GEF Project Document

Blue Nature Alliance to Expand and Improve the Conservation of 1.25 Billion Hectares of Ocean Ecosystems

A Global Project

June, 2021

PROJECT INFORMATION			
PROJECT TITLE:	Blue Nature Alliance to Expand and Improve Conservation of 1.25 billion Hectares of Ocean Ecosystems		
PROJECT OBJECTIVE:	To catalyze the conservation of 1.25 billion hectares of ocean ecosystems, to safeguard biodiversity, help build resilience to climate change, promote human well-being and enhance ecosystem connectivity and function.		
PROJECT OUTCOMES:	**Outcome 1.1:** Engagement frameworks (i.e. new or existing ocean conservation areas) that meet the Blue Nature Alliance criteria have been collaboratively developed and endorsed. **Outcome 2.1:** New or expanded ocean conservation areas legally recognized. **Outcome 3.1:** Previously established ocean conservation areas have upgraded protections and/or improved management, as evidenced by the legal ratification for upgraded protection level, and/or for measurably improved management, as measured by the achievement of a site-specific target for improved management effectiveness. **Outcome 4.1:** By 2025, collaborative scientific research that advances the field of large-scale and/or transboundary ocean conservation developed and implemented. **Outcome 4.2:** Knowledge management and learning for the fields of large-scale and transboundary ocean conservation has been strengthened and expanded. **Outcome 5.1:** Monitoring and evaluation framework for the Blue Nature Alliance in place and used to facilitate adaptive management at both the portfolio and site level.		
COUNTRY(IES):	Global	**GEF ID:**	10375
GEF AGENCY(IES):	Conservation International	**CI CONTRACT ID:**	
OTHER EXECUTING PARTNERS:	Blue Nature Alliance	**DURATION IN MONTHS:**	60
GEF FOCAL AREA(S):	International Waters (IW)	**START DATE (mm/yyyy):**	July 2021
PRODOC SUBMISSION DATE: RE-SUBMISSION DATE(S):		**END DATE (mm/yyyy):**	June 2026
ESTIMATED DATE FOR MID-TERM EVALUATION (mm/yyyy):	January 2024	**ESTIMATED DATE FOR TERMINAL EVALUATION (mm/yyyy):**	April 2026

FUNDING SOURCE	AMOUNT (US$)
GEF PROJECT FUNDING:	$22,635,780
PPG FUNDING:	$300,000
TOTAL GEF GRANT:	$22,935,780
CO-FINANCING 1: CONSERVATION INTERNATIONAL	$23,028,913
CO-FINANCING 2: PEW CHARITABLE TRUST	$20,965,859
CO-FINANCING 3: ROB AND MELANI WALTON FOUNDATION	$20,032,065
CO-FINANCING 4: MINDEROO FOUNDATION	$22,139,842
CO-FINANCING 5: VULCAN, SKYLIGHT	$25,000,000 (in-kind)
CO-FINANCING 6: ANTARCTIC AND SOUTHERN OCEAN COALITION	$482,539
CO-FINANCING 7: INTERNATIONAL ECO FUND	$3,816,400
TOTAL CO-FINANCING:	$115,465,618
TOTAL PROJECT COST:	$138,401,398

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ACRONYMS & ABBREVIATIONS

Acronym	Definition
ABNJ	Areas Beyond National Jurisdiction
AFD	*Agence Française de Développement* (French Development Agency)
ASOC	Antarctic and Southern Ocean Coalition
BMZ	German Ministry for Economic Cooperation and Development
CBD	Convention on Biological Diversity
CCAMLR	Commission for the Conservation of Antarctic Marine Living Resources
CI	Conservation International
CITES	Convention on International Trade in Endangered Species of Wild Fauna and Flora
CMS	Conservation of Migratory Species (of Wild Animals)
CSA IPs	Climate Smart Agriculture Investment Plans
EBD	UNDP Ecosystems and Biodiversity
EEZ	Exclusive Economic Zone
ESF	Environmental and Social Framework
ESFM	Environmental and Social Framework for Mechanism
ESIA	Social and Environmental Impact Assessments
ESS	Environmental and Social Safeguards
FPIC	Free, Prior and Informed Consent
FTE	Full Time Equivalent
GEB	Global Environmental Benefits
GEF	Global Environment Facility
GLISPA	Global Island Partnership
IUCN	International Union for Conservation of Nature
IUU	Illegal, Unreported, and Unregulated
IW	GEF International Waters Strategy
LME	Large Marine Ecosystems
LSMPA	Large-Scale Marine Protected Area
MPA	Marine Protected Area
MPAtlas	Atlas of Marine Protection
MSP	Marine Spatial Planning

NBSAPs	National Biodiversity Strategies and Action Plans
NGOs	Non Government Organizations
OCA	Ocean Conservation Area
OECM	Other Effective Area-based Conservation Measures
PIR	Project Implementation Report
PMC	Project Management Costs
RFMOs	Regional Fisheries Management Organizations
SAP	Strategic Action Plan
SDG	Sustainable Development Goals
SIDS	Small Island Developing States
TBH	To Be Hired
TDA/SAP	Transboundary Diagnostic Analysis/Strategic Action Programme
TFCAA	Tropical Forest and Coral Reef Conservation Act
TWAP	GEF Transboundary Water Assessment Programme
WDPA	World Database on Protected Areas

GLOSSARY OF TERMS

Term	Definition
Aichi Targets	A set of 20 global targets under the Strategic Plan for Biodiversity 2011-2020 grouped under five strategic goals: A. Address the underlying causes of biodiversity loss by mainstreaming biodiversity across government and society. B. Reduce the direct pressures on biodiversity and promote sustainable use. C. Improve the status of biodiversity by safeguarding ecosystems, species and genetic diversity. D. Enhance the benefits to all from biodiversity and ecosystem services. E. Enhance implementation through participatory planning, knowledge management and capacity building.
Beneficiaries	The Alliance has defined beneficiaries as people who receive socio-economic, recreational or cultural benefits as a result of investments made by the Alliance, including both monetary (e.g. jobs, grants, increased income) and non-monetary benefits (e.g. training, increased knowledge, enhanced experiences). Beneficiaries include personnel of all ocean conservation areas where the Alliance invests; ocean conservation area partner personnel who are directly involved in enforcement, research, education and outreach activities funded by the Alliance; small scale or artisanal fishers that operate within or in close proximity of Alliance engagement sites; people employed in post-harvest jobs of small-scale fisheries; tourist service providers that operate within Alliance engagement sites. MPA visitors, people living within or within 1 km of the MPA, and therefore will reap the many ecosystem service benefits of the area; other MPA users (e.g., scientists, educators, historians, etc.) that conduct activities within ocean conservation areas; staff of all implementing partners that are directly involved with activities funded by the Alliance; and people who participate in workshops and trainings funded by the Alliance. The Alliance will document the participation of each of these stakeholder groups individually for each ocean conservation area that the Alliance will invest in, or for broader science, policy and capacity-building activities that the Alliance may invest in to grow the field of large-scale marine conservation. The Blue Nature Alliance will collect data on this indicator in a sex-disaggregated manner.
Free, Prior and Informed Consent (FPIC)	A specific right that pertains to indigenous peoples that is recognized in the United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP). It allows them to give or withhold consent to a project that may affect them or their territories.

Leverage Funds	Leverage funds are financial commitments and in-kind contributions that directly contribute to achieving an Alliance goal for a site or a global activity. Examples include increased government funding allocations for the ocean conservation area, fees generated from systems put in place by the Blue Nature Alliance; co-investment and/or parallel financing by leverage partners[1] such as multilateral/bilateral agencies, private foundations, and the private sector; in-kind donations of equipment, technology, expertise and labor assessed at a fair market value; additional funding and in-kind contributions secured by implementing partners[2]; and financial contributions to the Blue Nature Alliance beyond the original $125 million commitments.
Ocean Conservation Areas	The Alliance supports ocean conservation areas, a term that includes MPAs, Other Effective Conservation Measures (OECMs), and other innovated area-based conservation approaches.
Other Effective Conservation Measures (OECM)	In November 2018 the Convention on Biological Diversity (CBD) adopted the following definition of OECMs. "A geographically defined area other than a Protected Area, which is governed and managed in ways that achieve positive and sustained long-term outcomes for the in-situ conservation of biodiversity with associated ecosystem functions and services and where applicable, cultural, spiritual, socio–economic, and other locally relevant values."
SPAW Protocol	Specially Protected Areas and Wildlife (SPAW) Protocol is a regional agreement for the protection and sustainable use of coastal and marine biodiversity in the Wider Caribbean Region.
Sustainable Development Goals	The Sustainable Development Goals (SDGs), also known as the Global Goals, were adopted by all United Nations Member States in 2015 as a universal call to action to end poverty, protect the planet and ensure that all people enjoy peace and prosperity by 2030. The 17 SDGs they recognize that action in one area will affect outcomes in others, and that development must balance social, economic and environmental sustainability.

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[1] Leverage partners provide funding that does not flow through the Alliance budget directly and/or in-kind support for a shared goal. These partners may include national and sub-national governments, private foundations, multilateral/bilateral agencies, individual donors, experts, and private sector organizations.

[2] Implementing partners are those best positioned to efficiently and effectively achieve outcomes, including local and international NGOs, private sector operators, the science and research community, and government institutions.

Blue Nature Alliance to Expand and Improve the Conservation of 1.25 Billion Hectares of Ocean Ecosystems

PROJECT DOCUMENT

SECTION 1: PROJECT SUMMARY

1. The ocean is the origin and engine of all life on this Earth. It regulates the climate, produces the oxygen we breath and determines our weather cycles. It contains the largest animals and the most diverse ecosystems on our planet. The ocean is also intrinsically linked with human development, providing food and economic opportunities for billions of people. Maintaining a healthy ocean is critical to achieving most of the United Nations Sustainable Development Goals (SDGs), including most notably the goals related to eliminating poverty (1), eliminating hunger (2), climate action (3), and the dedicated ocean goal on life below water (14). And yet, anthropogenic pressures and threats to ocean health are unprecedented and mounting. Habitat loss, fishing pressure, climate change, and pollution are leading threats to ocean health globally. These pressures—like the marine living resources they threaten—ignore national borders, further complicating potential responses. To protect our ocean and ensure it can provide the resources we need for 7 – 11 billion people, we must imagine and act at a scale larger than we ever have before and we must integrate knowledge and approaches across sectors, across cultures and across nations.

2. Effective place-based conservation and management safeguards biodiversity, replenishes fisheries, provides for the safety and security of people, and enables ecosystems to function as they should. Building ocean resilience is also a critical hedge against climate change. A longitudinal study conducted by Conservation International directly links marine managed areas with increased local incomes, food stability, and quality of life.[3] Areas with adequate capacity and funding are found to deliver almost three times the ecological benefits.[4] And a well-managed area reduces stress from unsustainable human activities making the ocean system more resilient and better able to cope with climate impacts.[5]

3. Recognizing that place-based conservation is an effective approach, a target of effectively protecting 10% of the ocean by 2020 was internationally adopted through the Aichi targets set by the Convention on Biological Diversity (CBD) and through SDG14 target 5. The latest scientific consensus however, indicates that the 10% target is insufficient to maintain ocean health, leading the International Union for Conservation of Nature (IUCN) to pass a resolution at the 2016 World Conservation Congress, calling for the designation and implementation of at least 30% of each marine habitat in a network of highly protected MPAs and other effective

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[3] Orbach Kaufman, "Marine Managed Area Science Project Synthesis: Report to Gordon and Betty More Foundation," *Conservation International* (2010).

[4] David Gill, Michael B. Mascia, Gabby N. Ahmadia, Louise Glew, Sarah E. Lester, Megan Barnes, Ian Craigie et al, "Capacity shortfalls hinder the performance of marine protected areas globally," *Nature* 543, no. 7647 (2017): 665-669.

[5] Callum M. Roberts, Bethan C. O'Leary, Douglas J. McCauley, Philippe Maurice Cury, Carlos M. Duarte, Jane Lubchenco, Daniel Pauly et al, "Marine reserves can mitigate and promote adaptation to climate change," *Proceedings of the National Academy of Sciences* 114, no. 24 (2017): 6167-6175.

area-based conservation measures by 2030, subject to the rights of Indigenous peoples and local communities.[6] The Global Environment Facility's (GEF) International Waters Focal Area Strategy similarly recognizes the need to establish and support existing MPAs in key biodiversity hotspots and coastal habitats in order to rebuild and protect essential habitats. Meanwhile, as of January 2021, according to the Marine Protection Atlas (MPAtlas), only 7% of the ocean is under some form of designated protection, including approximately 6.4% in implemented MPAs and only 2.6% classified as highly or fully protected [7], a far cry from what is needed to maintain ocean biomes and services.

4.   Globally, momentum is growing for MPAs and other forms of effective place-based ocean conservation, with a particular trend in the establishment of increasingly large ocean conservation areas. Coastal and island countries are taking bold steps to conserve vast stretches of ocean area, recognizing the tremendous benefits such action yields both for nature and their citizenry who depend on it culturally, socially and economically. People—from local communities to heads of state—are interested in designing and implementing area-based strategies to protect and sustainably manage the ocean. In many places, the heart-breaking disruption of COVID to communities and economies has emphasized the importance of oceans for healthy local food systems and tourism-based economies. They are increasingly understanding the interconnectedness of their ocean resources with that of their neighbors, including shared threats such as Illegal, Unreported, and Unregulated (IUU) fisheries, and are seeking more opportunities for regional cooperation.

5.   Conservation International (CI), the Pew Charitable Trusts (Pew), the Minderoo Foundation, the Rob and Melani Walton Foundation, and the Global Environment Facility have joined together to form the Blue Nature Alliance (the Alliance) with the objective to catalyze the effective conservation of at least 1.25 billion hectares of ocean in order to safeguard global ocean biodiversity, build resilience to climate change, promote human wellbeing, and enhance ecosystem connectivity and function.[8]

6.   Importantly, this project will contribute to two of the three GEF International Waters objectives.

Strengthening National Blue Economy Opportunities:
Aligned with the Blue Economy concept, the Alliance works with nations and communities to invest in conservation measures that sustain healthy coastal and marine ecosystems and support sustainable development in order to build local economies, livelihoods and food security. The project will directly contribute to the GEF International Water strategic action on "Sustaining healthy coastal and marine ecosystems" while likely contributing to various other areas of strategic action, such as "Catalyze sustainable fisheries management" and "Addressing pollution reduction in marine environments."

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[6] IUCN World Conservation Congress, "Increasing marine protected area coverage for effective marine biodiversity conservation," (2016): WCC-2016-Res-053-EN.

[7] "Marine Protection Atlas," Marine Conservation Institute, accessed January 2021, https://mpatlas.org.

[8] The Blue Nature Alliance's full goal is to catalyze the conservation of 18M km^2 of ocean. For the purposes of this GEF project, the stated goal of 1.25 Billion Hectares represents a subset of that larger goal.

Improving Management in the Areas Beyond National Jurisdiction:
The Alliance has the scope and expertise to work across geographic boundaries and in Areas Beyond National Jurisdiction (ABNJ) to support biodiversity conservation. If opportunities emerge, the Alliance may invest in conservation in ABNJs to pilot ocean conservation models in the high seas.

7. By directly supporting the conservation of at least 1.25 billion hectares of ocean ecosystems (approximately 3.5% of the global ocean), this project will help deliver 35% of the Aichi target and SDG14 Target 5 of protecting 10% of the global ocean and building momentum towards a greater target of 30% of the global ocean protected.[9] Catalyzing effective ocean conservation at this large scale will require a significant increase of efforts by governments, communities and NGOs to advance existing models of marine protection as well as developing innovative new models, including new multisectoral solutions and new models for transboundary ocean governance. It will also require significantly increased levels of investment and a new degree of collaboration—between NGOs, funders and governments, including new levels of regional cooperation. The Blue Nature Alliance has raised and will deploy at least US$125 million. For every dollar the Alliance invests across its portfolio of sites, it aims to leverage at least two dollars in additional sources of funding and in-kind contributions. CI, Pew, the Rob and Melani Walton Foundation, and the Minderoo Foundation are core partners in the Alliance and have each committed US$25 million to the effort.[10] Through a US$25 million investment in this project, the GEF will join them as the fifth core partner in the Alliance.

8. The approach of this project is to:

- Invest resources (grant-funding and technical support) to catalyze the establishment of at least 750 million hectares of new or expanded ocean conservation areas, as measured by legal recognition;

- Invest resources (grant-funding and technical support) to support the strengthening of at least 500 million hectares of previously established ocean conservation areas through upgraded protection levels as measured by legal recognition and/or through measurable improvement to management effectiveness, as measured through a management effectiveness assessment[11];

- Invest resources (grant-funding and technical support) in new science, tools, capacity, and innovations directly related to the fields of large-scale and transboundary ocean conservation in order to establish the global enabling conditions necessary to reach the global goal of protecting 30% of the world's oceans.

9. The Alliance aims to deploy the majority of project capital directly into the creation, expansion, or improved management of ocean conservation areas, inclusive of key biodiversity

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[9] Note that the Aichi target of protecting 10% of the ocean had a December 31, 2020 timeframe. While this target date was not met, the Alliance will contribute to the 10% goal. A new global target and timeline has not yet been negotiated.

[10] Each of the core partners have committed $25M to the Alliance. Of that $20M-23M is included from each partner as direct project co-financing that will be spent during the GEF project period. The remaining funds will have been spent towards Alliance goals prior to the anticipated date of CEO endorsement of this project.

[11] Management effectiveness assessments can but do not need to use a management effectiveness scorecard. Other methods for determining a measurable improvement in management are acceptable as long as they are agreed upon and used consistently within the site.

hotspots, coastal habitats, such as coral reefs, mangroves, and kelp forests and open ocean ecosystems, including highly productive seamounts and essential fish habitat for ocean health and food security. To complement existing GEF interventions within the International Waters Focal Area Strategy, the Alliance will give special consideration to investing within multi-country Large Marine Ecosystems (LMEs) and in Small Island Developing States (SIDS) and will seek opportunities to support transboundary conservation areas.

10. In addition to directly investing in new and existing ocean conservation areas, a small portion of Alliance project capital will be invested to cultivate the global enabling conditions required to reach the ambitious goal of protecting 30% of the ocean. This investment will include scientific research (funded with co-financing), knowledge management, capacity building, and learning initiatives to advance large-scale and transboundary ocean conservation. The Alliance has also developed and will implement a comprehensive monitoring and evaluation system.

SECTION 2: PROJECT CONTEXT

Geographic Scope

11. There have been many studies that prioritize areas of the ocean for conservation based on various factors. A 2019 review of these studies conducted by Gettysburg College and Stony Brook University found that 55% of the ocean has been identified as "important" by one or more UN or NGO initiatives. Of the areas identified by multiple groups as "important," approximately 88% are currently under no form of protection.[12] Recognizing the importance of varied ecosystems throughout the global ocean and the inadequate conservation of all of them, the Alliance will maintain a global focus.

12. The project's geographic scope will be global, with a portfolio of engagement sites around the world to be scoped and approved on a rolling-basis during the PPG and implementation phases of this project. Engagement sites will include a wide range of ecosystems and habitats around the world including biodiversity hotspots, coastal habitats, such as coral reefs, mangroves, kelp forests and open ocean ecosystems including highly productive seamounts and essential fish habitat. Consideration will be paid to including Key Biodiversity Areas.

13. To achieve the overall goal of protecting 1.25 billion hectares of ocean, the Alliance expects to engage in at least 20 individual sites during the implementation phase of this project, each with their own unique contribution to the health of the global ocean. Furthermore, the Alliance already initiated engagement in an additional six sites during the PPG phase.

14. The Alliance will be guided in selecting its site-based investments by a set of six criteria:

- **Significance:** Large areas that include coastal ecosystems and/or open ocean that are of vital importance to nature and people.

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[12] Natasha J. Gownaris, Christine M. Santora, John B. Davis, and Ellen K. Pikitch,"Gaps in protection of important ocean areas: A spatial meta-analysis of ten global mapping initiatives," *Frontiers in Marine Science* 6 (2019): 650. https://www.somas.stonybrook.edu/research/global-research/macop/.

- **Catalytic:** Ideas and opportunities that will rapidly build momentum for durable protections, inspire innovative approaches or push conservation to unprecedented new scales.

- **Political Will:** Decision-making authorities of national, sub-national, or Indigenous communities have expressed a strong vision for ocean conservation; and these leaders are prepared to take action and partner with others, including the Alliance, to achieve this vision;

- **Local Engagement:** Local champions are ready to work with partners to drive towards impactful ocean conservation outcomes through engagement with their community;

- **Achievable:** The Alliance aims to engage partners working with clear outcomes and a high likelihood of success;

- **Leverage:** The presence of co-investment and match funding, which may include government revenues, private sector donations, public funding or other philanthropic giving to contribute to the long-term financial sustainability of a site.

15. The Alliance has developed a robust yet flexible site scoping process to identify sites for engagement, to collaboratively design a strategy for the advancing the site with partners and stakeholders (captured in an engagement framework), to identify synergies with other existing projects, including GEF IW and biodiversity projects, and to conduct all necessary due diligence. The process is described in detail in Section 3A.

16. As a core partner in the Alliance, the GEF will have a seat on the Steering Council and the ability to prioritize investments using GEF project funds to be consistent with the GEF's IW Focal Area Strategy and prioritize Key Biodiversity Areas. GEF project funds will be managed in a segregated account and will be exclusively used to invest in sites that meet one of the following criteria:

   a. National or sub-national sites within in a GEF eligible country that meets one or more of the following criteria[13]:

      i. Located within a multi-country Large Marine Ecosystem (LME) that has a Strategic Action Plan (SAP) that includes goals for marine protection.

      ii. Located in one of the 14 Pacific Island countries that have adopted the Pacific Islands SIDS SAP.

   b. Transboundary Sites

   c. Sites in Areas Beyond National Jurisdiction, commonly known as the high seas.

17. To date, the Alliance has initiated nine site engagements with approval from the Alliance Steering Council (Table 1; Figure 1). Of these sites, seven are directly aligned with the International Waters Focal Area Strategy and technically eligible for GEF investment. To date, all

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[13] This may include sites that sit outside the Exclusive Economic Zone (EEZ) of the country (for example an extended continental shelf).

initiated projects are being funded by co-financing since the GEF project is not yet in implementation phase.

18. In addition to engagement at individual sites, the Blue Nature Alliance will also invest in global enabling conditions for ocean conservation at scale (component 4). This work will be global in nature and will engage relevant partners from anywhere in the world to produce and disseminate globally relevant science, tools or other innovations.

Table 1: Active Alliance engagement sites.
This list will be expanded as new sites are scoped and approved by the Alliance Steering Council.

Site	Type of Area		GEF Eligible	Status
	New/Expanded	Improved		
Lau, Fiji	✓	✓	✓	Active Engagement
Antarctic & Southern Ocean	✓		✓	Active Engagement
Tristan da Cunha, UK	✓			Active Engagement
Seychelles		✓	✓	Active Engagement
Western Indian Ocean	✓	✓	✓	Active Engagement
Canada-Arctic and Atlantic	✓	✓		Active Engagement
Palau National Marine Sanctuary		✓	✓	Active Engagement
Cocos Island and Seamounts Protected Areas, Costa Rica	✓		✓	Active Engagement
Moana Mahu & Nukutuleatama, Niue		✓	✓	Active Engagement

Figure 1: Map of active engagement sites.
This map will be regularly expanded as new sites are scoped and approved by the Alliance Steering Council.
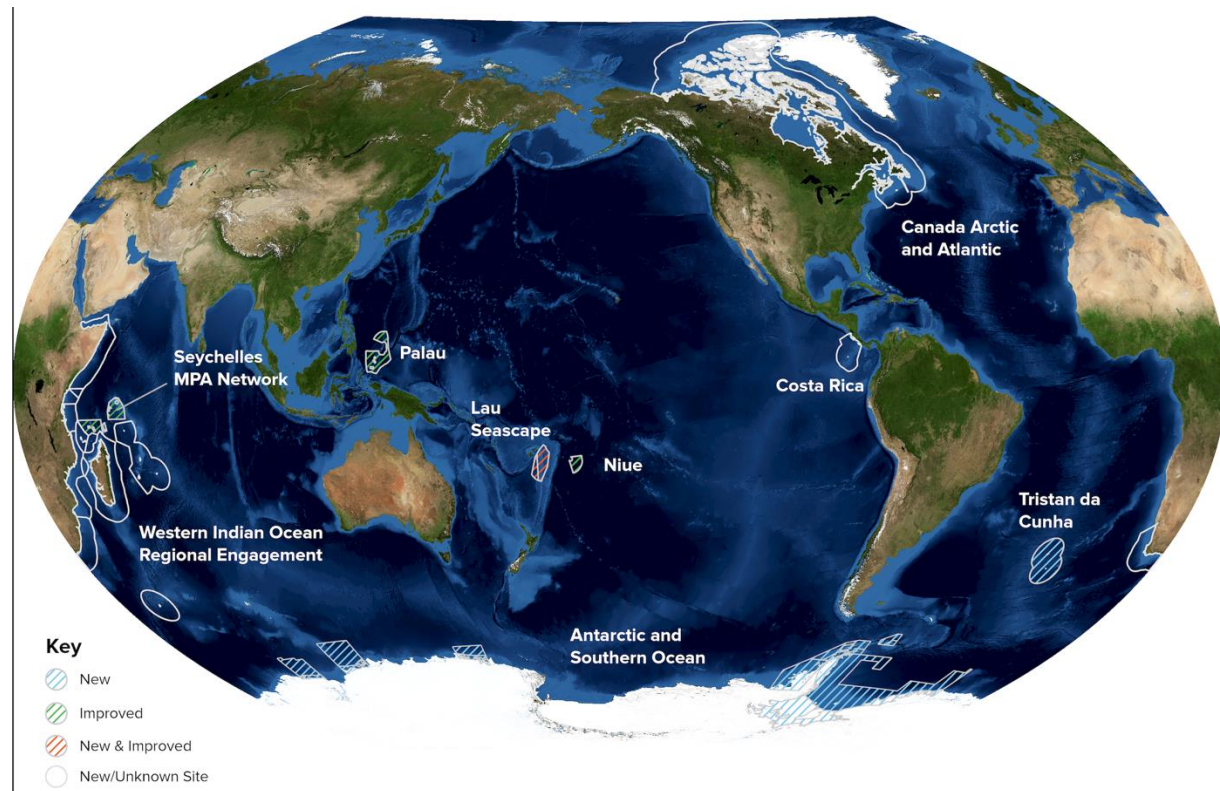
Environmental Context and Global Significance

19.   The ocean is the foundation for all life on earth. It covers over 71% of the Earth's surface and is the planet's largest biosphere, home to 50-80% of all life on Earth. The ocean also generates 50% of the Earth's oxygen, absorbs 25% of all CO_2 emissions and captures 90% of the additional heat generated from those emissions—making it the largest carbon sink on the planet and a vital buffer against the impacts of climate change. Furthermore, the ocean provides the main source of protein for over 3 billion people while directly supporting the livelihoods of over 10% of the world's total population via fisheries and aquaculture.[14]

20.   The Blue Nature Alliance's planned engagements will cover at least 3.5% of the global ocean, a scale sufficient to generate globally significant environmental benefits, helping to restore and maintain the health of the global ocean. As the Alliance scopes and selects engagement sites, biological significance is a paramount criterion. The Alliance will be evaluating the global biodiversity significance, including concentrations of endemic or threatened species as well as particularly healthy, productive, connected, and representative ecosystems vital for ocean health and food security at each site. The Alliance will also refer to expert research on MPA gaps including that undertaken by Stony Brook University School of Marine and Atmospheric Sciences "Gaps in Protection of Important Ocean Areas: A Spatial

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[14] "About the Ocean," High Level Panel for a Sustainable Ocean Economy, accessed 2020, https://www.oceanpanel.org/about-the-ocean.

Meta-Analysis of Ten Global Mapping Initiatives" [15] as well as studies documented in articles such as "Research Priorities for Achieving Healthy Marine Ecosystems and Human Communities in a Changing Climate".[16]

21.   Across all engagement sites, the Alliance will measure consistent biological and ecological indicators to be able to report on the cumulative impact of the Alliance engagement sites on ocean ecosystems. Specifically, the Alliance will inventory:

1)   major habitats conserved;
2)   species that are threatened or endangered: and
3)   international conservation distinctions or designations.[17]

22.   The potential project sites currently being scoped include areas of exceptionally high biodiversity, World Heritage Sites, biodiversity hotspots and other markers of global biological significance. While the specific environmental context and global significance of each site the project will eventually engage in is not yet known, below are examples from three active or potential engagement sites:

Lau Seascape, Fiji (active site engagement): The Lau Seascape is the most remote island group among Fiji's constellation of islands, spanning 33.5 million hectares and containing a wealth of undescribed species and stunning ecosystems that provide food, cultural value, and livelihoods for its 10,000 Indigenous inhabitants. The islands are sparsely developed and the ocean that surrounds them in is in excellent health with global analyses of marine biodiversity consistently placing the Lau archipelago among the highest priorities for conservation.[18]

During a rapid biodiversity assessment of the southern Lau Islands conducted in May 2017, Conservation International and partners recorded 531 reef fish species, including 39 new records for Fiji and at least six new fish species.[19] The Lau Archipelago is similarly replete with diverse coral reefs, recording more than 200 species of hard coral, a level of diversity typically only known in the Coral Triangle. These incredible islands are, however, under ever increasing pressure. Recognizing the importance of the Lau Archipelago, the Ministry of Fisheries suggested expanding the Lau Seascape commitment from the 5.2 million hectares archipelagic waters to include the surround exclusive economic zone – together comprising approximately 33.5 million

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[15] Gownaris, "Gaps in protection of important ocean areas", 650.

[16] Whitney R. Friedman, Benjamin S. Halpern, Elizabeth McLeod, Michael W. Beck, Carlos M. Duarte, Carrie V. Kappel, Arielle Levine et al, "Research priorities for achieving healthy marine ecosystems and human communities in a changing climate," *Frontiers in Marine Science* 7 (2020): 5.

[17] Distinctions and designations to be documented include but are not limited to i.e., UNESCO World Heritage Site, UNESCO Biosphere Reserve, RAMSAR Site, Particularly Sensitive Sea Area, Ecologically or Biologically Significant Area, IUCN Green List of Protected Area, Marine Conservation Institute Blue Park, Areas of Particular Environmental Concern, Vulnerable Marine Ecosystems, Key Biodiversity Area, Important Bird Area, Important Marine Mammal Area, and Mission Blue Hope Spot.

[18] Elizabeth R. Selig Will R. Turner, Sebastian Troëng, Bryan P. Wallace, Benjamin S. Halpern, Kristin Kaschner, Ben G. Lascelles, Kent E. Carpenter, and Russell A. Mittermeier, "Global priorities for marine biodiversity conservation," *PloS one* 9, no. 1 (2014): e82898; Rowan Trebilco, Benjamin S. Halpern, Joanna Mills Flemming, Chris Field, Wade Blanchard, and Boris Worm, "Mapping species richness and human impact drivers to inform global pelagic conservation prioritization," *Biological Conservation* 144, no. 5 (2011): 1758-1766; Derek P. Tittensor, Camilo Mora, Walter Jetz, Heike K. Lotze, Daniel Ricard, Edward Vanden Berghe, and Boris Worm, "Global patterns and predictors of marine biodiversity across taxa," *Nature* 466, no. 7310 (2010): 1098-1101.

[19] "Treasures of the Lau Islands: An expedition to a little-explored region in the Pacific offers insights, hopes for protecting coral reefs in a changing climate," Conservation International, accessed Oct, 2020, https://www.conservation.org/stories/treasures-of-the-lau-islands.

hectares. The Alliance has the opportunity to facilitate the legal designation of 33.2 million hectares of new MPA, including the creation of significant highly protected zones, while building local capacity to manage Lau's 0.3 million hectares of traditional coastal and remote reef iQoliqoli areas in concert with the nationally designated area. If successful, this engagement will provide protections for this unique area and guarantee its biodiversity is preserved for future generations.

Antarctic and Southern Ocean (active site engagement): Antarctica's Southern Ocean is one of the last great marine wilderness areas remaining on Earth, home to nearly 10,000 unique species. Rich with iconic megafauna, abundant fish, and massive phytoplankton blooms, the Southern Ocean is critical to maintaining the health of the global ocean. The deep waters of Antarctica serve an important role in the global ocean system, driving valuable nutrients northward, but are increasingly vulnerable to the effects of climate change and overfishing, placing them as a priority for international protection.[20]

In collaboration with the Antarctic and Southern Ocean Coalition (ASOC), the Alliance has an opportunity to engage with the Commission for the Conservation of Antarctic Marine Living Resources (CCAMLR) in the design and designation of protected areas in the Southern Ocean, which if successful will catalyze the creation of up to 380 million hectares of new MPAs. This engagement has the potential to build upon the success of the Ross Sea Region Marine Protected Area – the largest protected area in the world at 202 million hectares – to secure the designation of three existing government sponsored MPA proposals - the East Antarctic MPA, the Weddell Sea MPA, and the Antarctic Peninsula MPA –and protect a wide range of species, habitats, and ecosystems in Antarctica's biologically rich waters.

Southern Cone, Argentina and Chile (under scoping): The waters off the southern tip of Tierra del Fuego and Cape Horn, where the Atlantic and Pacific Oceans meet, generate two fronts of high biodiversity, providing habitat for sensitive species of seabed invertebrates, sharks, vulnerable fish species, sea birds and marine mammals. The nutrient rich waters further serve as a feeding ground and transit area for a number of species facing extinction, including the wandering albatross and the fin whale.

The Alliance is scoping an opportunity to strengthen two large-scale MPAs – the Yaganes National Park in Argentina and the Islas Diego Ramirez y Paso Drake MPA in Chile – collectively covering 21 million hectares – into an exemplary model of coordinated transboundary large-scale marine conservation. Building upon momentum which began with Chile and Argentina's "Bilateral Committee for Southern Marine Scientific Research Cooperation" to study the effect of climate change in the adjacent MPAs, the Alliance aims to support collaboration in the implementation of Yaganes National Park and Islas Diego Ramirez y Paso Drake MPA. If successful, this engagement would safeguard

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[20] John Turner, Nicholas E. Barrand, Thomas J. Bracegirdle, Peter Convey, Dominic A. Hodgson, Martin Jarvis, Adrian Jenkins et al. "Antarctic climate change and the environment: an update, " *Polar Record 50, no. 3* (2013).

important ocean ecosystems and protect against the overexploitation of the region's fisheries.

Socio-Economic and Cultural Context

23. There are many challenges associated with moving far and fast in marine conservation, including political will, secure funding and effective management.[21] Another central challenge is associated with adequately understanding and integrating "human dimensions" – the rights, needs, livelihoods, voices, visions and cultures of local people in marine conservation planning and management.[22]

24. The Alliance recognizes four key reasons why it is necessary to account for and address the human dimensions in our efforts to advance large-scale ocean conservation:

- The oceans are occupied and used by small-scale fishers, Indigenous peoples, women and coastal communities in developed and developing nations alike. There are an estimated 600 million people living along coastlines around the world[23], 60 million people working in fisheries and aquaculture[24], 775 million people worldwide with a high dependence on the oceans, and 525 million people who are highly dependent on the oceans for nutrition[25]. Indigenous people are up to 15 times more reliant on seafood and fish for food security.[26] Claims to marine space and resources are also based on much more than use and benefits – and include rights, tenure, adjacency, security and cultural connections to the seas for nations, small-scale fishers, Indigenous peoples and coastal communities.[27] Given that coastal populations often occupy and rely on coastal areas, most marine conservation actions will impact the wellbeing of local people in some way - from positive benefits garnered from ecosystem protections and fisheries improvements to negative consequences derived from displacement and loss of access to fishing areas.[28]

[21] Gill, "Capacity shortfalls", 665-669; Jane Lubchenco, and Kirsten Grorud-Colvert, "Making waves: The science and politics of ocean protection," *Science* 350, no. 6259 (2015): 382-383.

[22] Nathan J. Bennett, Robin Roth, Sarah C. Klain, Kai Chan, Patrick Christie, Douglas A. Clark, Georgina Cullman et al, "Conservation social science: Understanding and integrating human dimensions to improve conservation," *Biological Conservation* 205 (2017): 93-108.
Patrick Christie, Nathan J. Bennett, Noella J. Gray, T'Aulani Wilhelm, Nai'A. Lewis, John Parks, Natalie C. Ban et al, "Why people matter in ocean governance: Incorporating human dimensions into large-scale marine protected areas," *Marine Policy* 84 (2017): 273-284.
Rebecca L. Gruby, Noella J. Gray, Lisa M. Campbell, and Leslie Acton, "Toward a social science research agenda for large marine protected areas," *Conservation Letters* 9, no. 3 (2016): 153-163; LSMPA HD. "Community of Practice: A Practical Framework for Addressing the Human Dimensions of Large-Scale Marine Protected Areas*," University of Washington, Seattle, WA* (2016).

[23] United Nations, "Factsheet: People and Oceans", The Ocean Conference, United Nations, New York (June 2017) www.oceanconference.org.

[24] Lydia CL Teh, and Ussif Rashid Sumaila, "Contribution of marine fisheries to worldwide employment," *Fish and Fisheries* 14, no. 1 (2013): 77-88.

[25] Elizabeth R. Selig, David G. Hole, Edward H. Allison, Katie K. Arkema, Madeleine C. McKinnon, Jingjie Chu, Alex de Sherbinin et al, "Mapping global human dependence on marine ecosystems," *Conservation Letters* 12, no. 2 (2019): e12617.

[26] Andrés M. Cisneros-Montemayor, Daniel Pauly, Lauren V. Weatherdon, and Yoshitaka Ota. "A global estimate of seafood consumption by coastal indigenous peoples," *PLOS one* 11, no. 12 (2016): e0166681.

[27] Nathan J. Bennet, "Marine social science for the peopled seas," *Coastal Management* 47, no. 2 (2019): 244-252.

[28] Natalie C. Ban, Georgina Grace Gurney, Nadine A. Marshall, Charlotte K. Whitney, Morena Mills, Stefan Gelcich, Nathan J. Bennett et al, "Well-being outcomes of marine protected areas," *Nature Sustainability* 2, no. 6 (2019): 524-532.
David A. Gill, Hazel A. Oxenford, and Peter W. Schuhmann, "Values Associated with Reef-Related Fishing in the Caribbean: A Comparative Study of St. Kitts and Nevis, Honduras and Barbados," In *Viability and Sustainability of Small-Scale Fisheries in Latin America and The Caribbean,* 295-328. Springer, Cham, 2019; Michael B. Mascia, C. Anne Claus, and Robin Naidoo, "Impacts of marine protected areas on fishing communities," *Conservation Biology* 24, no. 5 (2010): 1424-1429; Merle Sowman and Jackie Sunde, "Social impacts of marine protected areas in South Africa on coastal fishing communities," Ocean & coastal management 157 (2018): 168-179.

- Furthermore, it is an internationally accepted norm that local and Indigenous people have a right to participate in governance and in environmental decisions that affect their lives. [29] In short, marine conservation decision-makers and practitioners must engage local people and manage social impacts in the planning and management of MPAs or any ocean conservation tool. The rights of local people to participate more fully in decisions that affect their lives must be respected and afforded. Therefore, this project will operate in accordance with Free, Prior and Informed Consent (FPIC), a specific right that pertains to indigenous peoples that is recognized in the United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP) allowing them to give or withhold consent to a project that may affect them or their territories.[30]

- The long-term effectiveness and persistence of ocean conservation initiatives relies on good governance and equitable outcomes. Good governance refers to decision-making processes that are inclusive of and perceived to be legitimate by local stakeholders.[31] Understandably, local people may be opposed to an initiative when they are excluded from conservation decisions or when their livelihoods or access to resources are threatened.[32] Participation of stakeholders can lead to ocean conservation actions that are more socially acceptable and culturally appropriate.[33] When stakeholders view ocean conservation governance and social impacts in a positive light, they are more likely to support the activities and comply with regulations.[34] Long-term support from local people can also help to ensure that ocean conservation measures are durable and persist, thus avoiding the dangers of being downgraded or degazetted.[35] Inclusive governance may also lead to more effective conservation in shorter timeframes, as well as being more cost effective in the long term.

- Finally, global agreements and conservation policy mandate that terrestrial and marine protected areas and conservation areas be created and managed through inclusive and

[29] UNECE. (1998). Aarhus Convention on Access to Information, Public Participation in Decision-Making and Access to Justice in Environmental Matters (p. 133). United Nations Economic Commission for Europe. http://heinonline.org/hol-cgi-bin/get_pdf.cgi?handle=hein.journals/mistjintl7&section=22

[30] Food and Agriculture Organization of the United Nations, "Free Prior and Informed Consent: an indigenous peoples' right and a good practice for local communities", United Nations Department of Economic and Social Affairs (2016) http://www.fao.org/3/a-i6190e.pdf.

[31] Grazia Borrini-Feyerabend and Rosemary Hill, "Governance for the conservation of nature," *Protected area governance and management* 7 (2015): 169-206; Michael Lockwood, "Good governance for terrestrial protected areas: A framework, principles and performance outcomes," *Journal of environmental management* 91, no. 3 (2010): 754-766.

[32] Nathan James Bennett, and Philip Dearden, "Why local people do not support conservation: Community perceptions of marine protected area livelihood impacts, governance and management in Thailand," *Marine policy* 44 (2014): 107-116; Michelle Voyer, William Gladstone, and Heather Goodall, "Understanding marine park opposition: the relationship between social impacts, environmental knowledge and motivation to fish," *Aquatic Conservation: Marine and Freshwater Ecosystems* 24, no. 4 (2014): 441-462.

[33] Natalie C. Ban, and Alejandro Frid, "Indigenous peoples' rights and marine protected areas," *Marine Policy* 87 (2018): 180-185.
Evan Fox, Eric Poncelet, Darci Connor, Jason Vasques, John Ugoretz, Scott McCreary, Dominique Monié, Michael Harty, and Mary Gleason, "Adapting stakeholder processes to region-specific challenges in marine protected area network planning," *Ocean & Coastal Management* 74 (2013): 24-33.

[34] Nathan J. Bennett, Antonio Di Franco, Antonio Calò, Elizabeth Nethery, Federico Niccolini, Marco Milazzo, and Paolo Guidetti, "Local support for conservation is associated with perceptions of good governance, social impacts, and ecological effectiveness," *Conservation letters* 12, no. 4 (2019): e12640; Robert Pomeroy, John Parks, Kathleen Reaugh-Flower, Mar Guidote, Hugh Govan, and Scott Atkinson, "Status and priority capacity needs for local compliance and community-supported enforcement of marine resource rules and regulations in the coral triangle region," *Coastal Management* 43, no. 3 (2015): 301-328; Tammy E. Warner, and Robert S. Pomeroy, "Creating compliance: A cross-sectional study of the factors associated with marine protected area outcomes," *Marine Policy* 36, no. 4 (2012): 922-932.

[35] Michael B. Mascia, and Sharon Pailler, "Protected area downgrading, downsizing, and degazettement (PADDD) and its conservation implications," Conservation letters 4, no. 1 (2011): 9-20.

equitable governance processes[36], respect human and Indigenous rights[37], and produce equitable outcomes.[38]

25. As a part of its start-up work, in 2019, the Alliance contracted Dr. Nathan Bennett, a highly respected social scientist focused on the human dimensions of ocean conservation. The Alliance asked him to develop a Code of Conduct that will help the Alliance and its partners to more fully understand and integrate human dimensions in our work as well as to convene a diverse group of experts and practitioners to collaborate on a peer-reviewed scientific publication that will provide tangible guidance on how to advance equity in the establishment and management of ocean conservation areas (see Appendix VI-e: Executive Summary—Blue Nature Alliance Code of Conduct).

26. The purpose of the Code of Conduct is to promote participatory and equitable conservation, to enhance the outcomes of Alliance's investments in each site and to ensure their durability. Through the application of the Code of Conduct during the full life cycle of site engagements, the Blue Nature Alliance will seek to follow four overarching social principles:

1. Recognize and respect the dignity and diversity of local people
2. Employ and promote participatory decision-making and good governance
3. Promote equitable distribution of benefits and costs
4. Champion collaborative and effective management of the marine environment

27. The Blue Nature Alliance's planned engagements will cover at least 3.5% of the global ocean, with an estimated 2,467,000 direct beneficiaries (50% women; 50% men), including people that receive socio-economic, recreational or cultural benefits as a result of investments made by the Alliance, including both monetary (e.g. jobs, grants, increased income) and non-monetary benefits (e.g., training, increased knowledge, enhanced experiences) (Appendix XIII: Beneficiaries Definition, Assumptions and Methodology).

28. While the specific social-economic and cultural context of each engagement site the Alliance will eventually invest in is not yet known, the significance of the site for its residents constitutes an important consideration during the Alliance's site scoping and selection process. Through its scoping process, the Alliance will collect and consider the following information for all sites:

- **Socio-economic conditions** including economic marginalization, poverty, health, conflict, access to food, or livelihood insecurity, a characterization of the different resource-based and non-resource-based livelihoods in the area for local communities, Indigenous groups and broader local population, and a characterization of the level of resource dependence of the local communities, Indigenous groups and local population for economic and subsistence uses;

- **Governance** including a characterization of pertinent governance laws and policies, agencies and organizations, and decision-making processes related to the marine

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[36] CBD, 2018; UNECE, 1998. https://www.cbd.int/doc/c/1081/32db/e26e7d13794f5f011cc621ef/cop-14-14-en.pdf
[37] "Governance and Rights: Indigenous Peoples," International Union for the Conservation of Nature, Accessed Sept. 2020, https://www.iucn.org/theme/governance-and-rights/our-work/indigenous-peoples.
[38] CBD, 2010. https://www.cbd.int/doc/meetings/cop/cop-10/official/cop-10-27-en.pdf

management and conservation in the country, and a preliminary evaluation of current governance against criteria for effectiveness (e.g. direction, coordination, capacity, evidence-based, accountable, efficient, adaptable), equity (e.g., recognition, participation, fair, just), and robustness (e.g., legal mandate, political will, public support, legitimacy, connected)

- **Stakeholder Engagement & Inclusiveness of Management** including a description of current stakeholder engagement processes related to ocean governance and marine conservation in the country or site, a characterization of the level of inclusiveness and participation in site level management planning in the country and/or site (including specifically address how Indigenous groups participate in management as relevant), identification of whether and how social, economic and cultural considerations are currently taken into account in ocean conservation and management decisions.

- **Gender impacts** including a characterization of how women and men use, access, and depend on resources in the site, a description of how women and men participate in decision-making processes and management actions, as well as opportunities for or barriers to women's full participation, and the identification and comparison of how women and men will be impacted by project activities and opportunities – including livelihoods, workload, access to resources, etc.

- **Social impacts** including the anticipated positive and negative impacts of achieving the Alliance outcome on gender dynamics between men and women and gender-based violence, the anticipated positive and negative impacts of achieving the Alliance outcome on cultural heritage, and the anticipated positive and negative impacts of achieving the Alliance outcome on community health, safety and security.

29. Examples of how the project envisions integrate socio-economic issues in two areas, Fiji and the Seychelles are provided below.

> **Fiji – Lau Seascape (active site engagement):** Fiji's Lau Seascape provides food, cultural value, and livelihoods for 10,000 Indigenous inhabitants. The Alliance's investment will work to build the capacity of Lau's communities to manage their iQoliqoli resources (traditionally owned) and engage effectively in the planning and eventual management of their offshore waters. This effort furthers Conservation International's ongoing work with the communities and chiefs of the Lau group, building upon the 52 existing locally managed marine areas to design the Lau Seascape.

> The Alliance investment will work within Fiji's unique law and governance context which includes the recognition of traditional rights, communities, and artisanal fishers, and will identify a legal pathway to protect the Lau Seascape through a mosaic of community-based protections within the coastal and offshore reef iQoliqoli areas. There are, as of now, no gazetted protections for the numerous traditionally designated coastal areas managed by customary authorities within Fiji's Lau Seascape. However, local engagement is high with strong leadership from the traditional leaders of Lau province. The Alliance's investment and Lau Seascape Strategy has been

unanimously endorsed by the Provincial Council, signifying support for legal designation from local Chiefs and the people of Lau.

In addition to building capacity of local communities, the Alliance's investment will address the opportunity and threat presented by the growing tourism industry. Lau Province has, to date, remained largely untouched by the mass tourism industry, but this is expected to change as the Government of Fiji plans to open an international port of entry in the Lau group. Alliance investments will include the development of a plan for sustainable tourism growth that contributes to MPA management without threatening the cultural integrity and livelihood of those residing within the seascape.

Seychelles (active site engagement): The Republic of Seychelles is an archipelagic country located in the Indian Ocean. The country includes 115 islands, of which eight are inhabited, with a majority of the population occupying three islands (Mahe, Praslin, and La Digue). The country's population is approaching 100,000. Although Seychelles has one of the highest nominal per capita GDP and human development index rating in Africa, it also has one of the highest levels of economic inequality. As conservation action is supported through this project, it will be essential to ensure benefits are equitably distributed to reach beyond the upper-class part of the population.

The tourism industry serves as the backbone of Seychelles economy, directly employing 25% of the labor force and, as of 2012, generating profits of $270 million per year. The success of Seychelle's tourism industry is dependent upon the health of its marine ecosystems which attract divers, surfers, and big game fishers. The abundance marine life also supports a well-develop fishing sector that supports an additional 17% of the labor force and serves as the country's highest foreign exchange earning sector.

With this in mind, the Alliance's investment in Seychelles will take into account the impact of its initiatives on these sectors. The six-year marine spatial planning process, led by local ministry and organizations, including Alliance implementing partner Seychelles Conservation and Climate Adaptation Trust (SeyCCAT), incorporated a thorough consultation process with various communities and stakeholders to ensure community buy-in for the MPA network and debt-swap. High levels of community and stakeholder engagement are considered key priorities for success in the Alliance's investment and a priority in ensuring that investments support the aforementioned sectors. The planned investment in the Blue Grant Fund will continue to seek the participation of local stakeholders in the MPA implementation.

Global Environmental Problems and Root Causes

Environmental Issues in Ocean Ecosystems

30. The oceans are the origin and engine of all life on this planet — and they are in extreme peril. Biodiversity and habit loss, collapsing fish populations, and unprecedented sea-level rise and dangerously warming waters caused by climate change are impacting both human and

animal populations around the world. Many scientists agree that under a business-as-usual scenario, by the end of the century, much of the world's seas could be hot, acidic and struggling to support life — with catastrophic implications for marine life, Earth's climate, and the food security of billions of people worldwide. A few facts bring the severity of the situation home:

- The United Nations has reported that 70% of the Earth's coral reefs are threatened: 20% have already been destroyed with no hope for recovery, 24% are under imminent risk of collapse, and an additional 26% are at risk due to longer-term threats.[39] By 2030, half of all coral reefs are projected to be at "high" to "critical" risk, increasing to 80% by 2050.[40]
- Approximately 20% of total global mangrove area was lost between 1980 and 2005 with declines continuing at an estimated 1% per year.[41]
- In 2015, industrial fishing was occurring in 55% of the world's ocean while the proportion of stocks that are within biologically sustainable levels have decreased drastically from 90% in 1974 to 66% in 2015.[42] Within LMEs globally, almost 50% of fish stocks are overexploited or collapsed.[43]

This situation must be addressed and mitigated if we are to maintain life on Earth.

