data are from the International Commission for the Conservation of Atlantic Tunas catch-at-size database(CATDIS).

3. Institutional arrangements

One of the major challenges facing the Sargasso Sea is a legal one. The Sargasso Sea falls within the high seas – the 50 per cent of the planet that is outside national jurisdiction(Freestone, 2015). To address that challenge, five Governments came together in 2014 to sign the Hamilton Declaration on Collaboration for the Conservation of the Sargasso Sea and to establish the Sargasso Sea Commissionto act as steward for the extraordinary area (Freestone and Morrison, 2014). Five more Governments have since joined and othersmay follow (Sargasso Sea Commission, 2018).

The Sargasso Sea Commission is based ona new paradigm for the conservation of areas beyond national jurisdiction, conveningstakeholders from multiple countries and organizations to address issues that fall outsidenational agendas. Parties to the Convention on Biological Diversity[7] have agreed that the Sargasso Sea be included on a list of ecologically or biologically significant areas (Secretariat of the Convention on Biological Diversity, 2012).Using that as a basis, in 2015, the Northwest Atlantic Fisheries Organization agreed conservation measures by declaring a moratorium on bottom trawling on Sargasso Sea seamountsin the Organization's area, together with gear restrictions on midwater trawling (NAFO, 2015; Diz, 2016).

The Commission is working to protect the Sargasso Sea alongside a number of Governments and partners. In collaboration with the secretariat of and the range States parties to the Convention on the Conservation of Migra- tory Species of Wild Animals,[8] the Commission is working to protect the migratory range of the European eel through the Sargasso Sea. It is also exploring ways to regulate impacts of vessel activities and to work with the International Commission for the Conservation of Atlantic Tunas to use the Sargasso Sea as a pilot Project on the ecosystem approach to fisheries management (Kell and Luckhurst, 2018), and it is working with the United States National Aeronautics and Space Administration, which is developing comprehensive satellite imagery of the Sargasso Sea area.

4. Consequences of changes

The changes outlined above are mostly driven externally. On a global scale, climate change affects ocean temperature, ocean acidity and ocean circulation, which causes ecosystemchanges in both *Sargassum* and its dependent communities and in deeper living pelagic and benthic communities. Those effects have the potential to adversely affect spawning, larval feeding and migrations of eels and other fishes. Concurrent with the overall warming of the global ocean is an increase in frequency of global marine heatwaves, which adversely affect biodiversity and threaten to disrupt eco- system services in certain areas of the ocean(Smale and others, 2019). The southern Sargasso Sea has been identified as an area that has been significantly affected. Most of the pollution, including plastic, comes from land and is concentrated by ocean currents in the Sargasso Sea. Eel populations are affected by overfishing in exclusive economic zones and national waters. In addition, they are exposed to various threats during their freshwater stage, including pollutants and obstructions caused by dams and hydropower plants (Hanel and others, 2019).

The impacts of global environmental changeson the oceans, future predictions for fisheries and governance issues are summarized in a report by the Nippon Foundation-Nereus Programme (2015), and ocean issues related to the Sustainable Development Goals are summarized in a second report by the Nippon Foundation-Nereus Programme (2017). Monitoring changes in ocean temperature and chemistry and understanding the impact of those changes on ecosystems are directly related to Goal 13 on climate action and to Goal 14. The ongoing time series stations off Bermuda are central to that global monitoring(Neuer and others, 2017). Mass strandings

[7] United Nations, *Treaty Series*, vol. 1760, No. 30619.
[8] Ibid., vol. 1651, No. 28395.

of *Sargassum* on beaches cause widespread socioeconomic problems to local communities, adversely affecting tourism, fishing and health, and killing biota, including turtles and fish. The costs of cleaning up beaches run into millions of dollars, and affected countries are developing management plans and technologies to minimize impacts and seek potential uses for the *Sargassum* (Milledge and Harvey,2016; Wabnitz and others, 2019). Because of the widespread impacts to both humans and to local and ocean ecology, the blooms directly affect all Goals. The American eel and the European eel support valuable fisheries inmany countries on both sides of the Atlantic, as well as lucrative aquaculture operationsin Asia, but the populations of both species have crashed in recent years (Hanel and others, 2019; Atlantic States Marine Fisheries Commission, 2018). The causes are many and varied, and the ecological and socioeconomic changes will also affect all Goals.

Changes in trophic webs brought on by a warming ocean and increased acidity may significantly affect populations of top predators, such as highly migratory tunas and swordfishes (Fernandes and others, 2013). Changes caused by the weakening of the Atlantic Ocean's overturning circulation may result in shifts in species distributions (Caesar and others, 2018). Ocean warming, oceanacidification and deoxygenation, combined with other stresses, could change the primary productivity, growth and distribution of fish populations (Barange and others, 2018). That, in turn, will result in changes in the potential yield of exploited marine species and the associated economic and social benefits that they provide (Gattuso and others, 2015). Those impacts will, in turn, affect all Goals. Finally, the impacts and potential impacts of the rising amounts of plastic in the oceans arewell documented (e.g., Beaumont and others, 2019) and will affect all Goals.

5. Outlook

The outlook for the Sargasso Sea, in both the short and long term, depends upon international decisions, priorities and cooperation. The importance of the Sargasso Sea is recognized internationally, and because it is in the high seas, its protection falls within the competence of a number of organizations.The remoteness and size of the Sea mean that, in open ocean terms, it remains relatively pristine despite the concentrating effects of its rotating currents. However, its integrity is threatened both by the changes outlined above and by others, including the increased fishing activity over the past three years by some 28 countries that has been estimated using automatic identification system data (Sargasso Sea Commission, 2019), and by increased shipping activities through the region. The development of deep-sea mining inareas adjacent to the Sargasso Sea poses new threats (Dunn and others, 2018). The Sargasso Sea demonstrates the challenges faced by existing sectoral bodies to govern a high seas ecosystem in a holistic manner.

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Annex 16: UNDP Quality Assessment Check List