Root Causes of Ocean Decline

31. The following four anthropogenic pressures are among the key root causes driving a decline in global ocean health:

a. Habitat Loss: Drivers of habitat loss include coastal development, pollution, destructive fishing, aquaculture and logging for timber and fuel. Climate change is causing significant loss of coral reef habitats. In addition to the direct impacts of fishing, certain fishing gears cause permanent and irreversible damage to benthic marine habitats, including seamounts and coral reefs.[44,45,46] Deep-sea mining, which is currently being considered by a number of countries both on the high seas and within EEZs, is a future threat that may have significant impact on benthic habitats.[47] Additionally, mobile marine organisms—species including whales, sharks, tuna and billfish—provide the structure-forming biomass that constitute habitat in the open ocean.[48] Overexploitation of these species is a type of habitat loss.

b. Fishing Pressure: Despite increasing effort, an expanding global fisheries footprint and new technologies, catch from global marine fisheries has not increased significantly since

[39] United Nations Department of Public Information, "Life below water: why it matters", 2016. Available from http://www.un.org/sustainabledevelopment/wp-content/uploads/2016/08/14_Why-it-Matters_ Goal-14_Life-Below-Water_3p.pdf.
[40] IOC-UNESCO, U. N. E. P. "Large Marine Ecosystems: Status and Trends." *United Nations Environment Programme (UNEP), Nairobi* (2016).
[41] IOC-UNESCO, U. N. E. P. "Large Marine Ecosystems: Status and Trends." *United Nations Environment Programme (UNEP), Nairobi* (2016).
[42] FAO, "The State of the World Fisheries and Aquaculture 2018 - Meeting the sustainable development goals," (2018): 978-92-5-130562-1.
[43] IOC-UNESCO, "Large Marine Ecosystems".
[44] J. B. Jones, "Environmental impact of trawling on the seabed: a review," *New Zealand Journal of Marine and Freshwater Research* 26, no. 1 (1992): 59-67.
[45] Jason Hall–Spencer, Valerie Allain, and Jan Helge Fosså, "Trawling damage to Northeast Atlantic ancient coral reefs," *Proceedings of the Royal Society of London. Series B: Biological Sciences* 269, no. 1490 (2002): 507-511.
[46] Amy R. Baco, E. Brendan Roark, and Nicole B. Morgan, "Amid fields of rubble, scars, and lost gear, signs of recovery observed on seamounts on 30-to 40-year time scales," *Science advances* 5, no. 8 (2019): eaaw4513.
[47] L. M. Wedding, S. M. Reiter, C. R. Smith, K. M. Gjerde, J. N. Kittinger, A. M. Friedlander, S. D. Gaines et al, "Managing mining of the deep seabed," *Science* 349, no. 6244 (2015): 144-145.
[48] Bethan C. O'Leary, and Callum M. Roberts, "The structuring role of marine life in open ocean habitat: importance to international policy," *Frontiers in Marine Science* 4 (2017): 268.

the late 1980s. Fisheries in developing countries appear to be significantly overexploited; and maintaining productivity increasingly comes at the expense of ecosystem and habitat health and preservation of non-target species. Illegal, underreported, and unregulated (IUU) fishing further exacerbates these threats. Together, overfishing and IUU fishing are driving economic losses of up to US$83 billion per year.[49]

c. Climate Change: The ocean is disproportionately harmed by the increasing carbon dioxide (CO_2) levels in the atmosphere from human activities. CO_2 is altering the temperature and chemical composition of our ocean, leading to changes in ocean temperature and circulation, rising sea levels, coral bleaching and changes in the behaviors of species that call it home. By 2100, primary production in the ocean is expected to decline by 6% globally and by 11% in tropical zones.[50] The Transboundary Waters Assessment Programme calls for precautionary management actions in LMEs, including the establishment of MPAs, to build ecosystem resilience in light of the uncertainties that climate change presents.[51]

d. Pollution: The majority of pollutants going into the ocean come from activities on land. Excess nutrients, often a result of agricultural runoff, can result in hypoxic/dead zones while plastic pollution generated on land flows into the sea due to inadequate disposal facilities. Source-to-sea management approaches are necessary to manage these land-based pollutants. Ocean noise pollution from military sonar, industrial shipping and exploration for oil, gas and minerals is altering the underwater acoustic landscape, harming—and in some cases killing marine species. Meanwhile the momentum and technology for seabed mining is growing, and so is the alarm that such mining could have long lasting and unforeseen impacts on ocean health. While little is known about these deep-sea environments, potential impacts may include the physical destruction of habitats, large underwater sediment plumes and noise, and chemical and light pollution resulting from mining operations.

Barriers to Addressing the Environmental Problems and Root Causes

32. Restoring ocean health by addressing these and other threats requires a holistic approach to ocean governance that brings together sufficient protection with more sustainable production methods and management of resources. The latest scientific evidence supports full protection of at least 30% of the ocean[52] to reverse existing adverse impacts, increase resilience to climate change, and sustain long-term ocean health. Based on this science, the International Union for Conservation of Nature (IUCN) passed a resolution at the 2016 World Conservation Congress, calling for the designation and implementation of at least 30% of each marine habitat in a network of highly protected MPAs and other effective area-based conservation measures by 2030, subject to the rights of Indigenous peoples and local communities.[53]

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[49] World Bank. 2017. The Sunken Billions Revisited : Progress and Challenges in Global Marine Fisheries. Environment and Development; Washington, DC: World Bank. © World Bank. https://openknowledge.worldbank.org/handle/10986/24056 License: CC BY 3.0 IGO.

[50] FAO, "The State of the World Fisheries and Aquaculture," 978-92-5-130562-1.

[51] IOC-UNESCO, "Large Marine Ecosystems".

[52] Bethan C. O'Leary, Marit Winther-Janson, John M. Bainbridge, Jemma Aitken, Julie P. Hawkins, and Callum M. Roberts, "Effective coverage targets for ocean protection," *Conservation Letters* 9, no. 6 (2016): 398-404.

[53] IUCN WCC, "Increasing Marine Protected Area Coverage," WCC-2016-Res-053-EN.

33. And yet most states are did not meet their CBD target and SDG14 target 5 of 10% ocean protection by 2020 and are currently unlikely to meet the more ambitious call for 30% by 2030. Even when there is strong political will for conservation action, there is often insufficient financial resources, capacity and knowledge to deliver enduring conservation outcomes. Achieving equitable, effective and sustainable management is a long journey requiring significant investment and capacity.[54]

34. The Alliance has identified four institutional barriers limiting the expansion and effectiveness of ocean protection:

- *Insufficient financial resources:* Philanthropic and public financing for area-based ocean conservation has failed to keep pace with the dramatic increase in understanding of the threats facing our ocean and the need for conservation, especially in less developed countries that face even greater pressure on their resources. Without a significant increase in funding and the design of innovative and blended financing mechanisms, the hard-won momentum for ocean conservation will dissipate.

- *Insufficient management capacity and cost-effective tools:* The footprint of declared or designated large-scale MPAs (LSMPAs) is growing quickly, but the number of experienced LSMPA managers remains extremely limited. Capacity development for LSMPAs is needed. Technologies to surveil and enforce large remote ocean areas are burgeoning, but the large ocean states that most need these technologies have limited access.

- *Insufficient cross-sectoral collaboration:* Long-standing tensions between MPA and fisheries practitioners has generated siloed programs and projects, whereas communication and collaboration between these two groups could generate win-win solutions that benefit both biodiversity and people.

- *Insufficient scientific evidence on human benefits:* The true value of healthy ocean ecosystems to culture, resilience, food security, and blue economic growth are not fully understood or recognized when governments are making development decisions and evaluating economic tradeoffs. There is a need for additional evaluation and scientific evidence on the human dimensions of ocean protection, which can drive increased political will.

- *Insufficient regional cooperation and transboundary governance:* Marine species do not recognize maritime borders. Their migrations take them through various EEZs and the high seas. There are different and sometimes competing international and regional bodies for managing tuna, whale, shark, turtle, and seabird species, including a number of regional fisheries management organizations (RFMOs), the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES), and the Convention on the Conservation of Migratory Species of Wild Animals (CMS). Meanwhile, many species with transboundary migrations are unmanaged. And while there are many regional and global agreements in place (e.g., Voluntary Small Scale Fisheries Guidelines, the Global Program of Action for Land based Sources of Marine Pollution, Regional Fisheries Management

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[54] Gill, "Capacity shortfalls", 665-669.

Organizations, Port State Measurement Agreement, Large Marine Ecosystems Strategic Action Programs and regional conventions and commissions), there is a lack of communication and coordination among these entities in addition to a lack of support for integrated ocean governance.

Current Baseline (Business-as-Usual Scenario) / Future Scenarios without the Project

35. In 2016, IUCN called for 30% of each marine habitat to be set aside by 2030 in highly protected MPAs and other effective area-based ocean conservation measures covering at least 30% of the global ocean. This figure has been accepted by most of the scientific community. Most scientists agree that protecting oceans at this scale is needed to protect biodiversity; avoid fisheries and population collapse; maximize or optimize fisheries value or yield; and help mitigate the impacts of climate change.

36. Creating networks of highly protected, well-enforced and ecologically significant ocean conservation areas will enhance ecosystems and make them more resilient to climate change and reduce ocean risk. It will also provide shelter for iconic species like whales and dolphins and provide livelihoods to millions living in coastal communities.

37. The World Database on Protected Areas (WDPA)[55], a joint project of United Nations Environment World Conservation Monitoring Centre and the IUCN World Commission on Protected Areas, is the global authority for reporting protected area coverage. As of January 2021, based on data submitted by governments, WDPA reported 18,416 MPAs around the globe, representing global ocean coverage of 7.7%. Meanwhile the Atlas of Marine Protection (MPAtlas)[56], a project of the Marine Conservation Institute provides a more conservative picture of global marine protection. MPAtlas builds upon WDPA data by examining certain regions in depth, replacing WDPA records with national or regional databases that are more up-to-date or provide greater detail. As of January 2021, MPAtlas reports that 6.4% of the ocean is contained within implemented MPAs, with only 2.6% of the ocean in implemented MPAs that are highly or fully protected. Regardless of the baseline used, it is clear that too little of our oceans is protected and significant effort is necessary to reach 30% of our oceans effectively and equitably protected.

38. Although current protection levels are far from sufficient, there has been a global acceleration of new ocean protections, both in terms of number and mean size. MPAs with their required legal designation are the easiest instrument to track among ocean conservation designations. In 1998, there were 4,500 MPAs globally, including Australia's Great Barrier Reef Marine Park, covering approximately 0.1% of the global ocean. Over the next 20 years, the global total of marine protected areas increased to over 17,000 MPAs, covering nearly 6.4-7.7% of the ocean. The most recent dramatic increases in MPA coverage have been driven by the proliferation of large-scale MPAs (LSMPAs), defined by the IUCN as larger than 15 million hectares (150,000 km^2).

39. The Great Barrier Reef Marine Park covering approximately 34.4 million hectares was created in 1975 and remained the only LSMPA for the 23 years. As of January 2018, 35 LSMPAs

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[55] "World Database on Marine Protected Areas," UNEP-WCMC, accessed 2020, https://www.protectedplanet.net/marine.
[56] "Marine Protection Atlas," Marine Conservation Institute, accessed 2020, https://mpatlas.org.

have been designated or promised by governments around the world. Those LSMPAs that have been formally designated collectively constitute approximately 70% of the portion of the ocean that is protected. This expansion of LSMPAs has resulted in an increase in the mean MPA size from 14,800 hectares (148 km^2) in 1994 to 1.03 million hectares (10,302 km^2) in 2014 (Figure 2).[57]

Figure 2: Global trends in marine protected area (MPA) coverage.
(a) The number of large-scale MPAs (LSMPAs) designated or promised each year (black bars) and the cumulative number (black line) of LSMPAs designated or promised globally (1975–January 2018). No LSMPAs existed prior to 1975. (c) The mean size of all MPAs designated each year (rather than a cumulative total, 1975–2014). The peaks correlate to years during which large areas were protected in LSMPAs. [Figures are directly from O'Leary et al. 2018].
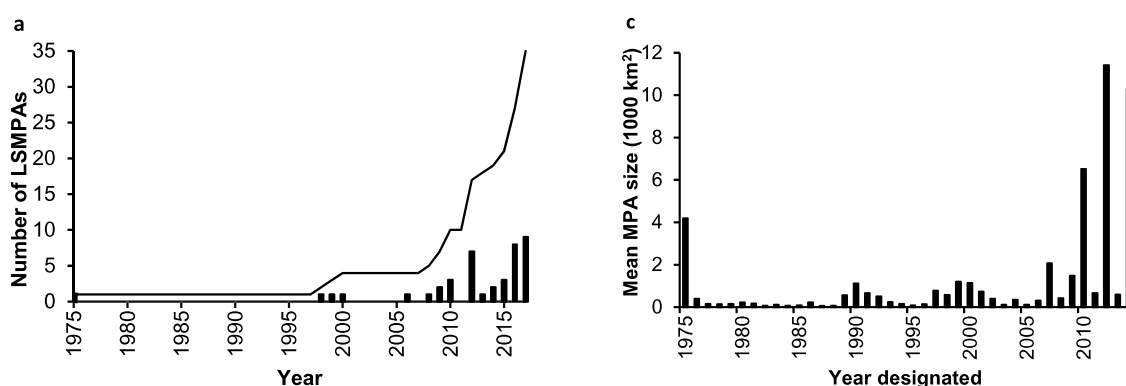
40. The growth of MPAs inside LMEs has mirrored the global trend. Between 1983 and 2014 there was a 15-fold increase in global MPA coverage, with the largest increase occurring between 2002 and 2012. LMEs that have seen the largest growth in MPAs are three Australian Shelf LMEs, Gulf of California, and Red Sea. LMEs with the lowest growth of MPAs include the Arctic LMEs: Beaufort Sea, Canadian High Arctic-North Greenland and Northern Bering-Chukchi Seas. The only LMEs with no MPAs are the Faroe Plateau and Central Arctic Ocean (Figure 3).[58]

41. GEF has been a significant driver of this increase with engagements in 24 of the 66 global LMEs, constituting a portfolio of work which spans 99 GEF eligible countries. As LMEs provide essential ecosystem services and cover some of the most highly productive and biodiverse ocean areas, existing MPAs and opportunities for MPA development in these areas will be essential to meeting the project's objectives. The GEF portfolio of work represents key baselines initiatives for which the Blue Nature Alliance will build its scope of work.

Figure 3: Percentage change (1982-2014) in total area covered by MPAs per LME.
[Figure is directly from IOC-UNESCO and UNEP (2016).]

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[57] Bethan C. O'Leary, Natalie C. Ban, Miriam Fernandez, Alan M. Friedlander, Pablo García-Borboroglu, Yimnang Golbuu, Paolo Guidetti et al, "Addressing criticisms of large-scale marine protected areas," *Bioscience* 68, no. 5 (2018): 359-370.
[58] IOC-UNESCO, "Large Marine Ecosystems".

Percentage change in MPA coverage and risk category

| >300% Lowest | 101–300% Low | 21–100% Medium | 1–20% High | ≤1% Highest | No changes |

Source: UNEP-WCMC 2014
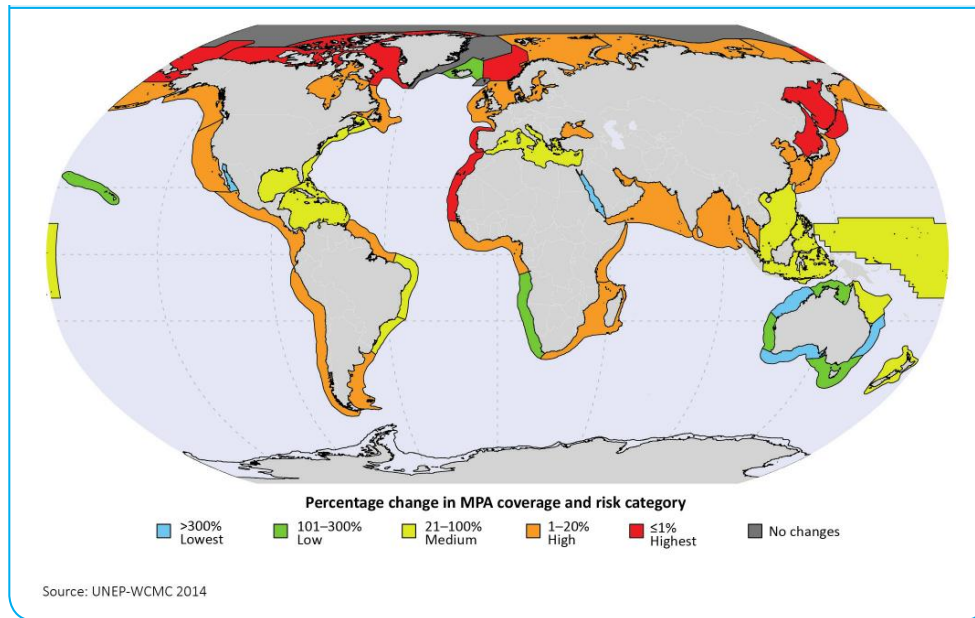
42. Despite increases in the global area of ocean conservation areas, the community of ocean NGOs and private funders has not kept pace with the shift in attitudes toward, and growing interest in, protecting the ocean. For example, a 2017 report commissioned by the Packard Foundation[59] found that only a small number of foundations give approximately $40 million annually to placed-based ocean conservation, and to sites primarily located in the developed world. While this study did not factor in public funding sources, it none-the-less highlights the fact that a significant increase in funding and support is needed to maintain the hard-won momentum for ocean conservation globally.

43. As 2020 came to a close, there was a brief acceleration in commitments for new ocean protection as countries push to meet their CBD Aichi Target and SDG14 Target 5 commitments. Despite these efforts, the 10% protection goal by 2020 was not met. We anticipate that the expansion of ocean conservation areas will likely taper off once commitments to protect 10% of national waters are reached. This will fall far short of protecting the needed 30% of the global ocean by 2030, and many of the established ocean conservation areas may never reach a state of active and effective management without significant additional investment. If current rates of MPA creation continue, we will only protect approximately 15% of the ocean by 2030 – a far cry from the needed goal.[60]

44. There are numerous organizations and programs working to support the expansion of ocean protection globally—including CI and Pew (in combination, CI and Pew have helped to facilitate the establishment of more than half, by area, of the world's current MPAs under either baseline scenario). A 2017 review of Strategic Action Plans produced through GEF's Large Marine Ecosystem Program showed that while 89% of SAPs included strategies for the identification and adoption of management areas for maintenance of biodiversity and related

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[59] California Environmental Associates, "Our Shared Seas: 2017 Overview of Ocean Threats and Conservation Funding," *Prepared with support of the David and Lucile Packard Foundation,* (2017): www.packard.org/oursharedseas.
[60] "World Database on Marine Protected Areas," UNEP-WCMC, accessed 2020, https://www.protectedplanet.net/marine.

goods and services, only 56% incorporated strategies to develop regional networks of connected MPAs.[61] Twelve of the UNDP Ecosystems and Biodiversity (EBD) Programme projects target MPAs, providing $40 million in grants from GEF and other donors with $97 million in co-financing to support creation and strengthening of 81 MPAs covering a total of 9.9 million hectares.[62]

45.   In the past few years several major initiatives to create new ocean conservation areas have been launched, including The Blue Action Fund which was established December 2016 by the German Ministry for Economic Cooperation and Development (BMZ), with the Swedish Ministry for Foreign Affairs and The *Agence Française de Développement* (AFD) joining the effort in 2017 and 2018 respectively; the Waitt Foundation's Blue Prosperity Coalition; the Wyss Foundation's $1 billion campaign to protect 30% of the planet by 2030 launched in 2018 (it includes, but does not exclusively focus on MPAs); and the United Kingdom's Global Ocean Alliance created in 2019 to secure 30% of the ocean in MPAs by 2030. There are also emerging intergovernmental groups, including the High Ambition Coalition for Nature and People and the High Level Panel for a Sustainable Ocean Economy. Each of these programs is playing an important role to expand ocean protection and have contributed to the current momentum for ocean conservation areas globally.

46.   These initiatives and the recent influx of additional funds are significant for global ocean conservation; however, they are still not adequate to meet the 30% target. The Blue Nature Alliance was established as a joint venture by the Pew Charitable Trusts and Conservation International in 2020 with the Minderoo Foundation, the Rob and Melani Walton Foundation, and the GEF (via this project) as core Alliance partners. The Alliance seeks catalyze the conservation of 1.25 billion hectares of ocean ecosystems to safeguard global ocean biodiversity, build resilience to climate change, promote human wellbeing, and to enhance ecosystem connectivity and function.[63] This will help make the gap narrower between the baseline and the target of protecting 30% of global ocean by 2030.

Alternatives to the Business-as-Usual Scenario

47.   **Alternative 1—A sole focus on creating new MPAs:** As noted above, the Aichi 2020 goal of protecting 10% of the ocean by 2020 was not met. Meanwhile, an increasing number of scientists believe that a 30% target is more in line with conservation needs to protect ocean ecosystems and the services they provide. There is an urgent need to increase ocean conservation area coverage in waters within country boundaries, in transboundary waters and in the high seas. Many of the other recently launched initiatives stated above are actively focused on addressing this challenge, focusing solely on raising ambition for and providing resources to support the creation of new MPAs. For many, the focus is specifically on the creation of highly and fully protected MPAs. Historically, Pew's work on LSMPAs largely

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[61] GEF LME:LEARN, "Large Marine Ecosystems Strategic Approach Toolkit," *UNDP & UNESCO-IOC), Paris, France* (2018).
[62] GEF LME:LEARN, "Strategic Approach Toolkit."
[63] The Blue Nature Alliance's full goal is to catalyze the conservation of 18M km² of ocean. For the purposes of this GEF project, the stated goal of 1.25 Billion Hectares represents a subset of that larger goal.

followed this strategy and Pew has significant experience in campaigning for the creation of new large highly protected MPAs.

48. **Alternative 2—A sole focus on improving management effectiveness in existing MPAs:** Establishing ocean conservation areas is only the first step in protecting the world's ocean. Management and enforcement of protection measures in these areas is essential. According to the MPAtlas, only 2.6% of the ocean is adequately protected and under active management. There is an urgent need to build capacity and ensure that resources for ocean protection are in place and can be sustained over time. Areas with adequate capacity and funding are found to deliver almost three times the ecological benefits.[64] Ensuring ocean conservation areas are effectively managed once they are designated is complicated by a wide variety of factors including the costs associated with protection/enforcement, the remoteness of many of these areas; the lack of management capacity, particularly for LSMPAs, and ever-increasing extractive pressures on the oceans. Fortunately, there are on-the ground efforts around the world, including many supported by the GEF, to build management capacity and long-term sustainability for existing ocean conservation areas. Historically, CI's work on LSMPAs largely followed this strategy and CI has significant experience in building capacity for the effective, equitable, and durable management of ocean conservation areas, including LSMPAs.

49. **Alternative 3 (chosen alternative)—Focus on both creating and improving management effectiveness of ocean conservation areas, including MPAs:** Unfortunately, neither of the above alternatives alone will achieve the conservation at the scale, pace, or effectiveness that is required to secure ocean ecosystems and sustain human and wildlife populations. The Blue Nature Alliance's chosen alternative scenario for this project recognizes the importance of both alternatives 1 and 2 and builds from the historical strengthens of both Pew and CI. This project focuses both on the creation of new ocean conservation areas while also improving management effectiveness and upgrading the legal protection level in existing ones. For each site, the Alliance will work to identify the most catalytic actions to advance the site. This flexibility will allow the Alliance to work in a wider range of sites and to meet each one where they are along their conservation journey, filling the most strategic gaps along the way. Another key difference is that the Blue Nature Alliance will not solely focus on MPAs, or on specific levels of protection, but will work to advance, MPAs, OECMS, and other innovative area-based conservation measures at significant scales. The Blue Nature Alliance aims to work in collaboration with other existing initiatives, including GEF's LME program, to raise the level of ambition and build momentum for ocean conservation while systematically addressing many of the underlying barriers that are holding back the expansion and effectiveness of ocean protection.

Cost Effectiveness Analysis of Chosen Alternative

50. By addressing the urgent need to create new ocean conservation areas while also improving management effectiveness in existing ocean conservation areas within one project, the Blue Nature Alliance will have the flexibility to invest in the most catalytic and cost-effective

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[64] David Gill, Michael B. Mascia, Gabby N. Ahmadia, Louise Glew, Sarah E. Lester, Megan Barnes, Ian Craigie et al, "Capacity shortfalls hinder the performance of marine protected areas globally," *Nature* 543, no. 7647 (2017): 665-669.

opportunities. And by focusing on large-scale and investing in the most catalytic activities to advance each site, while seeking co-investment and long-term financing solutions early in the process, the Alliance will achieve ocean conservation results at a fraction of the cost of traditional MPA investments. Some of these efficiencies include:

- *Ability to work at scale:* The costs per hectare to establish MPAs has been shown to vary significantly with MPA size, with larger MPAs being much less expensive than smaller ones on a per area basis.[65] Fortunately, the proliferation of LSMPAs has provided opportunities for economies of scale, bringing down the average costs of MPA designation and management.[66] This project explicitly works to build momentum for these more cost-effective large-scale models while focusing on innovation to further bring down costs. Recent interventions by Pew, CI, and other civil society and philanthropic partners to support the legal gazettement of LSMPAs required an average of $5.12 per km^2 ($0.05 per hectare), in addition to the government's direct contributions to the gazettement process. The Alliance expects to deliver results at similar costs per hectare. The Alliance will further build from the experience of its members to develop innovative financing models that will encourage public and private sector investment in MPAs.

- *Ability to invest in the most catalytic actions:* While ongoing management costs can be substantial, past experience has illustrated that it is possible to catalyze better management through key investments in strategic activities—such as the development of a management plan or a business plan for the site. The Alliance will not fund all managed activities at any site but will focus on the most catalytic activities to advance the site, including long-term planning for sustainability. The Alliance aims to invest a similar dollar per hectare ratio ($0.05 per hectare) in specific interventions to help stand up management of new sites or to improve management of existing sites.

- *Commitment to seek leverage:* With deliberate focused action, this project will strategically use our planned investment to incentivize co-investment from governments and private sector early in our site engagement. We will build enabling conditions to crowd in other funding sources, including private sector capital where feasible and appropriate. The Alliance has committed to leveraging at least $2 for every $1 it invests, averaged over the full investment portfolio.

- *Innovations generated from global learning networks:* As the Alliance engages in sites all around the world, each on a unique part of their conservation journey, it will be able to apply lessons learned and cost-saving innovations generated from other Alliance engagement sites as well as other sites networked through global learning networks, including GEF's IW:LEARN and LME:LEARN, Big Ocean, and the Global Island Partnership. This project will prioritize actively participating in and supporting these and other relevant learning networks.

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[65] McCrea-Strub et al. 2011. Understanding the cost of establishing Marine Protected Areas. Marine Policy 35: 1-9
[66] Andrew Hudson and Yannick Glemarec, UNDP-GEF. 2012 Catalysing Ocean Finance Volume I Transforming Markets to Restore and Protect the Global Ocean.

SECTION 3: PROJECT STRATEGY

Objective, Components, Expected Outcomes, Targets, and Outputs

Project Objective and Theory of Change

51.   For this project, the Blue Nature Alliance has the objective of catalyzing the conservation of 1.25 billion hectares of ocean ecosystems (approximately 3.5% of the global ocean) to safeguard biodiversity, help build resilience to climate change, promote human well-being and enhance ecosystem connectivity and function. The project theory of change is illustrated below (Figure 4).

Figure 4: Theory of Change

Well-managed ocean conservation areas reduce key threats to the ocean and increase ocean resilience. Healthy oceans are better able to provide critical ecosystems services for people now and in the future. This project will address key barriers to ocean conservation through site-based and global investments in order to generate 1.25 billion hectares of new and improved ocean conservation areas and increased enabling conditions globally for large scale ocean conservation. The project will directly support ocean conservation areas covering 3.5% of the ocean, representing 35% of the global Aichi Target and SDG14 Target 5 of protecting 10% of the ocean. This significant contribution will build additional momentum towards the emerging global goal of protecting 30% of the ocean by 2030.

BLUE NATURE ALLIANCE THEORY OF CHANGE

Project objective: To catalyze the conservation of 1.25 billion hectares of ocean ecosystems, to help safeguard global ocean biodiversity, build resilience to climate change, promote human wellbeing, and enhance ecosystem connectivity and function.

ASSUMPTIONS

PROJECT THEORY OF CHANGE

PROJECT COMPONENTS	BARRIERS TO BE ADDRESSED	PATHWAYS	OUTPUTS	OUTCOMES	IMPACT

Designate New Ocean Conservation Areas

Strengthening Existing Ocean Conservation Areas

Building Global Enabling Conditions for Large Scale Ocean Conservation

Within countries and at the global level there are insufficient:

- financial resources for place-based ocean conservation

- management capacity and cost-effective tools for large-scale MPAs

- cross-sectoral collaboration

- scientific evidence on human benefits

- Regional cooperation and transboundary governance

Provide grant funding and/or technical assistance to sites working towards declaring new protected areas and improving management:

- Advocacy and Coalition Building

- Capacity Building

- Management Planning

- Enforcement

- Knowledge generation

- Business Planning and Long-Term Financing

- Sustainable livelihoods

- Regional Cooperation

Global Investments:

- Evidence Base: Science & Research

- Communities of Practice: Learning & Sharing

Countries/jurisdictions have a plan and increased resources and capacity to:

- Designate new ocean conservation areas

- Develop management plans & systems

- Actively and enforce manage ocean conservation areas

- Sustainably finance ocean conservation areas

- Coordinate on transboundary governance of shared ocean resources

+

Globally Large Scale Ocean Conservation Practitioners have:

- New science, tools, & innovations

- New learning initiatives, and professional development opportunities

750 MILLION HECTARES
new / expanded ocean conservation areas

500 MILLION HECTARES
improved management / upgraded protections

INCREASED ENABLING CONDITIONS FOR LARGE SCALE OCEAN CONSERVATION

BIODIVERSITY PROTECTION

+

INCREASED CLIMATE CHANGE RESILIENCE

+

ENHANCED ECOSYSTEM CONNECTIVITY AND FUNCTION

ENHANCED HUMAN WELL-BEING

GLOBAL CONTRIBUTION

3.5% Ocean Protected

Directly contributes 35% towards

10% Ocean Protected

Builds momentum towards

30% Ocean Protected

Project Outcome

Aichi Target 11 SDG Target 5

Scientific agreement on global need

52. The objective will be achieved through five project components, each with underpinning outcomes and outputs:

- **Component 1** focuses on scoping for new or existing areas for ocean conservation;
- **Component 2** focuses on the establishment of new ocean conservation areas;
- **Component 3** focuses on improving the management and/or strengthening the protection level of existing ocean conservation areas;
- **Component 4** focuses on global investments including research, knowledge sharing and learning; and
- **Component 5** focuses on monitoring and evaluation.

Model for Site Engagement

53. The Expected Outcomes, Targets, and Outputs for each of the five components are described in the following sections on each component. Provided here is an overarching description of the Blue Nature Alliances approach to site engagement, which is relevant for Components 1, 2, and 3.

54. The Alliance will deploy the vast majority of project capital directly into the creation, expansion or improved management of ocean conservation areas, inclusive of key biodiversity hotspots, coastal habitats, such as coral reefs, mangroves, and kelp forests and open ocean ecosystems, including highly productive seamounts and essential fish habitat for ocean health and food security. To complement existing GEF interventions within the International Waters Program, the Alliance will give special consideration to investing within multi-country LMEs supported by the GEF as well as opportunities in the Pacific SIDS.

55. The Alliance believes a multisectoral approach that brings together protection, sustainable production, governance and sustainable finance is required to effectively conserve any area for the long-term. To that end, the Alliance will support the design and effective management of ocean conservation areas, while ensuring the full engagement of local users of fisheries and other ocean resources and respecting cultural heritage and traditional tenure and resource rights of Indigenous peoples, applying principles such as Free, Prior and Informed Consent (FPIC).

56. The Alliance's site-based engagements will take the form of grants/contracts to partners on the ground in each site (via a dedicated grant mechanism) and direct technical assistance by Alliance technical experts. The Alliance will invest in at least 20 sites (upwards of 60 sites is possible). Activities that the Alliance may engage in include but are not limited to a valuation of ocean resources, protected/conservation area design, management planning, institution building, and business planning and design of long-term financing mechanism. While the Alliance does not expect to undertake all of these activities in any site, it will significantly and measurably advance conservation action along a site's "conservation journey" (Figure 5).

57. While investment can occur during any stage of the conservation journey, the Alliance will work with sites to develop a plan for how they will ultimately achieve effective management and sustainable financing. A core focus will be on developing business plans and designing long-

term financing solutions for those sites that are ready. The Alliance will work to crowd in private investment, including from impact funds with ocean mandates.

Figure 5: The Blue Nature Alliance Conservation Journey.
Blue arrows represent stages of establishment, adapted from the forthcoming MPA Guide,[67] with the addition of "sustainably financed." The grey activities represent indicative activities that the Alliance could invest in to advance a site along the next stage of the journey.
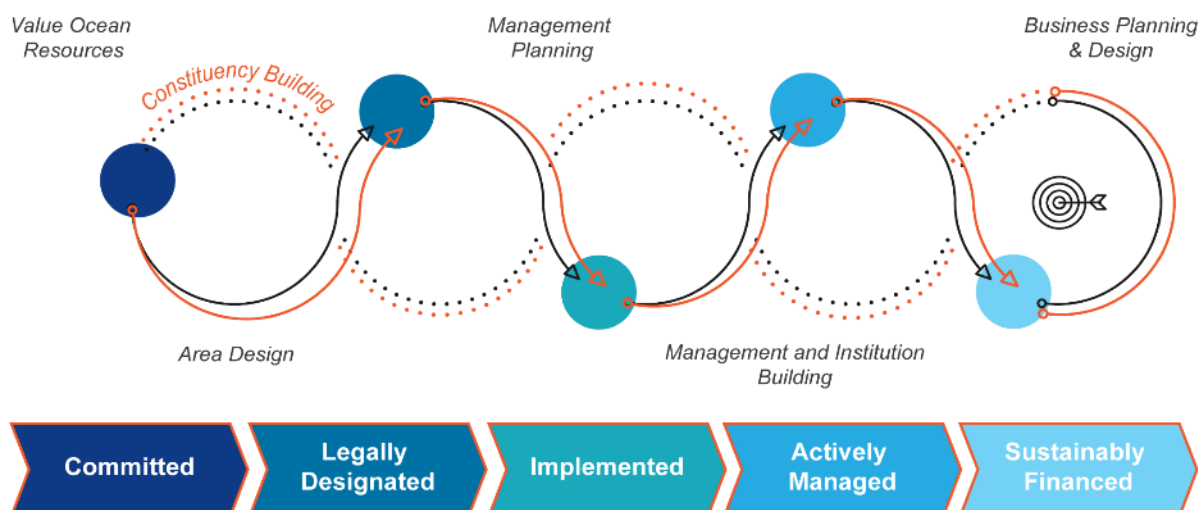
Types of Eligible Ocean Conservation Areas

58.   For the purpose of this project, the Blue Nature Alliance defines ocean conservation areas to be inclusive of all IUCN categories of marine protected areas (MPAs), other effective area-based conservation measures (OECMs), and other innovative place-based interventions designed to achieve biodiversity conservation outcomes. A significant, but not exclusive, focus of the Alliance will be on large scale marine protected areas (LSMPAs) as defined by the IUCN to be at least 15 million hectares in size.[68]

59.   The Alliance has aligned its site classification to the forthcoming MPA Guide[69], authored by Jane Lubchenco and partners, that puts forth simple language with which to classify ocean conservation areas in terms of their level of protection[70] and their stage of establishment. The Alliance has adapted the model to illustrate the types of outcomes its investments seek to

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[67] Lubchenco, et al. 2019. The MPA Guide (publication forthcoming); Oregon State University, IUCN World Commission on Protected Areas, Marine Conservation Institute, National Geographic Society, and UNEP World Conservation Monitoring Centre, "An Introduction to The MPA Guide," (2019) https://www.protectedplanet.net/c/mpa-guide.

[68] "Large-Scale Marine Protected Areas," IUCN World Commission on Protected Areas, accessed 2020, https://www.iucn.org/commissions/world-commission-protected-areas/our-work/large-scale-marine-protected-areas.

[69] Lubchenco, et al. 2019. The MPA Guide.

[70] The Alliance is using consistent language with The MPA Guide (Lubchenco, et al. 2019.), a soon to be published guide from preeminent MPA leaders with the goal of creating a common shared language to understand, celebrate, and track achievements and provide clarity about the science-based goal to protect 30% of the ocean. The MPA Guide provides the following definitions:

a) FULLY PROTECTED: no extractive or destructive activities are allowed, and all impacts are minimized.

b) HIGHLY PROTECTED: only light extractive activities are allowed, and other impacts are minimized to the extent possible.

c) LIGHTLY PROTECTED: some protection exists but moderate to significant extraction and impacts are allowed.

d) MINIMALLY PROTECTED: extensive extraction and other impacts are allowed while still providing some conservation benefit to the area.

achieve—from securing the legal designation of a new or expanded area, to upgraded protections and/or improved management of existing areas (Figure 6a and Figure 6b). The Alliance will invest in ocean conservation areas that provide any of the four levels of protection defined in the MPA Guide—from minimally protected to fully protected MPAs—with the aim to maximize the total area under higher levels of protection, while recognizing the rights and needs of Indigenous peoples and local communities and ensuring engagement of local resource users.

60. The Alliance will also invest in the creation and improved management of areas that have recognized benefits to marine biodiversity but are not legally designated as MPAs known as "Other Effective Conservation Measures" (OECMs). The Convention on Biological Diversity (CBD) adopted the following definition of OECMs in November 2018 as:

> "*A geographically defined area other than a Protected Area, which is governed and managed in ways that achieve positive and sustained long-term outcomes for the in-situ conservation of biodiversity with associated ecosystem functions and services and where applicable, cultural, spiritual, socio–economic, and other locally relevant values.*" (CBD Decision 14/8).

61. The Alliance will also pursue innovative mechanisms for achieving area-based ocean conservation at scale beyond traditional MPAs and OECMs, where selection criteria are met. For example, the Alliance may work to advance Indigenous and Community Conserved Areas and may pilot new ideas such as dynamic ocean conservation measures that move spatially and temporally based on water temperature and wildlife migrations. Where opportunities exist, the Alliance will support transboundary models for protection, including transboundary peace parks and coordinated management of networks of ecologically connected ocean conservation areas within transboundary LMEs.

Figure 6: Spectrum of Ocean Conservation Areas (MPAs, OECMs, and new innovations)

Figure 6a: The Conservation Spectrum for MPAs
Adapted from The MPA Guide. The X axis represents stage of establishment and the Y axis represents level of protection. A fifth column was added to include "sustainably financed" as the Alliance views it as a key stage in MPA effectiveness. Through this project, Alliance will seek to move sites upward towards higher levels of protection and to the right with improved management.
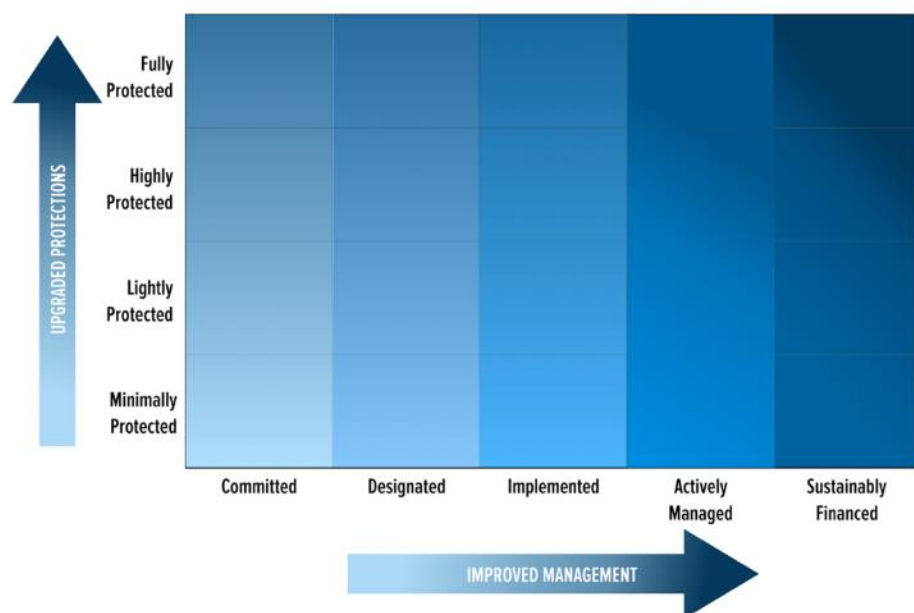
Figure 6b: The Conservation Spectrum for OECMs and new innovations.
Further adapted figure from the MPA Guide to apply to OECMs and new innovations in area-based conservation. Through this project, Alliance will seek to establish OECMs and Innovative area-based interventions and move them to the right with improved management.
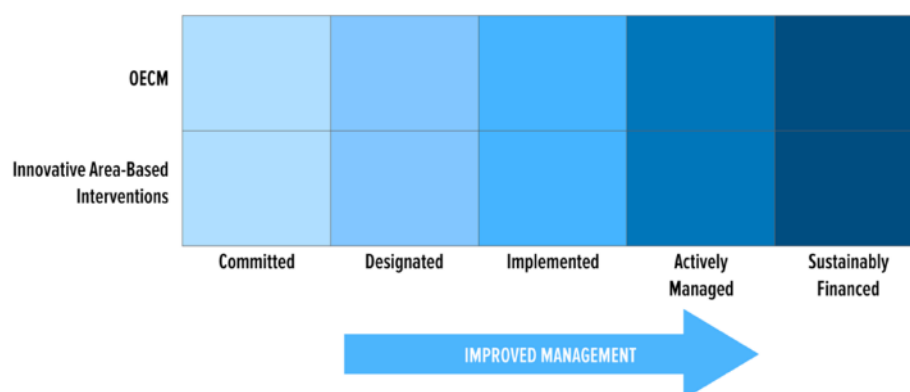
Project Components, Expected Outcomes, Outputs, and Targets

Component 1: Site Scoping

62. Component 1 focuses on Alliance scoping activities for new or existing areas for ocean conservation. The one outcome, four outputs, and associated indicators and targets for each are outlined below.

Outcome 1.1: Engagement frameworks (i.e., for new or existing ocean conservation areas) that meet the Blue Nature Alliance criteria have been collaboratively developed and endorsed.

- **Indicator 1.1:** Number of sites that meet Alliance criteria with developed engagement frameworks.

- **Target 1.1:** 20 sites that meet Alliance criteria have developed engagement frameworks (although less is acceptable if spatial targets in Components 2 and 3 are on track).

63. The Alliance's geographic scope will be global, with a portfolio of engagement sites around the world to be scoped and approved on a rolling-basis during the PPG and implementation phases of this project. As mentioned previously, the Alliance will be guided by six criteria when selecting site-based investments:

- **Significance:** Large areas that include coastal ecosystems and/or open ocean that are of vital importance to nature and people.

- **Catalytic:** Ideas and opportunities that will rapidly build momentum for durable protections, inspire innovative approaches or push conservation to unprecedented new scales.

- **Political Will:** Decision-making authorities of national, sub-national, or Indigenous communities have expressed a strong vision for ocean conservation; and these leaders are prepared to take action and partner with others, including the Alliance, to achieve this vision;

- **Local Engagement:** Local champions are ready to work with partners to drive towards impactful ocean conservation outcomes through engagement with their community;

- **Achievable:** The Alliance aims to engage partners working with clear outcomes and a high likelihood of success;

- **Leverage:** The presence of co-investment and match funding, which may include government revenues, private sector donations, public funding or other philanthropic giving to contribute to the long-term financial sustainability of a site.

64. In addition, the Alliance will give special consideration to sites that are aligned with GEF's IW Focal Area Strategy. The use of GEF funds (managed in a segregated Alliance account) will be exclusively used to invest in sites that are eligible under the International Waters Focal Area.[71]

65. The Alliance has developed a robust yet flexible site scoping process to identify sites for engagement that meet the criteria above or have an identified pathway to build towards that criteria. During the scoping process the Alliance collaboratively designs a strategy for advancing the engagement site with partners and stakeholders (captured in a Site Engagement Framework (see Appendix VI-a), identifies synergies with other existing projects, including GEF IW and biodiversity projects, and conducts all necessary due diligence.

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[71] Eligibility criteria for the International Waters Focal Area was defined in Section 2A. Other funding sources can be used to support project goals in non GEF-eligible sites. The Blue Nature Alliance will not invest resources (including co-financing) in any countries on the US State Department sanctions list.

Figure 7: Blue Nature Alliance Scoping Process

1 GLOBAL DESKTOP ANALYSIS

A global analysis of EEZs and high seas areas against Alliance criteria. Each site is given a priority level 1-4. Priorities are adjusted annually and/or when new information becomes available.

2 SITE DESKTOP ASSESSMENT

The Alliance conducts desktop assessments for select sites prioritized from the Global Desktop Analysis

3 ADVANCED SCOPING (in-situ or remote)

The Alliance holds a series of conversations with stakeholders to understand the shared vision, potential risks, and how the Alliance might contribute to achieving the shared goal. Alliance conducts safeguard assessments and due diligence.

4 ENGAGEMENT FRAMEWORK

The Alliance works with implementing partners and stakeholders to collaboratively develop engagement framework that details who is going to do what in order to achieve the shared goal.

5 ENDORSEMENTS

Site engagement is approved by Steering Council and endorsed by a relevant site authority or partners as appropriate.

6 IMPLEMENTATION

As called for in the engagement framework, the Alliance invites grant proposals and deploys technical assistance. The Alliance works with site partners to monitor and evaluate progress and adjust strategy as necessary to achieve the goal.

Output 1.1.1: Desktop Assessment of potential site to evaluate Alliance criteria is conducted.

- **Indicator 1.1.1**: Number of sites where the Blue Nature Alliance completes desktop assessments.
- **Target 1.1.1:** 30 desktop assessments.

66. As a first step towards selecting sites, the Alliance has developed and actively maintains an ongoing global analysis of global marine conservation opportunities, inclusive of all exclusive economic zones (EEZs) and key areas beyond national jurisdiction. The BlueNatureAlliance.org website also includes a function that facilitates an open call for expressions of interests based on the site selection criteria. Any ideas generated are added to the global analysis.

67. Based on this analysis and ongoing partner dialogues, the Alliance will continually evaluate the list and prioritize areas for a more extensive site scoping process. We will use a standardized engagement framework template for the desktop assessments and advance scoping to ensure that all information needed for safeguard compliance is collected and analyzed (Appendix VI-a). As part of the desktop assessment, we will verify whether the site has a Transboundary Diagnostic Analysis/Strategic Action Programme (TDA/SAP) and will incorporate any findings into the site scoping report as applicable. As part of this project, the Alliance will complete a minimum of 30 desktop assessments.

Output 1.1.2: Advanced site scoping (either in situ or remote), including participatory and gender-sensitive stakeholder consultations and any necessary political, legal, ecological, and/or other assessments is completed.

- **Indicator 1.1.2**: Number of sites where the Blue Nature Alliance completes advanced scoping.

- **Target 1.1.2:** 25 sites.

68. Sites will be prioritized for advanced scoping based on the results of the desktop assessment. During scoping, we will conduct a series of meetings (in-situ or remote) with key stakeholders and partners to fully understand the political, tactical and strategic opportunity and assess the viability of the site in terms of social, economic and ecosystem values and the level of government and/or Indigenous commitment. We will strive to ensure a diverse array of stakeholder engagement and include women and marginalized groups in our scoping efforts. The team will identify a lead implementing partner for the engagement site and build a coalition of partners where appropriate. Together we will identify key activities to advance the site and broader regional cooperation both within transboundary LMEs and between SIDS. As part of this project, the Alliance will complete advanced scoping for a minimum of 25 sites.

Output 1.1.3: Collaboratively with stakeholders, implementing partners, leverage partners and/or technical partners, a gender-sensitive engagement framework to advance each site is developed.

- **Indicator 1.1.3:** Number of site-based engagement frameworks developed.
- **Target 1.1.3:** 25 engagement frameworks.

69. The Alliance will seek strong local support before investing in any site, including a financial commitment whenever possible, with the target of having a 2:1 financial leverage across the entire Alliance portfolio.[72] Once support is secured from a relevant decision-making authority, community leader, or partner, the Alliance will co-design an engagement framework for the site in partnership with local champions and/or government leaders. The engagement framework is intended to be a tool that guides collective action toward a specific goal in a site. It is, in essence, the Alliance's "playbook" that aligns partners around a shared purpose – it represents our best forecast for how work in a site might unfold and is the foundation from which the Alliance selects implementing partners and related grant-making decisions. The Alliance assumes, and expects, that engagement frameworks will adapt and evolve over the course of the Alliance's engagement in a site. As part of this project, the Alliance will complete 25 engagement frameworks.

Output 1.1.4: Prior to investment, the site engagement framework is endorsed by the Blue Nature Alliance Steering Council.

- **Indicator 1.1.4:** Number of engagement sites approved for investment.
- **Target 1.1.4:** 20 engagement sites.

70. As part of this project, the Alliance aims to have a minimum of 20 engagements sites approved (although less is acceptable if spatial targets in Components 2 and 3 are on track), each with written documentation of support from relevant implementing partners. There will be two steps to approve a proposed engagement site:

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[72] Leverage Funds are financial commitments and in-kind contributions that directly contribute to achieving an Alliance goal for a site or a global activity.

- **Step 1:** The Blue Nature Alliance Management Team, which is comprised of senior technical staff from both CI and Pew, will review the detailed engagement framework for each proposed site. This team will ensure the engagement framework provides a clear opportunity to advance the site towards designation and/or improved management and will evaluate it against the six selection criteria. The decision to recommend investment will be dependent upon having strong local endorsement from implementing partners, including financial leverage where feasible. In the case that an Executing Core Partner (CI or Pew) has been identified as a potential subgrantee in the site, the members of the Management Team from that institution will recuse themselves during the decision-making process on whether or not to recommend the site engagement to the Steering Council.

- **Step 2:** The Blue Nature Alliance Management Team will present recommended sites along with a proposed funding envelope to Blue Nature Alliance Steering Council for approval.[73] The Steering Council will consist of a representative of those partners who have donated $25 million or more to the Alliance. (More details on the Blue Nature Alliance Management Team and the Steering Council can be found in Section 5: Implementation and Execution Arrangements for Project Management). Additional approval from the Steering Council is not required unless there is a a) material increase in the funding envelop for a site, or b) in the case when a grant is to be issued to an Executing Core Partners (CI or Pew). In both these situations, Steering Council approval is required. In the case that an Executing Core Partner (CI or Pew) has been identified as a potential subgrantee in the site, the Steering Council representative from that institution will recuse themselves during the decision-making process on whether or not to recommend the site engagement to the Steering Council.

71. Once the site engagement is approved, the Alliance will support the implementation of the engagement framework through grants to implementing partners on the ground and by providing technical expertise. Site implementation is covered in Components 2 and 3.

Component 2: New Protection of Key Ocean Geographies

72. Component 2 focuses on the creation of new ocean conservation areas and the expansion of existing areas. Under Component 2, the Blue Nature Alliance will partner with governments, communities, NGOs and other partners to co-invest in the design and designation of new ocean conservation areas and the expansion of pre-existing conservation areas (in sites with approved engagement frameworks developed in Component 1). There is one outcome and three outputs along with associated indicators and targets for this component. Alliance investments (financial and/or technical support) will contribute to the designation of 750 million hectares of ocean conservation.

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[73] If new site investment opportunities emerge in between the bi-annual meetings and need rapid action, the Alliance Management Team will have authority to make site investment decisions up to $500,000 (excluding grants to Executing Core Partners – CI and Pew, which require Steering Council approval), but cumulatively not more than $2.5M, over the course of a year. For site investments greater than $500,000 or in excess of $2.5M over the course of a year, the Steering Council will be notified by email and will have two weeks to object to the investment. In the event any member objects, the site investment will be brought to the next Steering Council meeting for consideration.

Outcome 2.1: New or expanded ocean conservation areas legally recognized.

- **Indicator 2.1:** Total area (hectares) of new designated ocean conservation area that received financial and/or technical investment from the Blue Nature Alliance.

- **Target 2.1:** 750 million hectares additional to the baseline.

Output 2.1.1: Financial and/or technical support is provided to implementing partners in order to achieve legal recognition of a new or expanded ocean conservation area.

- **Indicator 2.1.1a.:** Number of engagement sites that receive Blue Nature Alliance investment in order to achieve legal recognition of a new or expanded ocean conservation area.

- **Target 2.1.1a:** 10 engagement sites (although less is acceptable if the spatial target 2.1 is on track).

- **Indicator 2.1.1b.:** Percent of engagement sites that achieve legal recognition of a new or expanded ocean conservation area.

- **Target 2.1.1b:** 75% of engagement sites.

73. The Blue Nature Alliance will invest in an estimated 10 sites, although fewer will be acceptable if the 750 million hectare spatial target is on track. Alliance investment will be in the form of financial and/or technical support to on-the-ground implementing partners based on an approved engagement framework. Potential implementing partners best positioned to deliver activities outlined in the framework will be invited to submit grant proposals through a standardized process. In addition to providing grants, the Alliance may deploy technical experts to directly or remotely support activities outlined in the engagement framework. For example, technical experts in Marine Spatial Planning (MSP) could support an EEZ-level planning process that identifies areas for protection and areas for sustainable production to meet both ecological and social goals. Most Alliance technical expertise will be provided remotely to save costs, minimize carbon emissions, and to provide safety for staff and residents during the COVID pandemic. The Alliance will remain an active and flexible partner, working hand-in-hand with on-the-ground implementing partners to achieve the shared goal at the site. The Alliance anticipates at least 75% of these sites will reach their goal for legal recognition.

74. Illustrative activities that could be supported under an engagement framework for a proposed new ocean conservation area include:

- Scientific, economic or political analyses to inform conservation policy decisions and/or establish a baseline for future trend monitoring;
- Stakeholder engagement to increase political will and social support for the conservation area;
- Learning exchanges with other large-scale ocean conservation sites and/or participation in learning network meetings, such as Big Ocean,[74] LME:LEARN, IW:LEARN, and other capacity development initiatives;

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[74] "Big Ocean Managers," Big Ocean, accessed 2020, https://bigoceanmanagers.org.

- EEZ planning that includes increased conservation area designations;
- Private sector engagement;
- Business planning;
- Creation of and participation in multi-state cooperation frameworks; and
- Collaboration among LMEs, Regional Seas conventions and Regional Fisheries Management Organizations (RFMOs).

Output 2.1.2: For those engagement sites that achieve legal recognition, a baseline management effectiveness assessment is conducted.

- **Indicator 2.1.2:** Percentage of the engagement sites that achieve legal recognition that document a management effectiveness baseline.
- **Target 2.1.2:** 100% of engagement sites that achieve legal recognition document their management effectiveness baseline.

75. While the specific activities advanced at each engagement site will vary, a few standard activities will be conducted at all engagement sites that attain legal recognition of a new or expanded ocean conservation measure. Specifically:

- The Blue Nature Alliance will encourage implementing partners (and provide support as appropriate) to develop a monitoring and evaluation plans for a new ocean conservation area. The Alliance will provide monitoring and evaluation guidelines and best practices, including a catalogue of available protocols appropriate for various scales, ecosystems, and social contexts (including large-scale) and new technology options available to support remote monitoring and surveillance.

- The Blue Nature Alliance will work with all engagement sites that achieve legal recognition to complete a baseline management effectiveness assessment. Each site will choose an assessment methodology that is most relevant to them and will use that consistently for baseline and subsequent evaluations using tools such as the LME Management Effectiveness Scorecard developed by CI under an LME:LEARN project or other assessment methodologies.

Output 2.1.3: For those engagement sites that achieve legal recognition, additional financial and/or technical support is provided to implementing partners in order to develop long-term sustainable financing plans.

- **Indicator 2.1.3:** Percentage of the engagement sites that achieve legal recognition that have a plan for reaching long-term sustainable financing.

- **Target 2.1.3:** 50% of engagement sites that achieve legal recognition also have a plan for reaching long-term sustainable financing.

76. In those sites where we are invited to work, the Alliance will undertake a participatory planning process to develop a strategy for how the site could eventually reach effective

management and long-term financing. At least 50% of Alliance sites will develop such a strategy.

77. Once the ocean conservation area is legally declared, the Alliance will work with stakeholders to identify any additional activities that will improve management of the area. We will consider providing follow-on grants to establish management and build capacity to help ensure that the site is moving beyond designation and towards active management. Where the Alliance is invited to work, we will conduct a participatory planning process to develop an effective management and long-term financing strategy with the goal of 50% of the sites having a such a strategy.

Component 3: Improved Protection of Key Ocean Geographies

78. Component 3 focuses on upgraded protection and/or improving the management of existing ocean protected areas. Expected conservation outcomes from ocean conservation areas vary significantly based on the level of protection and management effectiveness. Fully and Highly Protected ocean conservation areas are expected to result in the strongest conservation returns[75] with areas with adequate capacity and funding found to deliver almost three times the ecological benefits.[76] Under Component 3, the Blue Nature Alliance will partner with governments, communities, NGOs and other partners to co-invest in existing ocean conservation areas (in those sites with approved engagement frameworks developed in Component 1) to legally upgrade the protection level and/or to measurably improve management, as measured by the achievement of a site-specific target for management effectiveness. There is one outcome and three outputs along with associated indicators and targets for this component. Alliance investments (financial and/or technical support) will advance 500 million hectares of existing ocean conservation areas. This target will contribute to GEF Core Indicator 2.2: Marine Protected Areas under improved management effectiveness.

Outcome 3.1: Previously established ocean conservation areas have upgraded protections and/or improved management, as evidenced by the legal ratification for upgraded protection level, and/or for measurably improved management, as measured by the achievement of a site-specific target for improved management effectiveness.

- **Indicator 3.1:** Total area of existing ocean conservation areas with legally upgraded levels of protection and/or with improved management effectiveness that received financial and/or technical investment from the Blue Nature Alliance.

- **Target 3.1:** 500 million hectares of ocean receive legally upgraded levels of protection additional to the baseline and/or under improved management effectiveness additional to the baseline.

Output 3.1.1: Financial and/or technical support is provided to implementing partners to achieve upgraded protection and/or improved management of ocean conservation areas.

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[75] Sarah E. Lester, Benjamin S. Halpern, Kirsten Grorud-Colvert, Jane Lubchenco, Benjamin I. Ruttenberg, Steven D. Gaines, Satie Airamé, and Robert R. Warner, "Biological effects within no-take marine reserves: a global synthesis," *Marine Ecology Progress Series* 384 (2009): 33-46.
[76] Gill, "Capacity shortfalls", 665-669.

- **Indicator 3.1.1:** Number of engagement sites that receive Blue Nature Alliance investment with the aim of upgrading protections or improving management.

- **Target 3.1.1:** 10 engagement sites (although less is acceptable if the spatial targets 3.1 is on track).

79. The Blue Nature Alliance plans to invest in a target of 10 sites although the final number may be fewer if we are able to attain our 500 million hectares spatial target through fewer sites. As with engagement sites described in Component/Outcome 2, Alliance investment for existing ocean conservation areas can come in the form of financial and/or technical support to on-the-ground implementing partners based on an approved engagement framework. Potential implementing partners best positioned to deliver activities outlined in the framework will be invited to submit grant proposals through a standardized process. In addition to providing grants, the Alliance can deploy technical experts to directly or virtually support activities outlined in the engagement framework. For example, technical experts in sustainable financing can support business planning and the design of long-term financing mechanisms. The Alliance will work with implementing partners at each site to set an ambitious but achievable site-specific target for management effectiveness and/or plan to set up key institutions and methodologies needed for active management.

80. As under component 2, illustrative activities that the Alliance may support under an engagement framework for an existing conservation area include:

- Management capacity building through targeted training;
- Learning exchanges with other large-scale ocean conservation sites and/or participation in learning network meetings, such as Big Ocean, LME:LEARN, IW:LEARN, and other capacity development initiatives;
- Participatory development of management plans;
- Research to inform spatial planning/zonation;
- Design of ecological, economic and social monitoring protocols and/or conduct baseline;
- Design of enforcement systems;
- Design of co-management governance systems that integrate Indigenous peoples in MPA management;
- Business planning and design of sustainable finance mechanisms;
- Private sector engagement and sustainable livelihoods development;
- Creation of and participation in multi-state cooperation frameworks; and
- Collaboration among LMEs, Regional Seas conventions and Regional Fisheries Management Organizations (RFMOs).

Output 3.1.2: A management effectiveness assessment is conducted at each engagement site both before and after receiving Alliance support.

- **Indicator 3.1.2a:** Percentage engagement sites that conduct an assessment of management effectiveness before and after Blue Nature engagement.

- **Target 3.1.2a:** 100% of engagement sites.

- **Indicator 3.1.2b:** Percentage of engagement sites that achieve their target for management effectiveness improvement and/or proposed status upgrade.
- **Target 3.1.2b:** 75% of engagement sites.

81. While the specific activities advanced at each engagement site will vary, a few activities will be conducted at all Alliance engagement sites under outcome 3. Specifically:

- As with new sites, the Blue Nature Alliance will support existing sites as needed with the development and implementation of monitoring and evaluation plans as part of their management plan. The Alliance will provide monitoring and evaluation guidelines and best practices, including a catalogue of available protocols appropriate for various scales, ecosystems, and social contexts (including large-scale) and new technology options available to support remote monitoring and surveillance.

- The Blue Nature Alliance will require all existing ocean conservation areas supported by the Alliance to complete a pre-investment and post-investment management effectiveness assessment. Each site will choose an assessment methodology that is most relevant to them and will use that consistently for baseline and subsequent evaluations. As mentioned, the Alliance may use the [LME Management Effectiveness Scorecard](#) developed by CI under an LME:LEARN project for this work or other simple methodologies.

82. We anticipate that at least 75% of these sites will reach their goal for management effectiveness or proposed status upgrade within the 5 years of the project.

Output 3.1.3: Financial and/or technical support to develop a plan to achieve long-term sustainable financing is provided to on-the ground implementing partners.
- **Indicator 3.1.3:** Percent of engagement sites with a plan for reaching long-term sustainable financing.
- **Target 3.1.3:** 75% of engagement sites.

83. In those sites where the Alliance is invited to work, we will conduct a participatory planning process to develop an effective management and long-term financing strategy with the goal of 75% of the sites having a such a strategy.

Component 4: Global Enabling Conditions to Scale Up Ocean Conservation

84. In addition to directly investing in new and existing ocean conservation areas, the Blue Nature Alliance will invest in the global enabling conditions that are necessary to reach the ambitious goal of protecting 30% of the world's ocean. This investment will include two outcomes—one on science and research (using only co-financing) and the other on learning, capacity building, collaboration and knowledge management.

Outcome 4.1: Collaborative scientific research that advances the field of large-scale and/or transboundary ocean conservation executed and published. *(Note: This Outcome 4.1 will be funded with co-financing).*

- **Indicator 4.1:** Number of peer-reviewed scientific publications and/or technical reports published on topics that advance the field of large-scale ocean conservation.

- **Target 4.1:** 5 research projects and 10 publications.

85. Using only co-financing funds, the Alliance will support scientific research to enhance the evidence base for large-scale ocean conservation, including LSMPAs and amplify the collective impact of ocean conservation areas globally. The discipline of large-scale ocean conservation must continue to improve management effectiveness and sustainability and build the evidence base for ocean conservation area contributions to human well-being outcomes to overcome the zero-sum argument that ocean conservation areas and fisheries management are incompatible solutions. The discipline must also evaluate which policy instruments are most useful to reaching our global target for ocean protection. The Alliance will undertake five research projects that will be documented in at least 10 scientific publications as a part of this GEF project.

Output 4.1.1: Research projects that advance the field of large-scale ocean conservation that are completed with technical or financial support from Blue Nature Alliance.

- **Indicator 4.1.1:** Number of research projects that advance the field of large-scale ocean conservation.

- **Target 4.1.1:** 5 research projects.

86. The Alliance has developed a science and research framework that identifies the priority scientific needs in the field of large-scale ocean conservation (see Appendix X: Science and Research Framework). This framework builds on several previously published documents that provide practical guidance on research to be conducted in support of large-scale ocean conservation areas. Priority research needs identified in the Alliance science and research framework focus on the following topics:

- Benefits and costs of ocean conservation areas;
- Baseline biodiversity and biophysical information;
- Threats and climate change;
- Fisheries-related topics;
- Conservation outcomes and global contributions of ocean conservation areas;
- Governance;
- Design and management effectiveness including enforcement; and
- Implementation and management including incorporating the human dimensions across these activities.

87. The five research topics to be undertaken by the Alliance will be determined from this general list of research themes. The research will either a) generate big picture insights that are applicable globally across large-scale ocean conservation areas; and/or b) generate specific information that could help inform the design, planning, and management of specific ocean conservation areas that have been established or that may be considered for the establishment in the near future.

Output 4.1.2: Peer-reviewed publications that advance the field of large-scale ocean conservation that are completed with technical or financial support from the Blue Nature Alliance.

- **Indicator 4.1.2:** Number of peer-reviewed publications that advance the field of large-scale ocean conservation.

- **Target 4.1.2:** 10 peer-reviewed publications.

88. Alliance staff involved in this work will have proven experience and important relationships with the scientific community that will facilitate the publication of Alliance findings in reputable scientific journals. The Alliance will seek to produce a minimum of 10 research articles that are published in peer-reviewed publications.

Outcome 4.2: Knowledge management and learning for the fields of large-scale and transboundary ocean conservation has been strengthened and expanded.

- **Indicator 4.2:** Number of individuals with enhanced knowledge, capacity, and tools to implement ocean conservation at scale and/or transboundary ocean governance.

- **Target 4.2:** 1000, of whom at least 33% are women.

89. Learning, knowledge sharing and capacity building are a part of the Alliance's strategic approach to expanding and strengthening ocean conservation at scale. In pursuing its goals, the Alliance recognizes and greatly values the learning it can gain from other projects and practitioners. Similarly, the Alliance will be learning as it implements projects across various sites and with a wide array of partners. The Alliance will develop materials that share its lessons learned to ensure wide access and actively work to share its experiences across various online and virtual media.

90. Reaching the goal of this project, and more significantly the global call for 30% of oceans effectively protected, will require a significant global increase in human capacity to design and manage ocean conservation areas at scale and in transboundary settings, the development of new tools and approaches that are appropriate for large-scale, and a much greater degree of collaboration, learning and sharing. The Alliance has developed a learning, capacity building, knowledge management and collaboration framework to guide this work (see Appendix XI: Learning, Capacity Building, Knowledge Management and Collaboration framework). The Alliance will work to support at least 1000 people to gain enhanced knowledge, capacity, and access to tools to effectively implement ocean conservation at scale and/or transboundary ocean governance. While women are increasingly prevalent in ocean conservation management at all levels, men still dominate the field. The project will strive to focus on and motivate women's participation, knowledge, and understanding of ocean issues by ensuring that at least 33% of participants are women.

Output 4.2.1: Learning initiatives that advance the field of large-scale ocean conservation and/or transboundary ocean governance and that provide training and professional development for ocean conservation practitioners/stakeholders supported.

- **Indicator 4.2.1:** Number of participants disaggregated by sex in learning initiatives supported by Blue Nature Alliance.

- **Target 4.2.1:** 500, of whom at least 33% are women.

91. While the number of declared or designated large-scale MPAs (LSPMAs) is growing quickly, the number of experienced LSMPA managers remains extremely limited. There are some targeted learning networks, such as the Big Ocean network of large scale MPA managers, and the IUCN Taskforce on LSMPAS that are working to advance the field for new practitioners, but they have insufficient capacity and resources, and they do not have an explicit focus on transboundary issues. Other learning networks such IW:LEARN and LME:LEARN regularly convene LME managers and practitioners generating innovations on transboundary ocean governance; however, they do not yet have specific expertise on LSMPAs. Lastly, while other MPA focused learning networks exist, collectively they are insufficient to fill the growing demand for learning opportunities in the field of large-scale ocean conservation.

92. This project will support and participate in existing learning communities, including IW:LEARN, LME:LEARN, the Big Ocean network, as well as support new learning initiatives, such as dedicated learning exchanges and training programs to elevate the capacity of the entire field of large-scale ocean conservation, reaching at least 500 ocean conservation practitioners and stakeholders, of whom at least 33% will be women.

Output 4.2.2: New tools, trainings, or innovative approaches for large-scale ocean conservation developed and disseminated, including via regional entities.

- **Indicator 4.2.2:** Number of new tools, trainings and innovations developed and disseminated.
- **Target 4.2.2:** 5 tools, trainings, or innovations.

93. Achieving the scale and aspirations of this project will require the development of innovative new models, including multisectoral solutions and models of transboundary governance, and innovative new tools, such as cost-effective methods and technologies for enforcement of large ocean areas. Across its portfolio of sites and via dedicated projects, the Alliance will produce at least five new tools and publications that advance the field of large-scale ocean conservation. Specific opportunities for investment will be identified with partners and end-users to maximize the utility of any new models and tools.

Output 4.2.3: Collaboration and coordination of NGOs, funders, and other implementors, working to advance ocean conservation areas, regional collaboration and ocean conservation at scale increased.

- **Indicator 4.2.3:** Number of organizations and agencies participating in partner convenings and meetings hosted by the Blue Nature Alliance
- **Target 4.2.3:** At least 20 organizations/agencies

94. Achieving the Alliance global goal will also require unprecedented levels of collaboration between NGOs, between funders, and between governments, including new levels of regional cooperation. The very nature of the Blue Nature Alliance depends on and promotes partnership. The Alliance will seek to build greater alignment and cooperation between the various actors supporting large-scale ocean conservation through a series of regular partner

convenings and through the formation of advisory groups and technical task forces. At least 20 organizations will participate in Alliance-led partner convenings.

Output 4.2.4: Results of and lessons from Blue Nature Alliance investments shared at international conferences, with the IW:LEARN and LME:LEARN communities of practitioners and with regional entities.

- **Indicator 4.2.4.a:** Number of presentations given by Blue Nature Alliance partners on results and lessons learned.

- **Target 4.2.4a:** At least 100 presentations.

- **Indicator 4.2.4b:** Number of Experience Notes produced by the Alliance and shared with IW:LEARN.

- **Target 4.2.4b:** At least 10 Experience Notes.

- **Indicator 4.2.4c:** Number of Results Notes produced by the Alliance and shared with IW:LEARN.

- **Target 4.2.4c:** At least 10 Results Notes.

95. The Alliance will actively participate in the GEF IW:LEARN network to disseminate best practices and lessons learned generated from the project. It will also use the reach of IW:LEARN and LME:LEARN to train MPA and LME practitioners on the use of the new tools developed as part of the project and to learn about other innovations that could be adopted by Alliance engagement sites. The new tools, models and other lessons generated through the project will be shared across all engagement sites, via the learning networks and partner convenings mentioned above, at international conferences and at regional entities and forums. The Alliance anticipates that project partners will deliver at least 100 presentations focusing on the results and lessons generated from the project.

96. As the alliance will be investing in a wide variety of geographies around the world, this project anticipates generating significant amounts of new knowledge and information. The Alliance thus will be able to serve as a knowledge donor and promote twining of projects through IW:LEARN to build capacity and improve project implementation. The project will develop an IW:LEARN compliant website, produce and disseminate at least 10 Experience Notes, 10 Results Notes and participate in regional and Global IW:LEARN Conferences, such as the biennial GEF IW Conference and Regional workshops. The level of engagement on IW: Learn has been budgeted in accordance with GEF's Guidelines of 1% or $255,278 for this project.

Component 5: Monitoring & Evaluation Plans Inform Adaptive Management

97. Component 5 focuses on Alliance project monitoring and evaluation. The Alliance's monitoring and evaluation program will track Alliance progress and will inform adaptive management by indicating what is working – and isn't working in a specific site and which strategies might be best for a specific set of circumstances. There is one outcome and two outputs along with associated indicators and targets under this component.

Outcome 5.1: Monitoring and evaluation framework for the Blue Nature Alliance in place and used.

- **Indicator 5.1:** Percent of required reports and evaluations completed.
- **Target 5.1:** 100% of reports include information derived from implementation of Alliance monitoring and evaluation plan.

98. The Blue Nature Alliance has developed a Monitoring and Evaluation Framework that focuses on the program level (i.e., the full portfolio of sites) (see Appendix XII: Blue Nature Alliance Monitoring and Evaluation Framework). This plan consists of a series of indicators that will be tracked consistently across the Blue Nature Alliance portfolio, descriptions of the general methodologies used to collect data on those indicators, data analyses and visualizations to help interpret indicator trends, and the process by which the Alliance will utilize the information to inform adaptive management. The Alliance will ensure that 100% of required monitoring and evaluation reports for each site are completed. Applying the Monitoring and Evaluation Framework will be an iterative process that aims to adapt approaches to achieve Alliance goals.

Output 5.1.1: Alliance monitoring and evaluation program implemented.

- **Indicator 5.1.1:** Implementation of Alliance monitoring and evaluation plan at both the portfolio and site level implemented.
- **Target 5.1.1:** 1 Alliance-wide monitoring and evaluation plan is implemented.

99. The Alliance will develop and work with stakeholders to implement a robust monitoring and evaluation plan that will be used across all Alliance sites. While some metrics will be standardized across the Alliance portfolio, there will also be site-specific monitoring and evaluation strategies for individual sites.

Output 5.1.2: Results from monitoring and evaluation program included in progress reports and evaluations.

- **Indicator 5.2.1:** Percentage of Alliance progress reports that include information from implementation of monitoring and evaluation plan.
- **Target 5.3.1:** 100% of progress reports include information from implementation of monitoring and evaluation plan.

100.   Implementing the Blue Nature Alliance Monitoring and Evaluation Framework will be carried out in consultation with a working group comprised of members of the broader Blue Nature Alliance team, who might also engage external experts if necessary. This working group will be coordinated by a Monitoring and Evaluation Manager, who will be responsible for coordinating monitoring and evaluation activities, including convening working group meetings, reaching out to data providers to obtain indicator data, developing and refining the methods for data acquisition, data quality control, developing maps, analyzing and summarizing data for the Blue Nature Alliance Management Team to support decision making, and communicating results to relevant Blue Nature Alliance stakeholders. This analysis will be

reported and documented through progress reports including Project Implementation Reports (PIRs) as well as in learning materials produced as a part of Component 4.2.

Associated Baseline Projects

101.   Given the global nature of this project, the full list of associated baseline projects is extensive and yet to be fully determined most engagement sites have not yet been identified. A selection of example baseline projects led by various stakeholder groups are provided below. The Blue Nature Alliance has initiated contact with several of these projects and has identified approaches and partnerships that will be of use when implementing the project.

Table 2: Baseline projects related to the Blue Nature Alliance.

Project name	Years (start – end)	Budget (USD)	Funder(s)	Objectives / brief description of how this project is linked to the Alliance FSP
Big Ocean	2010 – ongoing	N/A	The Ocean Foundation	Big Ocean is a peer-learning network created for managers of large-scale MPAs with a focus on improving management best practices. The Alliance is collaborating closely with Big Ocean to enhance its work pertaining to LSMPAs.
Global Island Partnership (GLISPA)	2006 – ongoing	N/A	The European Commission, United States Department of State	GLISPA promotes action to build sustainable and resilient island communities with a focus on the Sustainable Development Goals. The Alliance is partnering with GLISPA to enhance its work in this area.
Vulcan Skylight & Allen Coral Atlas	1986 - ongoing	N/A	Paul G. Allen Family foundation	Vulcan utilized data and technology, strategic grant making, advocacy, and engagement to create a lasting impact locally and globally. The Alliance is partnering with Vulcan to improve monitoring and enforcement - including the tracking of IUU fishing - at its sites.
UN Environment Programme World Conservation Monitoring Center (UNEP-WCMC)	2000 - ongoing	N/A	UNEP	UNEP-WCMC conducts biodiversity assessments and provides the best available science to support policy development and implementation. Its datasets include the Word Database on Protected Areas, the World Database on other Effective Area-Based Conservation Measures, and the Global Database on Protected Area Management Effectiveness. The Alliance has engaged UNEP-WCMC in conservations pertaining to the establishment of ocean conservation areas, improved management of existing ocean conservation areas, and the global enabling conditions of LSMPAs.
International funding lines (donor & development partner driven)				
Tropical Forest and Coral Reef	2019 – ongoing	$15 million as of FY 2020 appropriation	USAID	TFCCA offers developing countries options to relieve certain official debt owed to the U.S. Government while generating funds to support coral reef conservation activities. There may be

Conservation Act (TFCAA)				opportunities to utilize TFCAA to support applicable sites.
UN Environment Program	N/A	N/A	UN Regular Budget, UNEP Environment Fund, Various Countries	UN Environment assists countries in improving the effectiveness and equitable use of MPAs by providing technical expertise and capacity building support on governance of marine protected areas.
Commitments and compacts				
Convention on Biological Diversity (CBD)	1992 – ongoing	N/A	UNEP	A multilateral treaty with the goals of the (1) conservation of biological diversity, (2) the sustainable use of its components, and (3) the fair and equitable sharing of benefits arising from genetic resources.
Aichi Biodiversity Target 11	2010-2020	N/A	UNEP	The target of at least 10 percent of coastal and marine areas, especially areas of particular importance for biodiversity and ecosystem services, conserved by 2020 was not met.
Sustainable Development Goal 14	2015-2030	N/A	UNGA, UNDESA	Sustainable Development Goal 14 aims to conserve and sustainable use the oceans, seas, and marine resources for sustainable development. SDG 14 provides an opportunity for the Alliance to contextualize its work into the broader framework of sustainable development.
WCC-2016-Res-050-EN Increasing marine protected area coverage for effective marine biodiversity conservation	2016 - ongoing	N/A	IUCN	IUCN members approved a new global target for MPAs calling for 30% of each marine habitat to be set aside in highly protected MPAs and other OECMs by 2030 with the goal of a fully sustainable ocean. The Alliance has designed its outputs with the goal of contributing towards this target.
Other impact funds and private sector impact investment strategies				
Blue Prosperity Coalition	2019 – ongoing	$150 million	Waitt Foundation, Waitt Institute, various partners	The Blue Prosperity Coalition engages in multi-year partnerships with governments to designate and implement 30% marine protection by 2030. The Blue Prosperity Coalition and the Alliance share this goal and have engaged in conversation.
Wyss Campaign for Nature	2018 – ongoing	$ 1 billion	The Wyss Foundation, the National Geographic Society, various partners	The Wyss Campaign for Nature provides funding to help communities, Indigenous peoples, and nations conserve 30% of the planet by 2030. There may be opportunities for Alliance sites to partner with the Wyss Campaign for Nature.
The Blue Action Fund (BAF)	2016 – ongoing	$40 million intended to fund 10 to 15 projects	MZ, KfW Development Bank, AFD,	The Blue Action Fund supports projects within the national waters of countries eligible to receive official development assistance. There

			Green Climate Fund (GCF)	are multiple identified geographic areas of overlap between BAF and the Alliance.
Oceans 5	2011 – ongoing	NA	Rockefeller Philanthropy Advisors, various partners	Oceans 5 supports results-orientated conservation projects throughout the world, sharing the Alliance's desire for catalytic/significant projects involving a partnership of multiple organizations.

Incremental Cost Reasoning

102.   There has been a significant increase in the declaration of ocean conservation areas in the last decade. Still, depending on which measure is used (MPAtlas[77] or WDPA[78]), as of January 2021, only 6.4-7.7% of the world's ocean is under some form of protection, falling short of the Aichi target and SDG14 target 5 of 10% by 2020. Of those areas declared for protection, a significant portion do not have sufficient financial or technical resources to achieve effective management, thus seriously undermining their ability to generate the desired biodiversity conservation and ecosystem services for human wellbeing.[79]

103.   A GEF/UNDP report on "catalyzing ocean finance" estimated a cost of US$28 billion to establish MPAs to achieve the 10% target.[80] Current MPA financing is far insufficient to meet this need. For example, a 2017 report commissioned by the Packard Foundation[81] found that only a small number of foundations give approximately $40 million annually to placed-based conservation and to sites primarily located in the developed world. While this study did not factor in public funding sources, it none-the-less highlights the fact that a significant increase in funding and support is needed.

104.   Protecting 10% of the ocean and working towards the even more ambitious target of protecting 30% of oceans cannot be realized without a strategic and consolidated investment and a coalition of key partners that can leverage each other's strength. The Blue Nature Alliance is bringing GEF, CI and Pew together with other private donors and encouraging co-investment from governments and private sector to spur much needed attention and investment at a scale necessary to move the needle in global ocean conservation.

105.   Fortunately, the proliferation of LSMPAs has provided opportunities for economies of scale, bringing down the average costs of MPA designation and management.[82] This project explicitly works to build momentum for these more cost-effective large-scale models while focusing on innovation to further bring down costs. The Alliance will further build from the experience of its members to develop innovative financing models that will encourage public and private sector investment in MPAs.

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[77] "Marine Protection Atlas," Marine Conservation Institute, accessed 2020, https://mpatlas.org.

[78] "World Database on Marine Protected Areas," UNEP-WCMC, accessed 2020, https://www.protectedplanet.net/marine.

[79] Gill, "Capacity shortfalls", 665-669.

[80] Andrew Hudson and Yannick Glemarec, UNDP-GEF. 2012 Catalysing Ocean Finance Volume I Transforming Markets to Restore and Protect the Global Ocean.

[81] California Environmental Associates. 2017. Our Shared Seas: A 2017 Overview of Ocean Threats and Conservation Funding. Prepared with support of the David and Lucile Packard Foundation.

[82] Andrew Hudson and Yannick Glemarec, UNDP-GEF. 2012 Catalyzing Ocean Finance Volume I Transforming Markets to Restore and Protect the Global Ocean.

106.   By focusing on large-scale and investing in the most catalytic activities to advance sites, while seeking co-investment and long-term financing solutions early in the process, the Alliance will achieve ocean conservation results at a fraction of the cost of traditional MPA investments. The costs per hectare to establish MPAs has been shown to vary significantly with MPA size, with larger MPAs being much less expensive than smaller ones on a per area basis.[83] Recent interventions by Pew, CI, and other civil society and philanthropic partners to support the legal gazettement of LSMPAs required an average of $5.12 per km2 ($0.05 per hectare), in addition to the government's direct contributions to the gazettement process. The Alliance expects to deliver results at similar costs per hectare. While ongoing management costs can be substantial, past experience has illustrated that it is possible to catalyze better management through key investments in strategic activities—such as the development of a management plan or a business plan for the site. The Alliance aims to invest a similar dollar per hectare ratio in specific interventions to help stand up management of new sites or to improve management of existing sites.

107.   While the Blue Nature Alliance will exist and operate without the GEF funding provided through this project, the level of ambition would need to be scaled back. Without the GEF contribution, the Alliance will still be able to finance ocean protection initiatives but may not be able to achieve the proposed legal recognition of new conservation areas or improved management effectiveness of existing areas at the scale required to meet the target GEBs.

108.   GEF joining the Alliance via this project will provide a variety of benefits to the Alliance and to global oceans. While most Alliance targets will remain the similar with or without GEF funding there are five key differences including:

- The timeline for accomplishing these goals and progress towards the Aichi targets will be accelerated with the GEF project.
- The level of investment available to support the improved management of existing ocean conservation areas will be higher with GEF funding, allowing for more significant improvements in management effectiveness.
- Without GEF funding, the additional costs associated with transboundary and regional work would be prohibitively expensive, resulting in a sole focus on interventions contained within single national jurisdictions. The GEF funding will allow the Alliance to additionally focus on transboundary and regional work.
- GEF partnership will provide further credibility to the Alliance and will likely attract additional investment that may allow the project to increase its goals over time.
- While the Alliance will seek to establish and share lessons learned as it works with ocean conservation initiatives around the world, GEF funding will open doors to the Facility's extensive and well-established learning networks including IW:Learn and LME:Learn.

109.   In addition to $25,000,000 in direct project funding, the GEF will provide significant additional benefits to the Blue Nature Alliance. To meet the full financial needs of ocean conservation areas globally will require unlocking new and substantial funding flows. With its

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[83] Ashley McCrea-Strub, Dirk Zeller, Ussif Sumaila, Jay Nelson, Andrew Balmford, and Daniel Pauly, "Understanding the cost of establishing marine protected areas," *Marine Policy* 35, no. 1 (2011): 1-9.

global reach and deep connections to national governments, bilateral and multilateral funders, and private sector investors, having the GEF as a core partner will open up significant opportunities for leverage funding, allowing the Alliance to meet its goal of securing at least a 2:1 ratio of leveraged co-investments averaged across its portfolio of sites.

110.   The GEF funding is crucial to achieve the Global Environmental Benefits (GEBs) of an additional 750 million hectares of new marine protected areas and 500 million hectares with improved or upgraded management (35% of the Aichi Target/SDG14 target 5), as compared to the baseline scenario. To be able to achieve the project goal, and the associated GEBs, the Alliance requires a minimum of $125,000,000 in project capital. The Alliance will seek a 2:1 leverage ratio for its investments at a portfolio level.

Global Environmental Benefits

111.   With this project, the Blue Nature Alliance will catalyze the conservation of 1.25 billion hectares of ocean, to help build resilience, promote human wellbeing, enhance ecosystem connectivity and function, and safeguard globally important biodiversity. This will include:

1) 750 million hectares of new or expanded ocean conservation areas legally recognized;

2) 500 million hectares of previously established ocean conservation areas with upgraded protections and/or improved management.

112.   The project will greatly exceed the GEF-7 target of 8 million hectares of marine protected areas created or under improved management for conservation and sustainable use and will represent a significant contribution to the global target of protecting 30% of the global ocean.

113.   The project will, further, support a scope of work relevant to GEF's International Waters Global Environmental Benefits (GEBs) through its prioritization and exploration of transboundary opportunities. Opportunities identified thus far include transboundary cooperation in the Southern Cone of Argentina and Chile, the Pacific Central-American Coastal LME, Canadian Eastern Arctic – West Greenland LME, and Antarctica. All interventions in these regions will be aligned with priorities identified in the relevant Strategic Action Programmes (SAPs) and lessons learned will be captured and shared through IW:LEARN.

114.   The Blue Nature Alliance will directly benefit an estimated 2,467,000 people globally (50% women; 50% men)[84], including people that receive socio-economic, recreational or cultural benefits as a result of investments made by the Alliance, including both monetary (e.g., jobs, grants, increased income) and non-monetary benefits (e.g., training, increased knowledge, enhanced experiences). A definition of the beneficiaries and the Alliance methodology for engagement is included in Appendix XIII). These beneficiaries include the following stakeholders, each of which will be measured individually for each ocean

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[84] The Blue Nature Alliance will collect data on this indicator in a sex-disaggregated manner.

conservation area that the Alliance will invest in, or for broader science, policy and capacity-building activities that the Alliance may invest in to grow the field of large-scale marine conservation:

- Personnel of all MPAs that the Alliance invests in. This includes all personnel that are directly employed by the government agency responsible for managing the MPA, including staff responsible for management, finance, program evaluation, science, research, communications, outreach, education, and enforcement.
- MPA partner personnel that is directly involved in enforcement, research, education and outreach activities funded by the Alliance. This includes all personnel that are not employed by the government agency managing the MPA, but that are directly involved with activities related to implementing the MPA that are funded by the Alliance.
- Small scale or artisanal fishers that operate within or in close proximity of Alliance engagement sites.
- People employed in post-harvest jobs of small-scale fisheries that operate within or in close proximity of Alliance engagement sites.
- Tourist service providers that operate within Alliance engagement sites.
- MPA visitors.
- People living within or within 1 km of the MPA, and therefore will reap the many ecosystem service benefits of the area.
- Other MPA users (e.g. scientists, educators, historians, etc.) that conduct activities within ocean conservation areas.
- Staff of all implementing partners that are directly involved with activities funded by the Alliance.
- People that participate in workshops and trainings funded by the Alliance.

Table 3: Project Core Indicators.

	Project Core Indicators	PIF Submission	CEO Endorsement Submission
1	Terrestrial protected areas created or under improved management for conservation and sustainable use (Million Hectares)		
2	Marine protected areas created or under improved management for conservation and sustainable use (Million Hectares)	1,250,000,000 (1.25 billion)	1,250,000,000 (1.25 billion)
3	Area of land restored (Million Hectares)		
4	Area of landscapes under improved practices (excluding protected areas) (Million Hectares)		
5	Area of marine habitat under improved practices (excluding protected areas) (Million Hectares)		
	Total area under improved management (Million Hectares)	1,250,000,000 (1.25 billion)	1,250,000,000 (1.25 billion)

6	Greenhouse Gas Emissions Mitigated (million metric tons of CO2e)		
7	Number of shared water ecosystems (fresh or marine) under new or improved cooperative management	1 (level of engagement in IW:LEARN)	4 (level of engagement in IW:LEARN)
8	Globally over-exploited marine fisheries moved to more sustainable levels (thousand metric tons) (% of fisheries, by volume)		
9	Reduction, disposal/destruction, phase out, elimination and avoidance of chemicals of global concern and their waste in the environment and in processes, materials and products (thousand metric tons of toxic chemicals reduced)		
10	Reduction, avoidance of emissions of POPs to air from point and non-point sources (grams of toxic equivalent gTEQ)		
11	Number of direct beneficiaries disaggregated by gender as co-benefit of GEF investment	~ 2,400,000 direct beneficiaries (~ 47% women; ~ 53% men)	~ 2,467,000 direct beneficiaries (~ 50% women; ~ 50% men)

Socio-Economic Benefits

115.   The ocean provides food and economic opportunities for billions of people around the world. Fish is one of the most important sources of protein and nutrition, accounting for roughly 17% of protein at the global level while in island nations and some least-developed countries, consumption of fish protein exceeds 50% of daily protein.[85] Global fisheries and aquaculture are key to meeting global goals to end hunger and malnutrition and provides livelihoods for nearly 60 million people across the world.[86] Furthermore, the ocean is an important carbon sink and is responsible for absorbing approximately 30% of global carbon emissions.[87]

116.   The effective place-based conservation and management of prime ocean ecosystems safeguards biodiversity, replenishes fisheries, provides for the safety and security of people, and enables ecosystems to function as they should providing a range of other benefits that include nutrient cycling, climate regulation, cultural values, and recreation. A longitudinal study conducted by Conservation International directly links marine managed areas with increased local incomes, food stability, and quality of life.[88] Areas with adequate capacity and funding are found to deliver almost three times the ecological benefits.[89]

117.   Furthermore, building ocean resilience is a critical hedge against climate change. Well-managed marine reserves may help marine ecosystems and people adapt to five prominent

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[85] In, FAO, "The State of the World Fisheries and Aquaculture," (2018): 978-92-5-130562-1.
[86] In, FAO, "The State of the World Fisheries and Aquaculture," (2018): 978-92-5-130562-1.
[87] Nicolas Gruber, Dominic Clement, Brendan R. Carter, Richard A. Feely, Steven Van Heuven, Mario Hoppema, Masao Ishii et al, "The oceanic sink for anthropogenic CO2 from 1994 to 2007," *Science* 363, no. 6432 (2019): 1193-1199.
[88] Orbach, "Marine Managed Area Science Project Synthesis".
[89] Gill, "Capacity shortfalls", 665-669.

impacts of climate change: acidification, sea-level rise, intensification of storms, shifts in species distribution, and decreased productivity and oxygen availability, as well as their cumulative effects. As such, effectively managed ocean conservation areas reduce stress from unsustainable human activities making the ocean systems more resilient and better able to cope with climate impacts.[90] With a more resilient ocean, people are less susceptible to impacts on coastal infrastructure, decreases in the health, abundance and size of key marine food and economic resources, and extreme weather events.

118.   Unlike traditional marine management approaches, the Alliance seeks to work in concert and partnership with prominent sectors of the blue economy to build resilient and thriving ocean economies. For example, in sites with significant exposure to commercial fishing and aquaculture industries, the Alliance seeks opportunities for direct engagement with the seafood sector. When possible, the Alliance intends to identify market interventions that seek to achieve dual marine protection and economic development objectives, thereby increasing economic benefits for people engaged in those sectors.

119.   Similarly, tourism in the marine space represents a significant source of economic activity in a number of existing and potential MPA sites under consideration by the Alliance. In areas with high coastal and marine tourism activity (or the potential for tourism), direct linkages between biodiversity and environmental quality and industry economic performance provide strong incentives for aligning industry and marine protection and management objectives. With these strategic and innovative partnerships, the Alliance will bring diverse economic benefits to populations in coastal areas within and adjacent to MPA sites.

Risk Assessment and Mitigation

120.   As a complex and global program, there are a variety of risks that could impact the Alliance and the implementation of its activities. In addition to risks associated with partner engagement and political processes across transnational boundaries, COVID-19 will impact Alliance programming. A list of risks and the Alliance mitigation strategies for each of these is provided in Table 4 below.

Table 4: Risk Assessment and Mitigation Planning.

Project Outcome	Risk	Rating	Risk Mitigation Measure
Outcomes 1, 2, 3, and 4	Ongoing complications from the COVID-19 global pandemic result in project implementation delays and challenging conditions in which to advance Blue Nature Alliance objectives and targets.	**Moderate**	In 2020, the Alliance successfully transitioned to fully remote operations by conducting remote meetings and workshops, remote site scoping, and closely collaborating with in-region implementing partners to advance Alliance objectives and targets. Through the development of engagement frameworks, the Alliance will identify and resource any implementation activities that may require modifications to comply with COVID-19 protocols.

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[90] Roberts, "Marine reserves can mitigate", 6167-6175.

			The Alliance will continue to develop its remote operating capabilities, with development of tools and protocols for online trainings, workshops, learning initiatives and provision of technical assistance.

COVID-19 has increased awareness of the intrinsic link between the environment and human health and prosperity. The Alliance has and will continue to reframe the way it discusses ocean conservation with stakeholders, focusing on the importance of healthy oceans for healthy communities and economic recovery and resilience.

COVID-19 and the resulting challenges presented for ocean conservation have provided important lessons and an opportunity re-examine mechanisms, interventions, and management structures. The Alliance will stay abreast of latest developments to ensure the ocean conservation at scale builds back better, putting equity, resilience, and adaptive management at the forefront.

The Alliance team, at all times, will follow the science-based guidance of national health authorities, and CI's Health and Safety Officer in terms of health precautions and travel restrictions.

 Additional detail on COVID related measures is elaborated on below this table. |
| **Outcomes 1, 2 and 3** | Political instability in countries with site-based engagements may result in government changes, which may lead to reevaluation of government priorities and redirection of funding allocations away from ocean conservation areas. | **Moderate** | Per its selection criteria, the Alliance selects sites with existing political will and requires a stated interest – ideally a written commitment – by the decision-making authority.

The Alliance will seek commitments from Governments (or groups with jurisdictional authority), including financial co-investment whenever |

| | | | possible, for each proposed engagement site.

The Alliance may deploy resources to buffer the uncertainties that political changes may bring to specific sites, depending ongoing re-assessments of project viability. This includes a specific focus on campaign strategies which increase political will and aid in increasing government interest in ocean conservation areas as well as allocations of funding.

The Alliance Management and Delivery Team will assess the political landscape and power dynamics of site-based investments in each engagement framework and closely follow potential changes in governments to readily design and implement risk management strategies, as needed. |

Outcomes 1,2, and 3	A lack of alignment with local policy frameworks or in-kind support from local, regional, and national support may hinder the success of long-term sustainable MPA investment.	**Moderate**	The Alliance seeks local champions at each site-based investment to ensure there is local support as well as an advocate for the engagement at local, regional, and national levels of government.

The Alliance also recognizes that its site-based investments will impact local livelihoods and economic opportunity. The robust Code of Conduct guides interventions which benefit those who live in proximity with the MPA, increasing the likelihood of support as the needs of these stakeholders are considered at all stages of the engagement process.

The Alliance may deploy resources to support campaign strategies which build public support for the MPA and help to establish the necessary local policy frameworks and government structures to support the designation, implementation, and running costs of the MPA. |
| **Outcomes 1, 2 and 3** | Global economic and financial challenges may lead to reduced funding from international donors | **Moderate** | The Alliance has included conservative leverage targets that should continue to be achievable even in the current economic downturn. |

	and may lead to leverage targets not being achieved.		The Alliance will develop a 5-year plan for reaching effective management and long-term financing for most sites and will support business planning and other long-term financing initiatives that will enable sites to achieve financial sustainability and that will account for different global and regional economic conditions.
Outcomes 2, 3 4 and 5	Weak management capacities for planning, management, and governance reduce the effectiveness of individual site-based engagements.	**Moderate**	This risk will be reduced by Alliance support for capacity building, planning, and other activities to improve or appropriately design management and governance throughout its engagement with sites. Support will be provided at both institutional (e.g., National PA agency) and local levels (MPA managers). The Engagement Framework will include a robust assessment of the capacity gaps and needs for each site, and Alliance support will be directed toward addressing those needs as part of a holistic approach to improved ocean conservation outcomes. In addition, the Alliance will dedicate resources toward research and knowledge, and strengthening communities of practice and learning which will help support research, analysis, and technological innovation as well as networking, exchanges, capacity building, and development and sharing of best-practices to support improved capacity both in the sites targeted by the Alliance and in the ocean conservation community, generally.
Outcomes 1, 2 and 3	Stakeholder involvement, including that of Indigenous peoples and local communities, is not sufficient to ensure support for conservation actions.	**Low**	The Alliance will implement a robust system to ensure appropriate stakeholder involvement, including the use of gender and Indigenous peoples safeguards, a grievance mechanism, a code of conduct, and other tools to ensure that engagements are properly assessed for risks they could pose to community members and that appropriate safeguard instruments or

			risk management controls are incorporated into project design. Special measures will be taken during the COVID-19 global pandemic (see above) to ensure remote stakeholder consultations are as robust as possible of and to provide necessary resources for any modifications necessary to comply with COVID-19 protocols.
Outcomes 2,3, 4 and 5	Global climate change impacts the MPAs negatively.	**Moderate** (The Alliance completed the climate change risk assessment (Appendix VI-g) at the global level, which identified the risk level as moderate for most sites, although the specific risk level will be site specific)	Climate risks for each site will be assessed by the Blue Nature Alliance Site Engagement Team that scopes each potential site engagement and included in the risks section of the site engagement framework narrative For all high-risk sites, and for other sites whenever feasible, the Alliance will advise on Ocean Conservation Areas boundaries, zoning, management and monitoring in order to address climate change impacts. The site engagement team will work with relevant experts to ensure climate considerations are factored in at the outset of Alliance engagement in each site and continued throughout Alliance assessment and investment. The Alliance's partnerships with ocean conservation areas, regional institutions, and local organizations will encourage sharing of experiences related to climate change adaptation programs, and the Alliance will dedicate resources toward research and knowledge and towards communities of practice and learning, which could result in improved understanding of, and tools to address, climate change impacts. An increasing number of studies are highlighting the importance of the role of MPAs in climate change adaptation and mitigation, meaning that Alliance efforts will be directly supporting climate change adaptation and mitigation through new and improved oceans conservation areas.

Outcomes 2, 3 and 5	Threats to marine ecosystems grow beyond background levels and thus demand still higher investments.	**Low**	The Alliance will support the development of robust monitoring and evaluation systems for sites in which it engages, while also monitoring performance of sites at the portfolio level. The Alliance will maintain regular communications with implementing partners to ensure that they are monitoring and taking necessary steps to address threats to marine ecosystems.

121.   This project is being launched during the COVID-19 pandemic, and as noted above, the Alliance has made significant changes, adaptations, and accommodations to its programming strategy as a result of this disease. While some of these changes may be revised as the pandemic wanes and travel becomes safer, it is also likely that "hybrid solutions" will remain in place that will result in less air travel, thereby reducing the carbon footprint of the overall project.

122.   In 2020, the Alliance transitioned to fully online operations by conducting remote meetings and workshops and developing remote site scoping protocols. Meetings with in-region implementing partners designed to advance Alliance objectives and targets were also held online. While these virtual meetings are not ideal, they Alliance is confident that sufficient information can be gathered through such meetings. While the Alliance will initiate some in-person meetings as the pandemic situation permits, it is likely that many meetings will continue to be held virtually.

123.   The Alliance will continue to develop its remote operating capabilities, with development of tools and protocols for online trainings, workshops, learning initiatives and provision of technical assistance. As the Alliance operates in remote regions where internet band does not always accommodate virtual meetings, the Alliance will seek out and implement various learning tools that will be accessible to all audiences.

124.   Recognizing the dire health and financial implications that the pandemic has had on livelihoods around the world, the Alliance has and will continue to link ocean conservation with the importance of healthy oceans for healthy communities and economic recovery and resilience. The COVID-19 pandemic has increased awareness of the intrinsic link between the environment and public health, demonstrating that a damaged environment can have disastrous consequences for people.[91] There is growing interest and, consequently, funding available for strategies which build back through a 'green recovery', taking a holistic approach that works to conserve nature while also meeting the demand for a sustainable economic recovery. The Alliance will engage with this interest to seek out new partners and co-financing opportunities.

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[91] Laffoley, D., J. M. Baxter, D. J. Amon, J. Claudet, J. M. Hall-Spencer, K. Grorud-Colvert, L. A. Levin et al. "Evolving the narrative for protecting a rapidly changing ocean, post-COVID-19." Aquatic conservation: marine and freshwater ecosystems (2020).

125.   Alliance investment will also play a role in post-COVID recovery. Many coastal communities have been severely impacted by the pandemic as they relied on national or international tourism income. Travel restrictions have impacted the hotel and restaurant industry but also the many local livelihood enterprises that support these industries. The pandemic has also harmed small-scale fishers through market disruptions and the complete shut-down of some fisheries, leading to a loss of livelihoods for many in coastal fishing communities.[92] As the onset of COVID has paused many activities, it provides a unique opportunity for envisioning more sustainable business models as communities move beyond the pandemic. Alliance financing can help foster and build more sustainable and diversified livelihood options that can benefit local communities as well as the ocean environment by providing ocean resource management training as well as training in sustainable tourism, fisheries, and local livelihood development options.

126.   COVID has further revealed the existing vulnerabilities of MPAs – including non-diversified funding streams which led to budget cuts, challenges in implementing management activities, and weaknesses in monitoring and enforcement. It has also, however, highlighted opportunities to create a system of MPAs which is more resilient and effective in conserving our ocean ecosystems.[93] The COVID-19 pandemic and the resulting challenges for ocean conservation have provided important lessons and an opportunity to re-examine our interventions, implementation mechanisms, and management structures. The Alliance will stay abreast of latest developments to ensure that ocean conservation at scale builds back better, developing new strategies and tools that put equitable community-driven collaboration, innovation, and adaptive management at the forefront of area-based conservation.

Sustainability

127.   As the Blue Nature Alliance will engage in a broad spectrum of sites, each ocean conservation area will be at a different point in the journey towards sustainability. The Alliance views sustainability as a combination of several factors, including financing, human capacity, and continued support for an enabling environment. Through its site engagements, the Alliance will focus on these various elements of sustainability, with a particular emphasis on tracking sites' progress toward long-term financing.

128.   **Sustainable Financing:** This Alliance project has an explicit target of ensuring that 50% of engagement sites from Component 2 (new protections) and 75% of the engagement sites from Component 3 (improved protections) have a credible plan in place for achieving long-term financing and management effectiveness. The Blue Nature Alliance team will be working directly with site managers and partners to help them construct sustainable financing plans to help form pathways towards identifying sources of sustainable revenue and leveraging more

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[92] Bennett, Nathan J., Elena M. Finkbeiner, Natalie C. Ban, Dyhia Belhabib, Stacy D. Jupiter, John N. Kittinger, Sangeeta Mangubhai, Joeri Scholtens, David Gill, and Patrick Christie. "The COVID-19 pandemic, small-scale fisheries and coastal fishing communities." Coastal Management 48, no. 4 (2020): 336-347.
[93] Phua, C., D. A. Andradi-Brown, S. Mangubhai, G. N. Ahmadia, S. L. Mahajan, K. Larsen, and S. Friel. *Marine protected and conserved areas in the time of COVID. PARKS 27 (Special Issue): 85-102. doi: 10.2305/IUCN. CH. 2021*. PARKS-27-SICP. en, 2021.

funds toward the sites. The Alliance will aim to use a consistent planning approach across the various sites.

    a. The Alliance will seek opportunities to partner with other interested conservation finance partners seeking to generate long-term financing for ocean conservation. This effort will potentially include partnering with ocean impact funds to scope opportunities to crowd in private and public capital towards ocean conservation areas.

    b. In some instances, the Alliance anticipates that it will assist some engagement sites with the design and execution of conservation finance transactions and strategies. Some possible examples include: the design of conservation trust funds, the design of a project finance for permanence approach, the design and launch of an investment product (e.g., blue bond), debt-for-nature swap(s) and the design of key domestic instruments that generate new revenue for a site(s) such as assessing user fees, environmental compensation policies, etc.

    c. The Alliance will systematically track sites' progress towards long-term financing by using a scorecard approach. The scorecard is intended to facilitate tracking trends over time and comparison of the relative progress toward sustainable financing of different sites in the portfolio. The scorecard may also be used as a tool for adaptive portfolio management to identify sites with greater capacity needs or insufficient progress toward sustainable financing that could benefit from additional Alliance support.

129.   To support this target, the Alliance has engaged in a partnership with McKinsey & Company focused on developing innovative and sustainable financing models for large-scale ocean conservation. The Nature Analytics team at McKinsey currently provides pro-bono support to the Alliance Conservation Finance Delivery Team, providing supporting analytics to help the Alliance grow the field of ocean conservation finance and design/deploy tailored sustainable financing roadmaps for several Alliance engagement sites.

130.   **Human/institutional capacity:** The Alliance has a specific focus on building institutional governance and management systems and capacity for effective long-term implementation of the protected areas. The Alliance will work with partners in sites to identify the capacity that is needed for long-term successful conservation implementation. Work will include undertaking capacity needs assessment and planning processes with key institutions and stakeholder organizations.

    a. These assessments will work to 1) understand needs in terms of skills and knowledge, governance and operational resources, and systems for long-term implementation; and 2) generate action plans to fulfill those needs both through Alliance support and that of partners.

    b. In several sites, the Alliance may support authorities to establish or strengthen needed management and administrative systems to effectively operate their MPAs.

    c. The Alliance will work with partner institutions to build the needed capacity through a combination of training and mentoring and direct technical assistance. If feasible, in specific sites the Alliance will go further to support these partners to identify and pursue

approaches through which they can maintain capacity in the long-term. Efforts may include institutionalizing training courses with local universities or other entities, creating practitioner learning networks to support sites to address capacity needs, and arranging long-term mentoring from more advanced sites.

131.   **Enabling environment:** Long-term success in ocean conservation depends on political will and policies that promote conservation action and reduce conflict and barriers. Public support is also critical to long-term effective implementation. To generate the needed political will and public support, it is important that key political figures and the public understand the benefits from the conservation tool and as much as possible directly avail of these benefits. These benefits can serve as direct or indirect incentives for long-term conservation support.

a. The Alliance's intensive scoping process includes identification of the interests of key stakeholder groups and the planning process identifies how the outcomes of Alliance actions can generate benefits for stakeholder groups. Efforts can include strengthening the sustainability of populations of economically important species so that stakeholders are able to more effectively generate food and income through sustainable harvesting, supporting agencies to achieve international commitments to key conventions, supporting development of opportunities in the blue economy that can generate revenue while maintaining the integrity of the protected area sites and several others.

b. The Alliance has developed a Code of Conduct (see Appendix VI-e) that emphasizes detailed consideration of the rights, interests, and concerns of key stakeholder groups in developing and implementing conservation actions. Methods to apply this Code of Conduct in all Alliance supported sites are under development and will be deployed during the implementation phase. Additionally, engaging with stakeholder groups in the planning and implementation process can itself serve as a strong incentive for ongoing support. Many groups have a shared vision with the Alliance and are motivated by the opportunity to participate meaningfully and equitably in long-term conservation efforts.

c. The Alliance will strive for all its interventions to be carefully crafted to generate enthusiasm and support from agencies, decision makers and the public. We will also undertake policy analysis to identify which policies may help or hinder progress and to identify policy alternatives that are conducive to long-term conservation success. We will then work with key local partners to promote needed policy interventions. When public support and political will is well developed, law makers will be increasingly motivated to establish or refine policies needed to support long-term conservation outcomes.

Innovativeness

132.   This project will directly contribute to the Blue Nature Alliance, which as an unprecedented partnership with a highly collaborative and flexible approach, is in and of itself an innovation to this field. Foundational to the Alliance's strategy is a recognition that current approaches, tools, partnerships, and funding levels are insufficient to achieve ocean

conservation on a scale that is urgently needed. And thus, flexibility, creativity, and a willingness to invest in untested innovative approaches are bedrocks of the Alliance.

133.   To accomplish its goals, the project will convene multiple conservation and management actors in a given site to employ a holistic approach that brings together protection, production, governance and sustainable finance to effectively conserve the area for the long-term. There is no standard "cookie-cutter" approach. Each site engagement will be unique and offer opportunities to apply innovations that are appropriate for the site. Implementing partners will be encouraged to innovate throughout, with a focus on end results, rather than a strict adherence to a pre-determined strategy.

134.   While the most relevant approach will be applied at each site, given the global scope of this project, there will be many opportunities to pursue innovative mechanisms for area-based ocean conservation that together can have global influence. The Alliance has deliberately not limited our interventions to just MPAs but will additionally focus on OECMs and other innovative mechanisms for achieving area-based ocean conservation, where selection criteria are met. For example, the Alliance will work to advance Indigenous and Community Conserved Areas. In Fiji and in the Western Indian Ocean, the Alliance is working to nest locally managed marine areas (LMMAs) within large MPAs and LSPMPAs, requiring new governance frameworks to preserve the rights of indigenous and local communities. In Canada, the Alliance is partnering with Inuit and First Nations to establish some of the first Indigenous Protection Areas in the country, including a transboundary Indigenous Protection Areas established by Inuit straddling Canada and Greenland.[94]

135.   Where opportunities exist, the Alliance will support innovative transboundary models for protection, including transboundary peace parks and coordinated management of networks of ecologically connected MPAs within transboundary LMEs. The Alliance is currently scoping multiple transboundary sites, including two adjacent LSMPAs in the Southern Cone—the Yaganes National Park in Argentina and the Islas Diego Ramirez y Paso Drake MPA in Chile.

136.   The Alliance is also actively working in or scoping multiple sites that offer new models for conservation of Areas Beyond National jurisdiction, including active work with the Antarctic and Southern Ocean Coalition to catalyze new MPAs in the Southern Ocean under the Commission for the Conservation of Antarctic Marine Living Resources and potential work with the Coral Reefs of the High Seas Coalition to protect the ecologically extraordinary Sala y Gomez and Nasca Ridges extending beyond the EEZs of Chile and Peru.

137.   While it is impossible to predict all possible innovations, the Alliance will remain open to new approaches as they emerge. For example, as the science solidifies, the Alliance may pilot new ideas such as dynamic conservation measures that move spatially and temporally based on water temperature and wildlife migrations.

138.   The project will also provide a platform to trial new surveillance and enforcement tools, including through a partnership with Vulcan Skylight. One example is planned work in Western Indian Ocean in which the Alliance will work with Vulcan to try and integrate their EarthRanger and Skylight tools in order to connect the data collected by communities with

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[94] Work in Canada will not be funded with GEF funds, but with co-financing from other Alliance partners.

perpetual eyes on the water (via EarthRanger) to the real time alert system to identify IUU fishing used by enforcement officials to plan interventions (via Skylight). In the same region, the Alliance is scoping opportunities to support a pilot IUU fishing and MPA surveillance intervention, drawing upon the technology and analytical power of multiple partners including Vulcan Skylight, Global Fishing Watch, Trygg Mat Tracking, and the United Nations Office on Drugs and Crime.

139.   With a strong focus on developing solutions to achieve the financial sustainability of ocean conservation areas, the Alliance anticipates generating and sharing many lessons in this regard as well. For example, in the Seychelles, the Alliance will learn from The Nature Conservancy negotiated debt-restructure and GEF supported sovereign Blue Bond to apply lessons to other sites. The Alliance is also partnering with McKinsey & Co, who is providing pro-bono services to evaluate new potential financing innovations for ocean conservation areas, including evaluating climate financing and options for financing high seas protections.

140.   Through work at the global level in Component 4 of this project, the Alliance will specifically invest in innovative new science and tools to growth the knowledge base and toolkit available to practitioners around the world working on ocean conservation at scale. Innovative area-based conservation solutions, blended sustainable financing models and lessons learned – including failures -- will be documented, published across websites and scientific publications and readily shared with various audiences, including IW:LEARN, LME:LEARN, the Big Ocean network of large scale MPA managers, the broader conservation community, and governments and communities pursuing large scale ocean conservation efforts.

141.   To inform the design and development of private sector engagement opportunities, the Alliance is also working with McKinsey to identify and characterize industry segments and major corporations with direct ocean exposures that have commitments to marine protection, conservation or related themes. Using the "Ocean 100" –the 100 largest corporations across eight industries that account for 60% of total revenues derived from ocean use as identified in Virdin et al. (2021)—as a starting point, the Alliance and McKinsey are evaluating relevant corporate environmental and social responsibility commitments which include but are not limited to, "net zero" or "decarbonization" commitments and policies regarding nature-based or natural climate solutions, and/or commitments related to marine protection or conservation. The goal of this analysis is to identify industry segments and corporations that have relevant geographic and thematic overlaps with areas of priority for the Alliance. The results of the analysis will be used to inform the Alliance and partner site corporate engagement approach(es) and lays the groundwork for more granular regional or nationally specific analyses and subsequent engagement strategy design.

Replicability and Potential for Scaling Up

142.   The Blue Nature Alliance was formed with the explicit intention to catalyze greater momentum for ocean conservation at scale. Every aspect of the Alliance's strategy, from the scoping process, to site engagements, to the development of globally relevant tools, to the

commitment to learning networks and lesson dissemination, is aimed to have a catalytic influence. The Alliance's direct site investments will be globally significant, but they will also be selected and designed in order to inspire further action, thus expanding the potential impact of the Alliance's investments.

143.   The tools, strategies, experiences and lessons learned – both successes and failures developed from Alliance work with be widely available and publicized across the ocean conservation community. Through this project, the Alliance has committed to drafting at least 10 experience notes, 10 results notes, and giving at least 100 public presentation sharing lessons from the Alliance and its partners. The Alliance is further working to capture case studies from existing LSMPAs and Alliance engagement sites.

144.   Alliance experiences will be further documented through Annual Reports and discussed during Steering Council meetings. GEF Council and Assembly meetings as well as IW:LEARN and LME: LEARN with their extensive learning networks will provide an important vehicle disseminating Alliance efforts worldwide and promoting the replication of successful strategies. The Alliance's extensive Communications and Knowledge Management plan detailed in a subsequent section outlines a wide range of potential stakeholders as well as plans for outreach to each specific audience to help ensure readily accessible and broad uptake of Alliance learning and tools.

Consistency with National Priorities, Plans, Policies and Legal Frameworks

145.   The Alliance will scope, establish, and improve the management of Ocean Conservation Areas in a diverse set of countries. The initial country list includes Fiji, the United Kingdom (Tristan da Cunha), Seychelles, Canada, and the 10 countries in the Western Indian Ocean that are parties to the Nairobi Convention. As additional country-specific investments are committed, the Blue Nature Alliance will ensure that all grants are consistent with the appropriate national strategies, plans and reports, particularly NBSAPs and CBD National Reports. An overview of relevant national strategies related to Alliance work in determined Alliance countries is presented in Table 5 below.

146.   In addition to the relevant conventions, the Alliance will monitor national strategies, policies and regulations regarding MPAs and fisheries. The Alliance will ensure that there is alignment with national policies and strategies in any country or site selected.

Table 5: Summary of national strategy alignment to relative conventions for countries of interest to the Alliance.
Note that this list includes only countries with active Alliance engagements.

Country	National Biodiversity Strategies and Action Plans (NBSAP)	Convention on Biological Diversity (CBD)	Cartagena Protocol National Report	Nagoya Protocol National Report	UNFCCC Nationally Determined Contributions	National Adaptation Programmes of Action	National Portfolio Formulation Exercise (NPFE)
Fiji	•	•	•		•	•	
UK (Tristan da Cunha)	•	•	•	•	•	•	
Canada	•	•			•		

Seychelles	●	●	●	●	●		
Comoros	●	●		●	●	●	
France	●	●	●	●	●		
Kenya	●	●	●	●	●		●
Madagascar	●	●	●	●	●	●	
Mauritius	●	●	●		●		
Mozambique	●	●	●	●	●	●	●
Somalia	●	●			●	●	
Tanzania	●	●	●		●	●	
South Africa	●	●	●	●	●		

Consistency with GEF Focal Area and/or Fund(s) Strategies

147.   This project aligns with the GEF's International Waters Focal Area Strategy (IW). It will directly support the "Sustaining health coastal and marine ecosystems" area of strategic action within the first IW objective "Strengthening Blue Economy Opportunities." The Blue Nature Alliance and the IW strategy similarly recognize the critical importance of key coastal and marine habitats for many nations' economic development and for local and global ocean health. Both have identified the key threats to these habitats—climate change, acidification, habitat loss, pollution, fishing, seabed mining—and have identified Ocean Conservation Areas (inclusive of MPAs) as a critical tool to help protect and restore these essential coastal and marine ecosystems.

148.   The project will establish 750 million hectares of new ocean conservation areas and support 500 million hectares of existing ocean conservation areas in key biodiversity hotspots and coastal habitats. To complement existing GEF interventions within the International Waters Focal Area Strategy, the Alliance will give special consideration to investing within multi-country Large Marine Ecosystems (LMEs) supported by the Global Environment Facility (GEF), as well as opportunities in Small Island Developing States (SIDS). As the project pipeline is developed, sites which overlap with GEF supported LMEs are identified. The LMEs with alignment to the Alliance project pipeline thus far include: Small Islands States LME, Agulhas Current LME, Somali Coastal Current LME, Guinea Current LME, Antarctica LME, Pacific Central-American LME, Humboldt Current LME, Canadian Eastern Arctic LME, Hudson Bay Complex, and Bay of Bengal LME. The Alliance will then review and incorporate any relevant TDAs/SAPs into its site-based engagement strategies and conduct consultations with GEF project leads. Whenever feasible, the project will identify opportunities to advance regional cooperation and transboundary governance frameworks.

149.   The project will work to innovate and mainstream marine area-based management and spatial tools, such as LSMPAs, into LMEs, regional entities and other communities of practice. It will support analysis of which policy and management instruments are most useful in reaching the Aichi target and the more ambitious call to protect 30% of the ocean. The Alliance will work at the site and regional level to stimulate private sector engagement in sustainable marine resources management (see section on Private Sector Engagement for more details).

150.   The project may secondarily contribute to the "Catalyze sustainable fisheries management" and "Addressing pollution reduction in marine environments" areas of strategic action also under the first IW objective "Strengthening Blue Economy Opportunities." The Alliance will work with the fishing sector and local fishers in the design of each ocean conservation area supported by the project, working to ensure both biodiversity conservation and sustainable economic development. In many of the engagement sites, IUU fishing is a primary concern for governments and stakeholders and thus as the Alliance engages in site and regional level work, it will likely engage in policy reforms to address IUU, overfishing and to sustainably manage marine capture fisheries. The Alliance will also seek opportunities to link site-based conservation efforts supported by the Alliance to other initiatives led by Alliance members (and others) that implement market mechanisms to support sustainable fisheries value chains (see section on Private Sector Engagement for more details). By designing integrated source-to-sea approaches where appropriate, the Alliance will help reduce land-based pollution, thus contributing indirectly to the goals under the "Addressing pollution reduction in marine environments" area for strategic action.

151.   If international negotiations for a high seas treaty advance, then the Alliance may pilot ocean conservation models in the high seas, thus additionally contributing to IW's second objective "Improve management in Areas Beyond National Jurisdiction (ABNJ)."

152.   Lastly, the Blue Nature Alliance welcomes the opportunity to be an active participant in the IW:LEARN and LME:LEARN learning communities to learn, exchange knowledge, and ensure integration of this project with other GEF investments.

153.   While the project is under the GEF International Water portfolio, it will also contribute to GEF Biodiversity targets and goals and specifically GEF Biodiversity element BD2-7: Reducing Threats to Globally Significant Biodiversity by addressing direct drivers to protect habitats and species by improving financial sustainability, effective management, and ecosystem coverage of the global protected area estate.

Linkages with other GEF Projects and Relevant Initiatives

154.   The Blue Nature Alliance conducted a stakeholder consultation workshop in September 2020 with other GEF IW project directors to socialize this project and to gather inputs on potential synergies with other GEF projects. The Alliance followed-up with a series of partner consultations to explore opportunities for collaboration and will continue to actively seek alignment with existing and planned GEF projects in each of the geographies that it scopes.

155.   Several ongoing GEF initiatives will provide valuable input to the Blue Nature Alliance. A summary of these initial projects and their linkages to the Blue Nature Alliance are described in the table below. Through engagement with LME:LEARN, IW:LEARN, and directly with governments and local implementing partners at each engagement site, the Alliance will work to understand and to collaborate with locally and regionally these projects. In particular, the Alliance will work to build upon recently completed or existing LME projects and coordinate with ongoing or approved GEF projects. This list is expected to evolve over time as the Alliance develops and evolves.

Table 6: Blue Nature Alliance linkages with other GEF projects and relevant initiatives.

Project Name	Years (start - end)	Budget (USD)	Executing & Implementing Agencies	Funder(s)	Objectives / brief description of how it is linked to this GEF project
Completed Projects					
Strengthening Coastal and Marine Resources Management in the Coral Triangle of the Pacific - under the Pacific Alliance for Sustainability Program	2008-2019	Total Cost: $95,751,948 Co-financing: $83,451,948	Executing Agency: CTI National Coordinating Committees of Governments of Papua New Guinea, Solomon Islands, and Timor Leste Implementing Agency: Asian Development Bank	GEF, Asian Development Bank, etc.	While this project is closed, the collaboration mechanism established through this initiative continues. There is ample opportunity for the Alliance to learn about and build on regional collaboration for ocean conservation generated through this project.
Implementation of the Benguela Current LME Action Program for Restoring Depleted Fisheries and Reducing Coastal Resource Degradation	2008-2018	Total Cost: $74,395,246 Co-financing: $68,496,336	Executing Agency: UNOPS Implementing Agency: United Nations Development Program	GEF, United Nations Development Programme, UNOPS, etc.	While this project is now closed, its work on the long-term sustainability of the BCLME SAP with an emphasis on the restoration of its depleted fisheries continues to influence the region. The Alliance has conducted consultations with the Benguela Current Commission to explore opportunities for collaboration and future work within the region.
Protection of the Canary Current Large Marine Ecosystem (LME)	2010-2015	Total Cost: $26,235,000 Co-financing: $18,145,000	Executing Agency: FAO/UNEP Implementing Agency: Food and Agriculture Organization	GEF, FAO, UNEP, etc.	This project is now closed. The Alliance may gain learning and knowledge from this project's use of a Transboundary Diagnostic Analysis and a Strategic Action Programme among the 7 countries sharing the LME to build capacity in a cross-cutting manner for undertaking reforms and investments needed to protect the important transboundary living resources and their habitat upon which millions of

					people depend for livelihoods. As a part of this work, some demonstration projects were undertaken to test on-the-ground actions related to the priority transboundary issues.
[Establishment and Operation of a Regional System of Fisheries Refugia in the South China Sea and Gulf of Thailand](#)	2015-2019	Total Cost: $26,252,000 Co-financing: $12,717,850	Executing Agency: Southeast Asian Fisheries Development Centre Implementing Agency: United Nations Environment Programme	GEF, UNEP, Southeast Asian Fisheries Development Center, etc.	This project is now closed. It mirrors the work of the Alliance, albeit at a smaller scale. As such, there are ample opportunities for learning. The project has three components: 1) the operational management of priority fisheries refugia with community-based refugia management plans; 2) creating an enabling environment for the formal designation and operational management of refugia; and 3) strengthening information management and dissemination aimed at enhancing the national uptake of best practices in integrating fisheries management and biodiversity conservation.
[Catalyzing Implementation of the Strategic Action Programme for the Sustainable Management of Shared Living Marine Resources in the Caribbean and North Brazil Shelf](#)	2015-2019	Total Cost: $142,802,557 Co-financing: $130,302,557	Executing Agency: UNOPS Implementing Agency: United Nations Development Programme	GEF, UNDP, etc.	This project is now closed. It assisted participating countries from two LMEs (the Caribbean LME and the North Brazil Shelf) in improving the management of their shared Living Marine Resources through an Ecosystem-Based Management approach. This area involves more than 35 regions and territories and spans over 4.4M km^2.The Alliance can learn from LME governance/collaborative decision-making, and largescale LME management and has held

					consultations pertaining to this project.
[Setting the Foundations for Zero Net Loss of the Mangroves that Underpin Human Wellbeing in the North Brazil Shelf LME](#)	2018-2019	Total Cost: $1,480,461 Co-financing: $838,298	Executing Agency: IUCN Implementing Agency: Conservation International	GEF, Conservation International, IUCN, etc.	This project is closed. This project seeks to create the multi-disciplinary information base, regional coordination mechanism and multi-sectoral consensus required to implement elements of the CLME+ Strategic Action Plan pertaining to the mangroves that most directly underpin human wellbeing in the North Brazil Shelf LME. The Alliance can benefit from the project's learning on regional collaboration and the incorporation of human wellbeing indicators into a conservation project.
Current Projects					
[ARCTIC: Improvement of Environmental Governance and Knowledge Management for SAP-Arctic Implementation](#)	2012 – ongoing	Total Cost: $39,193,515 Co-financing: $37,771,528	Executing Agency: Ministry of Economic Development RF; Ministry of NaturalResources and Ecology RF; the Russian Geographic Society Implementing Agency: United Nations Environment Programme	GEF, FAO, etc.	The objective of this project was to assist the Russian Federation in improving environmental governance systems in the Arctic region to reduce multiple stressors on coastal and terrestrial ecosystems and improve ecosystem resilience through implementation of ICM strategy and plans, promotion of public-private partnerships and targeted interventions supporting SAP-Arctic objectives. The Alliance may gain knowledge and learning from this project regarding strategies for bringing powerful and reluctant players (countries) into ocean conservation initiatives. As the Alliance scopes in the Artic, it will seek opportunities for alignment.

Large Marine Ecosystems Implementation of the Strategic Action Program of the Gulf of Mexico Large Marine Ecosystem	2015-2020	Total Cost: $137,410,000 Co-financing: $124,210,000	Executing Agency: SEMARNAT, NOAA, FAO, CONAPESCA, CONANP, etc. Implementing Agency: United Nations Industrial Organization	GEF, NOAA, SEMARNAT, UNIDO, etc.	This project seeks to improve water quality, avoid the depletion of marine resources and conserve the quality of coastal ecosystems through community engagement. The Alliance may learn about strategies for engaging communities in large scale marine conservation efforts. As the Alliance scopes in the Gulf of Mexico, it will seek opportunities for alignment.
Pacific Islands Regional Oceanscape Program (PROP)	2015 - ongoing	Total Cost: $31,458,660 Co-financing: $25,157,290	Executing Agency: Pacific Islands Forum Fisheries, MIMRA, MFMR, TFD Implementing Agency: The World Bank	GEF, The World Bank, etc.	PROP works to strengthen coastal ecosystem management in the Pacific Islands region and sustainability finance the conservation of at least three large Pacific Marine Protected Areas. There is potential for collaboration, twinning, or learning exchanges with Alliance MPAs. As the Alliance scopes in the Pacific, it will seek opportunities for alignment.
The Coastal Fisheries Initiative Global Partnership	2015 - ongoing	Total Cost: $14,602,294 Co-financing: $11,850,000	Executing Agency: CI, UNDP, UNEP, WB, WFF, University of Washington Implementing Agency: Food and Agriculture Organization	GEF, FAO, CI, UNDP, WB, WWF, etc.	The CFI coordinates, supports, strengthens, and adds value to the efforts of the CFI Partners to achieve CFI Program goals. Like the Alliance, this project is also a global partnership with potential for learning and collaboration with the Alliance. The Alliance has held consultations with CFI – Latin America with the intention of exploring opportunities for collaboration within the region.
Eco-system Approach to Fisheries Management (EAFM) in	2015 - ongoing	Total Cost: $62,530,499 Co-financing: $52,071,783	Executing Agency: Ministry of Marine Affairs and Fisheries, KEHATI	GEF, WWF, etc.	This project is contributing to coastal fisheries in Indonesia by delivering sustainable, environmental, social, and

Eastern Indonesia (Fisheries Management Area (FMA) – 715, 717, 718)			Implementing Agency: World Wildlife Fund – US Chapter		economic benefits and demonstrating effective, integrated, sustainable, and replicable models of costal fisheries management. Where Alliance's work coincides with fisheries management, it will seek to learn from this project.
Implementing the Strategic Action Programme for the South China Sea	2016-2021	Total Cost: $98,751,948 Co-financing: $12,717,850	Executing Agency: Secretariat for the Coordinating Body of the Seas of East Asia (COBSEA) Implementing Agency: United Nations Environment Programme	GEF, UNEP, COBSEA, etc.	While this project is primarily fisheries focused, there may be opportunities for the Alliance to gain experience about strategy development when working with multiple governments in transboundary waters. This project seeks to catalyze multi-state cooperation to rebuild marine fisheries and reduce pollution of coasts and LMEs while considering climate variability and change. The overall objective is to assist the governments countries in meeting approved SAP targets for the South China Sea through technical required to implement national activities and strong regional co-ordination for SAP implementation. If the Alliance scope in the South China Sea, it will seek alignment with this project.
Developing Organizational Capacity for Ecosystem Stewardship and Livelihoods in Caribbean Small-Scale Fisheries (StewardFish)	2016-2021	Total Cost: $8,939,484 Co-financing: $7,113,000	Executing Agency: Fisheries Division(s) of Antigua and Barbuda, Barbados, Belize, Guyana, Jamaica, St. Lucia, St. Vincent and the Grenadines; WECAFC, CRFM, CNFO, UWI-CERMES	GEF, FAO, etc.	This project is implementing the Caribbean and North Brazil Shelf Large Marine Ecosystems (CLME+) Strategic Action Plan (SAP) within Caribbean Regional Fisheries Mechanism Member States by empowering fisherfolk to engage in resource management, decision - making processes and

			Implementing Agency: Food and Agriculture Organization		sustainable livelihoods. The project will be implemented through four components: Developing organizational capacity for fisheries governance; Enhancing ecosystem stewardship for fisheries sustainability; Securing sustainable livelihoods for food and nutrition security; and Project management, monitoring and evaluation, and communication. While its focus is primarily on fisheries, there may be opportunities for learning on regional collaboration and consensus building. As the Alliance scopes in the Caribbean, it will seek opportunities for alignment.
Long-term Financial Mechanism to Enhance Mediterranean MPA Management Effectiveness	2018 – ongoing	Total Cost: $10,609,614 Co-financing: $9,692,183	Executing Agency: Association for the Sustainable Financing of Mediterranean MPAs (M2PA) Implementing Agency: Conservation International	GEF, Conservation International, etc.	The objective of this project is to establish a Conservation Trust Fund (CTF) to enhance the management effectiveness of Mediterranean MPAs by improving their long-term financial sustainability. The project will formally establish the CTF and initiate its capitalization. The project will address 1) the operational deficiencies of MPA management and weak capacity that limit effective MPA management and 2) the insufficient and unreliable revenue streams that cannot address the recurrent expenditure costs of MPAs. Experience generated from this project will help the Alliance improve management capacity and secure long-term financial commitments to sustain MPAs over time. If the

					Alliance scopes in the Mediterranean, it will seek opportunities for alignment.
Build back a blue and stronger Mediterranean	2021-ongoing	Total cost: $39,310,275 Co-financing: $34,310,275	Executing agencies: MedFund and MedPAN Implementing agency: CI	GEF	The objective of this project is to build strong, effective and sustainable management of Mediterranean MPAs to address global changes and to provide long-term socio-ecological benefits in the Mediterranean in a post COVID recovery context
Catalyzing Implementation of a Strategic Action Programme for the Sustainable Management of Shared Living Marine Resources in the Humboldt Current System (HCS)	2018-2023	Total Cost: $99,839,027 Co-financing: $91,639,027	Executing Agency: IFOP, MARPE, SUBPESCA, PRODUCE, MMA, MINAM, SERNAPESCA, SERNANP Implementing Agency: United Nations Environment Program	GEF, UNDP, etc.	This project is fisheries focused and facilitates ecosystem-based fisheries management and ecosystem restoration in the Humboldt current for the sustainable and resilient delivery of goods and services from shared living marine resources, in accordance with the SAP endorsed by Chile and Peru. There may be opportunities for learning/sharing on regional collaboration and SAP goal implementation. The Alliance has conducted consultations exploring areas of work in this region with interest in site engagements in Chile and Peru and will seek alignment with this project.
Towards Sustainable Management of the Canary Current Large Marine Ecosystem (CCLME) – Initial Support to SAP Implementation	2018 - ongoing	Total Cost $8,426,000 Co-financing: $6,600,000	Executing Agency: Fisheries Committee for the Eastern Central Atlantic – CECAF Implementing Agency: Food and Agriculture Organization	GEF, FAO, etc.	The goal of this project is to create enabling conditions for the implementation of the Canary Islands LME SAP. There may be opportunities for learning and sharing on transboundary ocean conservation and M&E systems.
Strengthening of the Enabling Environment,	2018 - ongoing	Total Cost: $51,801,065	Executing Agency: Abidjan Convention	GEF, UNEP, etc.	This project focuses on strengthening regional governance and

		Co-financing: $47,234,855	Secretariat (ABC), Fisheries Committee for the Easter Central Atlantic (CECAF), Ghana Cleaner Production Center Implementing Agency: United Nations Environment Programme		ecosystem-based management of the GCLME by building country capacity for SAP implementation related to transboundary fisheries, biodiversity conservation and pollution reduction. The Alliance may collaborate with this project on biodiversity conservation initiatives and join in regional partnerships focused on ocean conservation initiatives.
Ecosystem-based Management and Governance to Support Implementation of the Strategic Action Programme of the Guinea Current Large Marine Ecosystem					
Towards Joint Integrated, Ecosystem-based Management of the Pacific Central American Coastal Large Marine Ecosystem (PACA)	2019 - ongoing	Total Cost: $48,190,305 Co-financing: $42,312,679	Executing Agency: United Nations Development Programme Implementing Agency: WWF	GEF, UNDP, etc.	This project's focus on promoting ecosystem-based management and strengthening regional governance may lay the foundation for Alliance engagement in this region. The Alliance will seek opportunities for alignment as it develops its engagement in Costa Rica.
Facilitating Dialogue and Strengthening Transboundary Cooperation with Legislators to Improve Marine Governance	2020 - ongoing	Total Cost: $3,999,415 Co-financing: $2,000,000	Executing Agency: Conservation Council of Nations (CCN) Implementing Agency: United Nations Environment Programme	GEF, UNEP, etc.	This project focuses on transboundary work and enabling effective MPA governance through a caucus model. Their experiences can assist the Alliance as it seeks to creating enabling conditions for transboundary MPAs. The Alliance has conducted consultations with UNEP including discussions on opportunities for collaboration pertaining to this project.

"BE-CLME+": Promoting National Blue Economy Priorities Through Marine Spatial Planning in the Caribbean Large Marine Ecosystem Plus 9	2020 - ongoing	Total Cost: $46,421,268 Co-financing: $40,199,250	Executing Agency: CRFM – Caribbean Regional Fisheries Mechanism Implementing Agency: Development Bank of Latin America	GEF, Development Bank of Latin America, etc.	CLME focuses on Blue Economy priorities and the creation of new MPAs and enhancement of existing MPAs. The Alliance can learn from their experience and possibly build on their work to create larger MPAs and/or strengthen existing ones. The Alliance has conducted consultations with individuals from CLME+.
Prioritising Biodiversity Conservation and Nature-based Solutions as Pillars of Seychelles Blue Economy.	2020-ongoing	Total Cost: $25,984,734 Co-financing: $21,029,711	Seychelles Ministry of Environment, Energy, and Climate Change (MEEC)	United Nations Development Programme	This project aims to strengthen the political and institutional framework for the effective implementation of Seychelles network of MPAs, including the development of a strategy for financing and implementing the MPA system, with a focus on four priority sites. The Alliance's engagement in Seychelles shares these objectives and areas of work listed are expected to coincide between the projects. Over the course of its engagement in Seychelles, the Alliance will seek opportunities for alignment with this GEF project and will communicate closely with project managers and funders, including the shared partner of the Seychelles Conservation and Climate Adaptation Trust (SeyCCAT).
Philippine Rise Integrated Conservation for Enduring Legacies through Ecosystem Support	2021 - ongoing	Total Cost: $14,026,844 Co-financing: $10,364,000	Executing Agency: Department of Natural Resources – Biodiversity Management Bureau	GEF, DENR, BFAR, DOST, PN, etc.	By 2025, PRICELESS aims to achieve the conservation and improved management of the Philippine Rise Marine Resource Reserve, facilitating the sustainable use of its marine resources and generating livelihood

Services (PRICELESS)			Implementing Agency: Conservation International		benefits. As a result of the similarity in objects, the Alliance will seek opportunities for learning and knowledge sharing.
Safeguarding Marine & Terrestrial Biodiversity in Fiji (SAMBIO)	2021 - ongoing	Total Cost: $39,255,491 Co-financing: $32,000,000	Executing Agency: Department of Environment Implementing Agency: Conservation International	GEF, Fiji Ministry(ies) of Forest, iTaukei Affairs, Waterways, Agriculture, etc., Conservation International, etc.	This project aims to establish new marine and terrestrial protected areas within priority areas and to strengthen Fiji's protected area network. Alliance engagements in Fiji will seek to collaborate with this project to maximize impact and avoid duplicated efforts.

Consistency and Alignment with CI Institutional Priorities

156.   Building upon a strong foundation of science, partnership and field demonstration, Conservation International (CI) empowers societies to responsibly and sustainably care for nature, our global biodiversity, for the well-being of humanity. In 2017, under the leadership of a new CEO and executive team, CI defined a new course for its future, identifying four key priorities that the entire institution aligned around delivering. Since then, CI has used the four prioritize to inform, guide, and focus its institutional decisions to ensure it is maximizing its collective impact and driving transformational, global change.

157.   One of these four institutional priorities is "Ocean Conservation at Scale." CI recognizes that to conserve the oceans, requires thinking at the scale of the oceans. Demand for large-scale ocean protection is growing and CI aims capitalize on this momentum to generate and leverage significant financial and human capital to support ocean conservation to scale – both within national jurisdictions and beyond. Such support includes increased technical capacity and best practice, science, advocacy, and the design of innovative finance solutions to enable durable results.

158.   For the "Ocean Conservation at Scale" priority area, CI set a goal of working with partners to catalyze conservation of 18 million square kilometers of ocean (or 5 percent of the global ocean) by 2025. The Blue Nature Alliance is one of the primary and most significant mechanisms through which CI plans to deliver on this goal. As such, the Blue Nature Alliance is a top institutional priority for CI, as demonstrated by CI's own commitment of $25M to the Alliance as well as the participation of CI's CEO on the Blue Nature Alliance Steering Council.

Communications and Knowledge Management

159.   Knowledge management, communications (including Knowledge Sharing (KS) and Monitoring and Evaluation (M&E)) are essential project elements that will facilitate learning, strengthen management effectiveness, and accelerate the application and adoption of ocean conservation at scale. Under these components, the Alliance will provide information on

relevant tools and approaches and practitioners, support exchange of knowledge, and capture and communicate important results, successes and lessons for ocean conservation at scale.

160.   **Key audiences:** The Alliance has identified the following audiences as critical to success at individual sites and to advancing the field of ocean conservation at scale. Tools and approaches to support effective implementation, lessons learned, knowledge exchange, and communications products will be developed with and for these key audiences in ways that are accessible and relevant for each.

Table 7: Potential Alliance stakeholders and their roles in the project.

Potential Alliance Stakeholder Group	Definition and Potential Role
Managers and Staff of MPAs and other ocean conservation efforts at scale.	This includes both active managers and staff and up and coming staff and managers that may be still be pursuing their education or are early in their career.
Policy Makers	National and local law makers especially those relevant to decisions related to large scale management and budgets.
Non-Governmental Organizations (NGOs)	International and National NGOs that may become partners in implementation of Alliance sites, those that are pursuing ocean conservation at scale outside the alliance and others that can provide resources and capacity-building support.
Rightsholders	Intergenerational or traditional owners of territory or natural resources and Indigenous leaders and communities that may or may not have resource tenure but are Indigenous rightsholders to a site and/or its resources.
Key stakeholders	Relevant communities of place and practice with a legitimate interest in the geography and/or its resources.
Private Sector	Commercial fishers, tourism, and other relevant operators. Potential corporate partners including those engaged in Corporate Social Responsibility, Payment for Ecosystem Services and other potential private sector finance mechanisms.
The General Public	The general public may be an audience for the Alliance in cases where their support is vital to establishment and/or long-term maintenance of a site.
Other Practitioners for Ocean Conservation at Scale	There are many programs and projects that are implementing ocean conservation at scale including the GEF Large Marine Ecosystem (LME) program and the Big Ocean network of more than 37 (and growing) Large-Scale Marine Protected Areas (LSMPAs). Some of these sites will receive investment from the Alliance. However, many that do not receive direct investment from the Alliance, can still benefit from sharing lessons and exchange of knowledge that is designed to improve management effectiveness.

161.   The project will undertake the following mutually supportive activities in support of effective Knowledge Management and Communications to key audiences.

162.   **Establishing and Maintaining a Knowledge Management System:** Knowledge Management is the process of creating, sharing, using and managing the information of an organization. Knowledge Management for the Alliance will focus on capturing and sharing information on several key topics including:

- What the Alliance needs to understand related to the sites it supports, including the key characteristics of the sites, the main objectives of our

engagement and progress as measured against key metrics of success during implementation.

- Capacity and learning needs of Alliance and other large-scale sites and tools, approaches and practitioners that can assist sites to build needed capacity to achieve their objectives.
- Results from research undertaken to support the Alliance sites and other efforts to expand ocean conservation at scale
- Progress and lessons learned from site implementation that may benefit other sites and the field of ocean conservation at scale overall.

163.   The Alliance will start by creating an internal Knowledge Management system to gather and house information on: capacity needs of our sites and other large scale ocean conservation initiatives, partners and capacity development approaches and tools that have been effective in supporting MPA sites to advance and can be applied to address capacity gaps, site implementation progress and lessons learned from both site implementation and learning exchanges. As we develop this system, if we find that it has utility beyond the Alliance itself, we will work to make it publicly accessible. Regardless, the progress of sites and lessons learned will be shared widely through a variety of mechanisms explained below.

164.   **Understanding Needs and Sharing Tools and Successful Approaches:** To be as effective as possible, it is critical that Alliance supported sites and other practitioners of ocean conservation at scale have access to the best available tools, approaches and practitioners including mentoring and training support. The Alliance will devote significant effort to identifying the needs of individual sites and other partners and working to ensure that context appropriate tools, approaches, practitioners and organizations that can help to address these needs are shared. To identify site needs for knowledge and learning, the Alliance is undertaking a series of consultations with large-scale MPA sites. The Alliance has included questions about capacity/learning needs in our engagement framework and is developing a streamlined capacity needs assessment and planning system. Additionally, the Alliance is undertaking a targeted inventory of tools, approaches, practitioners, and institutions that can support Alliance and other sites to address these needs. This information will be housed in the Alliance Knowledge Management system. As LSMPAs are a relatively new field, tools and training approaches that are specific to issues that must be considered for large-scale areas have not been developed for all management topics. To help address these gaps, the Alliance may develop new tools and approaches specifically for ocean conservation at scale.

165.   **Hosting Learning Initiatives:** The Alliance will host a series of Learning Initiatives that will support practitioners both to gain new skills and knowledge and to share their knowledge on how to address specific management challenges. These initiatives will make use of existing and newly developed tools and approaches discussed above. Learning initiatives will include learning exchanges on key topics, twining of sites for targeted mentoring, providing direct technical assistance on specific needs, conveying "Think Tank" sessions in association with conferences and other events, supporting regional training hubs, and several others. These initiatives will be both virtual and in person as the COVID-19 situation allows. The needs assessment approach discussed above will help the Alliance to prioritize topics for these learning initiatives.

166.   **Monitoring and Evaluation:** The Alliance has developed a thorough monitoring and evaluation (M&E) plan that will allow us to track progress against key indicators (see Appendix III). This plan includes indicators for site implementation as well as for knowledge management, learning, communications and other elements that are essential to our success. Key information about the progress and effectiveness of Alliance sites and key learning will be captured through this M&E system. Progress, lessons and highlights that can help improve management effectiveness of Alliance or other sites will be packaged and communicated appropriately to key audiences.

167.   **Capturing and Sharing Detailed Lessons and Case Studies:** In addition to the lessons captured through the Alliance M&E system, the Alliance will write up more in-depth Lessons Learned and Case Study summaries that will allow us to go deep into specific successes, challenges or other site learning. The process of capturing, organizing and sharing lessons and knowledge gained through the work of the Alliance will help to promote and strengthen the field of ocean conservation at scale. This lesson sharing will provide key insight on how Alliance supported sites achieve key successes and overcome key challenges so that others may apply these lessons, as applicable to their sites and situations.

168.   We will work with the GEF International Waters Program to ensure that our case study approach aligns with the IW-Learn and LME-Learn systems and actively participate in these learning mechanisms. To that end, we have included lessons learned questions in our standard reporting formats for all Alliance supported sites. We are also developing a case study format that aligns with the IW-Learn Experience Note and Results Notes templates and will work with Alliance supported sites to facilitate them to develop Experience Notes and Results Notes

169.   Experience Notes will be developed earlier in the Alliance program, as these will focus on specific project experiences during project implementation that may be of interest to other projects in the portfolio to replicate. These Experience Notes cover a range of topics related to project management, stakeholder involvement, technical issues, demonstration projects, and more. Results Notes will focus on targeted and concise aggregation of key results of projects in terms of ocean ecosystem stress reduction, process and change in environmental status. As a result, these will be developed later in the Alliance program, once sites have been implementing and are starting to achieve results and impacts in the field.

170.   We will also host learning exchanges both virtually and in person to enable practitioners to exchange lessons and learn together through active dialogue. Critical lessons learned during these sessions will be captured, written up and shared with IW-Learn. Finally, we are exploring options to share key lessons through other knowledge exchange systems including Open Channels, Panorama, Blue Solutions and others.

171.   **Developing and Implementing an Alliance Communications Framework:** The Alliance is developing a Communications Framework that includes the following goals:

- Showcase the role of the Blue Nature Alliance and our partner sites in achieving global ocean conservation targets
- Create a toolkit for use by core partners to support coordinated outreach as work is achieved, outcomes are announced, and as activities are completed at

each project site. (This toolkit will likely include printed materials, videos, photos, maps, graphics, and other communications assets to support grassroots organizing and direct policymaker engagement).

- Execute a strong media strategy focused on impact and outcomes.
- Build trust with local partners and stakeholders by highlighting the support and work of local leaders and organizations as it relates to marine protection and conservation. This will be achieved by storytelling, online content, digital posts and earned media.

172.   The Alliance may host "showcase events" at field project sites as key outcomes are achieved. This may include legal designation of sites or other major milestones. Partners from these locations will participate and speak on activities they are working on. These events will provide information on the scale, scope, and expected impact of the project and showcase the Alliance's role in achieving global ocean conservation targets. In support of these events, the Alliance communications team will:

- Execute a strong media strategy that will secure coverage;
- Introduce a suite of high-profile validators who will share written testimonials in support of the goals of the Alliance and be available for comment. This will bring authenticity to the work.

173.   The Alliance will regularly develop and disseminate communication products to our key audiences including online and print materials. While materials may be for online or intended for electronic use only, if printed or produced, all materials will be sustainable and responsibly sourced. All products will be in English, French, and Spanish where appropriate.

174.   Meetings the Alliance may engage regularly participate in include:

- GEF Biennial International Waters Conference (IWC)
- GEF Biennial International Waters Conference
- Our Ocean Conference
- UN General Assembly
- Leaders' Biodiversity Summit
- Convention for the Conservation of Antarctic Marine Living Resources
- World Conference on Marine Biodiversity
- UN Ocean Conference
- Economist, World Ocean Summit
- Conference of the Parties of the UN Convention on Biological Diversity
- IUCN World Conservation Congress

175.   **Earned media:** As project activities are planned and implemented, we will identify media engagement opportunities, both globally and on the local level. We will work to secure placement in the most influential news outlets capable of reaching our key audiences through various media formats including print, online, television and radio and across global geographies.

Lessons Learned During the PPG Phase and from other Relevant GEF Projects

176.   The development of this GEF Project Document has provided learning opportunities for the Alliance that will help guide both the project and overall Alliance going forward. Some of these lessons are detailed below.

177.   **Meaningful partnership takes work:** Everyone holds the idea of partnership differently. Building trust, aligning values, and maintaining relationships across and between the people representing institutions and communities, from the Core Partners to those working on the ground in a site, takes time and effort. In reflecting on lessons learned from past collaborations, Barry Gold, a member of the Alliance Steering Council, remarked that "we need a bigger coffee budget" – meaning that we need to prioritize the time and effort required for talking, engaging, and understanding each other so that real collaboration can occur. Conservation International and The Pew Charitable Trusts have spent two years doing the work to build a partnership and trust between two fundamentally different organizations. That work will continue. Under restrictions related to the COVID-19 pandemic, the coffee and travel budgets were diminished, however the work of building partnership remained as important as ever. The Alliance shifted quickly to all-remote operations and have put in place extensive practices to stay connected and to build new relations even in a remote setting.

178.   **Aligning around shared goals for sites and then flexibly executing:** As the Alliance has begun engaging additional partners at prospective engagement sites, new lessons have emerged on partnership. Specifically, the importance of defining a shared goal up front with partners has become exceedingly clear. Once that shared goal is agreed upon, then together we need to maintain flexibility in how we reach that goal, understanding that reality changes and often with it the best path to the goal. In multiple early site engagements, significant changes due to COVID or political turnover or turmoil required a quick adjustment of our strategy on the ground. It reinforced the need to have a shared understanding of what we were aiming for without spending too much time being overly prescriptive on the specific activities to get there. It has also reinforced that having a lead implementing partner at each site, rather than complicated coalition of partners, is the most efficient way to ensure alignment around a shared goal. As a result, the Alliance has adjusted its site scoping process to focus more effort upfront on alignment around a shared goal with a single or a few lead implementing partners and has adjusted its site engagement strategy to maintain more flexibility during implementation.

179.   **Making the scoping process valuable for both the Alliance and stakeholders (in person and remotely):** The Alliance is learning new approaches from each scoping process it participates in, whether in-situ or remote. The Alliance's goal is to not only to better understand the site, the opportunity for the Alliance, and associated risks and challenges, but perhaps more importantly to help bring together stakeholders and build local partnerships in the process. This effort is best exemplified by the scoping conducted in Peru in February 2020. In partnership with several government agencies, Conservation International-Peru, Oceana-Peru, Oceana-International, and the Wyss Foundation, the Alliance led a series of planning and discussion workshops and meetings over the course of one week in Lima, Peru. By bringing together all of the partners and creating space where they could honestly

discuss the conservation issues related to the proposed Nazca Ridge Marine Reserve, the Alliance was able to identify strengths and weaknesses in the MPA proposal and make science-based and practical recommendations both to the local non-governmental organization (NGO) partners and to the government agencies. The Alliance also opened the door for new levels of collaboration between the local NGOs and set clear expectations of what would be needed for further Alliance engagement post-designation. As the Alliance shifted to remote scoping, it tried to build in other opportunities for stakeholders and potential implementing partners to collaborate.

180.   **Leading from Behind:** From the beginning, the Alliance has intentionally taken a non-traditional approach to external communications. The Alliance chose not to lead with a major announcement about how much money has been committed, or even about its audacious goal. The five core partners agreed that it was more important to communicate impact and to elevate and celebrate the partners – the organizations, communities, leaders, and governments – that are on the frontlines of site engagements. The Alliance executed a soft-launch with a public-facing website, collateral materials, and transparent communications, but it has not yet elected to issue press releases or engage in any major media announcements to date. However, the advantage of this approach is a real demonstration of integrity and establishing the Alliance's reputation with those who it is in direct conversation. As a result, the Alliance has accelerated some engagements, and in other cases people and groups that typically do not engage with BINGOs have signed on to work with the Alliance.

SECTION 4: COMPLIANCE WITH CI-GEF PROJECT AGENCY'S ENVIRONMENTAL AND SOCIAL MANAGEMENT FRAMEWORK (ESMF)

Safeguards Screening Results and Categorization

Safeguard Requirements

181.   The following safeguard measures have been identified by the CI-GEF Agency and are required to be completed by the Blue Nature Alliance in PPG and Implementation Phases.

Limited Social and Environmental Impact Assessments (ESIA)

182.   Due to the intention of the Blue Nature Alliance to invest in protected area creation, expansion or management improvement, the completion of a Limited ESIA for each project geography (i.e., site engagement) is required. As the specific project geographies will not be selected until the Implementation Phase, for each project geography a Limited ESIAs must be conducted in the Implementation Phase prior to the start of any project activities within the selected geography.

183.   Although desirable and often necessary for conservation of biodiversity and ecosystem services, the creation or expansion of protected areas carries the possibility of limiting access to natural resources and thus impacting livelihoods of local communities. As stated in GEF's updated ESS Policy, "where a project may restrict the access of Indigenous Peoples to parks and protected areas, at a minimum, the project involves the affected Indigenous Peoples in the planning and management of the park or protected area, and key species." Projects

involving protected areas must therefore address Indigenous Peoples and Restrictions on Land Use and Involuntary Resettlement safeguards. These above requirements can be addressed through a limited ESIA that examines social, economic, and environmental impacts in the following safeguard areas:

- Restrictions on Land Use and Involuntary Resettlement
- Indigenous Peoples
- Cultural Heritage
- Labor and Working Conditions
- Community, Health and Safety
- Climate Change

Environmental and Social Framework (ESF) for Grant-Making Mechanism

184.   Since the project will not identify during the PPG phase all specific sub-projects that will receive grant funding, the Blue Nature Alliance is required to develop an Environmental and Social Framework (ESF) that the grant-making mechanism will put in place to ensure that all grantees comply with the CI-GEF Environmental and Social Safeguard requirements. The project has adopted the CI-GEF ESMF that can be found at (https://www.conservation.org/docs/default-source/gcf/ci_gef_gcf-esmf-version-7.pdf?sfvrsn=a788de43_4).

Accountability and Grievance Mechanism

185.   The Blue Nature Alliance is required to develop an Accountability and Grievance Mechanism that will ensure people affected by the project are able to bring their grievances forward for consideration and redress. The mechanism must be in place before the start of project activities, and also disclosed to all stakeholders in a language, manner and means that best suits the local context. In addition, the Blue Nature Alliance is required to monitor and report on the following minimum accountability and grievance indicators:

- Number of conflict and complaint cases reported to the project's Accountability and Grievance Mechanism; and
- Percentage of conflict and complaint cases reported to the project's Accountability and Grievance Mechanism that have been addressed.

Gender Mainstreaming

186.   The Blue Nature Alliance is required to prepare a Gender Mainstreaming Plan for each project geography. In addition, the Blue Nature Alliance is required to monitor and report on the following minimum gender indicators:

- Number of men and women that participated in project activities (e.g., meetings, workshops, consultations);
- Number of men and women that received benefits (e.g., employment, income generating activities, training, access to natural resources, land tenure or resource rights, equipment, leadership roles) from the project; and if relevant; and

- Number of strategies, plans (e.g., management plans and land use plans) and policies derived from the project that include gender considerations.

Stakeholder Engagement

187.   The Blue Nature Alliance is required to develop a Stakeholder Engagement Plan for each project geography. In addition, the Blue Nature Alliance is required to monitor and report on the following minimum stakeholder engagement indicators:

- Number of government agencies, civil society organizations, private sector, Indigenous peoples and other stakeholder groups that have been involved in the project implementation phase on an annual basis;
- Number persons (sex disaggregated) that have been involved in project implementation phase on an annual basis; and
- Number of engagements (e.g., meeting, workshops, consultations) with stakeholders during the project implementation phase on an annual basis.

188.   As a part of its start-up work, in 2019, the Alliance contracted Dr. Nathan Bennett, a highly respected social scientist focused on the human dimensions of ocean conservation. The Alliance asked him to develop a Code of Conduct (Appendix VI-d) that will help the Alliance and its partners to more fully understand and integrate human dimensions in our work as well as to convene a diverse group of experts and practitioners to collaborate on a peer-reviewed scientific publication that will provide tangible guidance on how to advance equity in the establishment and management of ocean conservation areas.

189.   The purpose of the Code of Conduct is to promote inclusive and equitable conservation, to enhance the outcomes of Alliance's investments in each site and to ensure their durability. Through the application of the Code of Conduct during the full life cycle of site engagements, the Blue Nature Alliance will seek to follow four overarching social principles:

a. Recognize and respect the dignity and diversity of local people
b. Employ and promote participatory decision-making and good governance
c. Promote equitable distribution of benefits and costs
d. Champion collaborative and effective management of the marine environment

190.   The Alliance's planned engagements will cover at least 3.5% of the global ocean, with an estimated 2,467,000 direct beneficiaries (50% women; 50% men), including people that receive socio-economic, recreational or cultural benefits as a result of investments made by the Alliance, including both monetary (e.g. jobs, grants, increased income) and non-monetary benefits (e.g., training, increased knowledge, enhanced experiences) (Appendix VIII).

Climate Change

191.   In addition to those safeguards identified for compliance in the safeguard screening process, the Alliance has also been asked to complete the Climate Change Risk Assessment Tool. The Alliance has completed this tool at the global level (Appendix VI-f). Climate risks are system dependent and will include but are not limited to – coral bleaching, sea ice melt, ocean acidification, species range movements, fishery movements to track moving target species, and increased extreme weather events. The Alliance has determined the risk to be moderate

at most sites. As the Alliance scopes new sites, it will assess more site-specific climate risks and describe them in the risks section of the site engagement framework narrative. For high-risk sites, and others when feasible, the Alliance will work with relevant experts to ensure climate considerations are factored in at the outset of Alliance engagement in each site and continued throughout Alliance assessment and investment.

192.   The Safeguard Screening categorization is defined below:

Table 8: Blue Nature Alliance Safeguard Categorization.

PROJECT CATEGORY	Category A	Category B	Category C
		X	
Justification: The proposed project activities are likely to have minimal or no adverse environmental and social impacts.			

Compliance with Safeguard Recommendations

Blue Nature Alliance – Upholding Social Principles

193.   As discussed in the section above, the Alliance contracted Dr. Nathan Bennett, a highly respected social scientist focused on the human dimensions of ocean conservation, to collaboratively develop a Code of Conduct (Appendix VI-d) that will help the Alliance and its partners more fully understand and integrate human dimensions across the work of the Alliance. Through the application of the Code of Conduct during the full life cycle of its site engagements, the Blue Nature Alliance will seek to follow four overarching social principles:

   a. Recognize and respect the dignity and diversity of local people
   b. Employ and promote participatory decision-making and good governance
   c. Promote equitable distribution of benefits and costs
   d. Champion collaborative and effective management of the marine environment

194.   The establishment of a transparent and effective safeguard process is a critical element of the Code of Conduct. An effective safeguard system helps to ensure that the Alliance is meeting the highest standards for participatory governance and the inclusion of marginalized groups, such as Indigenous Peoples and women, in decision-making on marine resource management and use. The safeguard systems outlined below fulfils GEF requirements through an innovative approach that integrates the fundamental safeguard process components within the Alliance's site engagement and grant-making processes. As an implementor and a granter, the Alliance plays an active role in completing assessments and working with implementing partners to develop appropriate safeguard plans. The details of how these standards are being upheld through the safeguard system can be found below.

Safeguard Compliance Overview

195.   The following table provides an overview of when and how the safeguard measures required by the CI-GEF Agency will be fulfilled within the Blue Nature Alliance's site engagement and grant-making process during the Implementation Phase of this project.

Table 9: Blue Nature Alliance Site Engagement Process and Corresponding Safeguard Compliance.

Site Engagement Process	Safeguard Compliance

Global Desktop Analysis The Alliance maintains a global analysis of EEZs and high seas areas against Alliance criteria.	High-level assessment to flag any potential areas of risk such as social conflict and security as well as the presence of Indigenous Peoples. This initial assessment contributes to the consideration of which project geographies to pursue more seriously through a Site Desktop Analysis but does not satisfy any of the safeguard requirements required by the CI-GEF Agency.
Site Desktop Analysis The Alliance conducts desktop assessments and initial partner discussions for select sites prioritized from the Global Desktop Analysis.	Site Desktop Analysis assesses key social and environmental factors following the guidance of an engagement framework template (Appendix VI-a) which integrates requirements for the completion of a Limited ESIA, stakeholder assessment and mapping, and gender assessment as well as key principles from our Code of Conduct. Mandatory review of the Site Desktop Analysis by the Alliance Safeguards Manager will provide guidance on any potential areas of risk as well as determine if any additional safeguard policies require analysis and planning in the subsequent phases.
Advanced Scoping (in situ or remote) The Alliance holds a series of conversations with stakeholders and potential partners to understand the shared vision for the site as well as potential risks and how the Alliance might contribute to achieving the shared goal. When appropriate, this process may include a site visit and a diagnostic workshop.	Advanced Scoping builds upon the desktop analysis conducted in the previous phase to fill in any gaps in knowledge or understanding and further investigate any identified areas of risk through consultations with implementation partners and primary research in the field. Ideally this exercise is conducted on site, however, remote scoping may occur based on travel restrictions and the Covid-19 pandemic. At the conclusion of this phase, the Engagement Framework Narrative (Appendix VI-a) will be completed with all mandatory sections completed at a minimum as well as additional safeguard considerations for safeguards triggered in the previous phase. The completion of the Engagement Framework Narrative satisfies the following requirements: a) Limited ESIA b) Stakeholder assessment and mapping portions of the Stakeholder Engagement Plan c) Gender assessment portion of the Gender Mainstreaming Plan d) Assessment for safeguards triggered in the previous phase The Alliance Safeguards Manager will provide guidance and support to Alliance staff completing the report to ensure all requirements and risk areas are sufficiently investigated. The Alliance Engagement Framework Narrative will also identify three-to-five high-level approaches for engaging with partners and stakeholders that reflect and/or respond to the cultural norms and practices of the site. Approaches will be developed for stakeholder engagement, gender mainstreaming and any other identified areas of risk. The approaches are intended to guide the Alliance and implementing partners in working with key stakeholders and to support the development of targeted safeguard plans in the implementation phase.
Engagement Framework The Alliance works with implementing partners and stakeholders to collaboratively develop an Engagement Framework. (Often completed simultaneously to advanced scoping)	The development of the full Engagement Framework is a collaborative process that works with implementing partners to lay out the goals, objectives, workplan and budget for the Alliance engagement in a site. Within this collaborative process, the Alliance will engage implementing partners to review and ground truth the assessments encapsulated in the Engagement Framework Narrative.

Endorsement For each proposed engagement site, a) the engagement framework is approved by the Blue Nature Alliance Steering Council; and b) written confirmation of support for the shared vision outlined in the engagement framework, including financial co-investment when possible, is provided by the lead implementing partner(s).	The Engagement Framework documents that are compiled for review by the Alliance Steering Council in this phase include a high-level summary of the Engagement Framework. This information is a key input into the decision on if the site receives endorsement and is cleared to begin implementation.
Implementation/Grantmaking The Alliance issues grants to qualified implementing partners (through a proposal process) and deploys technical assistance in line with engagement framework.	Prior to the drafting of proposals, the Alliance will hold an inception workshop with implementing partners. At this time the Alliance will compile and make available the relevant information from the Limited ESIA, stakeholder and gender assessments as well as the strategies identified in the Advanced Scoping phase to inform the development of proposals and planning. The Alliance Safeguards Manager will participate in the inception workshop to present the safeguard requirements and provide guidance for the development of safeguard action plans. Following the inception workshop, the Alliance Safeguards Manager will work with implementing partners to establish a site-level grievance mechanism using the template found in Appendix VI-a of the Blue Nature Alliance Accountability and Grievance Mechanism Manual (Appendix VI-b). Implementing partners will complete the Blue Nature Alliance Safeguards Packet (Appendix VI-c). This packet includes the following pieces: d. Screening Form e. Stakeholder Engagement Plan f. Gender Mainstreaming Plan g. Grievance Mechanism Requirement Explanation Using the information from the Limited ESIA and stakeholder and gender assessments, implementing partners will be required to complete the Safeguard Packet, including identifying indicators, as a part of the proposal development process. If other safeguards have been triggered for this site, implementing partners will also be required to complete additional planning documents. The Blue Nature Alliance will follow the Environmental and Social Framework (ESF) document of the CI-GEF Agency to guide all safeguard application and compliance within the Alliance. The Alliance Safeguards Manager will be responsible to review the Safeguards Packet and work with implementing partners to ensure that all risk areas have been appropriately mitigated before implementation can proceed. The most pertinent of the actions identified in the safeguard plans may be integrated into the Engagement Framework workplan for long-term monitoring. Regarding the Labour and Working Conditions safeguard, all implementing partners will be required to uphold the policies of the

	Blue Nature Alliance. This agreement is codified in the Grant Agreement.
Monitoring and Evaluation The Alliance uses select metrics to monitor achievement on a discrete set of site-based and global indicators.	Safeguard actions listed in the workplan will be monitored on a periodic basis. In addition, the social principles described in the Code of Conduct will be reviewed and evaluated on an annual basis. The Alliance Safeguard Manager will participate in periodic reviews to ensure that any changes in risk or any failure to implement mitigation measures is addressed.

Safeguard Compliance

Limited Social and Environmental Impact Assessment (ESIA)

196.   The areas of investigation included in a Limited ESIA have been integrated into the Engagement Framework template (Appendix VI-a). This template is completed in the Desktop Analysis, Advance Scoping, and Engagement Framework phases and reviewed by the Alliance Safeguards Manager to ensure a high-quality assessment is performed for each site that investigates all pertinent areas of risk.

Environmental and Social Framework (ESF) for Grant-Making Mechanism

197.   For consistency and to avoid any confusion, the Blue Nature Alliance will be adopting the CI-GEF Agency Safeguard Policies. Information from the stakeholder, gender and other social and biological assessments included in the Engagement Framework narrative will be provided to the grantees to support them in the development of the safeguard plans. The Stakeholder Engagement Plan and Gender Plan are required for all implementing partners at sites and are included within the Safeguard Packet for Implementing Partners (Appendix VI-c).

Accountability and Grievance Mechanism

198.   The Blue Nature Alliance has developed a two-tiered Accountability and Grievance Mechanism that will establish site-level mechanisms accessible to stakeholders and partners on the ground in each site, as well as a global-level mechanism. The global-level Blue Nature Alliance Accountability and Grievance Mechanism is coordinated by CI's Director of Risk Management who oversees the process as a neutral party. The Alliance Safeguards Manager will work with the implementing partners to establish site-level mechanisms, which will be coordinated by the Alliance Grants and Contracts Coordinators. Detailed guidance for the establishment and operation of the site-level and global-level mechanisms have been developed and are included in the Blue Nature Alliance Accountability and Grievance Mechanism Manual (Appendix VI-b).

Gender Mainstreaming & Stakeholder Engagement

199.   The gender and stakeholder assessment portions of the Gender Mainstreaming and Stakeholder Engagement Policies have been integrated into the Engagement Framework Template (Appendix VI-a) and will be completed, along with other social and biological assessments, during the Desktop Analysis and Advanced Scoping Phases. The Alliance Safeguards Manager will review the gender and stakeholder assessments after the Desktop Analysis and provide any guidance or feedback to ensure high-quality assessments are completed. During the Engagement Framework and Implementation Phases, the findings of

the assessments will be ground-truthed with implementing partners and used as a basis for the development of Gender Mainstreaming Plans and Stakeholder Engagement Plans. All implementing partners at sites will complete Gender Mainstreaming and Stakeholder Engagement Plans as a part of the proposal development process. The Alliance Safeguards Manager will review and approve the Gender Mainstreaming and Stakeholder Engagement Plans before grant agreements are signed and implementation begins. Key actions from the plans will be integrated into the project workplans and monitored on a periodic basis along with other project activities. The indicators required by the CI-GEF Agency will be used as well as site specific gender-sensitive and sex disaggregated indicators.

Gender Mainstreaming Goals & Strategies

200.   A Gender Mainstreaming Plan is included in Appendix VI-h. The Blue Nature Alliance has set an ambitious set of goals for gender mainstreaming within the project. The Alliance aims for 33% of project participants to be women and for 50% of project beneficiaries to be women. As the Alliance moves to catalyze the creation, expansion or improved management of large ocean areas, the Alliance will engage with a number of prominent stakeholder groups including recreational fishers, subsistence fishers, commercial fishers, scientists and others. These are heavily male-dominated stakeholder groups. Even though women play an important role in fisheries – women make up a majority of the post-harvest jobs in the fisheries sector, and overall it is estimated that women make up roughly 47% of jobs in the small-scale fisheries section – these contributions are often overlooked and women hold a disproportionally low number of official or salaried jobs in the fishing industry. Today, more women work in commercial fishing jobs than ever before, yet this it still calculated to be roughly 15% of the workforce. Cultural perceptions and lack of representation constitute significant barriers for women to engage in the fisheries sector and as a result, we anticipate facing some challenges in reaching our goal of 33% participation in project activities. Especially considering that the Alliance will often be engaging with government officials representing national marine resource agencies, reach the 33% goal of women's participation will require execution of multiple strategies and close monitoring to achieve the goal. Conversely, the Alliance is in a good position to achieve the second goal of women constituting 50% of project beneficiaries. Due to the focus of the Blue Nature Alliance on large-scale ocean management and conservation, project beneficiaries will include a broad scope of coastal communities and local economies.

201.   The Blue Nature Alliance will use three strategies in order to reach the goals for gender mainstreaming. First, the Alliance intends to work with local partners that are deeply embedded in project sites and have close relationships with local stakeholders. This strategy will ensure that local partners are aware of local cultural and norms and gender roles and are well positioned to identify specific barriers to women's participation as well as actions to minimize those barriers. Using the process described in paragraph 194, partners will apply their in-depth knowledge of the specific geography to develop a quality Gender Action Plan accompanying their proposal and will collect gender disaggregated data to monitor progress toward the gender goals. Second, the Alliance will invest in capacity building for staff and implementing partners to raise awareness and understanding of gender and the importance of including women in marine resource management and conservation initiatives. Furthermore,

Alliance staff will receive targeted training on how to complete gender assessments, as well as how to effectively support partners to develop and implement Gender Actions Plans. Third, the Alliance team for this project includes a Safeguards and Gender Manager with the purview to review and provide guidance on gender assessments and Gender Action Plans at multiple stages in the site development process. This key role will strengthen performance and work with Alliance staff and partners to ensure gender tools are implemented appropriately.

Stakeholder Engagement Goal & Strategies

202.   A Stakeholder Engagement Plan is attached as Appendix VI-g. Through this project, the Blue Nature Alliance aims to benefit 2,467,000 direct beneficiaries and to convene at least 20 partners. The Alliance will face challenges to stakeholder engagement that are related to the social, political and geographic context of specific sites. For example, socially marginalized groups such as women and youth are typically underrepresented and difficult to engage, especially in matters that involve tenure and ownership of land and resources. Furthermore, Indigenous groups are often marginalized and in many cases their claims to land and resources are not recognized or respected by local governments. For the Alliance, standing firm against social stigmas to engage these groups will be challenging. Similarly, due to the disagreements involving tenure and ownership of marine resources, the Alliance is likely to face political challenges in instances where there are multiple, conflicting claims to resources and/or where governance is corrupt, ineffective, or unsupportive. Last, the Alliance is likely to face some challenges in stakeholder engagement due to the scale of the proposed sites. Working at the national level and considering whole exclusive economic zones is a scale that encompasses a huge array of stakeholders from the national to the local level. Coordinating stakeholder engagement that meets international standards, engages socially marginalized groups, and includes effective feedback mechanisms at the scale the Alliance is working at will be challenging and require careful planning and adequate resources.

203.   The Blue Nature Alliance will employ three strategies to in order to meet the goals for stakeholder engagement. First, the Alliance is developing a Code of Conduct to guide and facilitate the integration of human dimensions into their activities, site engagement processes, and during ongoing implementation (Appendix VI-d). The purpose of the Code of Conduct is to advance and promote inclusive and equitable conservation, enhance the social and ecological outcomes of Alliance's investment in sites, and ensure the legitimacy and durability of marine conservation. Stakeholder engagement is central to the Code of Conduct and is embodied in the first principle: "Recognize and respect the dignity and diversity of local people." The Alliance will ensure that the Code of Conduct and strong stakeholder engagement is implemented by monitoring progress, communicating results, and adapting activities through an annual review process. Second, the Alliance will endeavor to partner with organizations that have close relationships with key stakeholders and proven track record of inclusivity. Using the process described in paragraph 194, partners will apply their in-depth knowledge of the specific geography to develop a quality Stakeholder Engagement Plan accompanying their proposal. Third, the Alliance will invest time and resources in site development processes that carefully considers the full spectrum of stakeholder groups, with a special focus on marginalized groups, primary rights holders, and Indigenous groups. The Alliance's Safeguards and Gender Manager will review stakeholder assessments and engagement plans at multiple

points in the site development process and provide guidance and scoping trips and workshops will be conducted with stakeholders in project sites in order to develop workplans with the full engagement and input from key stakeholders. Under these strategies, the Alliance is well positioned to set a high bar for participatory decisions-making.

SECTION 5: IMPLEMENTATION AND EXECUTION ARRANGEMENTS FOR PROJECT MANAGEMENT

Execution Arrangements and Partners

204.　The **CI-GEF Project Agency** is the Implementing Agency for this project. **The Blue Nature Alliance** is the Executing Agency.

205.　As the project Implementing Agency, the CI-GEF Project Agency will provide project assurance, including supporting project implementation by maintaining oversight of all technical and financial management aspects, and providing other assistance upon request of the Executing Agency. The CI-GEF Project Agency will also monitor the project's implementation and achievement of the project outputs, ensure the proper use of GEF funds, and review and approve any changes in budgets or workplans. The CI-GEF Project Agency will arbitrate and ensure resolution of any execution conflicts.

206.　As the project executing Agency, the Blue Nature Alliance has established a two-tier governance structure with a Steering Council and a Management Team. Pew and CI are Executing Core Partners for Blue Nature Alliance. As Executing Core Partners, Pew and CI will primarily be responsible for the Alliance's management and day-to-day operations.

207.　The core policies, procedures and systems of the Blue Nature Alliance are based on CI's systems, policies and procedures, as documented in the Alliance Operations Manual. The Blue Nature Alliance has established an open mechanism to receive expressions of interest from potential implementing partners. Proposals will be invited and evaluated through a fair and transparent process and will undergo the necessary capacity assessments to assure they have the appropriate systems in place to comply with the terms of the Agreement as well as GEF policies and procedures and to allow CI to discharge its Partner Agency responsibilities vis-à-vis the GEF in accordance with the GEF Minimum Fiduciary Standards. In turn, the Blue Nature Alliance will enter into Grant Agreements with all implementing partners, which will establish all required funding terms and conditions necessary to comply with the GEF Minimum Fiduciary Standards.

208.　**The Blue Nature Alliance Steering Council** will consist of representatives from the Core Partners. Core Partners of Blue Nature Alliance are Executing Core Partners (i.e. CI and Pew) and donors who have committed or will commit US $25,000,000 or more to the Alliance by way of a grant to an Executing Core Partner. The GEF is a core partner to the Alliance. If a Core Partner chooses not to occupy a seat on the Steering Council, they will nevertheless retain the option to do so at any time. The Steering Council will meet twice annually, with at least one of those meetings held in person – global health issues allowing. Other Steering

Council meetings may be scheduled at other times with notice provided by email at least one week in advance or on shorter notice by agreement.

209.   The Steering Council will provide oversight and guidance to the Alliance Management Team on annual workplans, budget and operations as presented to them at regular meetings. The Steering Council's responsibilities shall include, but not be limited to the following[95]:

- Represent and communicate the Blue Nature Alliance's objectives, and engagement strategy as necessary to help leverage and amplify our collective impact;
- Advocate for Alliance goals;
- On an annual basis, review and approve the Alliance's annual strategic work-plan, target outcomes, and budget.
- Review Alliance financial reports including, year-to-date and project-to-date expenditures, expected cashflows and expected commitments;
- Every six months, review and approve a portfolio of new sites for Alliance investments. Sites may be approved on a rolling basis when ready;[96]
- In the case that an executive core partner (CI or Pew) is identified as the most appropriate grantee for a site, review and approve the grant;
- Advise on the Alliance's site scoping process to identify new site opportunities[97]
- Evaluate and provide input on operational effectiveness;
- Evaluate and provide input on progress towards goal achievement;
- Approve new core partners by unanimous vote;
- Recommend new donors and support fundraising, including leverage funding; and
- Resolve disputes when the Alliance Management and Delivery Team is unable to do so.

210.   **The Blue Nature Alliance Management Team** includes senior staff from CI and Pew who are responsible for day-to-day operations and coordination of the Alliance activities. The management team therefore will be responsible for ensuring that the GEF project outputs and results are delivered as planned. The Blue Nature Alliance Technical Director is a member of the management team and will specifically be responsible for day-to-day management of the GEF project in concert with a GEF project coordinator (to be hired) who will report to her.

211.   The Management Team will oversee the design and execution of the annual strategic work-plan, budget, grant-making, and grant management. The Management Team will seek guidance from the Steering Council on all major decisions materially different from the approved annual strategy.

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[95] This does not supersede requirements or limitations outlined in grant agreements between core donors and Conservation International or the Pew Charitable Trusts.

[96] If new site investment opportunities emerge in between the bi-annual meetings and need rapid action, the Alliance Management Team will have authority to make site investment decisions up to $500,000 (excluding grants to Executing Core Partners – CI and Pew, which require Steering Council approval), but cumulatively not more than $2.5M, over the course of a year. For site investments greater than $500,000 or in excess of $2.5M over the course of a year, the Steering Council will be notified by email and will have two weeks to object to the investment. In the event any member objects, the site investment will be brought to the next Steering Council meeting for consideration.

[97] As described in the site selection process, the Alliance will give special consideration to sites that are aligned with GEF's IW Focal Area Strategy. The use of GEF funds (managed in a segregated account) will be restricted to GEF-eligible sites. Other funding sources can be used to support project goals in non GEF-eligible sites. The Blue Nature Alliance will not invest resources (including co-financing) in any countries on the US State Department sanctions list.

212.   Responsibilities of the Alliance Management Team include:

- Overseeing Alliance performance; measure, monitor, and report on Alliance performance to the Steering Council and other partners;
- Engage and inform the Steering Council of ongoing site-based engagements, key investments, and decisions;
- Present annual workplans and budgets, financial and programmatic progress reports, Project Implementation Reports to CI-GEF for approval, and assuring compliance with CI-GEF's policies and procedures;
- Scope new site-based engagement opportunities;
- Co-design site-based engagement frameworks with stakeholders and relevant Alliance partners, including seeking co-investment and leveraged financing;
- Semi-annually, prepare site selection recommendations for the Steering Council's approval; if new site investment opportunities emerge in between the semi-annual meetings and need rapid action, the Alliance Leadership and Management will have authority to make site investment decisions up to $500,000 (excluding grants to Executive Core Partners, which require Steering Council approval), but cumulatively not more than $2.5M, over the course of a year. For site investments greater than $500,000 or in excess of $2.5M over the course of a year, the Steering Council will be notified by email and will have two weeks to object to the investment; in the event any member objects, the site investment will be brought to the next Steering Council meeting for consideration.
- Manage and deploy Alliance resources in accordance with best practices and Steering Council guidance;
- Provide technical guidance on sites and manage implementing partners grants and contracts;
- Manage and coordinate Alliance partnerships; including engagement with the Core Partners' liaisons to the Alliance Leadership and Management team
- Ensure compliance with the annual budget and spending plan approved by the Steering Council;
- Engage new partners including strategic advisors, raise funds and secure and track funding from Leverage Partners;
- Resolve disputes where necessary and escalate disputes to the Steering Council if the resolution cannot be achieved;
- Approve external annual strategic communication plans; and
- Represent the Alliance globally and advocate for our shared goals.

213.   Partners are essential to Alliance success. The Blue Nature Alliance believes that it will only achieve its goals, at the pace and scale needed, if it collaborates, embraces, and aligns with others. The Alliance has developed a framework that creates pathways for engagement of leading NGOs, donors, and technical experts to participate in the Alliance as co-founders, implementing partners, thought-leaders, advisors, and advocates. A summary of three key types of partners (in addition to core partners) are shared here:

- **Implementing partners** are those best positioned to efficiently and effectively achieve outcomes, including local and international NGOs, private sector operators, the science and research community, and government institutions. Executing Core Partners (CI and Pew) carrying out project specific work may also serve as Implementing Partners; however, they will be subject to same selection criteria as other grantees, must disclose any potential, real and/or perceived conflicts of interest and be approved by the steering council regardless of the grant amount. No GEF project funds will be used for subawards to CI programs. The Blue Nature Alliance will establish an open mechanism to receive expressions of interest from potential implementing partners. Proposals will be invited and evaluated through a fair and transparent process.

- **Leverage Partners** fund or provide in-kind contributions directly for work that contributes to achieving our shared goal for a site or for a global activity. Examples of Leverage Partners may include national and sub-national governments, private foundations, multilateral/bilateral agencies, individual donors, NGOs, and private sector organizations.

- **Strategic Advisors** will provide input and feedback on technical, regional, cultural, scientific and other issues as needed. These advisors may include scientists, regional experts, government officials, industry representatives and marine conservation practitioners. As needed, advisors may form part of technical working groups or advisory councils. GEF technical staff would be welcome advisors to the Alliance.

Project Execution Organizational Chart

214.   The institutional arrangement for the project is depicted in the diagram below.

Figure 8: Governance and Alliance Management Framework.
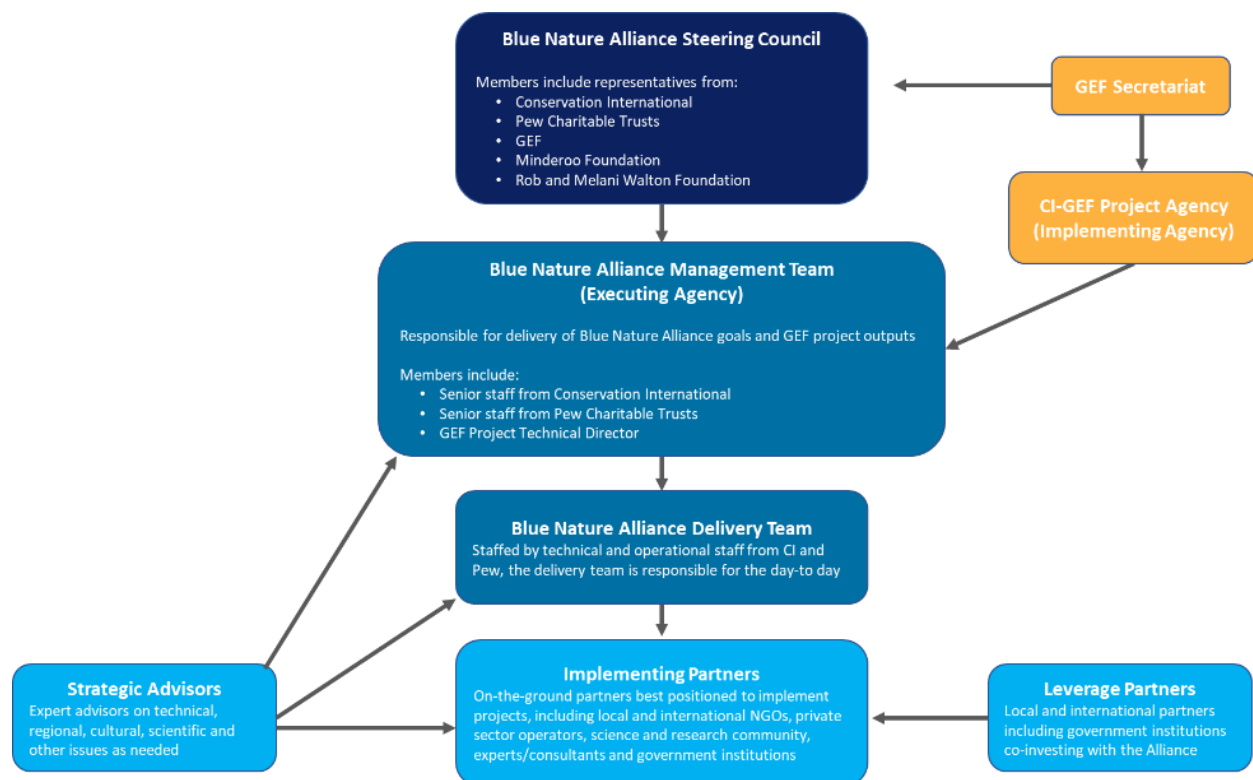
SECTION 6: MONITORING AND EVALUATION PLAN

215.   Project monitoring and evaluation will be conducted in accordance with established Alliance and GEF procedures established by the project team and the CI-GEF Project Agency. The project's M&E plan will be presented and finalized at the project inception workshop, including a review of indicators, means of verification, and the full definition of project staff M&E responsibilities.

Monitoring and Evaluation Roles and Responsibilities

216.   The project Executing Agency (The Blue Nature Alliance) will be responsible for initiating and organizing key monitoring and evaluation tasks. This includes the project inception workshop and report, quarterly progress reporting, annual progress and implementation reporting, documentation of lessons learned, and support for and cooperation with the independent external evaluation exercises.

217.   The project Executing Agency (The Blue Nature Alliance) is responsible for ensuring the monitoring and evaluation activities are carried out in a timely and comprehensive manner,

and for initiating key monitoring and evaluation activities, such as the independent evaluation exercises.

218.	Key Alliance implementing partners (i.e. grantees) are responsible for providing any and all required information and data necessary for timely and comprehensive project reporting, including results and financial data, as necessary and appropriate.

219.	The Blue Nature Alliance Steering Council plays a key oversight role for the project, with regular meetings to receive updates on project implementation progress and approve annual workplans. The Project Steering Committee also provides continuous ad-hoc oversight and feedback on project activities, responding to inquiries or requests for approval from the Management Team.

220.	The CI-GEF Project Agency plays an overall assurance, backstopping, and oversight role with respect to monitoring and evaluation activities.

221.	The CI General Counsel's office with the Grants and Contracts Unit are responsible for contracting and oversight of the planned independent external evaluation exercises at the mid-point and end of the project.

Monitoring and Evaluation, and Project Management Costs

222.	The Terms of References for the evaluations will be drafted or approved by the CI-GEF Project Agency in accordance with GEF requirements. The procurement and contracting for the independent evaluations will handled by CI's General Counsel's Office. The funding for the evaluations will come from the project budget, as indicated at project approval.

223.	The Project Monitoring and Evaluation Plan includes several components that are outlined below. (see Monitoring and Evaluation Plan Summary in Table 10 (below) for details):

- **Inception workshops:** Project inception workshops will be held within the first six months of project start with project stakeholders. Given the Alliance's global scope and building off of the stakeholder engagement workshop held during the PPG phase, we will organize a series of regional workshops with interested stakeholders and partners. We will determine if these workshops will be held virtually or online based on the global health situation at project start up and participant willingness to travel. An overarching objective of these workshops is to assist the project team in understanding and taking ownership of the project's objectives and outcomes. These workshops will be used to detail the roles, support services and complementary responsibilities of the CI-GEF Project Agency and the Executing Agency.

- **Inception Workshop Report**: The Alliance will produce a consolidated inception report documenting all changes and decisions made during the inception workshop to the project planned activities, budget, results framework, and any other key aspects of the project. The inception report will be produced within one month of the final regional inception workshop and will serve as a key input to the timely planning and execution of project start-up and activities.

- **Project Results Monitoring Plan (Objective, Outcomes, and Outputs)**: A Project Results Monitoring Plan can be found in Appendix III. This document includes the project objective, outcome and output indicators, metrics to be collected for each indicator, methodology for data collection and analysis, baseline information, location of data gathering, frequency of data collection, responsible parties, and indicative resources needed to complete the plan.

  In addition to the objective, outcome, and output indicators, the Project Results Monitoring Plan table also includes all indicators identified in the Safeguard Plans prepared for the project, thus they will be consistently and timely monitored.

  The monitoring of these indicators throughout the life of the project will be necessary to assess if the project has successfully achieved its expected results.

  Any baseline data not collected during the PPG phase will be collected and documented by the relevant project partners within the first year of implementation at that site.

- **GEF Core Indicator Worksheet**: The relevant section of the GEF Core Indicator Worksheet was updated for the CEO endorsement submission. This worksheet will also be updated i) prior to mid-term review, and ii) prior to the terminal evaluation.

- **Project Steering Committee Meetings**: Blue Nature Alliance Steering Council meetings will be held semi-annually, with additional ad hoc meetings as appropriate. Meetings will be held to review and approve project annual budget and work plans, to approve a portfolio of site engagements, discuss implementation issues and identify solutions, and to increase coordination and communication between key project partners. Official minutes will be documented for meetings held by the Blue Nature Alliance Steering Council.

- **CI-GEF Project Agency Field Supervision Missions**: The CI-GEF PA will conduct annual visits to the project country and potentially to project field sites based on the agreed schedule in the project's Inception Report/Annual Work Plan to assess firsthand project progress. Oversight visits will most likely be conducted to coincide with the timing of Steering Council meetings. Other members of the Project Steering Council may also join field visits. A Field Visit Report will be prepared by the CI-GEF PA staff participating in the oversight mission and will be circulated to the project team and Blue Nature Alliance Steering Council members within one month of the visit.

- **Quarterly Progress Reporting**: The Executing Agency – the Blue Nature Alliance— will submit quarterly progress reports to the CI-GEF Project Agency for at least the first year of the project including a budget follow-up and requests for disbursement to cover expected quarterly expenditures. After a year, the reporting schedule will be reevaluated with the CI-GEF Project Agency.

- **Annual Project Implementation Report (PIR):** The Executing Agency will prepare an annual PIR to monitor progress made since project start for the reporting period

(July 1st to June 30th). The PIR will summarize the annual project result and progress. A summary of the report will be shared with the GEF and will be a public document.

- **Final Project Report:** The Alliance will draft a final report at the end of the project.

- **Independent External Mid-term Review:** The project will undergo an independent Mid-term Review within 30 days of the mid-point of the grant term. The Mid-term Review will determine progress being made toward the achievement of outcomes and will identify course correction if needed. The Mid-term Review will highlight issues requiring decisions and actions, and will present initial lessons learned about project design, implementation and management. Findings and recommendations of the Mid-term Review will be incorporated to secure maximum project results and sustainability during the second half of project implementation.

- **Independent Terminal Evaluation:** An independent Terminal Evaluation will take place within six months after project completion and will be undertaken in accordance with CI and GEF guidance. The terminal evaluation will focus on the delivery of the project's results as initially planned (and as corrected after the mid-term evaluation, if any such correction took place). The Executing Agency will provide a formal management answer to the findings and recommendations of the terminal evaluation.

- **Lessons Learned and Knowledge Generation:** Results from the project will be disseminated within and beyond the project intervention area through existing information sharing networks and forums. The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to project implementation though lessons learned. The project will identify, analyze, and share lessons learned that might be beneficial in the design and implementation of similar future projects. There will be a two-way flow of information between this project and other projects of a similar focus.

- **Financial Statements Audit:** Annual Financial reports submitted by the executing Agency will be audited annually by external auditors appointed by the Executing Agency.

Table 10: Monitoring and Evaluation Plan Summary.

Type of M&E	Reporting Frequency	Responsible Parties	Indicative Budget from GEF (US$)
Regional Inception workshops and Reports	Within six months of signing of CI Grant Agreement for GEF Projects	Alliance Management Team	$ 4,353
		Executing Agency	
		CI-GEF PA	
Consolidated Inception workshop Report	Within one month of the final regional inception workshop	Alliance Management Team	$ 4,353
		CI-GEF PA	

Project Results Monitoring Plan (Objective, Outcomes and Outputs)	Annually (data on indicators will be gathered according to monitoring plan schedule shown on Appendix III)	Alliance Management Team	<mark>113,880</mark>
		CI-GEF PA	
GEF Core Indicator Worksheet	At CEO endorsement submission ii) Prior to mid-term, iii) Prior to terminal evaluation	Alliance Management Team	$ <mark>113,880</mark>
		Executing Agency	
		CI-GEF PA	
CI-GEF Project Agency Field Supervision Missions	Approximately annual visits	CI-GEF PA	*Paid for under CI GEF Agency Fees
Annual Project Implementation Report (PIR)	Annually for year ending June 30	Alliance Management Team	$ 43,533
		Executing Agency	
		CI-GEF PA	
Project Completion Report	Upon project operational closure	Alliance Management Team	$ 34,826
		Executing Agency	
Independent External Mid-term Review	Approximate mid-point of project implementation period	CI Evaluation Office	$ 30,000
		Alliance Management Team	
		CI-GEF PA	
Independent Terminal Evaluation	Evaluation field mission within three months prior to project completion.	CI Evaluation Office	$ 30,000
		Alliance Management Team	
		CI-GEF PA	
Total M&E			$ <mark>374,825</mark>

Type of PMC	**Reporting Frequency**	**Responsible Parties**	**Indicative Budget from GEF (US$)**
Project Steering Committee Meetings	Annually	Alliance Management Team	$ 136,719
		Executing Agency	
		CI-GEF PA	
Quarterly Progress Reporting and other administrative monitoring	Quarterly	Alliance Management Team	$ 626,159
		Executing Agency	
Lessons Learned and Knowledge Generation	At least annually	Executing Agency	$ 301,796
		Alliance Management Team	
		CI-GEF PA	
Financial Statements Audit	Annually	Executing Agency	$ 12,500
		CI-GEF PA	
Total PMC			$ 1,077,174

SECTION 7: PROJECT BUDGET AND FINANCING

Overall Project Budget

224.   The project will be financed by a full size GEF grant of US$22,635,780 with co-financing from Conservation International Foundation, Pew Charitable Trust, Rob and Melanie Walton Foundation, Minderoo Foundation, Vulcan, Antarctic and Southern Ocean Coalition, and the International Eco Fund. A summary of the project costs and the co-financing contributions is given in the two tables below. The project budget may be subject to revision during implementation. The detailed Project Budget is provided in Appendix VII.

Table 11: Planned Project Budget by Component[98].

	Project budget by component (in US$)						
	Component 1	Component 2	Component 3	Component 4	Component 5	PMC	Total budget
Personnel Salaries and benefits	300,995	649,556	486,847	360,714	314,825	923,601	3,036,538
Professional services	-	-	-	-	60,000	12,500	72,500
Travel, meetings and workshops	19,270	66,849	53,482	13,367	-	30,900	183,868
Grants & Agreements	-	10,519,621	7,013,081	1,700,000	-	-	19,232,701
Equipment	-	-	-	-	-	9,000	9,000
Other Direct Costs	-	-	-	-	-	101,173	101,173
TOTAL GEF FUNDED PROJECT	320,265	11,236,026	7,553,410	2,074,081	374,825	1,077,174	22,635,780

Overall Project Co-financing

1.   The co-financing commitment letters are attached in the Appendix VIII. Please note that while many of the co-financiers committed a full $25 million to this project, some investment has already started prior to the CEO endorsement and therefore amounts already materialized have been discounted in the co-financing letters.

Table 12: Committed Co-financing (US$).

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[98] Budget is rounded to the nearest zero.

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Investment Mobilized	Amount ($)
Civil Society Organization	Conservation International Foundation (to co-fund all project activities)	Grant	Investment Mobilized	$23,028,913
Civil Society Organization	Pew Charitable Trust (to co-fund all project activities)	Grant	Investment Mobilized	$20,965,859
Other	Rob and Melani Walton Foundation (to co-fund all project activities)	Grant	Investment Mobilized	$20,032,065
Other	Minderoo Foundation (to co-fund all project activities)	Grant	Investment Mobilized	$22,139,842
Private Sector	Vulcan, Skylight (to provide in-kind use of the Skylight monitoring and surveillance technology and capacity support at Blue Nature Alliance engagement sites)	In-kind contribution of technology	Recurrent Expenditures	$25,000,000
Civil Society Organization	Antarctic and Southern Ocean Coalition (to co-fund activities in the Antarctic and Southern Ocean)	Grants	Investment Mobilized	$482,539
Civil Society Organization	International Eco Fund (to co-fund the Tristan da Cunha endowment)	Grants	Investment Mobilized	$3,816,400
Recipient Country Governments/ Private Sector/ Civil Society Organizations/ Beneficiaries/ Other	Additional site-specific co-investors (i.e. leverage funders)—TBD (to co-fund site specific activities)	TBD	TBD	TBD
Total Co-financing				$115,465,618

Blue Nature Alliance Appendices
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APPENDIX I: Project Results Framework

Objective:	To catalyze the conservation of 1.25 billion hectares of ocean ecosystems, to help safeguard global ocean biodiversity, build resilience to climate change, promote human wellbeing, and enhance ecosystem connectivity and function.
Indicator(s):	a. Ocean conservation areas created or under improved management for conservation and sustainable use: 1,250,000,000 hectares (1.25 billion) b. Level of engagement in IW: Learn: 4 c. Number of direct beneficiaries disaggregated by gender as co-benefit of GEF investment: 2,467,000 direct beneficiaries (2.467 million; ~ 50% women; ~ 50% men)

Expected Outcomes and Indicators	Project Baseline	End of Project Target	Expected Outputs and Indicators
Component 1: Site Scoping			
Outcome 1.1: Engagement frameworks (i.e., new or existing ocean conservation areas) that meet the Blue Nature Alliance criteria have been collaboratively developed and endorsed. **Indicator 1.1:** Number of sites that meet Alliance criteria with developed engagement frameworks.	The Alliance has had six engagement frameworks endorsed at the time of the ProDoc submission.	**Target 1.1:** 20 sites that meet Alliance criteria have developed engagement frameworks (although less is acceptable if spatial targets in Components 2 and 3 are on track).	**Output 1.1.1:** Desktop Assessment of potential site to evaluate Alliance criteria is conducted. **Indicator 1.1.1**: Number of sites where the Blue Nature Alliance completes desktop assessments. **Target 1.1.1:** 30 desktop assessments. **Output 1.1.2:** Advanced site scoping (either in situ or remote), including participatory and gender-sensitive stakeholder consultations and any necessary political, legal, ecological, and/or other assessments is completed. **Indicator 1.1.2**: Number of sites where the Blue Nature Alliance completes advanced scoping. **Target 1.1.2:** 25 sites. **Output 1.1.3:** Collaboratively with stakeholders, implementing partners, leverage partners and/or technical partners, a gender-sensitive engagement framework to advance each site is developed. **Indicator 1.1.3:** Number of site-based engagement frameworks developed**.** **Target 1.1.3:** 25 engagement frameworks.

			Output 1.1.4: Prior to investment, the site engagement framework is endorsed by the Blue Nature Alliance Steering Council.
			Indicator 1.1.4: Number of engagement sites endorsed for investment.
			Target 1.1.4: 20 engagement sites.
Component 2: New Protection of Key Ocean Geographies			
Outcome 2.1: New or expanded ocean conservation areas legally recognized. **Indicator 2.1:** Total area (hectares) of new designated ocean conservation area that received financial and/or technical investment from the Blue Nature Alliance.	Zero hectares of new ocean conservation areas have been legally recognized as result of Blue Nature Alliance investment at the time of ProDoc Submission. Five of the initiated engagements sites have active projects underway to catalyze new ocean conservation areas, but none have yet achieved legal recognition.	**Target 2.1:** 750 million hectares additional to the baseline.	**Output 2.1.1:** Financial and/or technical support is provided to implementing partners in order to achieve legal recognition of a new or expanded ocean conservation area. **Indicator 2.1.1a.:** Number of engagement sites that receive Blue Nature Alliance investment in order to achieve legal recognition of a new or expanded ocean conservation area. **Target 2.1.1a:** 10 engagement sites (although less is acceptable if the spatial target 2.1 is on track). **Indicator 2.1.1b:** Percent of engagement sites that achieve legal recognition of a new or expanded ocean conservation area. **Target 2.1.1b:** 75% of engagement sites. **Output 2.1.2:** For those engagement sites that achieve legal recognition, a baseline management effectiveness assessment is conducted. **Indicator 2.1.2:** Percentage of the engagement sites that achieve legal recognition that document a management effectiveness baseline. **Target 2.1.2:** 100% of engagement sites that achieve legal recognition document their management effectiveness baseline.

			Output 2.1.3: For a subset of the engagement sites that achieve legal recognition, additional financial and/or technical support is provided to implementing partners in order to develop long-term sustainable financing plans.
			Indicator 2.1.3: Percentage of the engagement sites that achieve legal recognition that have a plan for reaching long-term sustainable financing.
			Target 2.1.3: 50% of engagement sites that achieve legal recognition also have a plan for reaching long-term sustainable financing.
Component 3: Improved Protection of Key Ocean Geographies			
Outcome 3.1: Previously established ocean conservation areas have upgraded protections and/or improved management, as evidenced by the legal ratification for upgraded protection level, and/or for measurably improved management, as measured by the achievement of a site-specific target for improved management effectiveness.

Indicator 3.1: Total area of existing ocean conservation areas with legally upgraded levels of protection and/or with improved management effectiveness that received financial and/or technical investment from the Blue Nature Alliance | Zero hectares of previously established ocean conservation areas have upgraded protections and/or measurably improved management as result of Blue Nature Alliance investment at the time of ProDoc Submission. Four of the initiated engagements sites have active projects underway to improve the management of existing ocean conservation areas, but none of these areas have yet achieved their targets. | **Target 3.1:** 500 million hectares of ocean receive legally upgraded levels of protection and/or under improved management effectiveness additional to the baseline. | **Output 3.1.1:** Financial and/or technical support is provided to implementing partners to achieve upgraded protection and/or improved management of ocean conservation areas

Indicator 3.1.1: Number of engagement sites that receive Blue Nature Alliance investment with the aim of upgrading protections or improving management

Target 3.1.1: 10 engagement sites (although less is acceptable if the spatial targets 2.1 and 3.1 are on track).

Output 3.1.2: A management effectiveness assessment is conducted at each engagement site both before and after receiving Alliance support.

Indicator 3.1.2a: Percentage engagement sites that conduct an assessment of management effectiveness before and after Blue Nature engagement.

Target 3.1.2a: 100% of engagement sites. |

			Indicator 3.1.2b: Percentage of engagement sites that achieve their target for management effectiveness improvement and/or proposed status upgrade. Target 3.1.2b: 75% of engagement sites. Output 3.1.3: Financial and/or technical support to develop a plan to achieve long-term sustainable financing is provided to on-the ground implementing partners Indicator 3.1.3: Percent of engagement sites with a plan for reaching long-term sustainable financing. Target 3.1.3: 75% of engagement sites.
Component 4: Global Enabling Conditions to Scale Up Ocean Conservation			
Outcome 4.1: Collaborative scientific research that advances the field of large-scale and/or transboundary ocean conservation developed and implemented. **Indicator 4.1:** Number of peer-reviewed scientific publications and/or technical reports published on topics that advance the field of large-scale ocean conservation. *(Note: Outcome 4.1 funded with co-financing)*	Prior to ProDoc submission, a collaborative science and knowledge systems framework for large-scale ocean conservation has been developed incorporating GEF's Transboundary Waters Assessment Programme (TWAP) as well as other models. Two research projects have been initiated and zero peer-reviewed scientific publications and/or technical reports supported by the Blue Nature Alliance have been published on topics that advance the field of large-scale ocean conservation.	**Target 4.1:** 5 research projects and 10 publications.	**Output 4.1.1:**, Research projects that advance the field of large-scale ocean conservation that are completed with technical or financial support from Blue Nature Alliance. **Indicator 4.1.1:** Number of research projects that advance the field of large-scale ocean conservation. **Target 4.1.1:** 5 research projects. **Output 4.1.2:** Peer-reviewed publications that advance the field of large-scale ocean conservation that are completed with technical or financial support from the Blue Nature Alliance. **Indicator 4.1.2:** Number of peer-reviewed publications that advance the field of large-scale ocean conservation. **Target 4.1.2:** 10 peer-reviewed publications.
Outcome 4.2: Knowledge management and learning for the fields of large-scale and transboundary ocean conservation has been strengthened and expanded.	Prior to ProDoc submission, the Blue Nature Alliance has reached 35 participants in learning activities (19 men; 16 women); produced 1 new tool,	**Target 4.2:** 1000, of whom at least 33% are women.	**Output 4.2.1:** Learning initiatives that advance the field of large-scale ocean conservation and/or transboundary ocean governance and that provide training and professional

| Indicator 4.2: Number of individuals with enhanced knowledge, capacity, and tools to implement ocean conservation at scale and/or transboundary ocean governance. | trainings, or innovations; convened 32 partners; and produced zero experience and zero results notes. | | development for ocean conservation practitioners/stakeholders supported.
Indicator 4.2.1: Number of participants disaggregated by sex in learning initiatives supported by Blue Nature Alliance.
Target 4.2.1: 500, of whom at least 33% are women.

Output 4.2.2: New tools, trainings, or innovative approaches for large-scale ocean conservation developed and disseminated, including via regional entities.
Indicator 4.2.2: Number of new tools, trainings and innovations developed and disseminated.
Target 4.2.2: 5 tools, trainings, or innovations.

Output 4.2.3: Collaboration and coordination of NGOs, funders, and other implementors, working to advance MPAs, regional collaboration and ocean conservation at scale increased.
Indicator 4.2.3: Number of organizations and agencies participating in partner convenings and meetings hosted by the Blue Nature Alliance.
Target 4.2.3: At least 20 organizations/agencies.

Output 4.2.4: Results of and lessons from Blue Nature Alliance investments shared at international conferences, with the IW:LEARN and LME:LEARN communities of practitioners and with regional entities.
Indicator 4.2.4.a: Number of presentations given by Blue Nature Alliance partners on results and lessons learned.
Target 4.2.4a: At least 100 presentations. |

			Indicator 4.2.4b: Number of Experience Notes produced by the Alliance and shared with IW:LEARN. **Target 4.2.4b:** At least 10 Experience Notes. **Indicator 4.2.4c:** Number of Results Notes produced by the Alliance and shared with IW:LEARN. **Target 4.2.4c:** At least 10 Results Notes.
Component 5: Monitoring & Evaluation Plans To Inform Adaptive Management.			
Outcome 5.1: Monitoring and evaluation framework for the Blue Nature Alliance in place and used. **Indicator 5.1:** Percent of required reports and evaluations completed.	Prior to ProDoc submission, the Blue Nature Alliance monitoring and evaluation framework has been established and is being actively implemented to track progress toward Blue Nature Alliance outcomes and indicators at both the portfolio and site level.	**Target 5.1:** 100% of reports include information derived from implementation of Alliance monitoring and evaluation plan.	**Output 5.1.1: Alliance** monitoring and evaluation program implemented. **Indicator 5.1.1:** Alliance monitoring and evaluation plan at both the portfolio and site level implemented. **Target 5.1.1:** 1 Alliance-wide monitoring and evaluation plan is implemented. **Output 5.1.2:** Results from monitoring and evaluation program included in progress reports and evaluations. **Indicator 5.1.2:** Percentage of Alliance progress reports that include information from implementation of monitoring and evaluation plan. **Target 5.1.2:** 100% of progress reports include information from implementation of monitoring and evaluation plan.

APPENDIX II: Project Timeline

	Year 1				Year 2				Year 3				Year 4				Year 5			
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Component 1: Site Scoping																				
Outcome 1.1: Engagement frameworks (i.e., new or existing ocean conservation areas) that meet the Blue Nature Alliance criteria have been collaboratively developed and endorsed.	X	X	X	X	X	X	X	X	X	X	X	X	X	X						
Output 1.1.1: Desktop Assessment of potential site to evaluate Alliance criteria is conducted.	X	X	X	X	X	X	X	X	X	X	X	X								
Output 1.1.2: Advanced site scoping (either in situ or remote), including participatory and gender-sensitive stakeholder consultations and any necessary political, legal, ecological, and/or other assessments is completed.	X	X	X	X	X	X	X	X	X	X	X	X	X							
Output 1.1.3: Collaboratively with stakeholders, implementing partners, leverage partners and/or technical partners, a gender-sensitive engagement framework to advance each site is developed.	X	X	X	X	X	X	X	X	X	X	X	X	X							

	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19
Output 1.1.4: Prior to investment, For each proposed engagement site, a) the engagement framework is approved by the Blue Nature Alliance Steering Council.	X	X	X	X	X	X	X	X	X	X	X	X	X	X					
Component 2: New Protection of Key Ocean Geographies																			
Outcome 2.1: New or expanded ocean conservation areas legally recognized.	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Output 2.1.1a: Financial and/or technical support is provided to implementing partners in order to achieve legal recognition of a new or expanded ocean conservation area.	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Output 2.1.2: For those engagement sites that achieve legal recognition, a baseline management effectiveness assessment is conducted.					X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Output 2.1.3: For a subset of the engagement sites that achieve legal recognition, additional financial and/or technical support is provided to implementing partners in order to develop long-term sustainable financing plans.					X	X	X	X	X	X	X	X	X	X	X	X	X	X	X

Component 3: Improved Protection of Key Ocean Geographies																				
Output 3.1.1: Previously established ocean conservation areas have upgraded protections and/or improved management, as evidenced by the legal ratification for upgraded protection level, and/or for measurably improved management, as measured by the achievement of a site-specific target for improved management effectiveness.	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	
Output 3.1.1: Financial and/or technical support is provided to implementing partners to achieve upgraded protection and/or improved management of ocean conservation areas.	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	
Output 3.1.2: A management effectiveness assessment is conducted at each engagement site both before and after receiving Alliance support.	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	
Output 3.1.3: Financial and/or technical support to develop a plan to achieve long-term sustainable financing is provided to on-the-ground implementing partners.			X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X		

Component 4: Global Enabling Conditions to Scale Up Ocean Conservation																			
Outcome 4.1: Collaborative scientific research that advances the field of large-scale and/or transboundary ocean conservation developed and implemented.	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Output 4.1.1: Research projects that advance the field of large-scale ocean conservation that are completed with technical or financial support from Blue Nature Alliance.	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	
Output 4.1.2: Peer-reviewed publications that advance the field of large-scale ocean conservation that are completed with technical or financial support from the Blue Nature Alliance.	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Outcome 4.2: Knowledge management and learning for the fields of large-scale and transboundary ocean conservation has been strengthened and expanded.	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X

Output 4.2.1: Learning initiatives that advance the field of large-scale ocean conservation and/or transboundary ocean governance and that provide training and professional development for ocean conservation practitioners/stakeholders supported.	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Output 4.2.2: New tools, trainings, or innovative approaches for large-scale ocean conservation developed and disseminated, including via regional entities.	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Output 4.2.3: Collaboration and coordination of NGOs, funders, and other implementors, working to advance MPAs, regional collaboration and ocean conservation at scale increased.	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Output 4.2.4: Results of and lessons from Blue Nature Alliance investments shared at international conferences, with the IW:LEARN and LME:LEARN communities of practitioners and with regional entities.	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Component 5: Monitoring & Evaluation Plans Inform Adaptive Management.																				

Outcome 5.1: Monitoring and evaluation framework for the Blue Nature Alliance in place and used.	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Output 5.1.1: Alliance monitoring and evaluation program implemented.	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Output 5.1.2: Results from monitoring and evaluation program included in progress reports and evaluations.	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X

APPENDIX III: Project Results Monitoring Plan

Expected Outcomes and Indicators	Metrics	Methodology	Baseline	Location	Frequency	Responsible Parties
Objective: To catalyze the conservation of 1.25 billion hectares of ocean ecosystems, to help build resilience, enhance ecosystem connectivity and function, and safeguard biodiversity.						
a. Ocean conservation areas created or under improved management for conservation and sustainable use. Target=1,250,000,000 hectares (1.25 billion).	# of hectares of ocean conservation created or under improved management for conservation and sustainable use	Literature review of official government documents or MPA databases (e.g., World Database of Protected Areas, MPAtlas). If the size of an ocean conservation area is unknown or unclear, then it will be computed manually using boundary point coordinates and GIS software (e.g. ArcGIS).	0	Global	Semi-Annual	Blue Nature Alliance M&E Manager
b. Level of engagement in IW: Learn: Target=4.	# of experience notes, results notes and presentations shared with IW:LEARN.	Interviews with Blue Nature Alliance staff and implementing partners.	0	Global	Semi-Annual	Blue Nature Alliance M&E Manager; Implementing Partners
c. Number of direct beneficiaries disaggregated by gender as co-benefit of GEF investment. Target=2,467,000 (~ 50% women; ~ 50% men).	# of people that receive socio-economic, recreational or cultural benefits as a result of investments made by the Alliance, including both monetary benefits (e.g., jobs, grants, increased income) and non-monetary benefits (e.g., training, increased knowledge, enhanced experiences). These include the following groups: • MPA site personnel • MPA partner personnel • Implementing partner staff	Interviews with site managers of MPAs and/or implementing partners. Review of workshop and conference agendas, summary documents, and interviews with funded researchers or organizations. Small scale or artisanal fishers: Data on this variable will be estimated using fisheries data from the local government agencies, or if unavailable, using the Sea Around Us database. Since it may not always be possible to only count those small-scale fishers that maintain access to fishing inside MPA after it is established, our assumption is that they will benefit in the long term	0	Global	Semi-Annual	Blue Nature Alliance M&E Manager; Implementing Partners

APPENDIX III: Project Results Monitoring Plan

Expected Outcomes and Indicators	Metrics	Methodology	Baseline	Location	Frequency	Responsible Parties
	• Small-scale or artisanal fishers • People employed in post-harvest jobs of small-scale fisheries • Tourist service providers • MPA site visitors • People living within 1 km of MPA • Number of workshop or trainings participants.	even though they may experience short-term losses. People employed in post-harvest jobs of small-scale fisheries: Data on this variable will be estimated by multiplying the number of small-scale or artisanal fishers metric (see above) by 2.7 (based on global estimates in World Bank 2012 report). This data variable will be disaggregated by gender using the assumption that ~85% of people in this workforce are women (FAO 2020). Tourism Service providers: Data on this variable will be collected by interviewing the government agency responsible for managing the MPA or the local tourism authority. Data should be disaggregated by gender. Site visitors: Data on this variable will be collected by the government agency responsible for managing the MPA, or if unavailable, estimated from the government tourist office based on visitors of the area where MPA is located.				
Component 1: Site Scoping						
Indicator 1.1: Number of sites that meet Alliance criteria with developed engagement frameworks. Target=25.	# of engagement frameworks developed	Review of Alliance site engagement key documents and interviews with relevant Alliance staff.	The Alliance will have completed 10 engagement frameworks by GEF project start	Global	Semi - Annual	Blue Nature Alliance M&E Manager

APPENDIX III: Project Results Monitoring Plan

Expected Outcomes and Indicators	Metrics	Methodology	Baseline	Location	Frequency	Responsible Parties
			up.			
Indicator 1.1.1: Number of sites where the Blue Nature Alliance completes desktop assessments. Target=30.	# of desktop assessments conducted	Review of Alliance site engagement key documents and interviews with relevant Alliance staff.	20	Global	Semi - Annual	Blue Nature Alliance M&E Manager
Indicator 1.1.2: Number of sites where the Blue Nature Alliance completes advanced scoping. Target=25	# of advanced scoping sites	Review of Alliance site engagement key documents and interviews with relevant Alliance staff.	7	Global	Semi - Annual	Blue Nature Alliance M&E Manager
Indicator 1.1.3: Number of site-based engagement frameworks developed**.** Target=25.	# of site-based engagement frameworks developed	Review of Alliance site engagement key documents and interviews with relevant Alliance staff.	4	Global	Semi - Annual	Blue Nature Alliance M&E Manager
Indicator 1.1.4: Number of engagement sites approved for investment. Target=20.	# of engagement sites approved for investment	Review of Alliance site engagement key documents and interviews with relevant Alliance staff.	4	Global	Semi - Annual	Blue Nature Alliance M&E Manager
Component 2: New Protection of Key Ocean Geographies						
Indicator 2.1: Total area (hectares) of new designated ocean conservation area that received financial and/or technical investment from the Blue Nature Alliance. Target=750 million hectares.	# of hectares new designated ocean conservation areas that received financial and/or technical support from the Alliance	Literature review of official government documents or MPA databases (e.g., World Database of Protected Areas, MPAtlas). If the size of an ocean conservation area is unknown or unclear, then it will be computed manually using boundary point coordinates and GIS software (e.g. ArcGIS). Review of Alliance engagement frameworks and workplans, as well as interviews with Blue Nature Alliance staff that lead the engagements with a site.	0	Global	Semi - Annual	Blue Nature Alliance M&E Manager

APPENDIX III: Project Results Monitoring Plan

Expected Outcomes and Indicators	Metrics	Methodology	Baseline	Location	Frequency	Responsible Parties
Indicator 2.1.1a.: Number of engagement sites that receive Blue Nature Alliance investment in order to achieve legal recognition of a new or expanded ocean conservation area. Target=10.	# of Alliance engagement sites with new or expanded ocean conservation area that is officially gazetted	Literature review of official government documents, engagement frameworks and workplans, as well as interviews with Blue Nature Alliance staff that lead the engagements with a site.	0	Global	Semi - Annual	Blue Nature Alliance M&E Manager
Indicator 2.1.1b.: Percent of engagement sites that achieve legal recognition of a new or expanded ocean conservation area. Target=75%.	Total # of Alliance engagement sites # of Alliance engagement sites that achieve legal recognition of a new or expanded ocean conservation area	Literature review of official government documents, engagement frameworks and workplans, as well as interviews with Blue Nature Alliance staff that lead the engagements with a site.	0	Global	Semi - Annual	Blue Nature Alliance M&E Manager
Indicator 2.1.2: Percentage of the engagement sites that achieve legal recognition that document a management effectiveness baseline. Target=100%.	Total # of engagement sites # of engagement sites with a management effectiveness baseline	Review of Alliance engagement frameworks and workplans, as well as interviews with Blue Nature Alliance staff that lead the engagements with a site. Management effectiveness assessment may be conducted via a MPA effectiveness scorecard or other methodology that is most appropriate to site (e.g., listing major management effectiveness achievements such as management plan completed, surveillance system implemented, etc.).	0	Global	Semi - Annual	Blue Nature Alliance M&E Manager; Implementing Partners
Indicator 2.1.3: Percentage of the	Total # of engagement sites	Review of Alliance engagement frameworks and workplans, as well	0	Global	Semi - Annual	Blue Nature Alliance M&E Manager

APPENDIX III: Project Results Monitoring Plan

Expected Outcomes and Indicators	Metrics	Methodology	Baseline	Location	Frequency	Responsible Parties
engagement sites that achieve legal recognition that have a plan for reaching long-term sustainable financing. Target=50%	# of sites that achieve legal recognition # of sites that have long-term sustainable financing plan	as interviews with Blue Nature Alliance staff that lead the engagements with a site. Review of scorecard will be completed by Alliance financing working group in consultation with key staff of each engagement site. Data on this indicator may also be collected through an MPA management effectiveness scorecard.				
Component 3: Improved Protection of Key Ocean Geographies						
Indicator 3.1: Total area of existing ocean conservation areas with legally upgraded levels of protection and/or with improved management effectiveness that received financial and/or technical investment from the Blue Nature Alliance. Target=500 million hectares.	# of sites with areas with legally upgraded levels of protection and/or with improved management effectiveness # of hectares with legally upgraded levels of protection and/or with improved management effectiveness	Literature review of official government documents or MPA databases (e.g., World Database of Protected Areas, MPAtlas). If the size of an ocean conservation area is unknown or unclear, then it will be computed manually using boundary point coordinates and GIS software (e.g. ArcGIS). Review of Alliance engagement frameworks and workplans, as well as interviews with Blue Nature Alliance staff that lead the engagements with a site.	0 sites 0 hectares	Global	Semi - Annual	Blue Nature Alliance M&E Manager
Indicator 3.1.1: Number of engagement sites that receive Blue Nature Alliance investment with the aim of upgrading protections or improving management. Target=10 (although less is acceptable if the	# of Alliance sites with goal of upgrading protection or improving management	Review of Alliance engagement frameworks and workplans, as well as interviews with Blue Nature Alliance staff that lead the engagements with a site.	0	Global	Semi - Annual	Blue Nature Alliance M&E Manager

APPENDIX III: Project Results Monitoring Plan

Expected Outcomes and Indicators	Metrics	Methodology	Baseline	Location	Frequency	Responsible Parties
spatial targets 2.1 and 3.1 are on track).						
Indicator 3.1.2: Percentage engagement sites that conduct an assessment of management effectiveness before and after Blue Nature engagement. Target=100%.	Total # of engagement sites # of engagement sites with a management effectiveness baseline # of engagement sites with a management effectiveness assessment post-investment	Review of Alliance engagement frameworks and workplans, as well as interviews with Blue Nature Alliance staff that lead the engagements with a site. Management effectiveness assessment may be conducted via a MPA effectiveness scorecard or other methodology that is most appropriate to site (e.g., listing major management effectiveness achievements such as management plan completed, surveillance system implemented, etc.).	0	Global	Semi - Annual	Blue Nature Alliance M&E Manager
Indicator 3.1.2b: Percentage of engagement sites that achieve their target for management effectiveness improvement and/or proposed status upgrade. Target=75%.	# of Alliance sites that conduct a management effectiveness assessment before and after investment # of Alliance sites that reach their target for management effectiveness improvement # of Alliance sites with legally upgraded levels of protection	Review of Alliance engagement frameworks and workplans, as well as interviews with Blue Nature Alliance staff that lead the engagements with a site. Management effectiveness assessment may be conducted via a MPA effectiveness scorecard or other methodology that is most appropriate to site (e.g., listing major management effectiveness achievements	0	Global	Semi - Annual	Blue Nature Alliance M&E Manager
Indicator 3.1.3: Percent of engagement sites with a plan for reaching	# of sites that have long-term sustainable financing plan	Review of scorecard that will be completed by Alliance financing	0	Global	Semi - Annual	Blue Nature Alliance M&E Manager

APPENDIX III: Project Results Monitoring Plan

Expected Outcomes and Indicators	Metrics	Methodology	Baseline	Location	Frequency	Responsible Parties
long-term sustainable financing. Target=75%.		working group in consultation with key staff of each engagement site.				
Component 4: Global Enabling Conditions to Scale Up Ocean Conservation						
Indicator 4.1: Number of peer-reviewed scientific publications and/or technical reports published on topics that advance the field of large-scale ocean conservation.	# of peer-reviewed scientific publications or technical reports published.	Documentation of publications.	0	Global	Semi - Annual	Blue Nature Alliance M&E Manager
Indicator 4.1.1: Number of research projects that advance the field of large-scale ocean conservation. Target=5.	# of research projects	Review of grants, contracts and interviews with funded researchers or organizations.	4	Global	Semi - Annual	Blue Nature Alliance M&E Manager
Indicator 4.1.2: Number of peer-reviewed publications advance the field of large-scale ocean conservation. Target = 10.	# of peer reviewed publications # of technical reports published	Review of the literature, interviews with funded researchers or organizations.	0 peer reviewed publications 0 technical reports published	Global	Semi - Annual	Blue Nature Alliance M&E Manager
Indicator 4.2: Number of individuals with enhanced knowledge, capacity, and tools to implement ocean conservation at scale and/or transboundary ocean governance. Target=500 (at least 33% of whom are women).	# of individuals trained # of women trained # of men trained	Workshop and conference agendas, summary documents, and interviews with funded researchers or organizations.	0	Site	Semi - Annual	Blue Nature Alliance M&E Manager
Indicator 4.2.1: Number of participants disaggregated by sex in learning initiatives	# of participants # of women participants	Workshop and conference agendas, summary documents, and interviews with funded researchers or organizations	0	Site	Semi - Annual	Blue Nature Alliance M&E Manager

APPENDIX III: Project Results Monitoring Plan

Expected Outcomes and Indicators	Metrics	Methodology	Baseline	Location	Frequency	Responsible Parties
supported by Blue Nature Alliance. Target=500 (at least 33% of whom are women).	# of men participants					
Indicator 4.2.2: Number of new tools, trainings and innovations developed and disseminated. Target=5.	# of trainings developed # of tools developed # of innovations developed	Review of grants, contracts and interviews with funded researchers or organizations.	0 trainings 0 tools 0 innovations	Global	Semi - Annual	Blue Nature Alliance M&E Manager; Implementing Partners
Indicator 4.2.3: Number of organizations and agencies participating in partner convenings and meetings hosted by the Blue Nature Alliance. Target=20.	# of participating organizations	Review of meeting minutes, agendas or interviews with people that attend those meetings.	0	Site	Semi - Annual	Blue Nature Alliance M&E Manager; Implementing Partners
Indicator 4.2.4a: Number of presentations given by Blue Nature Alliance partners on results and lessons learned. Target=100.	# of presentations	Interviews with Blue Nature Alliance staff and implementing partners.	0	Global	Semi - Annual	Blue Nature Alliance M&E Manager
Indicator 4.2.4b: Number of Experience Notes produced by the Alliance and shared with IW:LEARN. Target=10.	# of experience notes produced # of experience notes shared with IW:LEARN	Interviews with Blue Nature Alliance staff and implementing partners Targeted interviews with relevant community members.	0	Global	Semi - Annual	Blue Nature Alliance M&E Manager
Indicator 4.2.4c: Number of Results Notes produced by the Alliance and shared with IW:LEARN. Target=10.	# of results notes produced # of results notes shared with IW:LEARN	Interviews with Blue Nature Alliance staff and implementing partners Targeted interviews with relevant community members.	0	Global	Semi - Annual	Blue Nature Alliance M&E Manager

APPENDIX III: Project Results Monitoring Plan

Expected Outcomes and Indicators	Metrics	Methodology	Baseline	Location	Frequency	Responsible Parties
Component 5: Monitoring & Evaluation Plans Inform Adaptive Management						
Indicator 5.1: Percent of required reports and evaluations completed. Target=100%.	# of reports and evaluations completed # of reports and evaluations expected	Review of Alliance reports and evaluations, as well as interviews with Blue Nature Alliance staff that lead the engagements with a site.	0	Global	Semi - Annual	Blue Nature Alliance M&E Manager
Indicator 5.1.1: Implementation of Alliance monitoring and evaluation plan at both the portfolio and site level implemented. Target=1 portfolio-level, & 1 for each site.	% indicators at portfolio level collected % indicators at site level collected	Review and gap analysis of indicators collected; interviews with Blue Nature Alliance staff that lead the engagements with a site.	1 portfolio-level	Global	Semi - Annual	Blue Nature Alliance M&E Manager
Output 5.1.2: Percentage of Alliance progress reports that include information from implementation of monitoring and evaluation plan. Target: 100%	# of Alliance progress reports # of Alliance progress reports with M&E plan	Review of Alliance engagement frameworks and workplans, as well as interviews with Blue Nature Alliance staff that lead the engagements with a site.	0 Alliance progress reports 0 Alliance progress reports	Global	Semi - Annual	Blue Nature Alliance M&E Manager
Safeguard Plans						
Accountability and Grievance Mechanism						
Number of conflict and complaint cases reported to the project's Accountability and Grievance Mechanism.	# of conflict cases reported # of complaint cases reported	Review of complaints filed through Blue Nature grievance mechanism. This will include a database that will be used to track the receipt and processing of grievances.	0 conflict cases reported 0 complaint cases reported	Site	Annual	Blue Nature Alliance Safeguards Advisor; Implementing Partners
Percentage of conflict and complaint cases reported to the project's Accountability and Grievance Mechanism that have been addressed.	# of conflict cases reported # of complaint cases reported # of conflict and complaint cases addressed	Review of complaints filed through Blue Nature grievance mechanism. This will include a database that will be used to track the receipt and processing of grievances. If necessary, will also interview Alliance staff that involved with addressing claims.	0 conflict cases reported 0 complaint cases reported	Site	Annual	Blue Nature Alliance Safeguards Advisor

APPENDIX III: Project Results Monitoring Plan

Expected Outcomes and Indicators	Metrics	Methodology	Baseline	Location	Frequency	Responsible Parties
			0 conflict and complaint cases addressed			
Gender Mainstreaming						
Number of men and women that participated in project activities (e.g. meetings, workshops, consultations);	# of men participants # of women participants	Review of workshop and conference agendas, summary documents, and interviews with funded researchers or organizations.	0 men 0 women	Site	Annual	Implementing Partner
Number of men and women that received benefits (e.g. employment, income generating activities, training, access to natural resources, land tenure or resource rights, equipment, leadership roles) from the project; and if relevant.	# of men beneficiaries # of women beneficiaries	Data on this variable will be collected by reviewing Alliance grants and interviewing grantees. Data should be disaggregated by gender.	0 men 0 women	Site	Annual	Implementing Partner
Number of strategies, plans (e.g. management plans and land use plans) and policies derived from the project that include gender considerations.	# of strategies with gender considerations # of plans with gender considerations # of policies with gender considerations	Review of strategies, plans and policies and interviews with funded researchers or organizations.	0 strategies with gender considerations 0 plans with gender considerations 0 policies with gender considerations	Site	Annual	Implementing Partner
Stakeholder Engagement						
Number of government agencies, civil society organizations, private	# of stakeholder groups involved in implementation	Review of grants, contracts and interviews with funded researchers or organizations.	0	Site	Annual	Implementing Partner

APPENDIX III: Project Results Monitoring Plan

Expected Outcomes and Indicators	Metrics	Methodology	Baseline	Location	Frequency	Responsible Parties
sector, indigenous peoples and other stakeholder groups that have been involved in the project implementation phase on an annual basis.						
Number persons (sex disaggregated) that have been involved in project implementation phase (on an annual basis).	# of men involved in project implementation # of women involved in project implementation	Review of grants, contracts and interviews with funded researchers or organizations.	0 men involved in project implementation 0 women involved in project implementation	Site	Annual	Implementing Partner
Number of engagement (e.g. meeting, workshops, consultations) with stakeholders during the project implementation phase (on an annual basis).	# of stakeholder engagements	Review of grants, contracts and interviews with funded researchers or organizations.	0 stakeholder engagements	Site	Annual	Implementing Partner

APPENDIX IV: GEF-7 Core Indicators

GEF 7 Core Indicator Worksheet

Core Indicator 1	Terrestrial protected areas created or under improved management for conservation and sustainable use					*(Hectares)*
		Hectares (1.1+1.2)				
		Expected		Achieved		
		PIF stage	Endorsement	MTR	TE	
Indicator 1.1	Terrestrial protected areas newly created					
Name of Protected Area	WDPA ID	IUCN category	Hectares			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
		(select)				
		(select)				
		Sum				
Indicator 1.2	Terrestrial protected areas under improved management effectiveness					
Name of Protected Area	WDPA ID	IUCN category	Hectares	METT Score		
				Baseline		Achieved
				Endorsement	MTR	TE
		(select)				
		(select)				
		Sum				
Core Indicator 2	Marine protected areas created or under improved management for conservation and sustainable use					*(Hectares)*
		Hectares (2.1+2.2)				
		Expected		Achieved		
		PIF stage	Endorsement	MTR	*TE*	
		1,250,000,000	*1,250,000,000*			
Indicator 2.1	Marine protected areas newly created					
Name of Protected Area	WDPA ID	IUCN category	Hectares			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
		(select)	*750,000,000*	*750,000,000*		
		(select)				
		Sum				
Indicator 2.2	Marine protected areas under improved management effectiveness					
	WDPA ID	IUCN category	Hectares	METT Score *		
				Baseline		Achieved

Name of Protected Area				PIF stage	Endorsement	MTR	TE
		(select)	500,000,000				
		(select)					
		Sum					
Core Indicator 3	**Area of land restored**						*(Hectares)*
				Hectares (3.1+3.2+3.3+3.4)			
				Expected		Achieved	
				PIF stage	Endorsement	MTR	TE
Indicator 3.1	Area of degraded agricultural land restored						
				Hectares			
				Expected		Achieved	
				PIF stage	Endorsement	MTR	TE
Indicator 3.2	Area of forest and forest land restored						
				Hectares			
				Expected		Achieved	
				PIF stage	Endorsement	MTR	TE
Indicator 3.3	Area of natural grass and shrublands restored						
				Hectares			
				Expected		Achieved	
				PIF stage	Endorsement	MTR	TE
Indicator 3.4	Area of wetlands (including estuaries, mangroves) restored						
				Hectares			
				Expected		Achieved	
				PIF stage	Endorsement	MTR	TE
Core Indicator 4	**Area of landscapes under improved practices (hectares; excluding protected areas)**						*(Hectares)*
				Hectares (4.1+4.2+4.3+4.4)			

		Expected		Expected	
		PIF stage	Endorsement	MTR	TE
Indicator 4.1	Area of landscapes under improved management to benefit biodiversity				

			Hectares		
			Expected		Achieved
		PIF stage	Endorsement	MTR	TE

Indicator 4.2	Area of landscapes that meet national or international third-party certification that incorporates biodiversity considerations				
Third party certification(s):			Hectares		
			Expected		Achieved
		PIF stage	Endorsement	MTR	TE

Indicator 4.3	Area of landscapes under sustainable land management in production systems				
			Hectares		
			Expected		Achieved
		PIF stage	Endorsement	MTR	TE

Indicator 4.4	Area of High Conservation Value Forest (HCVF) loss avoided				
Include documentation that justifies HCVF			Hectares		
			Expected		Achieved
		PIF stage	Endorsement	MTR	TE

Core Indicator 5	**Area of marine habitat under improved practices to benefit biodiversity**				*(Hectares)*
Indicator 5.1	Number of fisheries that meet national or international third-party certification that incorporates biodiversity considerations				
Third party certification(s):			Number		
			Expected		Achieved
		PIF stage	Endorsement	MTR	TE
Indicator 5.2	Number of large marine ecosystems (LMEs) with reduced pollution and hypoxial				

			Number			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
Indicator 5.3	Amount of Marine Litter Avoided					
			Metric Tons			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
Core Indicator 6	**Greenhouse gas emission mitigated**					***(Metric tons of CO₂e)***
			Expected metric tons of CO₂e (6.1+6.2)			
			PIF stage	Endorsement	MTR	TE
		Expected CO2e (direct)				
		Expected CO2e (indirect)				
Indicator 6.1	Carbon sequestered or emissions avoided in the AFOLU sector					
			Expected metric tons of CO₂e			
			PIF stage	Endorsement	MTR	TE
		Expected CO2e (direct)				
		Expected CO2e (indirect)				
		Anticipated start year of accounting				
		Duration of accounting				
Indicator 6.2	Emissions avoided Outside AFOLU					
			Expected metric tons of CO₂e			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
		Expected CO2e (direct)				
		Expected CO2e (indirect)				
		Anticipated start year of accounting				
		Duration of accounting				
Indicator 6.3	Energy saved					
			MJ			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE

Indicator 6.4	Increase in installed renewable energy capacity per technology					
		Technology	Capacity (MW)			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
		(select)				
		(select)				
Core Indicator 7	**Number of shared water ecosystems (fresh or marine) under new or improved cooperative management**					***(Number)*** ***3***
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
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
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
		tbd (at least 3 shared water ecosystems)	*1*	*4*		
Core Indicator 8	**Globally over-exploited fisheries Moved to more sustainable levels**					***(Metric Tons)***
Fishery Details			Metric Tons			
			PIF stage	Endorsement	MTR	TE
Core Indicator 9	**Reduction, disposal/destruction, phase out, elimination and avoidance of chemicals of global concern and their waste in the environment and in processes, materials and products**					***(Metric Tons)***

		Metric Tons (9.1+9.2+9.3)			
		Expected		Achieved	
		PIF stage	PIF stage	MTR	TE
Indicator 9.1	Solid and liquid Persistent Organic Pollutants (POPs) removed or disposed (POPs type)				

POPs type			Metric Tons			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
(select)	(select)	(select)				
(select)	(select)	(select)				
(select)	(select)	(select)				

Indicator 9.2	Quantity of mercury reduced					
			Metric Tons			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE

Indicator 9.3	Hydrochloroflurocarbons (HCFC) Reduced/Phased out					
			Metric Tons			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE

Indicator 9.4	Number of countries with legislation and policy implemented to control chemicals and waste					
			Number of Countries			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE

Indicator 9.5	Number of low-chemical/non-chemical systems implemented particularly in food production, manufacturing and cities					
	Technology		Number			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE

Indicator 9.6	Quantity of POPs/Mercury containing materials and products directly avoided					
			Metric Tons			
				Expected		Achieved
			PIF stage	Endorsement	PIF stage	Endorsement

Core Indicator 10	Reduction, avoidance of emissions of POPs to air from point and non-point sources						*(grams of toxic equivalent gTEQ)*
Indicator 10.1	Number of countries with legislation and policy implemented to control emissions of POPs to air						
			Number of Countries				
			Expected		Achieved		
			PIF stage	Endorsement	MTR	TE	
Indicator 10.2	Number of emission control technologies/practices implemented						
			Number				
			Expected		Achieved		
			PIF stage	Endorsement	MTR	TE	
Core Indicator 11	**Number of direct beneficiaries disaggregated by gender as co-benefit of GEF investment**						*(Number)*
			Number				
			Expected		Achieved		
			PIF stage	Endorsement	MTR	TE	
		Female	*1,128,000*	*1,233,500*			
		Male	*1,272,000*	*1,233,500*			
		Total	*2,400,000*	*2,467,000*			

*Notes: The project will contribute approximately 500,000,000 hectares to Core Indicator 2.2: Marine protected areas under improved management effectiveness. However, the project will not necessarily employ the METT Scorecard for those hectares. Each site will select a management effectiveness assessment methodology that it useful and appropriate for that site and will be applied consistently throughout this project. If new assessment methodologies are developed as part of this project, then they will be shared as part of IW:LEARN initiative.

The project will work in at least 3 marine ecosystems that contribute to Core Indicator 7, Number of shared water ecosystems (fresh or marine) under new or improved cooperative management. This number will be revisited and possibly increased during the midterm project review.

APPENDIX V: Safeguard Screening Form and Analysis

CI-GEF PROJECT AGENCY

SCREENING RESULTS AND SAFEGUARD ANALYSIS

I.   PROJECT INFORMATION

A.   Basic Project Profile

Countries: Global	**GEF Project ID**: 10375
Project Title: Blue Nature Alliance to expand and improve conservation of 1.25 billion hectares of ocean ecosystems	
Executing Agency: Blue Nature Alliance	
GEF Focal Area: International Waters (IW)	
GEF Project Amount: $22,635,780	
CI-GEF Project Manager: Free DeKoning	
Safeguard Analysis Performed and Approved by: Ian Kissoon	
Date of Review: January 27, 2020	

B.   Summary of Project Risk Categorization, Safeguards Triggered and Mitigation Plans Required

Project Category:	Category A	Category B	Category C
		X	
The proposed project activities are likely to have minimal or no adverse environmental and social impacts.			
Safeguards Triggered (during Screening process; subject to change when ESIAs are completed):			

☒ Environmental and Social Assessment, Management and Monitoring   ☒ Accountability, Grievance and Conflict Resolution

☐ Indigenous Peoples   ☐ Cultural Heritage

☐ Restrictions on Land Use and Involuntary Resettlement   ☐ Resource Efficiency and Pollution Prevention

☐ Labour and Working Conditions   ☐ Community Health, Safety and Security

☐ Biodiversity Conservation and the Sustainable Management of Living Natural Resources

Mitigation Measures Required:	
☒ Accountability and Grievance Mechanism	☒ Environment & Social Impact Assessment
☒ Stakeholder Engagement Plan	☐ Environmental Management Plan
☒ Gender Mainstreaming Plan	☐ Cultural Heritage Management Plan
☐ Indigenous Peoples Plan	☐ Process Framework for NR Restrictions
☐ Labour and Working Condition Procedures	☐ Res. Efficiency Pollution & Prevention Plan
☐ Community Health, Safety and Security Plan	☒ ESF for grant-making mechanism

C. Project Objective:

To catalyze the effective conservation of at least 1.25 billion hectares of ocean in order to safeguard global ocean biodiversity, build resilience to climate change, promote human wellbeing, and enhance ecosystem connectivity and function.

D. Project Description:

Conservation International (CI), the Pew Charitable Trusts (Pew), two private foundations, and the Global Environment Facility (GEF), have joined together to form the Blue Nature Alliance (the Alliance). The Alliance aims to raise and deploy at least $125 million into ocean conservation worldwide. Current partners, CI, Pew, the Rob and Melani Walton Foundation, and the Minderoo Foundation have each committed US$25 million to the Alliance. Through a US$25 million investment in this project, the Global Environmental Facility (GEF) has become the fifth core partner in the Alliance.

With this investment secured, the objective of the Blue Nature Alliance is to catalyze the conservation of 1.25 billion hectares of ocean. This will include:
1) 750 million hectares of new or expanded ocean conservation areas legally recognized
2) 500 million hectares of previously established ocean conservation areas with upgraded protections and/or improved management made up of:
   a. 100 million hectares of upgraded protection: the portion of a site that is legally upgraded (i.e. designated) to a higher level of protection will be counted; and
   b. 400 million hectares of existing conservation areas under improved management: the site must have improved MPA management effectiveness score to be counted

The general approach/main activities of the Alliance are to:
- Invest resources (grant-funding and technical support) to catalyze the establishment of at least 750 million hectares of new or expanded ocean conservation areas, as measured by legal recognition;
- Invest resources (grant-funding and technical support) to support the strengthening of at least 500 million hectares of previously established ocean conservation areas through upgraded protection level as measured by legal recognition and/or through measurable improvement to management effectiveness, as measured by a change in management effectiveness score;

- Invest resources (grant-funding and technical support) in new science, tools, capacity, and innovations directly related to the fields of large-scale and transboundary ocean conservation in order to establish the global enabling conditions necessary to reach the global goal of protecting 30 percent of the world's oceans.

In addition to directly investing in new and existing ocean conservation areas, the Alliance will invest a small portion of the project capital to cultivate the global enabling conditions that are needed to reach the ambitious goal of protecting 30 percent of the ocean. This investment will include scientific research (funded with co-financing), and knowledge management and learning initiatives to advance the fields of large-scale and transboundary ocean conservation.

E. **Project location and biophysical characteristics relevant to the safeguard analysis:**

The Alliance will invest in at least 20 sites (upwards of 50 sites is possible) around the world. The Alliance will use the following six criteria to evaluate potential sites:

- Significance – The site has local, regional and global significance for nature (i.e. global biodiversity significance, including concentrations of endemic or threatened species as well as particularly healthy, productive, connected, and representatives' ecosystems vital for ocean health and food security). Significance, for people (i.e. economically, socially, culturally), either locally or globally, will be additionally factored in, although investment will not be restricted to places with human populations.
- Political Will – There is a stated interest, ideally a written commitment, by decision-making authority of a national, sub-national, or indigenous community leadership. In addition, we will look for an expressed commitment to match or co-support the project – this can be achieved through government revenues, tourism fees, landing fees, local staffing, etc.
- Leverage – Investment by the Alliance incentivizes additional resources targeted at >2x the Alliance investment. Based upon past experience (i.e. the Global Conservation Fund) and receptivity from governments, the Alliance is confident that is achieve this target.
- Local Engagement – This is a local champion to drive the process forward in a participatory way, and community organizations, local leaders and/or coalitions are engaged in conservation and have requested support. In the case of indigenous-led initiatives, this particular criterion will be more important that explicit government support. And, in the case of the high seas, the Alliance anticipates engaging with Regional Fisheries Management Organizations (RFMOs) and other regional bodies, as applicable.
- Achievable – The intended project outcome has a high probability of success not only for the immediate policy or management action, but for that action to lead to sustainable protection including the resources (human and financial) needed to achieve the conservation goal(s) for the long-term.
- Catalytic – Outcomes catalyze momentum for durable protections, innovative approaches or unprecedented new scales of conservation in that region.

The Alliance aims to deploy the vast majority of project capital directly into the creation,

expansion, or improved management of ocean conservation areas, inclusive of key biodiversity hotspots, coastal habitats, such as coral reefs, mangroves, and kelp forests, and open ocean ecosystems, including highly productive seamounts and essential fish habitat for ocean health and food security.

As mentioned above, the biological significance of a site will be a prime factor in the identification of sites that will be supported by the Alliance. Global biodiversity significance, including concentrations of endemic or threatened species as well as particularly healthy, productive, connected, and representatives' ecosystems vital for ocean health and food security are some the factors that will
be considered and evaluated along with the other criteria listed above.

F. Executive Agency (EA)'s Institutional Capacity for Safeguard Policies:

The EA indicated capability and experience in implementing the safeguard requirements, including administering two conservation funding programs at CI: the Critical Ecosystem Partnership (CEPF) and the Global Conservation Fund (GCF) which have deployed a combined total of at least $350 million to more than 2,300 grantees in nearly 100 countries. The project will also support key staff positions specifically to oversee and provide technical guidance to implementing partners as well as to monitor the implementation of safeguard requirements within the grant-making process.

II. SAFEGUARDS TRIGGERED BY THE PROJECT

Based on the information provided by the EA in the Screening Form, the following safeguards were triggered:

Safeguard Triggered	Yes	No	TBD	Justification
1. Environmental & Social Impact Assessment (ESIA)	X			*The project proposes to create or expand 750 million hectares of ocean conservation areas and improve the management of 500 million hectares. In keeping with the CI-GEF ESMF Policy (Para 38 (a)), the project is required to prepare ESIAs for these areas.*
2. Accountability and Grievance Mechanism	X			*The EA outlined an existing grievance mechanism platform and experience complying with grievance mechanism requirements. The EA also indicated plans to develop a Grievance Mechanism for the project*
3. Biodiversity Conservation and the Sustainable Management of Living Natural Resources		X		*The project is not proposing activities that would have adverse impacts on natural or critical natural habitats, contravene applicable international environmental treaties or agreements or introduce or use potentially invasive, non-indigenous species.*
4. Restrictions on Land Use and Involuntary Resettlement			X	*The project may restrict the use of and access to natural resources. The ESIA must address this issue and develop a Process Framework for each site where restriction occurs.*
5. Indigenous Peoples			X	*The project may work in lands or territories traditionally owned, customarily used, or occupied by indigenous peoples. The ESIA must address this issue and develop an Indigenous Peoples Plan for each site where this safeguard is triggered.*
6. Cultural Heritage			X	*The project may work in areas where cultural heritage, both tangible and intangible, exists. The ESIA must address this issue and develop a Cultural heritage Plan for each site where this safeguard is triggered.*
7. Resource Efficiency and Pollution Prevention		X		*There are no proposed activities related to the use of banned, restricted or prohibited substances, chemicals or hazardous materials.*
8. Labor and Working Conditions			X	*The EA has in place the necessary policies, procedures, systems and capabilities that meets the requirements set out in the GEF Minimum Standard 8 and plans to develop an Operations Manual consistent with these policies, procedures and system for the Alliance. The Manual must be in place for each site, particularly where infrastructure works will occur.*
9. Community Health, Safety and Security			X	*The project may expose communities to Health, Safety and Security risks depending on the nature of activities (e.g. patrolling to improve management of conservation areas). The ESIA must address this issue and develop a Community Health, Safety and Security Plan for each site where this safeguard is triggered.*

III. PROJECT CATEGORIZATION

Based on the information provided by the EA in the Screening Form, the project is categorized as follows:

PROJECT CATEGORY	Category A	Category B	Category C
		X	

Justification: The proposed project has the potential to cause adverse environmental and social impacts on human populations or environmentally or socially important areas. However, these impacts are site-specific; few if any of them are irreversible; and in most cases mitigation measures can be designed more readily than for Category A projects.

IV. MANAGEMENT OF SAFEGUARDS TRIGGERED

The EA is required to undertake the following measures:

I. *Limited ESIAs (During the Implementation Phase)*

From the CI-GEF ESMF:

"38. *CI has preliminarily identified five types of project activities that may result in adverse environmental and social impacts that may be associated with CI-GEF projects, arising from:*

> a) **Protected area creation, expansion or management improvement**: *although desirable and often necessary for conservation of biodiversity and ecosystem services, creation or expansion of protected areas carries the possibility of limiting access to natural resources and thus impacting livelihoods of local communities*"

From the GEF's updated ESS Policy:

*"Restrictions on Land Use means limitations or prohibitions on the use of agricultural, residential, commercial or other land that are directly introduced and put into effect as part of a project or program, **including but not limited to restrictions on access to legally designated parks and protected areas**, restrictions on access to other common property resources, and restrictions on land use within utility easements or safety zones*

*Where a project may restrict the access of Indigenous Peoples to parks and protected areas, at a minimum, **the project involves the affected Indigenous Peoples in the planning and management of the park or protected area**, and key species"*

Projects involving protected areas must therefore address IP and Restrictions on Land Use and Involuntary Resettlement safeguards.

These above requirements by CI and GEF can be addressed through a limited ESIA. The content for the Limited ESIA must include, but not limited to the following:
- Executive Summary
- Introduction, particularly on how the project is set up and managed; and key stakeholders and their involvement (past and planned) in the creation and improved management of the protected areas

- Location and extent of the geography, including legible map; and the institutional, historical, legal and political context
- Biological context of the geography, particularly species and ecosystems of global importance, the state of the biological systems and predicted climate change impacts
- Socio-economic context of the geography, including economic activities, income and poverty situation; how men, women and vulnerable groups use and depend on the areas; extent of gender-based violence and existing response systems; and the presence of Indigenous Peoples and Cultural Heritage Sites;
- The proposed intervention in the geography and expected outcomes; and alternatives
- The impacts (both positive and negative) of the proposed intervention on
  - Biodiversity
  - Climate change
  - Men, women and vulnerable groups (both social and economic)
  - Gender-based violence
  - Indigenous Peoples
  - Cultural Heritage
  - Labor and working conditions
  - Community Health, Safety and Security
- Mitigation measures/plans to prevent any undesirable impacts described above
- Monitoring framework, including indicators and metrics for measuring impacts

The ESIA is to be carried out for each selected geography where the Alliance will invest GEF funding. Given that the geographies may not be selected during the PPG Phase, the ESIAs can take place at the beginning of the Implementation Phase which will avail more resources and time. The limited ESIA may not require extensive on the ground consultation as with a full ESIA.

The project itself has outlined the following:

"As a first step towards selecting sites, the Alliance has conducted a desktop scoping of global EEZs, from which it has identified an initial list of sites, each with a specific and tangible opportunity, that could potentially benefit from Alliance investment (see figure below). This list will continue to be revisited and strengthened over the course of the project. The Alliance will engage in advance scoping, including participatory and gender-sensitive diagnostic assessment, and coalition building for sites with promising opportunities (more details on this process is described in component 1 and 2). Based on the advanced scoping and stakeholder consultation process, the Alliance will develop a proposed engagement framework for the site. Through a two-step process, sites may be recommended and approved for investment by a representative Steering Council consisting of primary donors."

As such, the limited ESIA is an expansion and more streamlined approach of the advanced scoping and engagement framework the project proposes to do. The limited ESIA will address all the safeguards questions and provide the project with pertinent information for site selection.

Section 1: During the PPG Phase

 II. *ESF for the Grant-making mechanism*
Since the project may not be able to define specific sub-projects that will receive grant funding at this stage, the EA is required to develop an Environmental and Social Framework (ESF) that the grant-making mechanism will put in place to ensure that all grantees comply with the CI-GEF Environmental and Social Safeguard requirements. The ESF can be folded into the proposed Operational Manual or the design of the granting mechanism and should include how the mechanism will screen and hold grantees accountable to the CI-GEF ESMF requirements.

 III. *Accountability and Grievance Mechanism*
To ensure that the project complies with the GEF's Accountability and Grievance Mechanism Standard, the EA is required to develop an Accountability and Grievance Mechanism (CI-GEF template provided) that will ensure people affected by the project are able to bring their grievances to the EA for consideration and redress. The mechanism must be in place before the start of project activities, and also disclosed to all stakeholders in a language, manner and means that best suits the local context.

In addition, the EA is required to monitor and report on the following minimum accountability and grievance indicators:

1. *Number of conflict and complaint cases reported to the project's Accountability and Grievance Mechanism; and*

2. *Percentage of conflict and complaint cases reported to the project's Accountability and Grievance Mechanism that have been addressed.*

 IV. *Gender Mainstreaming*
To ensure that the project complies with the GEF's Gender Policy, the EA is required to prepare a Gender Mainstreaming Plan.

In addition, the EA is required to monitor and report on the following minimum gender indicators:

 1. *Number of men and women that participated in project activities (e.g. meetings, workshops, consultations);*
 2. *Number of men and women that received benefits (e.g. employment, income generating activities, training, access to natural resources, land tenure or resource rights, equipment, leadership roles) from the project; and if relevant*
 3. *Number of strategies, plans (e.g. management plans and land use plans) and policies derived from the project that include gender considerations.*

 V. *Stakeholder Engagement*

To ensure that the project complies with the GEF's Stakeholders' Engagement Policy, the EA is required to develop a Stakeholder Engagement Plan.

In addition, the EA is required to monitor and report on the following minimum stakeholder engagement indicators:

1. *Number of government agencies, civil society organizations, private sector, indigenous peoples and other stakeholder groups that have been involved in the project implementation phase on an annual basis;*
2. *Number persons (sex disaggregated) that have been involved in project implementation phase (on an annual basis); and*
3. *Number of engagement (e.g. meeting, workshops, consultations) with stakeholders during the project implementation phase (on an annual basis)*

V.   EXPECTED DISCLOSURE DATES

All plans must be submitted to the CI-GEF Project Agency for review and approval during the PPG Phase according to the PPG workplan. The limited ESIAs must also be submitted for review and approval by the CI-GEF Project Agency and these can be developed and submitted during the Implementation Phase (unless they are done during the PPG Phase). Following approval, the plans must be disclosed as follows:

Plan	CI Disclosure Date	EA Disclosure Date
Environmental & Social Framework for the grant-making mechanism	*Within 15 days of CI-GEF approval*	*Within 30 days of CI-GEF approval*
Accountability and Grievance Mechanism	*Within 15 days of CI-GEF approval*	*Within 30 days of CI-GEF approval*
Limited Environmental & Social Impact Assessment (ESIA)	*Within 15 days of CI-GEF approval*	*Within 30 days of CI-GEF approval*
Voluntary Resettlement Action Plan (V- RAP)/ Process Framework	*NA*	*NA*
Indigenous Peoples Plan (IPP)	*NA*	*NA*
Cultural Heritage Management Plan	*NA*	*NA*
Resource Efficiency and Pollution Prevention	*NA*	*NA*
Labor and Working Conditions Procedures	*NA*	*NA*
Community Health, Safety and Security Plan	*NA*	*NA*
Stakeholder Engagement Plan (SEP)	*Within 15 days of CI-GEF approval*	*Within 30 days of CI-GEF approval*

Gender Mainstreaming Plan (GMP)	*Within 15 days of CI-GEF approval*	*Within 30 days of CI-GEF approval*

APPENDIX VI: Safeguard Compliance Plans

As described in the ProDoc Section 4, the Blue Nature Alliance has prepared the following documents to ensure compliance with all safeguard measures required by the CI-GEF Agency.

- **APPENDIX VI-a:** Engagement Framework Template
- **APPENDIX VI-b:** Blue Nature Alliance Accountability and Grievance Mechanism
- **APPENDIX VI-c:** Blue Nature Alliance Safeguards Packet for implementing partners
- **APPENDIX VI-d:** Executive Summary of the Blue Nature Alliance Code of Conduct
- **APPENDIX VI-e:** Blue Nature Alliance Environmental and Social Framework (ESF)
- **APPENDIC VI-f**: Climate Risk Assessment

ENGAGEMENT FRAMEWORK: [Engagement]

Narrative

Section 1: Opportunity

[Opportunity Summary]

Key Interventions: Numbered list of the key interventions Alliance anticipates undertaking to realize the above opportunity.

Alliance Site Lead: [Site Lead]

Lead Partner: [potential local partner]

GEF Eligibility: [GEF Eligible]

Section 2: Summary Context + Background

Map

Brief (~1-3 paragraph) description of place, including social-political background (relevant to the opportunity).

Section 3: Strategy

Detailed descriptions in narrative form of **Key Interventions** we anticipate undertaking that result from the scoping process. The narrative should include for each Intervention: what success looks like, why the intervention is essential to realizing the opportunity, target timelines for completion, Alliance and partner roles, areas of the strategy that may need to evolve over time, possible leverage opportunities (political and financial), and how we will ensure **durability** of the Alliance interventions. The summary can include detail on proposed activities to the extent fleshed out with partners as part of the scoping process.

Section 4: Criteria Assessment

Alliance Criteria	Rating	Summary
Significance	[significance rating]	[significance summary]
Catalytic	[catalytic rating]	[catalytic summary]

Political Will	*[political will rating]*	[political will summary]
Local Engagement	*[local engagement rating]*	[local engagement summary]
Achievable	*[achievable rating]*	[achievable summary]
Leverage	*[leverage rating]*	[leverage summary]

Section 5: Risks

Summary: [Risk Assessment]

Additional risk information, including how we plan to mitigate risks. Questions to consider:

- What are the biggest political and governance risks to achieving the anticipated Alliance outcome?
- What are the biggest social and community risks to achieving the anticipated Alliance outcome?
- What are the potential risks to Alliance staff and partners implementing the Alliance project?
- What climate change vulnerabilities put the success and/or durability of the project at risk?
- What other vulnerabilities do we need to be thinking about?
- What are the possible preventative and mitigating measures the Alliance could implement in anticipation of these risks?

Section 6: Projected Timeframe and Cost Estimate

Key Intervention	*Phase 1* *timeframe covered*	*Phase 2* *Timeframe covered*
1. key intervention 1 (may be shortened from full version above)	$	$
2. key intervention 2 (may be shortened from full version above)	$	$
3. key intervention 3 (may be shortened from full version above)	$	$
4. key intervention 4 (may be shortened from full version above)	$	$
Alliance technical input across all interventions	$	$
Engagement Total	$	$
		$

Section 7: Success Measures

Clear statement of what requirements must be met for the Alliance to count the area of this engagement against our 18 million square kilometer goal.

Section 8: Partner Assessment

	Implementation	Leverage		
Partner Name	*Partner Type*		*Key Roles*	*Capacity Considerations*
Name of Partner			1-2 sentence summary of key potential functions	indicate if there are any operational and/or programmatic capacity considerations for this partner and if additional due diligence and/or capacity building is recommended

Section 9: Scoping Methodology

Summary: summary of scoping process (genesis, methods used to collect information, number of interviews/discussions, timeframe, etc.)

*Insights and Barriers***:** 3-5 key insights/barriers to overcome

Partner/stakeholder engagement log

Date	Type of Engagement	Purpose/Topic:	Participants:
date	*e.g. call, online meeting, in person meeting*	*e.g. first discussion, trip planning, presentation, proposal development, next step discussion, high level dialog*	*List partners who participated*

Section 10: Detailed socio-environmental context and potential impacts of engagement

Environmental context: questions to consider:

- What are the unique characteristics of the site?
- What is the biological context of the site?
- What are the key threats to the site?
- What is the climate change and disaster profile of the site?

Socio-economic context: questions to consider:

- How are the site's resources currently used and by whom?
- What are the socio-economic conditions of the general population and of nearby communities in the site?[99]
- What (if any) Indigenous or traditional groups live in, depend on or are connected to the site?[100]
- What are the legal and governance pathways to available to designate new conservation areas and/or make management decisions?
- List and describe the main stakeholder groups important for this site focusing on primary rights holders, including Indigenous groups, and other groups that are strongly connected to the area either through cultural, physical, or economic ties. (One paragraph description - who are they, what are they responsible for, what rights do they hold, what is the scope of their mandate or influence, etc.)

Additional questions for more complicated sites:
- Describe any social concerns related to the socio-economic conditions of the site including economic marginalization, poverty, health, conflict, access to food, or livelihood insecurity.
- Characterize the different resource-based and non-resource-based livelihoods in the area for local communities, Indigenous groups and broader local population.
- Characterize the level of resource dependence of the local communities, Indigenous groups and local population for economic and subsistence uses.

Governance context: questions to consider:

- Characterize pertinent governance laws and policies, agencies and organizations, and decision-making processes related to the opportunity.

Additional questions for more complicated sites:
- Conduct a preliminary evaluation of current governance against criteria for effectiveness (e.g. direction, coordination, capacity, evidence-based, accountable, efficient, adaptable), equity (e.g., recognition, participation, fair, just), and robustness (e.g., legal mandate, political will, public support, legitimacy, connected)
- Describe current stakeholder engagement processes related to ocean governance and marine conservation in the country or site.
- Characterize the level of inclusiveness and participation in site level management planning in the country and/or site. (If Indigenous groups are present, specifically address how Indigenous groups participate in management.)
- Identify whether and how social, economic and cultural considerations are currently taken into account in marine conservation and management decisions.

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[99] This is a requirement as a part of the Limited ESIA mandated by the GEF.
[100] This is a requirement to be in compliance with the Indigenous Peoples safeguard policy of the GEF. If no Indigenous Peoples are present, this section can be removed. (Link to definition of Indigenous People)

Impacts of Alliance Engagement on Stakeholders:

Stakeholder Name and Function	Stakeholder's Interest	Impact of Project on Stakeholder	Influence of Stakeholder
Government (*Add rows as necessary*)			
Example: Ministry of Environment Governing institution for environmental matters in the country. Also serves as the GEF OFP and oversees GEF projects.	What are the stakeholder's main interests in and concerns about the project? Do they have rights to the area?	How will the stakeholder be affected (both positively and negatively) by the project?	How can the stakeholder affect the project? Can they hinder or contribute to the success of the project?
CSOs/NGOs (*Add rows as necessary*)			
Example: XX Women's Group; Advocate for women farmers in XX Village	What are the stakeholder's main interests in and concerns about the project? Do they have rights to the area?	How will the stakeholder be affected (both positively and negatively) by the project?	How can the stakeholder affect the project? Can they hinder or contribute to the success of the project?
Local communities/Indigenous groups (*Add rows as necessary*)			
	What are the stakeholder's main interests in and concerns about the project? Do they have rights to the area?	How will the stakeholder be affected (both positively and negatively) by the project?	How can the stakeholder affect the project? Can they hinder or contribute to the success of the project?
Private Sector (*Add rows as necessary*)			
	What are the stakeholder's main interests in and concerns about the project? Do they have rights to the area?	How will the stakeholder be affected (both positively and negatively) by the project?	How can the stakeholder affect the project? Can they hinder or contribute to the success of the project?
Academia (*Add rows as necessary*)			
	What are the stakeholder's main interests in and concerns about the project? Do they have rights to the area?	How will the stakeholder be affected (both positively and negatively) by the project?	How can the stakeholder affect the project? Can they hinder or contribute to the success of the project?
	What are the stakeholder's main interests in and concerns about the project? Do they have rights to the area?	How will the stakeholder be affected (both positively and negatively) by the project?	How can the stakeholder affect the project? Can they hinder or contribute to the success of the project?
Others (*Add rows as necessary*)			

	What are the stakeholder's main interests in and concerns about the project? Do they have rights to the area?	How will the stakeholder be affected (both positively and negatively) by the project?	How can the stakeholder affect the project? Can they hinder or contribute to the success of the project?

Impacts of Alliance Engagement on Social and Gender dynamics: Questions to consider:

- Characterize how women and men use, access, and depend on resources in the site.
- Describe how women and men participate in decision-making processes and management actions, as well as opportunities for or barriers to women's full participation.
- Identify and compare how women and men will be impacted by project activities and opportunities – including livelihoods, workload, access to resources, etc.
- What are the anticipated positive and negative impacts of achieving the Alliance outcome on gender dynamics between men and women and gender-based violence?
- What are the anticipated positive and negative impacts of achieving the Alliance outcome on cultural heritage?
- What are the anticipated positive and negative impacts of achieving the Alliance outcome on community health, safety and security?

Impacts of Alliance Engagement on Environment: Questions to consider:

- Identify the potential impacts on biodiversity – both positive and negative – of achieving the Alliance outcome. Provide any available scientific evidence and references to support.
- Identify the potential impacts on climate change – both positive and negative – of achieving the Alliance outcome. Provide any available scientific evidence and references to support.

Blue Nature Alliance

Accountability and Grievance Mechanism (AGM) Manual

I.   Acronyms & Definitions

AGM	Accountability and Grievance Mechanism
CI	Conservation International
GEF	Global Environment Facility
AGMC	Accountability and Grievance Mechanism Committee

Complaint is a statement that a situation is unsatisfactory or unacceptable.

Grievance is a wrong or other cause for complaint or protest such as unfair treatment.

Complainant is the party that makes a complaint.

Aggrieved party is any person whose financial, personal, or property rights or interests are adversely affected by an act of another or an order, judgment or statute.

II.   Purpose

Accountability and Grievance Mechanism (AGM) Operations Manual
This AGM Operations Manual outlines the process and procedures to successfully operationalize the Blue Nature Alliance's two-tiered AGM. This document provides specific guidance on the collection, recording, processing, and resolving of grievances at both the site-level and the broader Alliance level. The policies and procedures outlined in this document include the use of best practices to
*   address breaches of policy and procedure;
*   to be independent, transparent and effective;
*   to be accessible to project-affected people;
*   to maintain records on all cases with due regard to confidentiality of complainants' identity and information; and
*   to take appropriate measures to minimize risk of retaliation to complainants.

Site-Level AGM

The purpose of the site-level AGM is to provide project stakeholders with an effective and efficient process for expressing and resolving concerns and complaints. This transparent and accessible process promotes a mutually constructive relationship with partners and stakeholders and reduces the overall risk to the project.

Alliance AGM

The purpose of the Alliance AGM is to mediate and resolve grievances that are unable to be resolved at the site-level. The Alliance AGM is also designed to address high-risk concerns and complaints, such as those that include conflict, fraud or corruption. The Alliance AGM is managed by a neutral party and is empowered to undertake the necessary steps to protect against conflict of interest and maintains the highest standards for transparency.

III. Site-Level AGM

Responsible Persons and Bodies

Accountability and Grievance Mechanism Committee (AGMC)

The AGMC is comprised of select site-level directors and managers with representation from all implementing and partner agencies within a particular site. This body is responsible to
- oversee the running of the AGM under its designated purpose;
- monitor the implementation of decisions and resolutions;
- undertake fact-finding activities when necessary; and
- facilitate dialogue and mediation.

Coordinator

The Coordinator is responsible for day-to-day management of the AGM process, which includes
- receiving, logging, and storing complaints in paper form as well as in an electronic database;
- reviewing, processing, and acknowledging complaints when they are received;
- assessing and categorizing complaints based on their substance;
- assigning suitable persons to conduct any information gathering and/or to develop appropriate responses to complaints;
- following up with the complainant to inform them of the status of their complaint, what the steps are in the process of addressing the complaint and when they will next be updated;
- reporting and coordinating with the AGMC and the Blue Nature Alliance Safeguards Advisor on the processing of all complaints received.

Alliance Safeguards Advisor

The Alliance Safeguards Advisor is responsible for supporting the Coordinator to ensure that the site-level grievance mechanism operates as intended to provide a transparent and open process to resolve grievances. This includes

- conducting the eligibility screening and assessment of grievances;
- supporting the Coordinator to keep complainants informed of the grievance process;
- providing any support or guidance to the Coordinator and/or Committee; and
- Communicating with the Alliance level mechanism to ensure that any sensitive grievances are elevated appropriately.

Blue Nature Alliance Staff and Implementing Partners

Blue Nature Alliance Staff and implementing partners working on the ground in a project site are responsible to

- liaise with local point persons to collect any paper grievance submission forms;
- logging face-to-face grievances within the AGM database;
- receive grievances and immediately record them using site specific forms and procedures; and
- posting Alliance AGM products and materials in appropriate online and physical forums accessible to all stakeholders.
- Disclosing the AGM to key stakeholders in a manner, language and format that suits local context

Local Point Persons

Local Point Persons are chosen based on the preferences of local communities and stakeholder groups and are responsible to receive grievances on behalf of the project site and are expect to

- receive and/or complete the grievance submission forms on behalf of complainants'; and
- store, send and/or transport grievance submission forms to the Coordinator per the site-specific procedures.

Process

1. Submit a Grievance

The aggrieved party must submit a grievance to Local Point Persons, staff from the Blue Nature Alliance or Implementing Partners, or through the online system. The submission of grievances should include the following information:

- name, designation, address and contact information;
- if a complaint is made through a representative, the name/s of the person/s on whose behalf the complaint is made;
- whether the aggrieved party chooses to keep their identify confidential;

- a description of the grievance including location and data/time of its occurrence; and
- a brief description of the impacts of the occurrence.

Grievances can be submitted in-person, electronically, or in written form and submitted per the site-specific contact channels (email address, address, phone number, or designated persons).

2. Receive and Log Grievance

Only staff from the Blue Nature Alliance and Implementing Partners as well as designated Local Point Persons are authorized to collect paper grievances. Furthermore, staff should liaise with Local Point Persons on a regular basis to facilitate the timely collection of grievances from the field. Once received, the grievances should be immediately transmitted to the Coordinator and logged in a database and stored per site-specific procedures.

3. Eligibility Screening

After received and logged, the Coordinator will work with the Alliance Safeguards Advisor to screen the grievance to determine if a grievance is eligible for processing through the AGM. Eligibility is determined by the following criteria:

- Is the grievance made in good faith?
- Does the grievance directly relate to the project?
- Are there other organizations that are more appropriate to address the issue?
- Is the grievance submitted by or on behalf of a person or people affected by the project or program?

Grievances that are found to be outside the scope of the AGM will either be directed to other organizations more appropriate to handle the grievance, or, if not, closed out of the AGM. This includes grievances from complainants who provide ineligible or incorrect information.

4. Acknowledge, Assess, Convene & Assign

Acknowledge

Within a designated timeframe established under the site-specific procedures the Coordinator or Alliance Safeguards Advisor will contact the complainant using the most suitable method available to let them know that the grievance was received, their reference number assigned through the database, next steps in the process and the point of contact. The Coordinator or Alliance Safeguards Advisor will also verify the contact information for the complainant if necessary and ensure that the basic information required to proceed in the AGM process is provided. If the grievance is ineligible to proceed in the AGM, the Coordinator or Alliance Safeguards Advisor should inform the complainant of the reason for ineligibility and direct them to other organizations more appropriate for the complaint if possible.

Assess

Eligible grievances will be assessed based on risk level and category:

Risk Level	Description

1	The complaint is straightforward, the issue is clear, and the solution is obvious and resolutions can be developed and provided immediately. This may include cases where the grievance is: • addressed by sharing available information; • addressed by a straightforward decision/action; • already being investigated; or • in the process of being resolved.
2	The complaint lacks full necessary information and • needs to be investigated for further information and may involve engagement with multiple stakeholders; or • the resolution of the grievance involves action from a particular stakeholder.
3	Grievances with, or with the potential to have, a significant adverse impact on, and interaction with, stakeholders. These may include: • repeated grievances; • clear/strong evidence of (threatened) violence; or • clear/strong evidence of illegal activity, victimization or corruption, etc. • Reputational (to CI or donor)

Categories	Description
Environmental	Grievances related to Blue Nature Alliance or Implementing Partner staff/stakeholders at demonstration sites causing impacts like • destruction to surrounding flora or fauna; • disruption of waterways, water sources, ground water or other important body of water; • air pollution; • water pollution; • noise pollution; or • accumulation of garbage.
Non-compliance	Grievances related to Blue Nature Alliance or Implementing Partner staff/stakeholders refusing to • respect indigenous rights, laws or land; • use provided personal protective equipment while on site; or • obey instructions given from on-site (demonstration site) authority. • Violating labor and working conditions? • Causing risk to community health, safety and security?
Violence (including Gender Based Violence)	Grievances related to • clear/strong evidence of persons (male, female, child) abused in any way by Blue Nature Alliance or Implementing Partner staff or stakeholders; or • violence as a result of project activities.
Discrimination	Grievances related to persons who were not consulted in implementation of project activities based on gender, ethnicity, etc.

The results of the assessment of the grievance should be documented and recorded by the Coordinator per site-specific procedures.

Convene & Assign

Following the acknowledgement and assessment of the grievance, the Coordinator will then convene the AGMC within a set timeframe as determined by the site-specific procedures. Based on the risk and category of the grievance, the AGMC will review and assign persons to spearhead the resolution of the grievance and set an appropriate timeframe to develop resolution and present it to the aggrieved party. Depending on the sensitivity of the grievance, the AGMC may also stipulate how the assigned persons should engage with the relevant stakeholders. Any necessary resources needed to address the grievance will also be allocated.

In the case of high risks and grievances that merit a Risk Level 3 risk categorization, the grievance should be elevated to the Alliance AGM (see Section IV. Alliance AGM).

5. Development of a Response

After the assigned persons are designated by the AGMC to develop a resolution, two potential responses can be considered:

1. direct action based on the available information; or
2. further assessment and information gathering is needed to determine the most appropriate action. This may include
   a. engagement/negotiation with the complainant;
   b. engagement with other stakeholders; or
   c. field visits and fact-finding missions.

Grievance responses, whether direct action or further investigations, should consider the complainants views about the desired outcomes or process for grievance resolution. The response may suggest a specific remedy or an approach for how to settle the grievance.

Assigned persons should develop a proposed response to the aggrieved party that includes

- a clear explanation of the response and why it is being proposed; and
- what the complainant's choices are, given the proposed response. For example:
  o Agreement to proceed
  o Further dialogue on proposed action
  o Participation in proposed assessment and engagement process

The AGMC is responsible for reviewing and approving a proposed response before it is communicated to the aggrieved party. If the AGMC is unable to come to an agreement, the grievance is then elevated to the Alliance AGM.

6. Agreement and Implementation of a Response

The Coordinator or Alliance Safeguards Advisor is responsible for communicating the proposed response to the aggrieved party within the timeframe designated by the AGMC. The aggrieved party can choose to agree or disagree with the proposed response. The response is then recorded and logged in a database by the Coordinator according to site-specific procedures. The AGMC is responsible for monitoring the implementation of decisions and agreements made with the aggrieved party.

If the aggrieved party agrees with the proposed response, the AGMC can proceed with the proposed response. In cases, where the proposed response is to initiate investigations or engage stakeholders, a collaborative process may be conducted by a neutral third party as agreed to by both the aggrieved party and the stakeholders in question. This process should clarify

- the issues and events that led to the complaint;
- the stakeholders involved in those issues and events;
- the stakeholders' views, interests, and concerns;
- whether key stakeholders are willing and able to engage in a joint, collaborative process (which may include joint fact finding, dialogue and/or negotiation) to resolve the issues;
- how the stakeholders will be represented, and what their decision-making authority will be;
- what work plan and timeframe the stakeholders would use to work through the issues; and
- what resources they will need and who will contribute those resources.

Whether or not a collaborative process appears viable, the Coordinator or Alliance Safeguards Advisor will communicate the assessment findings to the complainant and other stakeholders, with a recommendation on how to proceed. A report on the proposed response, and the actions that followed that result will be sent by the AGMC to the involved parties.

If the aggrieved party disagrees with the proposed response, the Coordinator will log the disagreement to the response in the AGM database per site-specific procedures and will draft a review of the reasons for disagreement and suggest another approach. This review of the reasons for disagreement and alternative approach should be reviewed and approved by the AGMC within a designated timeframe before being communicated to the aggrieved party.

If the aggrieved party still disagrees after reviewing the alternative approach suggested by the Coordinator or Alliance Safeguards Advisor, the aggrieved party will be informed about other alternatives that may be available, including the use of judicial or other alternative mechanisms for recourse.

Other alternatives (after using the AGM) available to the aggrieved party include

- CI Ethics Hotline under the Alliance AGM
- GEF Commissioner
  The aggrieved party must first refer the matter to the Alliance AGM before the grievance may be submitted to the GEF Commissioner. If the aggrieved party is not satisfied with the outcome of the Alliance AGM, the grievance may be submitted to the GEF Commissioner.
- Court of Law
  If the aggrieved party is not satisfied with the outcome from the GEF they can refer the matter to a Court of Law for redress.

In the case of a successful resolution from the proposed response from the AGMC, the Coordinator will log into the AGM database and document the satisfactory resolution. In cases where there have been minor risks, impacts and/or negative publicity, written documentation from the aggrieved party including satisfaction with the response will be encouraged.

In cases of an unusual response to the proposed response from the AGMC, the Coordinator will

- document the steps taken;
- document communication with the aggrieved party (and other stakeholders if there has been substantial effort to initiate or complete a multi-stakeholder process); or
- document the decisions made by the AGMC and the aggrieved party about referral or recourse to other alternatives, including legal alternatives.

Monitoring & Transparency

All complaints received will be entered into an electronic database. All grievance submissions processed by the AGM must be entered into this database which will also allow for tracking and documenting of any and all steps taken in the AGM process. This database will also be used by the Blue Nature Alliance to generate analysis of the grievances received, including the number of grievances under investigation or closed out, as well as the geographic distribution of grievances.

Information stored in the AGM database will only be accessible through a login system, with an associated audit trial feature. This feature tracks changes made to the grievance entries, when they were made, and with what login credential. This is meant to deter any attempts to alter illegally any records within the database. A detailed guide to use and manage the AGM database will be made available.

- ## Operational Protocols for the AGM Committee

The AGMC as the highest decision-making body in the Site-Level AGM. All members of the AGMC, which are designated when the AGM is established prior to on-the-ground implementation, must be consulted on all grievances that are deemed eligible by the Alliance Safeguards Advisor. In the event that the AGMC is not in agreement on the handling of a grievance, that grievance is to be elevated to the Alliance AGM.

IV.   Alliance AGM

Responsible Persons and Bodies

Alliance Accountability and Grievance Mechanism (AGM) Committee
The Alliance AGM Committee will be comprised of the following
- Select staff from CI and PEW chosen by the Blue Nature Alliance Technical Director

- CI's Senior Director of Risk Management and Compliance
- Blue Nature Alliance Safeguards Advisor
- Technical expertise to be selected and included on the purview of CI's Senior Director of Risk Management and Compliance

It is the responsibility of the joint Alliance AGM Committee is to
- review and facilitate the provision of expert guidance on grievances;
- work collaboratively under the management of CI's Senior Director of Risk Management and Compliance to develop appropriate responses to grievances;
- work collaboratively with the assistance of mediators to reach acceptable agreement with aggrieved parties; and
- oversee the implementation of decisions and fact-finding activities as determined by the Alliance AGM Committee.

CI's Senior Director of Risk Management and Compliance
It is the responsibility of CI's Senior Director of Risk Management and Compliance to act as a neutral party and to
- manage the Alliance AGM process;
- determine the eligibility of complaints;
- convene the Alliance AGM Committee including persons with the appropriate expertise to review and address grievances on an ad hoc basis;
- maintain communication with the complainant throughout the process;
- provide expert guidance to resolve and/or escalate grievances; and
- oversee the transparency of the Alliance AGM including the reporting and documenting of the individual grievances as they are processed.

Blue Nature Alliance Safeguards Advisor
The Blue Nature Alliance Safeguards Advisor is responsible to
- provide technical expertise, training and guidance to Alliance staff, Implementing Partners and grantees on an ad hoc basis;
- monitor and report on the functioning of the Alliance AGM system overall including flagging any high-risk situations for review by the Alliance AGM;
- support CI's Senior Director of Risk Management and Compliance to address and resolve grievances through the Alliance AGM.

Process

1. Referral or Submission of a Grievance
It is expected and advised that the majority of grievances addressed by the Alliance AGM will have already been reviewed and addressed by the Site-Level AGM. Grievances escalate from

the Site-Level AGM to the Alliance AGM either because an agreement with the aggrieved party could not be reached or the grievance presents a high level of risk. Grievances should be referred to the Alliance AGM by the designated Site-Level Coordinator in collaboration with the Blue Nature Alliance Safeguards Advisor. The Alliance AGM may accept grievances directly without having been reviewed at the Site-Level if appropriate and at the discretion of CI's Senior Director of Risk Management and Compliance.

Grievances can be submitted directly to the Alliance AGM through the following contact channels:

Online:	https://secure.ethicspoint.com
Electronic email:	alliancegrievance@conservation.org
Mailing address:	Director of Compliance Conservation International 2011 Crystal Drive, Suite 500 Arlington, VA 22202, USA.

The submission of grievances should include the following information:
- names, designations, addresses, and contact information of the complainants and their representative(s);

- if a complaint is made through a representative, identification of the project-affected people on whose behalf the complaint is made and evidence of the authority to represent them;

- whether the complainants choose to keep their identities confidential;

- a brief description of the Alliance-funded project with the project name and location;

- an explanation of the complainants' claim that the alleged direct and material harm is, or will be, caused by the Alliance's alleged failure to follow its operational policies and procedures during the formulating, processing, or implementing the Alliance-funded project;

- a description of the operational policies and procedures that have not been complied with by the Alliance during the formulating, processing, or implementing the Alliance-funded project;

- a description of the complainants' good faith efforts to address the problems first with the operations department concerned, and the results of these efforts; and

- a description of the complainants' efforts to address the problems with the project-level grievance redress mechanisms concerned, and the results of these.

2. Log Grievance

Once received or referred, all grievances must be logged into the NAVEX Ethics Platform.

3. Eligibility Screening

Grievances are screened by CI's Senior Director of Risk Management and Compliance to determine if a grievance is eligible for processing through the Alliance AGM. Eligibility is determined by the following criteria:

- relates to a project or program in which CI is implementing or executing;

- complainant has informed the Alliance and/or implementing partner of complaint and has worked with them towards identifying a solution by following the conflict resolution framework;

- is submitted by or on behalf of a person or people affected by the project or program; and

- raises potential issues relating to compliance with the Alliance's Environmental and Social Safeguard Policy, Indigenous Peoples Policy, and Gender Policy.

Grievances that are found to be outside the scope of the Alliance AGM will either be directed to other organizations more appropriate to handle the grievance, or, if not, closed out of the Alliance AGM. This includes grievances from complainants who provide ineligible or incorrect information.

4. Processing the Complaint

Based on determination, the Director of Compliance and Risk Management will either process the complaint or designate a person or panel to conduct a thorough and objective review of grievance as needed. Any designated person or panel will report to the Director of Compliance and Risk Management. This review can include in-country inspections, interviews of project-affected people, and comprehensive information gathering to allow a factual determination of the issues raised and a reliable basis for any recommendations made. The Director of Compliance and Risk Management will issue reports with findings to requesters and all stakeholders involved.

5. Development of a Response

Based on reports, the Alliance AGM Committee will assist parties to engage in resolving the problem. This may include: facilitating a consultative dialogue, promoting information sharing, undertaking joint fact-finding, facilitating establishment of a mediation mechanism, and/or using other approaches to problem solving. Remedial actions involving a change in the project require approval from the Alliance Leadership Team who will then inform the Blue Nature Alliance Steering Council.

Upon completion of processing of the complaint, the Director of Compliance and Risk Management, Alliance AGM Committee or designated person creates a report summarizing the complaint, steps to resolve the issues, the parties' decisions, and the parties' agreement, if any. This report will be made available to all parties involved.

The Director of Compliance and Risk Management will monitor implementation of decisions. As part of the monitoring process all parties involved will be consulted and the Director of Compliance and Risk Management will prepare monitoring reports on implementation of remedial actions to be sent to involved parties and submits them to them for information.

Conclusion of the process occurs after monitoring of remedial actions is completed. The Alliance AGM Committee prepares a final report and submits report to all parties involved.

6. Agreement and Implementation of a Response

The aggrieved party can choose to agree or disagree with the proposed response. The response is then recorded and logged in the NAVEX Ethics Platform by CI's Senior Director on Risk Management and Compliance. The Alliance AGM Committee is responsible for monitoring the implementation of decisions and agreements made with the aggrieved party. A report on the proposed response, and the actions that followed that result will be sent by the Alliance AGM Committee to the involved parties.

If the aggrieved party is unsatisfied with the response, the aggrieved party will be informed about other alternatives that may be available, including the use of judicial or other alternative mechanisms for recourse.

Other alternatives (after using the AGM) available to the aggrieved party include

- GEF Commissioner
  If the aggrieved party is not satisfied with the outcome of the Alliance AGM, the grievance may be submitted to the GEF Commissioner.

Mr. Peter Lallas GEF Conflict Resolution Commissioner E-mail: plallas@thegef.org	Address: Global Environment Facility The World Bank Group, MSN N8-800 1818 H Street, NW Washington, DC 20433-002

- Court of Law
  If the aggrieved party is not satisfied with the outcome from the GEF they can refer the matter to a Court of Law for redress.

7. AGM for Non-Compliance with Alliance Safeguard Policies

For cases related to non-compliance on the part of the Alliance in the implementation of environmental and social safeguards, the Director of Compliance and Risk Management does an initial determination of the eligibility of request based on the Exclusion Criteria as described below.

Based on determination, the Director of Compliance and Risk Management will either follow up on complaint (reject complaint based on exclusion criteria) or designate a panel to conduct as needed a thorough and objective review of the grievance. The panel should consist of 2-5 members with technical expertise in environmental and social safeguards and should have at

least one member with knowledge and experience of working in the country where the grievance took place.

The panel will review the case looking at eligibility criteria, etc. Based on the initial review, the panel will send findings to the Director of Compliance and Risk Management.

If the case is not eligible for the grievance review process, the panel will notify the Director of Compliance and Risk Management.

If the panel determines that the case warrants further review through the grievance process, the Director of Compliance and Risk Management will notify the CI-GCF Agency and CI Leadership Group on panel findings. The Director of Compliance and Risk Management will also convene a meeting of Alliance Management Team to discuss the panel review with Alliance Steering Council. The purpose of this meeting is two-fold: 1) the Alliance Management Team will explain the actions of the team in relation to the complaint and 2) can serve as a mitigation measure.

Alliance Management Team will draft a management response to the complaint which the Director of Compliance and Risk Management will provide to the panel.

The Panel will notify all parties involved and will draft a Terms of Reference (TOR) for a full review and provide to all parties for comments. The Director of Compliance and Risk Management will authorize the TOR for the review.

The Panel will conduct the full review based on the approved TOR. The review can include desk reviews, meetings, discussions, and site visits.

The Panel will provide a draft report to the complainants and the Director of Compliance and Risk Management for comments. The Director of Compliance and Risk Management will ensure that Alliance Management Team provides comments to the report.

The Panel will issue a final report based on comments received from complainants and Alliance Leadership Team.

If the report concludes that the Alliance's noncompliance caused direct and material harm, Alliance Management Team will propose remedial actions.

The Director of Compliance and Risk Management will communicate remedial actions to the Panel who will then communicate these actions along with the final report to the complainants involved.

The Director of Compliance and Risk Management will monitor implementation of remedial actions and will prepare annual monitoring reports for submission to Alliance Leadership Team.

Monitoring and final reports will be included in the Complaints Registry (available online) and will be available to all parties involved.

Compliance review will not investigate the country or executing entities. The conduct of these parties will be considered only when relevant to the assessment of Alliance, compliance with all policies related to the GEF process, including Environmental and Social Safeguards. Compliance review does not provide judicial-type remedies such as injunctions or monetary damages.

Exclusions

Complaints will be excluded from accountability, problem solving and compliance review functions if:

- It is not related to the Alliance's actions or omissions during formulating, processing, or implementing GEF-funded projects;

- Complainants have not made good faith efforts to address the problem with the implementing partner or Alliance;

- Two or more years have passed since the grant closing date of the Alliance project;

- It is frivolous, malicious, trivial, or generated to gain competitive advantage;

- It is about the procurement of goods and services, including consulting services;

- It is about fraud or corruption in Alliance-funded projects or by Alliance staff;

- It is about the adequacy or suitability of Alliance's existing policies and procedures;

- It is not within the jurisdiction of Alliance's Accountability and Grievance Mechanisms, or related to Alliance personnel matters; and/or

- It is about Alliance non-operational housekeeping matters, such as finance and administration.

- Any integrity related grievance related to may be reported through CI's EthicsPoint hotline at: https://secure.ethicspoint.com

The grievance review function also excludes complaints that:

- Are the responsibility of other parties such as the National Government or implementing partner, unless the conduct of these other parties is directly relevant to the assessment of Alliance compliance with its operational policies and procedures;

- Do not involve Alliance noncompliance with its operational policies and procedures;

- Relate to the laws, policies, and regulations of the country, unless this directly relates to Alliance compliance with its operational policies and procedures; and/or

- Are about matters already considered by the Compliance Team unless new evidence is presented and unless the subsequent complaint can be readily consolidated with the earlier complaint.

Remedial actions to mitigate the non-compliance

Recognizing that each situation regarding non-compliance will be project specific, the following actions are proposed steps to mitigate the lack of compliance. The Director of Compliance and Risk Management (with direction from the General Counsel) will conduct the following actions:

a) Work with the Alliance to understand any deviations from Alliance Operations Manual and the ESMF;

b) Propose corrective actions (adaptive management) with a corresponding timeline;

c) Ensure that compliance issues are included in the Financial Management and Control Framework (related to managing institutional risk).

In cases of non-compliance on Alliance funded projects, the Alliance Management Team will be accountable to Alliance Steering Council. The role of the Alliance Management Team is to ensure that all Alliance policies and procedures were followed in the implementation of Alliance-funded projects.

In case of continuous non-compliance actions to be taken by the Alliance. If the Compliance Review process determines that the Alliance is in continuous non-compliance, the Alliance Steering Council will have the authority to cancel, suspend or terminate the project, and will notify the GEF Secretariat.

Information disclosure: Printed materials about the accountability and grievance review process will be distributed as widely as possible, specifically at the field program where the project is being implemented and/or executed. The accountability and grievance review process will also be made publicly available on the Alliance's website. The stakeholder consultation process is one of the mechanisms that can be used to resolve conflicts. The Alliance Operations Manual details the ESMF that includes the Accountability and Grievance Mechanism as part of the implementation of the safeguards

- Basic information about the complaint review procedures;

- Instructions for how to file a complaint;

- Detailed rules of procedure;

- A registry of complaints, including basic information about the complaint and the complaint's status;

- Draft and final terms of reference and investigation reports as discussed above; and

- Annual reports describing the compliance review activities.

8. Grievance Close Out

In the case of a successful resolution from the proposed response from the Alliance AGM Committee, CI's Senior Director of Risk Management and Compliance will document the satisfactory resolution in the NAVEX Ethics Platform. In cases where there have been minor

risks, impacts and/or negative publicity, written documentation from the aggrieved party including satisfaction with the response will be encouraged.

In cases of an unusual response to the proposed response from the Alliance AGM Committee, the CI's Senior Director of Risk Management and Compliance will

- document the steps taken;
- document communication with the aggrieved party (and other stakeholders if there has been substantial effort to initiate or complete a multi-stakeholder process); or
- document the decisions made by the Alliance AGM Committee and the aggrieved party about referral or recourse to other alternatives, including legal alternatives.

Monitoring & Transparency

All grievance submissions processed by the Alliance AGM must be entered into the NAVEX Ethics Platform which will also allow for tracking and documenting of all steps taken in the AGM process.

AGM Appendix A: Site-Level AGM Start-Up Checklist

In the initial phases of establishing a project site under the Blue Nature Alliance, a specific Site-Level AGM will need to be established in order to provide project stakeholders with an effective and efficient process for expressing and resolving concerns and complaints.

The following check-list provides guidance for new project sites to set up a Site-Level AGM:

☐ **Create Specific Site-Level AGM Manual**
Appendix B of this document is a Site-Level AGM Manual template that can be used to create a site-specific AGM Manual. Follow the prompts within the template to customize the AGM to the specific site context.

☐ **Designate Site-Level Coordinator**
Each project site should have a designated Coordinator who will be responsible for managing the site-level AGM. The Coordinator should be a Blue Nature Alliance or lead implementing partner staff and should have dedicated time and funding to support performing the role of Coordinator. The Coordinator will work closely with the Blue Nature Alliance Safeguards Advisor to successfully build, manage and implement the site-level AGM.

☐ **Designate Site-Level Accountability and Grievance Mechanism Committee (AGMC)**
The Site-Level AGMC should be composed of 3-7 representatives from the Alliance and Implementing Partners. Each Implementing Partner responsible for implementation in a site should designate one representative to sit on the AGMC. The description of roles and responsibilities of the AGMC are outlined in Section III. Site-Level AGM of this document.

☐ **Designate Site-Level AGM Contacts**
In order to be properly accessible to the stakeholders on the ground, site-level AGM contacts should be designated. Depending on the stakeholders in a specific site, one or more local contacts should be designated to serve as contact points for stakeholders to submit grievances. Local contacts can be individuals, local government, or local organizations that have a physical office or presence in the site. With the assistance of the Blue Nature Alliance Safeguards Advisor, the designated local contacts will be briefed on their responsibilities to receive grievances from local stakeholders and pass them on to the Site-Level Coordinator.

☐ **Create Site-Level AGM Promotional Materials**
To spread awareness of the AGM and provide local stakeholders with the pertinent information to submit grievances, a series of promotional materials will be created using templates and with the assistance of the Blue Nature Alliance Safeguard Manager. These materials can include posters and brochures that can be made available to stakeholders at meetings and consultations as well as in the officer of local partner organizations.

AGM Appendix B: Site-Level AGM Manual Template

I. Purpose

Accountability and Grievance Mechanism (AGM) Operations Manual

This AGM Operations Manual outlines the process and procedures to successfully operationalize the Site-Level AGM for [enter name of site] under the Blue Nature Alliance. This document provides specific guidance on the collection, recording, processing, and resolving of grievances at the site-level. The policies and procedures outlined in this document include the use of best practices to

- address breaches of policy and procedure;
- to be independent, transparent and effective;
- to be accessible to project-affected people;
- to maintain records on all cases with due regard to confidentiality of complainants' identity and information; and
- to take appropriate measures to minimize risk of retaliation to complainants.

Site-Level AGM

The purpose of the site-level AGM is to provide project stakeholders with an effective and efficient process for expressing and resolving concerns and complaints. This transparent and accessible process promotes a mutually constructive relationship with partners and stakeholders and reduces the overall risk to the project.

Alliance AGM

The purpose of the Alliance AGM is to mediate and resolve grievances that are unable to be resolved at the site-level. The Alliance AGM is also designed to address high-risk concerns and complaints, such as those that include conflict, fraud or corruption. The Alliance AGM is managed by a neutral party and is empowered to undertake the necessary steps to protect against conflict of interest and maintains the highest standards for transparency.

II. Responsible Persons and Bodies

Accountability and Grievance Mechanism Committee (AGMC)

The AGMC is comprised of select site-level directors and managers with representation from all implementing and partner agencies within a particular site. This body is responsible to

- oversee the running of the AGM under its designated purpose;
- monitor the implementation of decisions and resolutions;
- undertake fact-finding activities when necessary; and
- facilitate dialogue and mediation.

For [enter name of site], the AGMC will consist of the following individuals:

1. [name, title, organization]

2. [name, title, organization]
3. [name, title, organization]
4. ….

Alliance Safeguards Advisor

The Alliance Safeguards Advisor is responsible for supporting the Coordinator to ensure that the site-level grievance mechanism operates as intended to provide a transparent and open process to resolve grievances. This includes

- conducting the eligibility screening and assessment of grievances;
- supporting the Coordinator to keep complainants informed of the grievance process;
- providing any support or guidance to the Coordinator and/or Committee; and
- Communicating with the Alliance level mechanism to ensure that any sensitive grievances are elevated appropriately.

Coordinator – Alliance Grants and Contracts Manager

The Coordinator is responsible for day-to-day management of the AGM process, which includes

- receiving, logging, and storing complaints in paper form as well as in an electronic database;
- reviewing, processing, and acknowledging complaints when they are received;
- facilitate the committee to assign suitable persons to conduct any information gathering and/or to develop appropriate responses to complaints;
- following up with the complainant to inform them of the status of their complaint, what the steps are in the process of addressing the complaint and when they will next be updated;
- reporting and coordinating with the AGMC and the Blue Nature Alliance Safeguards Manager on the processing of all complaints received.

For [enter name of site], the Coordinator will be [enter name, title, organization].

Blue Nature Alliance Staff and Implementing Partners

Blue Nature Alliance Staff and implementing partners working on the ground in a project site are responsible to

- liaise with local point persons to collect any paper grievance submission forms;
- logging face-to-face grievances within the AGM database;
- receive grievances and immediately record them using site specific forms and procedures; and
- posting Alliance AGM products and materials in appropriate online and physical forums accessible to all stakeholders.

- Disclosing the AGM to key stakeholders in a manner, language and format that suits local context

For [enter name of site], the Alliance, along with the following implementing partners are:

1. [organization, leader/director/representative]
2. [organization, leader/director/representative]
3. [organization, leader/director/representative]
4. ….

Local Point Persons

Local Point Persons are chosen based on the preferences of local communities and stakeholder groups and are responsible to receive grievances on behalf of the project site and are expect to

- receive and/or complete the grievance submission forms on behalf of complainants'; and
- store, send and/or transport grievance submission forms to the Coordinator per the site-specific procedures.

For [enter name of site], the following individuals/organizations have been designated as Local Point Persons:

Individual/Organization	Contact Information
[enter name of individual/organization]	[enter phone, email, local address]
[enter name of individual/organization]	[enter phone, email, local address]
[enter name of individual/organization]	[enter phone, email, local address]

III.   Process

1. Submit a Grievance

The aggrieved party must submit a grievance to Local Point Persons, staff from the Blue Nature Alliance or Implementing Partners, or the Safeguard Coordinator. The submission of grievances should include the following information:

- name, designation, address and contact information;
- if a complaint is made through a representative, the name/s of the person/s on whose behalf the complaint is made;
- whether the aggrieved party chooses to keep their identify confidential;

- a description of the grievance including location and data/time of its occurrence; and
- a brief description of the impacts of the occurrence.

Grievances can be submitted in-person, electronically, or in written form and submitted per the site-specific contacts listed in Section II. Responsible Persons and Bodies.

The primary contact for submission of grievances for [enter name of site] are:

> Address: [enter address for main implementing partner]
>
> Phone: [enter phone number]
>
> Contact: [enter name/organization]

2. Receive and Log Grievance

Only staff from the Blue Nature Alliance and Implementing Partners as well as designated Local Point Persons are authorized to collect paper grievances. Furthermore, staff should liaise with Local Point Persons on a regular basis to facilitate the timely collection of grievances from the field. Once received, the grievances should be immediately transmitted to the Coordinator and logged in a database and stored.

3. Eligibility Screening

After received and logged, the Coordinator will work with the Alliance Safeguards Advisor to screen the grievance to determine if a grievance is eligible for processing through the AGM. Eligibility is determined by the following criteria:

- Is the grievance made in good faith?
- Does the grievance directly relate to the project?
- Are there other organizations that are more appropriate to address the issue?
- Is the grievance submitted by or on behalf of a person or people affected by the project or program?
- [enter any site-specific criteria to consider in addition to the following criteria]
- ....

Grievances that are found to be outside the scope of the AGM will either be directed to other organizations more appropriate to handle the grievance, or, if not, closed out of the AGM. This includes grievances from complainants who provide ineligible or incorrect information.

4. Acknowledge, Assess, Convene & Assign

Acknowledge

Within [enter number days] days the Coordinator or Alliance Safeguards Advisor will contact the complainant using the most suitable method available to let them know that the grievance was received, their reference number assigned through the database, next steps in the process and the point of contact. The Coordinator or Alliance Safeguards Advisor will also verify the contact information for the complainant if necessary and ensure that the basic information required to proceed in the AGM process is provided. If the grievance is ineligible to proceed in

the AGM, the Coordinator or Alliance Safeguards Advisor should inform the complainant of the reason for ineligibility and direct them to other organizations more appropriate for the complaint if possible.

Assess

Eligible grievances will be assessed by the Alliance Safeguards Manager based on risk level and category:

Risk Level	Description
1	The complaint is straightforward, the issue is clear, and the solution is obvious and resolutions can be developed and provided immediately. This may include cases where the grievance is: • addressed by sharing available information; • addressed by a straightforward decision/action; • already being investigated; or • in the process of being resolved.
2	The complaint lacks full necessary information and • needs to be investigated for further information and may involve engagement with multiple stakeholders; or • the resolution of the grievance involves action from a particular stakeholder.
3	Grievances with, or with the potential to have, a significant adverse impact on, and interaction with, stakeholders. These may include: • repeated grievances; • clear/strong evidence of (threatened) violence; or • clear/strong evidence of illegal activity, victimization or corruption, etc. • Reputational (to CI or donor)

Categories	Description (This list is not intended to be exhaustive and will be modified and possibly expanded in order appropriately categorize grievances received.)
Environmental	Grievances related to Blue Nature Alliance or Implementing Partner staff/stakeholders at demonstration sites causing impacts like • destruction to surrounding flora or fauna;

	• disruption of waterways, water sources, ground water or other important body of water; • air pollution; • water pollution; • noise pollution; or • accumulation of garbage.
Non-compliance	Grievances related to Blue Nature Alliance or Implementing Partner staff/stakeholders refusing to • respect indigenous rights, laws or land; • use provided personal protective equipment while on site; or • obey instructions given from on-site (demonstration site) authority. • Violating labor and working conditions? • Causing risk to community health, safety and security?
Violence (including Gender Based Violence)	Grievances related to • clear/strong evidence of persons (male, female, child) abused in any way by Blue Nature Alliance or Implementing Partner staff or stakeholders; or • violence as a result of project activities.
Discrimination	Grievances related to persons who were not consulted in implementation of project activities based on gender, ethnicity, etc.

The results of the assessment of the grievance should be documented and recorded by the Coordinator in the appropriate database as directed by the Blue Nature Alliance Safeguards Manager.

Convene & Assign

Following the acknowledgement and assessment of the grievance, the Coordinator will then convene the AGMC within [enter number of days] days. The AGMC will first be convened virtually and, if determined necessary, convene in person to review the grievance and determine the next steps. The Based on the risk and category of the grievance, the AGMC will assign persons to spearhead the resolution of the grievance and set an appropriate timeframe to develop resolution and present it to the aggrieved party. Depending on the sensitivity of the grievance, the AGMC may also stipulate how the assigned persons should engage with the relevant stakeholders. Any necessary resources needed to address the grievance will also be allocated.

In the case of high risks and grievances that merit a Risk Level 3 risk categorization, the grievance should be elevated to the Alliance AGM (see Section IV. Alliance AGM).

5. Development of a Response

After the assigned persons are designated by the AGMC to develop a resolution, two potential responses can be considered:

- direct action based on the available information; or
- further assessment and information gathering is needed to determine the most appropriate action. This may include
  - engagement/negotiation with the complainant;
  - engagement with other stakeholders; or
  - field visits and fact-finding missions.

Grievance responses, whether direct action or further investigations, should consider the complainants views about the desired outcomes or process for grievance resolution. The response may suggest a specific remedy or an approach for how to settle the grievance.

Assigned persons should develop a proposed response to the aggrieved party that includes

- a clear explanation of the response and why it is being proposed; and
- what the complainant's choices are, given the proposed response. For example:
  - Agreement to proceed
  - Further dialogue on proposed action
  - Participation in proposed assessment and engagement process

Assigned persons and the AGMC should develop a proposed response that aligns with [enter local conflict resolution practices/processes and any local leaders that should be consulted in the development of a response and resolution].

The AGMC is responsible for reviewing and approving a proposed response before it is communicated to the aggrieved party. If the AGMC is unable to come to an agreement, the grievance is then elevated to the Alliance AGM.

6. Agreement and Implementation of a Response

The Coordinator, Alliance Safeguards Advisor or representative from the AGMC will communicate the proposed response to the aggrieved party within the timeframe designated by the AGMC. The aggrieved party can choose to agree or disagree with the proposed response. The response is then recorded and logged in a database by the Coordinator. The AGMC is responsible for monitoring the implementation of decisions and agreements made with the aggrieved party.

If the aggrieved party agrees with the proposed response, the AGMC can proceed with the proposed response. In cases, where the proposed response is to initiate investigations or engage stakeholders, a collaborative process may be conducted by a neutral third party as agreed to by both the aggrieved party and the stakeholders in question. This process should clarify

- the issues and events that led to the complaint;
- the stakeholders involved in those issues and events;
- the stakeholders' views, interests, and concerns;

- whether key stakeholders are willing and able to engage in a joint, collaborative process (which may include joint fact finding, dialogue and/or negotiation) to resolve the issues;
- how the stakeholders will be represented, and what their decision-making authority will be;
- what work plan and timeframe the stakeholders would use to work through the issues; and
- what resources they will need and who will contribute those resources.

Whether or not a collaborative process appears viable, the Coordinator will communicate the assessment findings to the complainant and other stakeholders, with a recommendation on how to proceed. A report on the proposed response, and the actions that followed that result will be sent by the AGMC to the involved parties.

If the aggrieved party disagrees with the proposed response, the Coordinator will log the disagreement to the response in the AGM database. Designated persons from the AGMC will draft a review of the reasons for disagreement and suggest another approach. [Enter any site-specific conflict resolution practices/processes and any local leaders that should be consulted in the development of a response and resolution.] This review of the reasons for disagreement and alternative approach should be reviewed and approved by the AGMC within a designated timeframe before being communicated to the aggrieved party.

If the aggrieved party still disagrees after reviewing the alternative approach suggested by the AGMC, the aggrieved party will be informed about other alternatives that may be available, including the use of judicial or other alternative mechanisms for recourse.

Other alternatives (after using the AGM) available to the aggrieved party include

- Alliance AGM

  Address: Attn: Blue Nature Alliance
  2011 Crystal Drive, Ste 600
  Arlington, VA 20222

  Email: alliancegrievance@conservation.org

  CI's Ethics Hotline: https://secure.ethicspoint.com

- GEF Commissioner
  If the aggrieved party is not satisfied with the outcome of the Alliance AGM, the grievance may be submitted to the GEF Commissioner.

Mr. Peter Lallas	Address: Global Environment Facility
GEF Conflict Resolution Commissioner	The World Bank Group, MSN N8-800
E-mail: plallas@thegef.org	1818 H Street, NW
	Washington, DC 20433-002

The aggrieved party must first refer the matter to the Alliance AGM before the grievance may be submitted to the GEF Commissioner. If the aggrieved party is not satisfied with the outcome of the Alliance AGM, the grievance may be submitted to the GEF Commissioner.

- Court of Law

If the aggrieved party is not satisfied with the outcome from the GEF they can refer the matter to a Court of Law for redress.

7. Grievance Close Out

In the case of a successful resolution from the proposed response from the AGMC, the Coordinator will log into the AGM database and document the satisfactory resolution. In cases where there have been minor risks, impacts and/or negative publicity, written documentation from the aggrieved party including satisfaction with the response will be encouraged.

In cases of an unusual response to the proposed response from the AGMC, the Coordinator will

- document the steps taken;
- document communication with the aggrieved party (and other stakeholders if there has been substantial effort to initiate or complete a multi-stakeholder process); or
- document the decisions made by the AGMC and the aggrieved party about referral or recourse to other alternatives, including legal alternatives.

IV.   Monitoring & Transparency

All complaints received will be entered into an electronic database. All grievance submissions processed by the AGM must be entered into this database which will also allow for tracking and documenting of all steps taken in the AGM process. This database will also be used by the Blue Nature Alliance to generate analysis of the grievances received, including the number of grievances under investigation or closed out, as well as the geographic distribution of grievances.

Information stored in the AGM database will only be accessible through a login system. This feature tracks changes made to the grievance entries, when they were made, and with what login credential. This is meant to deter any attempts to alter illegally any records within the database. A detailed guide to use and manage the AGM database will be made available.

V.   Operational Protocols for the AGM Committee

The AGMC as the highest decision-making body in the [enter site name] AGM. All members of the AGMC, which are designated when the AGM is established prior to on-the-ground implementation, must be consulted on all grievances that are deemed eligible by the Alliance

Safeguards Advisor. In the event that the AGMC is not in agreement on the handling of a grievance, that grievance is to be elevated to the Alliance AGM.

AGM Appendix C: Site-Level Grievance Form Template

Name:	
Designation:	
Address	
Contact Information and Preferred Way to be Contacted (Phone, email, language preferences, etc.):	

If a complaint is made through a representative, the name/s of the person/s on whose behalf the complaint is made.

Does the aggrieved party wish to keep their identity confidential?

☐ Yes   ☐ No

Describe the grievance including the location and data/time of its occurrence.

Briefly describe the impact of the occurrence.

AGM Appendix D: Example Site-Level AGM Communications Products

BLUE NATURE ALLIANCE

A global partnership catalyzing momentum for large-scale ocean conservation.

ACCOUNTABILITY AND GRIEVANCE MECHANISM

The SITE NAME is collaborating with the Blue Nature Alliance to SHARED GOAL. The Grievance Mechanism described here is a platform for transparency and is a commitment to respecting the thoughts and wishes of all our stakeholders.

What is a grievance?
A grievance is a complaint about something that is affecting you negatively. In this case it is a complaint about a negative impact of the Blue Nature Alliance project.

Who can report a grievance?
Anyone affected by the work of the Blue Nature Alliance.

Why should someone report a grievance?
If something about the Blue Nature Alliance project is bothering you, then report it. The Blue Nature Alliance aims to support projects that have a positive impact.

What is a grievance mechanism?
An Accountability and Grievance Mechanism is a way of collecting, recording, and resolving grievances. This mechanism is managed by NAME.

What will happen when I report a grievance?
The grievance will be addressed through an open and transparent process so that together, you and the Blue Nature Alliance and NAME may find a suitable solution to the problem. You will be treated with confidentiality and protected from retaliation.

To report a grievance, you may speak with a staff member of NAME or NAME.

PHONE   **ADDRESS**

You may also email your grievance to alliancegrievance@conservation.org

ABOUT THE ALLIANCE

The Blue Nature Alliance works collaboratively with communities, governments, researchers, NGOs, and the private sector to advance 18 million square kilometers of new, expanded, improved management, and/ or upgraded protections of ocean conservation areas.

The Alliance is powered by Conservation International, the Pew Charitable Trusts, the Global Environment Facility, the Minderoo Foundation and the Rob and Melani Walton Foundation.

CONTACT US:
bluenaturealliance@conservation.org
www.BlueNatureAlliance.org

Blue Nature Alliance
Implementing Partner Safeguards Packet

Instructions

Please complete the following sections of this packet and submit to the Blue Nature Alliance along with Proposal Narrative, Workplan and Budget. The Safeguards Packet includes the following components:

- Environmental and Social Screening Form
- Guidance for the Completion of the Stakeholder Engagement Plan
- Guidance for the Completion of the Gender Mainstreaming Plan
- Requirements for Establishment of an Accountability and Grievance Mechanism

The completed packet will be reviewed by the Alliance Safeguards Advisor upon submission, and the Advisor will reach out to you directly if any additional information is required. The packet and the safeguard plans therein must be approved before the Alliance may proceed with a grant agreement. The safeguard packet will be considered approved when the plans within are deemed satisfactory based on the safeguard requirements of the Blue Nature Alliance. The Blue Nature Alliance adheres to the safeguards policies of the Global Environment Facility (GEF). The safeguards policies of the GEF are codified in the CI-GEF Agency's Environmental and Social Management Framework (ESMF).

If you have any questions, please contact the Blue Nature Alliance Safeguards Advisor, Whitney Yadao-Evans (wyadao-evans@conservation.org).

Environmental and Social Safeguard (ESS) Screening Form

1. The Blue Nature Alliance undertakes environmental and social safeguard screening for every project to evaluate the various social and environmental risks associated with the project. The safeguard policies referenced in this screening form highlight the primary risk areas to be evaluated. Following the completion of this form, the Blue Nature Alliance will work with Implementing Partners to address and mitigate potential project risks.

2. The Blue Nature Alliance does not fund projects that involve the resettlement of people. The Blue Nature Alliance cannot support projects that contradict the mission and policies of the Blue Nature Alliance core partners.[101]

3. The Implementing Partner is responsible for providing accurate responses to each question in this screening form and to submit the completed form to the Blue Nature Alliance Safeguards Manager in a timely manner.

4. The Blue Nature Alliance is responsible for ensuring that the project complies with the Blue Nature Alliance Environmental and Social Management Framework (ESMF) as well as the Gender and Stakeholder Engagement policies and will use the completed screening form to determine the necessary mitigation measures to be taken by the Implementing Partner.

5. In addition to preparing and implementing mitigation plans for the ESMF policies triggered, the Implementing Partner will also need to prepare a Gender Mainstreaming Plan and a Stakeholder Engagement Plan and are including in the proposal template.

6. The Implementing Partner is responsible for informing the Blue Nature Alliance in a timely manner if the information provided in this Screening Form changes at any time during the preparation and implementation of the project.

I. PROJECT INFORMATION		
Country:		
Project Title:		
Implementing Partner (*i.e. Blue Nature Alliance grantee*):		
Length of Project: ___ *months*	**Proposed Start date**:	**Anticipated End date**:
Project Amount: USD		
Project Location: (*Please describe the specific location of the project including target habitats and local communities involved.*)		
Safeguard Screening Form Completed by:		
Date of Submission/Resubmission of Completed Form to Blue Nature Alliance:		
Blue Nature Alliance Comments:		

II. ESS SCREENING

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[101] Core partners include Conservation International, Pew Charitable Trusts, Rob and Melani Walton Foundation, Minderoo Foundation, and the Global Environment Facility

This section will help the Blue Nature Alliance to determine the risk level of the project and the ESMF policies triggered by the project. Please provide accurate answers and details including supporting documents, where requested.

SECTION 1: ENVIRONMENTAL AND SOCIAL ASSESSMENT, MANAGEMENT AND MONITORING

Will the project potentially:

(a) **cause significant adverse environmental and social impacts (which may affect an area broader than the project area) that are sensitive, diverse, or unprecedented; and/or**

(b) **cause adverse environmental and social impacts (which are site-specific and few if any of them are irreversible) on human populations or environmentally or socially important areas?**

☐ **NO** → Continue to (c)

☐ **TO BE DETERMINED** → Provide details in the box below.

☐ **YES** → Provide details in the box below.

If TBD or Yes, please provide details here.

(c) Has a full or limited ESIA that covers the proposed project already been completed?

☐ **NO** → Continue to Section 2

☐ **YES** → Continue to Table 1.1.

TABLE 1.1: IS THE ASSESSMENT: ☐ A FULL ESIA ☐ A LIMITED ESIA	Yes	No
a. Does the assessment meet its terms of reference, both procedurally and substantively?	☐	☐
b. Does the assessment provide a satisfactory assessment of the proposed project?	☐	☐
c. Does the assessment describe specific environmental and social management measures (e.g., avoidance, minimization, mitigation, compensation, monitoring, and capacity development measures)?	☐	☐
d. Does the assessment identify capacity needs of the institutions responsible for implementing environmental and social management issues?	☐	☐
e. Was the assessment developed through a consultative process with key stakeholder & rightsholder engagement, including issues related to gender mainstreaming and Indigenous Peoples?	☐	☐
f. Does the assessment assess the adequacy of the cost of and financing arrangements for environmental and social management issues?	☐	☐
For any "no" answers, describe below how the issue has been or will be resolved or addressed.		

SECTION 2: PROTECTION OF NATURAL HABITATS

Will the project cause or facilitate any significant loss or degradation to natural habitats, and their associated biodiversity and ecosystem functions/services?

☐ **NO** → Continue to Section 3

☐ **YES** → Continue to Table 2.1. below

TABLE 2.1: CHECKLIST FOR PROTECTION OF NATURAL HABITATS	Yes	No
1. Is the project located or expected to be located near or in existing protected areas?	☐	☐
If your answer was yes, please provide the following information: a. Name, area, management category, governance arrangement, and current management activities of protected areas being affected by the project: b. Description of project activities that will affect existing protected areas: 		
2. Is the project located within any other type of <u>critical natural habitat</u>?	☐	☐
If your answer is yes, please provide the following information: a. Description of the critical natural habitat to be affected by the project: b. Description of project activities that will affect critical natural habitats: 		
3. Will the project affect species identified as threatened at the local and/or global levels?	☐	☐
If your answer is yes, please provide the following information: a. Name and conservation status of the species that will be affected by the project: b. Description of project activities that will affect threatened/endangered species: 		
4. Will the project implement habitat restoration activities:	☐	☐
If your answer is yes, please provide the following information: a. Type and extent of habitats to be restored: b. Description of project activities for habitat restoration: c. Description of the contribution of the project in restoring or improving ecosystem composition, structure, and functions/services: 		

SECTION 3: RESETTLEMENT, PHYSICAL AND ECONOMIC DISPLACEMENT

Will the project

(a) involve the <u>voluntary</u> resettlement of people;

(b) restrict land or ocean use and access; or

(c) cause economic displacement of people?

☐ **NO** → Continue to Section 4

☐ **YES** → Continue to Table 3.1. below

TABLE 3.1: CHECKLIST FOR VOLUNTARY RESETTLEMENT	Yes	No
1. Will the project involve the <u>voluntary</u> resettlement of people?	☐	☐

If your answer is yes, please provide the following information:

a. Name of communities, description of main livelihoods, ethnicity, socio-economic context and estimated number of people to be resettled and/or economically displaced:

b. Description of the experience/capacity of the project staff to implement a full and effective Free, Prior and Informed Consent (FPIC) process: *A full and effective FPIC process is one that ensures community(ies) and vulnerable groups are thoroughly consulted and provide consent for the resettlement.*

	Yes	No
2. Will the project introduce measures to restrict people from accessing or using resources that they have been using prior to the implementation of the project?	☐	☐

If your answer is yes, please provide the following information:

a. Description of the resource(s) to be restricted including the type of restriction (i.e. gear restrictions, seasonal closures, no-take areas, etc.) and the project activities planned to impose those restrictions:

b. Description of the primary and secondary resource users (men, women, youth, etc.) who will be impacted by the restrictions and the level of impact they will experience as a result of the restrictions:

c. Description of the experience/capacity of the project staff to implement a full and effective Free, Prior and Informed Consent (FPIC) process: *A full and effective FPIC process is one that ensures community(ies) and vulnerable groups are thoroughly consulted and provide consent before restrictions are introduced.*

	Yes	No
3. Will the project introduce measures that could potential cause the economic displacement of people?	☐	☐

If you answer is yes, please provide the following information:

a. Description of the project induced measures that could potentially cause economic displacement of people:

b. Description of the communities or groups of people that could potentially be impacted: *Include in your explanation the rights these people have to the area and/or resources in question.*

c. Description of the potential impact (scope, severity, etc.) of the potential economic displacement:

SECTION 4: INDIGENOUS PEOPLES

Does the project plan to work in lands or territories traditionally owned, customarily used, or occupied by indigenous peoples?

☐ **NO** → Continue to Section 5

☐ **YES** → Answer the questions below.

If your answer was yes, please provide the following information:

a. Name of communities, description of livelihood, ethnicity, estimated number of indigenous peoples to be affected by the project:

b. Description of the project activities and their impacts on indigenous peoples, including if the project is likely to impact particular groups of indigenous peoples (e.g. women, youth, men):

c. Description of the experience/capacity of the project staff to implement a full and effective Free, Prior and Informed Consent (FPIC) process: *A full and effective FPIC process is one that ensures community(ies) and vulnerable groups are thoroughly consulted and provide consent before project activities take place.*

SECTION 5: CULTURAL HERITAGE

Will the project implement activities in areas that affect cultural heritage (both tangible and/or intangible) including archaeological, paleontological, historical, architectural, and sacred sites including graveyards, burial sites, and sites with unique natural values?

☐ **NO** → Continue to Section 6

☐ **YES** → Answer the questions below.

If your answer was yes, please provide the following information:

a. Name, description of the known tangible, intangible or physical cultural resources to be affected by the project, and cultural importance to local community(ies):

b. Description of the project activities that may impact the tangible, intangible or physical cultural resources:

c. Description of potential impact (scope, severity, etc.) of the project activities on the tangible, intangible or physical cultural resources identified:

SECTION 6: RESOURCE EFFICIENCY AND POLLUTION PREVENTION

Does the project plan to

(a) implement activities related to agricultural extension services including the use of approved pesticides (including insecticides and herbicides) or alien invasive species[102] management or

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[102] *Invasive alien species* (IASs) are plants, animals, pathogens and other organisms that are non-native to an ecosystem, and which may cause economic or environmental harm or adversely affect human health. In particular, they impact adversely upon biodiversity, including decline or elimination of native species - through competition, predation, or transmission of pathogens - and the disruption of local ecosystems and ecosystem functions (*CBD, 2006*).

(b) use energy, water and other resources and material inputs, where significant consumption is involved and would cause adverse impacts on communities, other water users, and the environment?		

☐ **NO** → Continue to Section 7

☐ **YES** → Continue to Table 6.1. below

TABLE 6.1: CHECKLIST FOR RESOURCE EFFICIENCY AND POLLUTION PREVENTION	Yes	No
1. Will the project include the use of approved pesticides and other chemicals?	☐	☐
If your answer was yes, please provide the following information: a. Name, description and proposed use of approved pesticides/chemicals:		
2. Will the project include the use of ecologically-based biological/environmental integrated pest management practices (IPM) and/or Integrated Vector Management (IVM)?	☐	☐
If your answer was yes, please provide the following information: a. Description of approach to be used: b. Description of potential positive and negative impacts of the approach to be used in the project:		
3. Will the project involve the significant use of water, energy or other resources?	☐	☐
If your answer was yes, please provide the following information: a. Description of the project activities that include the significant use of water, energy or other resources: b. Description of potential positive and negative impacts (scope, severity, etc.) of this significant use on communities and current resource users:		

SECTION 7: LABOR AND WORKING CONDITIONS

Does the implementing partner confirms have in place or is subject to necessary policies, procedures, systems and capabilities to ensure that:

(a) the rights of workers, consistent with the International Labour Organization's (ILO) Declaration on the Fundamental Principles and Rights at Work are respected and protected;

(b) written labor management procedures are established in accordance with applicable national laws;

(c) workers are provided with clear and understandable documentation of employment terms and conditions, including their rights under national law to hours of work, wages, overtime, compensation and benefits;

(d) workers are provided regular and timely payment of wages; adequate periods of rest, holiday, sick, maternity and other leave that may be due to them under national law; and notice of termination and severance payments, as applicable under national laws and the labor management procedures;

(e) decisions relating to any aspect of the employment relationship, including recruitment, hiring and treatment of workers, are made based on the principles of non-discrimination, equal opportunity and fair treatment, and not on the basis of personal characteristics under applicable law including

but not limited to gender, sexual orientation, gender identity, race or ethnicity, unrelated to inherent job requirements;

(f) appropriate measures are in place to prevent harassment, intimidation, and exploitation, and to protect vulnerable workers, including but not limited to women, children of working age, migrants and persons with disabilities;

(g) workers who participate, or seek to participate, in workers' organizations and collective bargaining, do so without interference, are not discriminated or retaliated against, and are provided with information needed for meaningful negotiation in a timely manner;

(h) child labor, bonded labor and forced labor and no forms of slavery or slavery-like conditions or human-trafficking are used in connection with the project or program;

(i) occupational health and safety (OHS) measures are applied to establish and maintain a safe and healthy working environment;

(j) workers are informed of applicable grievance and conflict resolution systems provided at the workplace level; and

(k) workers may use these mechanisms without retribution, and the grievance and conflict resolution systems does not impede access to other judicial or administrative remedies available under the law or through existing arbitration procedures, or substitute for grievance systems provided through collective agreements?

☐ NO → Answer the questions below.

☐ YES → Continue to Section 8

If your answer was no, please provide the following information:

a. How do you ensure that your organization complies with the principles and rights described above?

b. Has your organization been the subject of material labor litigation?

SECTION 8: COMMUNITY HEALTH & SAFETY

Will the project:

(a) **potentially expose communities including disadvantaged or vulnerable groups or Individuals in particular women and children to both accidental and natural hazards, particularly where the structural elements of the project or program are accessible to members of the affected community, or where their failure could result in injury to the community;**

(b) **be implemented in a conflict or post-conflict context;**

(c) **impact the provisioning and regulating ecosystem services that are directly relevant to community health and safety;**

(d) **generate risks and impacts to the health and safety of the affected communities;**

(e) **pose potential conflicts at the project site to the affected communities or the workers; or**

(f) **include the support for and/or provisioning of park rangers or similar security personal?**

☐ **NO** → Continue to Section 9.

☐ **YES** → Continue to Table 8.1. below

TABLE 8.1: COMMUNITY HEALTH AND SAFETY:	Yes	No
1. Will the project expose communities including disadvantaged or vulnerable groups to accidental or natural hazards or other risks and impacts that could affect their health and safety?	☐	☐
If your answer was yes, please provide the following information: a. Describe the project activities that could potentially expose communities and vulnerable groups to accidental and natural hazards or other risks and impacts that could affect their health and safety. b. Describe the potential hazards, risks and impacts (scope, severity, etc.) to the health and safety of affected communities and vulnerable groups from these activities. c. Describe any potential conflicts that could arise at the project site and/or within affected communities and vulnerable groups.		
2. Will the project include support for and/or provisioning of park rangers or similar security personal?	☐	☐
If your answer was yes, please provide the following information: a. Description of any protocols that the project will employ for vetting park rangers or any similar security personal supported by the project:		

SECTION 9: PRIVATE SECTOR DIRECT INVESTMENTS AND FINANCIAL INTERMEDIARIES

Will the project make either direct investments in private sector, Endowment Funds, Sinking Funds or Revolving Funds, or channel funds through Financial Intermediaries (FIs)?

☐ **NO** → Continue to Section 10.

☐ **YES** → Continue to Table 9.1. below

TABLE 9.1: PRIVATE SECTOR DIRECT INVESTMENTS AND FINANCIAL INTERMEDIARIES:	Yes	No
1. Will the project make direct investments in private sector, Endowment Funds, Sinking Funds, or Revolving Funds?	☐	☐

If your answer was yes, please provide the following information:

a. Description of the nature of the investments and characterize the types of private sector entities or funds that may receive these investments, including what criteria will be used to guide investments.

	Yes	No
2. Will the project channel funds through Financial Intermediaries (FIs)?	☐	☐

If your answer was yes, please provide the following information:

a. Description of the Financial Intermediaries that may receive funds?

SECTION 10: CLIMATE RISKS AND RELATED DISASTERS

Does the project or project geography face risks associated with climate change and related disasters?

☐ **NO** → You have completed the form.

☐ **YES** → Continue to Table 10.1. below

TABLE 10.1: CLIMATE RISKS AND RELATED DISASTERS:	Yes	No
1. Does the project or project geography face risks associated with climate change and related disasters?	☐	☐

If your answer was yes, please provide the following information:

a. Description of climate projections for the country or region, or if possible, for the specific location of the project for the next 30 years from the start date of the project.

b. Description of the relation potential hazards (e.g. heavy rainfall leading to flood, low rainfall leading to drought, temperature changes which could lead to heat waves, sea-level rise, or change in other extreme events such as hurricanes and cyclones) that could prevent the project from achieving its objectives.

c. Description of the current and projected exposures, vulnerabilities, and adaptive capacities (e.g. technical, institutional, financial) and how these could prevent the project from achieving its objectives and/or outputs.

d. What mitigation measures have been identified and incorporated into the design of the project/planned for the implementation phase to reduce the likelihood and/or consequences of risks or to respond to consequences so as to ensure that the project achieves its objectives and/or outputs?

e. If one or more risks are accepted, please provide a justification.

Guidance for the Completion of the Stakeholder Engagement Plan

Purpose:
The purpose of the Stakeholder Engagement Plan is to outline how the project will incorporate the knowledge and contributions of partners and stakeholders into project design and implementation and ensure that projects funded by the Blue Nature Alliance succeed in building ocean resilience and improving the well-being of the people who depend on the ocean.

Definitions:
- *Stakeholders* are persons or groups who are directly or indirectly affected by a project, as well as those who may have interests in a project and/or the ability to influence its outcome, either positively or negatively. *Stakeholders* may include locally affected communities or individuals and their formal and informal representatives, national or local government authorities, politicians, religious leaders, civil society organizations and groups with special interests, the academic community, or other businesses (*IFC, 2007*).
- *Affected Communities* are communities of the local population within the project's area of influence who are likely to be affected by the project.

Requirements: All projects are required to:
- Involve key stakeholders in project design and preparation processes;
- Ensure that stakeholders views and concerns taken into account by the project and are known by key decision makers;
- Stakeholders are engaged in meaningful consultations where they are able to express their views on project plans, benefits, risks, impacts, and mitigation measures that may affect them;
- Such consultations are gender responsive; free of manipulation, interference, coercion, discrimination and intimidation; and responsive to the needs and interests of disadvantaged and vulnerable groups; and
- Continue consultations throughout project implementation, monitoring and evaluation, as necessary, to ensure project adaptive management and proper implementation of environmental and social safeguard plans.

Stakeholder Assessment and Mapping:
In each site, the Alliance works hand-in-hand with implementing partners to develop a strategy and design an engagement framework based on shared goals. In consultation with implementing partners, the Alliance completes a stakeholder assessment to inform the development of effective intervention plans. The Alliance will provide the results of the stakeholder assessment to implementing partners prior to the drafting of proposals and the beginning of project implementation. Please reference the Stakeholder and Gender Assessment provided by the Alliance to complete this Stakeholder Engagement Plan.

Instructions to Complete the Stakeholder Engagement Plan

Complete the following Stakeholder Engagement Plan table by referencing the Stakeholder and Gender Assessment provided by the Alliance and applying it to your specific project objectives and activities. If you have any questions reach out to the Blue Nature Alliance Safeguards Manager, Whitney Yadao-Evans (wyadao-evans@conservation.org).

1. **First, include in the following table all stakeholders your project will engage with as well as any stakeholders that will impact or be directly impacted by your project. Follow the instructions in table and add rows as necessary.**

Stakeholder Name	Previous Engagements	Method of Planned Engagement	Location and Frequency	Resources Required	Associated Activity & Budget
Name the key stakeholder and group type to be engaged. Add columns as necessary.	What engagements with key stakeholders have been conducted to date?	How will you involve and engage this stakeholder? (meeting, consultation, workshop, discussion, etc) What special measures would be taken to include disadvantaged/vulnerable individuals/groups?	Where and When will you engage with this stakeholder?	What materials (presentations, websites, brochures, surveys, translation) are needed? What personnel are needed to lead and monitor these engagements?	What activity will this apply to? Please reference specific Outputs and Activities from your workplan document? Also, how much will this cost? (approximate figures are preferred but not required) Consider resources required, staff, transportation, etc. At a minimum, tell us where in the project budget these costs are embedded.

2. Then, complete the table below by providing baselines and targets relevant to your project for the three required indicators. Please also add project-specific indicators to monitor and evaluate stakeholder engagement activities identified in the table above (optional).

Indicator	Baseline		Target	
	Men	*Women*	*Men*	*Women*
1. *(Required)* Number of people (sex disaggregated) that have been involved in project implementation phase (on an annual basis)				
2. *(Required)* Number of stakeholder groups (government agencies, civil society organizations, private sector, indigenous peoples and others) that have been involved in the project implementation phase (on an annual basis)				
3. *(Required)* Number of engagements (meetings, workshops, consultations, etc.) with stakeholders during the project implementation phase (on an annual basis).				
4. [*optional custom indicator*]				
5. [*optional custom indicator*]				
6. [*optional custom indicator*]				

3. Last, integrate activities and indicators into the project workplan.

After the Stakeholder Engagement Plan is reviewed and approved by the Alliance Safeguards Manager, integrate select activities and indicators into to the project workplan.

Guidance for the Completion of the Gender Mainstreaming Plan

<u>Purpose</u>:
The purpose of the Gender Mainstreaming Plan is to guide the Blue Nature Alliance and implementing partners to design, implement and monitor projects in such a way that both women and men:
- Receive culturally compatible social and economic benefits;
- Do not suffer adverse effects during the development process; and
- Receive full respect for their dignity and human rights.

<u>Definitions:</u>
- *Gender* refers to the economic, social, political, and cultural attributes and opportunities associated with being men and women. Gender is a social construct, which does not imply addressing only women's roles, but the simultaneous consideration of both male and female roles and their interaction in society.
- *Gender Analysis* is a process that examines the differences in women's and men's lives, including those which lead to inequity, and applies this understanding to policies and programs.
- *Gender Aware* is the explicit recognition of local gender differences, norms, and relations and their importance to outcomes in program and policy design, implementation and evaluation. This recognition derives from analysis or assessment of gender differences, norms, and relations in order to address gender equity in outcomes.
- *Gender Equality* is the state or condition that affords women and men equal enjoyment of human rights, socially valued goods, opportunities, and resources.
- *Gender Equity* is the process of being fair to men and women. To ensure fairness, measures must be taken to compensate for historical and social disadvantages that prevent women and men from operating on level playing field.
- *Gender Mainstreaming* is the process of incorporating gender into policies, strategies, programs, activities, and administrative functions, as well as the institutional culture of an organization.
- *Gender Roles* are a set of social and behavioral norms that are considered to be socially appropriate for individuals of a specific sex.
- *Gender Sensitive* implies the recognition of the differences, inequalities and specific needs of women and men, and acting on this awareness.
- *Sex-disaggregated Data* includes information that is collected and presented separately on men and women. Sex describes the biological and physiological differences that distinguish males, females and intersex.

<u>Requirements</u>: All projects are required to:

- Conduct stakeholder engagement in an inclusive and gender-responsive manner, so that the rights of women and men and the different knowledge, needs, roles and interests of women and men are recognized and addressed;
- Design and implement project activities in an inclusive manner so that women's participation and voice are supported at all scales, regardless of their background, age, race, ethnicity or religion;
- Develop a *Gender Mainstreaming Plan* (GMP) that lays out gender-sensitive activities to support project implementation that recognize and respect the different roles that women and men play in resource management and in society, along with a monitoring and evaluation plan using sex-disaggregated indicators;
- Conduct a gender analysis or equivalent socio-economic assessment that identifies and describes any gender differences in the roles, responsibility, uses and needs relating to the environment/natural resources, and opportunities to address gender gaps and promote the empowerment of women; and
- Embed the gender considerations outlined in the GMP into the project workplan and documents as necessary/appropriate.

Gender Analysis:
In each site, the Alliance works hand-in-hand with implementing partners to develop a strategy and design an engagement framework based on shared goals. In consultation with implementing partners, the Alliance completes a detailed socioeconomic assessment and gender analysis to inform the development of effective intervention plans that include the participation of and benefits for both men and women. Furthermore, the Alliance seeks to identify opportunities to empower women and minimize barriers for women's participation in the management and use of marine resources. The Alliance will provide the results of the gender analysis to implementing partners prior to the drafting of proposals and the beginning of project implementation. Please reference the Stakeholder and Gender Assessment provided by the Alliance to complete this Gender Mainstreaming Plan.

Instructions to Complete the Gender Mainstreaming Plan

Complete the following Gender Mainstreaming Plan by referencing the Stakeholder and Gender Assessment provided by the Alliance and applying it to your specific project objectives and activities. If you have any questions reach out to the Blue Nature Alliance Safeguards Manager, Whitney Yadao-Evans (wyadao-evans@conservation.org).

1. **First, answer the following two questions in the spaces provided.**

What specific barriers to participation do men and women face in the specific context of your project?

Are there any opportunities to empower women and/or improve women's participation in the use and management of natural resources within the context of your project? If possible, please include the names of any women champions, women's groups, or other key stakeholders that your project plans to engage with in your response.

2. **Then, complete the table below by following the instructions in the table. Add additional rows if necessary, in order to address the outcomes and outputs in your project approach section.**

Outcome 1: *List outcomes from your project approach section of this proposal.*				
Outputs	**Activities or actions to mainstream gender**	**Objective(s) of the gender activities + how they relate to the barriers/opportunities**	**Which gender result area(s) does this output contribute to?[103]**	**Budget for gender activities**
List outputs from your project approach section of this proposal.	*What specific activities will the project do help both men and women take part in this output? This may include actions such as: holding meetings in places and at times when women can participate; engaging women leaders; conducting gender-trainings; requiring a percentage of women participants; etc.*	*What is the goal of the identified activities/actions to mainstream gender? How do these activities/actions relate to the identified barriers/opportunities above?*	*Review the information below on gender result areas. Which gender result area does this output contribute to?*	*How much will this cost? (approximate figures are preferred but not required) Consider resources required, staff, transportation, etc. At a minimum, tell us where in the project budget these costs are embedded.*
Outcome 2:				
Outputs	**Activities to mainstream gender**	**Objective(s) of the gender activities + how they relate to the barriers/opportunities**	**Which gender result area(s) does this output contribute to?**	**Budget for gender activities**

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[103] Gender results areas: (1) contributing to closing gender gaps in access to and control over resources; (2) improving the participation and decision-making of women in natural resource governance; and (3) targeting socio-economic benefits and services for women.

Outcome 3:				
Outputs	**Activities to mainstream gender**	**Objective(s) of the gender activities + how they relate to the barriers/opportunities**	**Which gender result area(s) does this output contribute to?**	**Budget for gender activities**
Outcome 4:				
Outputs	**Activities to mainstream gender**	**Objective(s) of the gender activities + how they relate to the barriers/opportunities**	**Which gender result area(s) does this output contribute to?**	**Budget for gender activities**

3. Then, complete the table by adding project-specific indicators, baselines and targets. Use the guidance below and refer the gender activities in the table above to select appropriate project-specific indicators in each of the three gender result areas.

Indicator	Baseline		Target	
	Men	*Women*	*Men*	*Wo men*
7. *(Required)* Number of men and women that participated in project activities (e.g. meetings, workshops, consultations).				
8. *(Required)* Number of men and women that received benefits (e.g. employment, income generating activities, training, access to natural resources, land tenure or resource rights, equipment, leadership roles) from the project.				
9. *(Required)* Number of strategies, plans (e.g. management plans and land use plans) and policies derived from the project that include gender considerations.				
10. [*Gender results area X indicator*]				
11. [*Gender results area X indicator*]				

12. [*Gender results area X indicator*]		

All projects are required to report on the three required minimum indicators (in the table above) as appropriate and applicable to your project. In addition, projects are asked to monitor their contribution to gender result areas (listed below).

Review each of the three gender results areas below and determine if your project will contribute to them. For each result area your project contributes to, please select at least one indicator from the list or develop a new indicator more appropriate to measure progress towards that results area. Add the indicators to the table above and set appropriate baselines and targets.

Gender Result Area 1: *Equal* access and control over natural resources for women and men. For example, engaging women in land use planning activities, raising awareness of women's rights, and improving women's access to productive inputs.

Gender Results Area 1 Indicators:
- Number of beneficiaries (m/f) reporting more equitable access and control over their natural resources.
- Number of strategies, policies, or management plans derived from the project that explicitly promote equal access and control over natural resources for women + men.
- Number of men/women who have ownership of or user rights to coastal and marine areas
- Number of men + women who have improved access to fishing grounds, coral reefs, coastal areas, and marine resources

Gender Result Area 2: *Increased* participation and leadership of women in the project. For example, addressing adverse gender norms, women's time constraints and other socioeconomic and cultural barriers that prevent women the same opportunities as men to decision-making related to the management and use of natural resources at local, national and regional levels.

Gender Results Area 2 Indicators:
- Number/% of women + men consulted about project plans
- Number/% of women + men serving in project-related leadership positions
- Number/% of women + men influencing project-related decision-making.
- Number/% of women + men actively participating in project-related consultations and meetings.
- % of female project beneficiaries who report an increase in leadership opportunities, ability to influence decision-making and/or an increase in self-efficacy attributed to the project.

Gender Result Area 3: *Targeted* socioeconomic benefits and services for women. For example, target women as specific beneficiaries, including supporting

alternative income generating activities and providing targeted training and capacity development and financing.

Gender Results Area 3 Indicators:
- Amount of project funds targeting socioeconomic benefits for women.
- Number of women + men benefitting from project workshops and training opportunities
- Number of women + men receiving project benefits (tools + equipment, financial investment, inputs such as seeds + fertilizer, etc.)
- Number of women (% of overall project beneficiaries) receiving targeted socioeconomic benefits/services.
- Number of poor households that are project beneficiaries; number headed by men/women

4. **Integrate activities and indicators into the project workplan.**

After the Gender Mainstreaming Plan is reviewed and approved by the Alliance Safeguards Manager, integrate select activities and indicators into to the project workplan.

Requirements for the Establishment of an Accountability and Grievance Mechanism

Consistent with the safeguards policies of the Global Environment Facility (GEF), which the Blue Nature Alliance adheres to, all project sites must have an established site-level Accountability and Grievance Mechanism. All implementing partners will be required to participate in the Accountability and Grievance Mechanism Committee, which is responsible for reviewing and overseeing the addressing of grievances, the development of solutions to grievances and efforts to reach agreement with aggrieved partners or stakeholders. In addition, implementing partners may be asked to take on additional responsibilities by providing or identifying local contact points where partners or stakeholders may submit grievances.

The Blue Nature Alliance Safeguards Advisor, Whitney Yadao-Evans (wyadao-evans@conservation.org) will reach out to you either prior to project implementation or in the beginning of project implementation provide guidance and support to you set up the Accountability and Grievance Mechanism for your site.

APPENDIX VI-d: Executive Summary: Blue Nature Alliance Code of Conduct

Executive Summary Blue Nature Alliance Code of Conduct

The Blue Nature Alliance aims to consider and integrate the human dimensions (i.e., social, cultural, economic and governance considerations) in all activities, at all phases of the site engagement process, and during ongoing implementation of marine conservation initiatives. To achieve this, the Blue Nature Alliance developed a code of conduct – which complements a social safeguard process. The purpose of the code of conduct is to advance and promote inclusive and equitable conservation, to enhance the social and ecological outcomes of the Blue Nature Alliance's investment in a site, and to ensure legitimacy and durability of marine conservation.

The Blue Nature Alliance's Code of Conduct was developed through an iterative and participatory process including a series of facilitated discussions, a review of conservation policies and guidance documents, and an external review by experts. The Code of Conduct consists of a set of social principles and practical guidance to inform all phases of work of the Blue Nature Alliance.

Blue Nature Alliance Code of Conduct
1. Recognize and respect the dignity and diversity of local people
1a. Identify, characterize and consider all rights holders and stakeholders
1b. Acknowledge and respect historical, formal, and customary access rights and tenure
1c. Recognize, respect and protect Indigenous and human rights
1d. Recognize and affirm sovereignty, autonomy and self-determination
1e. Incorporate cultural institutions, practices, and knowledge systems
1a. Consider and integrate the worldviews, perspectives and needs of diverse and marginalized groups, including different genders, ethnicities and Indigenous groups
2. Employ and promote participatory decision-making and good governance
2a. Use inclusive and participatory decision-making processes and governance structures
2b. Support local leadership and capacity for engaging in decision-making and governance
2c. Communicate transparently all information, decisions and intentions
2d. Employ due process and confirm free, prior and informed consent (FPIC)
2e. Implement social safeguards and accountability mechanisms
2a. Provide technical and financial support for the design and implementation effective, equitable, and robust governance policies, institutions and decision-making processes
3. Promote equitable distribution of benefits and costs
3a. Foster an approach to conservation that seeks to fairly distribute costs and benefits over time, across space, and to different groups
3b. Identify, monitor and adaptively manage social impacts to minimize harms and maximize benefits
3a. Cultivate opportunities that foster local benefits and human wellbeing
4. Champion collaborative and effective management of the marine environment
4a. Advance and support the implementation of evidence-based, adaptive, and effective conservation and management actions
4b. Promote inclusive, collaborative and locally-led planning and management
4c. Encourage and provide support for planning processes and management activities that are aligned with the local political, social and cultural context
4a. Encourage and support local participation, leadership and capacity for management

The Blue Nature Alliance plans to take the following actions to ensure that the code of conduct is implemented: 1) ensuring enabling conditions are in place; 2) communicating the code of conduct internally and externally; 3) growing the field through producing new tools and knowledge; 4) building capacity through developing guidance and training; 5) monitoring progress, communicating results, and adapting activities; and 6) mainstreaming human dimensions in all activities, site engagements and during implementation.

Version as of January 2021. Some of the language may be subject to change

Due to the length of the Blue Nature Alliance Environmental and Social Framework, we are providing a link for this document. It can be found at (https://www.conservation.org/docs/default-source/gcf/ci_gef_gcf-esmf-version-7.pdf?sfvrsn=a788de43_4)

APPENDIX VI-f: Climate Risk and Related Disaster Assessment Tool – Output Matrix

1.1: Defined Project Elements	1.2: Time-frame	1.3: Geography	2: Climate Risks	3: Adaptive Capacity
Ocean Conservation Areas in systems including coral reefs, polar oceans, temperate and non-reef tropical systems	Ocean Conservation Areas are intended to protect biodiversity and deliver ecosystem services in perpetuity. Each Alliance site engagement will range from 1-4 years.	The Blue Nature Alliance will support Ocean Conservation Areas in diverse geographies throughout the global ocean.	Climate risks are system dependent and will include but are not limited to – coral bleaching, sea ice melt, ocean acidification, species range movements, fishery movements to track moving target species, and increased extreme weather events. Climate risks for each site will be assessed by the Blue Nature Alliance Site Engagement Team that scopes each potential site engagement and included in the risks section of the site engagement framework narrative.	Adaptive capacity will vary site-to-site and will be considered by the Blue Nature Alliance Site Engagement Team that scopes each potential site engagement.

4: Climate Risk Rating	5: Opportunities	6.1: Climate Risk Management Options	6.2: How Climate Risks Are Addressed in the Project	7: Next Steps for Activity Design/Implementation	8: Accepted Climate Risks
Most sites will be moderate because the Ocean Conservation Areas will be sited to protect intact systems not yet destroyed by climate change and with relatively low levels of pressure from non-climate stressors. Some sites may have high levels of climate risk. Climate risks for each site will be assessed by the Blue Nature Alliance Site Engagement Team that scopes each potential site engagement and included in the risks section of the site engagement framework narrative	Ocean Conservation Areas siting to maximize biodiversity representation of species moving in response to climate change; setting Ocean Conservation Areas boundaries to include areas least vulnerable to climate change, identifying management options to increase climate change adaptive capacity, now and in the future.	To be determined on a site-by-site basis by the Blue Nature Alliance site engagement team.	For all high-risk sites, and for other sites whenever feasible, the Alliance will advise on Ocean Conservation Areas boundaries, zoning, management and monitoring in order to address climate change impacts.	The site engagement team will work with relevant experts to ensure climate considerations are factored in at the outset of Alliance engagement in each site and continued throughout Alliance assessment and investment.	Climate change effects including species range movements, decreased calcification rates, increased sea level and flooding, ice melt and other factors are unavoidable. The purpose of the Alliance's work with climate experts is to minimize the impact of these effects on long-term delivery of desired Ocean Conservation area outcomes.

APPENDIX VI-g: Stakeholder Engagement Plan

CI-GEF/GCF PROJECT AGENCY
STAKEHOLDER ENGAGEMENT PLAN (SEP)

SECTION I: Project Information

PROJECT TITLE:	Blue Nature Alliance to Expand and Improve Conservation of 1.25 billion Hectares of Ocean Ecosystems		
GEF/GCF PROJECT ID:	10375	**PROJECT DURATION:**	60 months
EXECUTING AGENCY/ENTITY:	Blue Nature Alliance		
PROJECT START DATE:	*(07/2021)*	**PROJECT END DATE:**	*(06/2026)*
SEP PREPARED BY:	Whitney Yadao-Evans, Safeguards Advisor		
DATE OF (RE)SUBMISSION TO CI-GEF/GCF:	5/18/2021		
SEP APPROVED BY:	*Ian Kissoon, Director of ESMS, CI-GEF/GCF Project Agency*		
DATE OF CI-GEF/GCF APPROVAL:	*2021-05-18*		

SECTION II: Introduction *(1 page)*

Through this project, the Blue Nature Alliance aims to benefit 2,467,000 direct beneficiaries and to convene at least 20 partners. The Alliance will face challenges to stakeholder engagement that are related to the social, political and geographic context of specific sites. For example, socially marginalized groups such as women and youth are typically underrepresented and difficult to engage, especially in matters that involve tenure and ownership of land and resources. Furthermore, Indigenous groups are often marginalized and in many cases their claims to land and resources are not recognized or respected by local governments. As with all marine conservation initiatives, ensuring significant engagement with these groups in culturally appropriate and accessible ways will be a challenge the Alliance needs to manage. Similarly, due to the disagreements involving tenure and ownership of marine resources, the Alliance is likely to face political challenges in instances where there are multiple, conflicting claims to resources and/or where governance is corrupt, ineffective, or unsupportive. Last, the Alliance is likely to face some challenges in stakeholder engagement due to the scale of the proposed sites. Working at the national level and considering whole exclusive economic zones is a scale that encompasses a huge array of stakeholders from the national to the local level. Coordinating stakeholder engagement that meets international standards, engages socially marginalized groups, and includes effective feedback mechanisms at the scale the Alliance is working at will be challenging and require careful planning and adequate resources.

The Blue Nature Alliance will employ three strategies to meet the goals for stakeholder engagement. First, the Alliance has developed a Code of Conduct to guide and facilitate the integration of human dimensions into their activities, site engagement processes, and during ongoing implementation (Appendix VI-d). The purpose of the Code of Conduct is to advance and promote inclusive and equitable conservation, enhance the social and ecological outcomes of Alliance's investment in sites,

and ensure the legitimacy and durability of marine conservation. Stakeholder engagement is central to the Code of Conduct and is embodied in the first principle: "Recognize and respect the dignity and diversity of local people." The Alliance will ensure that the Code of Conduct and strong stakeholder engagement is implemented by monitoring progress, communicating results, and adapting activities through an annual review process. Second, the Alliance will endeavour to partner with organizations that have close relationships with key stakeholders and proven track record of inclusivity. Using the process described in paragraph 194 in the ProDoc, partners will apply their in-depth knowledge of the specific geography to develop a quality Stakeholder Engagement Plan accompanying their proposal. Third, the Alliance will invest time and resources in site development processes that carefully consider the full spectrum of stakeholder groups, with a special focus on marginalized groups, primary rights holders, and Indigenous groups. The Alliance's Safeguards and Gender Manager will review stakeholder assessments and engagement plans at multiple points in the site development process and provide guidance and scoping trips and workshops will be conducted with stakeholders in project sites to develop workplans with the full engagement and input from key stakeholders. Under these strategies, the Alliance is well positioned to set a high bar for participatory decisions-making.

While the specific social-economic and cultural context of each engagement site the Alliance will eventually invest in is not yet known, the significance of the site for its residents constitutes an important consideration during the Alliance's site scoping and selection process. Through its scoping process, the Alliance will collect and consider the following information for all sites:

- Socio-economic conditions including economic marginalization, poverty, health, conflict, access to food, or livelihood insecurity, a characterization of the different resource-based and non-resource-based livelihoods in the area for local communities, Indigenous groups and broader local population, and a characterization of the level of resource dependence of the local communities, Indigenous groups and local population for economic and subsistence uses;

- Governance including a characterization of pertinent governance laws and policies, agencies and organizations, and decision-making processes related to the marine management and conservation in the country, and a preliminary evaluation of current governance against criteria for effectiveness (e.g. direction, coordination, capacity, evidence-based, accountable, efficient, adaptable), equity (e.g., recognition, participation, fair, just), and robustness (e.g., legal mandate, political will, public support, legitimacy, connected)

- Stakeholder Engagement & Inclusiveness of Management including a description of current stakeholder engagement processes related to ocean governance and marine conservation in the country or site, a characterization of the level of inclusiveness and participation in site level management planning in the country and/or site (including specifically address how Indigenous groups participate in management as relevant), identification of whether and how social, economic and cultural considerations are currently taken into account in ocean conservation and management decisions.

- Gender impacts including a characterization of how women and men use, access, and depend on resources in the site, a description of how women and men participate in decision-making processes and management actions, as well as opportunities for or barriers to women's full participation, and the identification and comparison of how women and men will be impacted by project activities and opportunities – including livelihoods, workload, access to resources, etc.

- Social impacts including the anticipated positive and negative impacts of achieving the Alliance

outcome on gender dynamics between men and women and gender-based violence, the anticipated positive and negative impacts of achieving the Alliance outcome on cultural heritage, and the anticipated positive and negative impacts of achieving the Alliance outcome on community health, safety and security.

SECTION III: Stakeholder Analysis

Stakeholder Name and Function *Name of the key stakeholder, and their main purpose/function*	Stakeholder's Interest *What are the stakeholder's main interests in and concerns about the project?*	Impact of Project on Stakeholder *How will the stakeholder be affected (both positively and negatively) by the project?*	Influence of Stakeholder *How can the stakeholder affect the project? Can they hinder or contribute to the success of the project?*	Risk Management *(Is this a low, medium or high-risk stakeholder? And how would you manage medium/high risk stakeholders)*
Government and Local Authorities (*Add rows as necessary*)				
Governing authorities (such as national governments**)** have legal authority in the geographies where Alliance implementation sites are located.	Governing authorities have a variety of interests in regard to the marine space most often focused on long-term productivity and profitability of marine ecosystems.	Securing the health and productivity of marine ecosystems will provide direct and indirect positive impacts of local and national beneficiaries. Degraded marine ecosystems hamper growth and prosperity, especially for geographies that depend heavily on marine resources.	Support and partnership of key governing authorities is an essential element of Alliance success. The Alliance has included "political will" as criteria for site selection to ensure that there is strong government support and a clear pathway to build that support for each Alliance engagement site.	This is a high-risk stakeholder whose positive support and engagement is essential for implementation and success. The Alliance prioritizes engagement with appropriate governing authorities early in the site engagement process and continues engagement throughout implementation.
CSOs/NGOs (*Add rows as necessary*)				
Implementing partners are those best positioned in specific engagement sites to efficiently and effectively achieve outcomes, including local and international NGOs, private sector operators, the science and research community, and government institutions.	Implementing partners have aligned mission and values with the Alliance. Their interests lay in securing healthy and productive marine ecosystems through area-based conservation at scale.	Implementing partners are the vehicles of change on the ground. The opportunity to participate in an Alliance project advances the initiatives of implementing partners and provides them the opportunity to expand their impact beyond their previous means.	Implementing partners are the vehicles of change on the ground. Their relationships, technical expertise, and place-based connections are essential to achieving success at the site-level.	This is a high-risk stakeholder. The success of any site-based intervention relies directly on the presence of strong implementation partners. Early engagement and careful selection of implementing partners is important as an initial step in Alliance site engagement process.

Leverage partners fund or provide in-kind contributions directly for work that contributes to achieving our shared goal for a site or for a global activity.	Similar to implementing partners, leverage partners are aligned with the Alliance in the goal of protecting and restoring marine ecosystems.	Leverage partners are important to achieving success in Alliance sites and often provide important social or political leverage and/or contribute technical support or other resources.	Leverage partners are hugely beneficial in strengthening Alliance engagement; however, the absence of leverage partners does not necessarily hamper success. The importance and impact of leverage partners differs from site-to-site.	This is a medium risk stakeholder. The importance of leverage partners differs from site-to-site. Early in the site engagement process, the Alliance identifies and engages with key leverage partners it deems critical to success.
Local communities/Indigenous Peoples/Disadvantaged groups (*Add rows as necessary*)				
Local communities and Indigenous Peoples (IPLCs) that live in, depend on or have cultural connection to the marine ecosystem of an Alliance engagement site.	IPLCs (including disadvantaged groups) are the target beneficiaries of Alliance site-based interventions. These beneficiaries directly depend the marine environment of food or livelihoods and/or indirectly depend on a healthy marine ecosystem to sustain their economy. Furthermore, some IPLCs have strong cultural and ancestral connections to the marine environment.	The involvement, participation, and if possible – leadership – of IPLCs is especially important for the long-term success of Alliance interventions. Without the engagement and support IPLCs on the ground, management interventions and other measures will be hampered or ineffective in their reach and success.	Lack of engagement and support of IPLCs may not initially impact initiatives taking place at the national level when management interventions are being designed; however, the implementation of nation-wide marine management interventions will ultimately be unsuccessful without the ongoing buy-in, engagement and participation of ILPCs.	Ultimately, this is a high-risk stakeholder whose engagement is critical for long-term success of Alliance interventions. The Alliance has required careful consideration and planning for stakeholder engagement within each Alliance site including the development of full Stakeholder Engagement Plans and tracking of key indicators. The Alliance has also developed a Code of Conduct to guide our engagements in a way that prioritizes the participation and recognition of rights of IPLCs.
Private Sector (*Add rows as necessary*)				
Commercial fisheries that operate in or harvest resources from within an Alliance implementation site.	Commercial fisheries are interested in the productivity of marine ecosystems and the profitability of marine resources. Although there is natural alignment between commercial fisheries, the Alliance, and other stakeholders, often times commercial fisheries become	In places where restrictive management regimes are implemented and enforced, commercial fishing operators may be negatively impacted. However, the Alliance prioritizes partnerships and sustainable use	Especially for island nations that rely on commercial fisheries for economic payouts or benefits, strong opposition to ocean conservation areas from commercial fishing sector could be a barrier to Alliance engagement. Alliance seeks to	This is a medium risk stakeholder. While the Alliance is aiming to implement sustainable solutions that ultimately benefit fisheries, making them more productive and profitable in the long-run, unsustainable commercial fishing activity must be stopped to enable

	concerned with loss of profits in the short-term as a result of restriction of fishing access.	arrangements and seeks to collaborate with the private sector. Especially at the local level where key stakeholders are directly impacted, any negative impacts on commercial fisheries will be minimized and the Alliance will aim to support sustainable private sector development.	work with national and regional governing authorities to outline sustainable management solutions that benefit both local rights holders and stakeholders and, when appropriate, commercial fishing interests.	healthy and productive marine ecosystems to flourish. Furthermore, commercial fishing interests (such as IUU) that directly harm IPLCs and other stakeholders will be targeted for elimination within Alliance interventions.
Tourism operators that operate within Alliance implementation sites.	Tourism is inherently dependent on healthy marine ecosystems with the potential of attracting tourists. Tourism operators ultimately benefit from Alliance interventions in the long-run and value efforts to preserve and protect the marine environment.	Tourism operators and sector will benefit in the long run from healthy marine ecosystems. However, specific arrangements to manage tourism activities may be necessary to in order to prevent damaging tourism practices in specific sites.	In some sites marine tourism is an important economic driver. In these specific sites, engagement with key tourism operators and bodies will be important to ensure Alliance interventions are respected and have buy-in. Especially for stakeholders at the local level, maintaining a lucrative tourism industry may be a priority.	This is a medium risk stakeholder. For some sites where tourism is an important economic driver, the Alliance will prioritize engagement with the tourism sector through implementing partners and leverage partners. When possible, the Alliance will also seek opportunities to engage with global tourism operators with operations across multiple alliance sites.
Others (*Add rows as necessary*)				
Core partners of Blue Nature Alliance are Executing Core Partners (i.e. CI and Pew) and donors who have committed or will commit US $25,000,000 or more to the Alliance by way of a grant to an Executing Core Partner.	Core partners have high interest in Alliance engagements at the global and site levels. Core partners hold leadership roles as members of the Alliance Steering Council and shape the mission and direction of the Alliance.	The Alliance represents a significant investment for Core Partners and the success of the Alliance is paramount for Core partners responsibilities to their respective organizations.	As members of the Steering Council, Core partners set the tone and direction for Alliance investments and interventions at the global and site level.	This is a high-risk stakeholder. The Alliance has formal Steering Council Meetings on a bi-annual basis in which they approve the portfolio of site engagements, the annual budget and workplan, and review progress towards Alliance targets.
Strategic advisors provide input and feedback on technical, regional, cultural, scientific and other	Strategic advisors have interest in working on and being associated with the Alliance in order to	Depending on the specialty or field, the strategic advisors may have significant impact to	On a case-by-case basis, strategic advisors are in a position to add significant value to	This is a medium-risk stakeholder. In the beginning of Alliance engagements, the need for strategic

issues as needed.	advance aligning goals and initiatives under their own specific fields.	help advance specific goals or targets in association with Alliance interventions.	Alliance interventions by providing targeted and support in key areas.	advisors is evaluated and prioritized appropriately to achieve success in specific sites.
GEF IW Project Directors	GEF IW Project Directors are interested in identifying opportunities for alignment with the Alliance, avoiding duplication of efforts, and sharing lessons learned.	The Alliance is a global movement to advance space-based conservation. The presence of an Alliance site in connection with other GEF projects has the potential to bring additional support and momentum to aligning projects and maximize GEF investments.	Especially in sites where the Alliance has few existing relationships, the presence of other GEF projects is an opportunity for the Alliance to connect with established partners and leverage existing relationships.	This is a medium-risk stakeholder. Through the GEF network and connections, the Alliance will engage with GEF IW Project Directors within the geographies the Alliance has selected for investment.

SECTION IV: Stakeholder Engagement During PPG/PPF Phase

a.

Stakeholder Names	Dates, Locations and Methods of Engagement[104]	Outcomes
Core Partners	Virtual meetings were held with the Blue Nature Alliance's Steering Council, comprised of its five core partners on Mar. 10th 2020, Jun.23rd 2020, Nov. 10th 2020, Jan. 26th 2021, and Mar. 23rd 2021. The engagement was documented in meeting minutes circulated to Steering Council members and saved as record. In addition to these meetings, the Steering Council has received periodic updates over email regarding Blue Nature Alliance engagements and priorities.	The aim of these meetings was to guide the work of the Alliance and ensure that there is consensus among the core partners – including the GEF – regarding the Blue Nature Alliance priorities and actions. Decisions made include the review and approval annual budgets and goals, as well as the periodic approval of Blue Nature Alliance site engagements. The core partners will remain engaged during the implementation phase and will continue to serve as the Blue Nature Alliance's guiding body.
Blue Nature Alliance Staff, CI-GEF Agency, GEF-SEC	The Blue Nature Alliance held a virtual workshop on Jul. 9th 2020 for its Leadership & Management Team and key Blue Nature Alliance staff with the CI-GEF Agency. The workshop and its discussion were documented in the Blue Nature Alliance's shared document repository.	The aim of the workshop was to ensure that the priorities of the GEF International Waters Program were understood and to encourage alignment between Blue Nature Alliance project activities and GEF priorities. This workshop contributed to the design of the project by assisting all key Blue Nature Alliance staff in designing activities which are consistent with the priorities of the GEF International Waters Program. The results of this workshop are reflected in the Project Document.
GEF IW Project Directors	The Blue Nature Alliance held a virtual Stakeholder Engagement Kick-Off meeting on Aug. 31st 2020 with IW project directors working on range of GEF projects relevant to the Blue Nature Alliance's area of work. This included UNEP, UNDP, IUCN, FAO, and IW:LEARN among others. The engagement was documented through surveys sent to participants as well as meeting minutes saved in the Blue Nature Alliance's shared document repository.	The aim of this meeting was to introduce the Blue Nature Alliance and related GEF project to potential collaborators around the world, gather feedback as to how to strengthen the Blue Nature Alliance, map out direct linkages with ongoing and planned GEF initiatives, and form relationships which would lead to collaboration among projects. The input provided during this meeting was captured in the Project Document. The contributions of both men and women were captured through meeting notes as well as attendance records from the meeting. The projects consulted during this meeting will remain engaged during the implementation phase as relevant Blue Nature Alliance engagements are identified.

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[104] Method of engagement can be face-to-face meeting, telephone call, workshop, consultation, survey, etc.

GEF IW Project Directors	The Blue Nature Alliance held a range of virtual consultations with GEF project staff following its Stakeholder Engagement Kick-Off Meeting. Dates and participants in these consultations were as follows: Sept. 14th 2020 – UNOPS UNDP-GEF/CLME+ Sept. 16th 2020 – UNOPS UNDP-GEF/CLME+ & PROCARIBE Sept. 25th 2020 – UNEP-GEF Sept. 29th 2020 – Benguela Current Commission, UNEP-UNDP/BCLME III, GEF-FAO Oct. ---th 2020 – UNEP-WCMC Oct. 16th 2020 – UNEP-GEF, EBM Tools Network, OCTO Nov. 11th. 2020 – UNEP-WCMC Jan. 21st 2021 – UNOPS UNDP-GEF/PROCARIBE+ These engagements were documented with minutes in the Blue Nature Alliance's shared document repository.	The aim of these consultations was to locate opportunities for alignment between the Blue Nature Alliance and other GEF funded projects. The priorities of the Blue Nature Alliance and the ongoing priorities of the projects being implemented by the listed agencies were discussed during the call and relationships were built to ensure future collaboration. The opportunities discussed during these consultations were included in the 'Linkages with other GEF Projects and Relevant Initiatives' section of the Blue Nature Alliance Project Document. The stakeholders included in these consultations will remain engaged during implementation as opportunities for alignment between theie projects and Blue Nature Alliance engagements in the appropriate LME/region are located.
Leverage Partners	The Blue Nature Alliance aided in the development of, and participates in the Large Scale MPA Funders Roundtable which has held virtual meetings on Nov. 18th 2020, Feb. 3rd 2021, Apr. 7th 2021, and May 7th 2021. Each meeting is led by the representative of a selected funding organization and this representative seeks consensus and alignment between participants regarding funding priorities and opportunities.	These meetings aimed to find alignment between funders of large-scale ocean conservation to maximize impact. Decisions are made regarding shared priorities and opportunities for alignment among funders in select regions. The priorities determined during this call will be captured in the Blue Nature Alliance project as an opportunity to leverage co-financing. The Large Scale MPA Funders Roundtable will continue to meet for the duration of the Blue Nature Alliance's implementation.
Implementing Partners	The Alliance held virtual consultations with the following implementing partners over the course of its PPG Phase: Oceans Unite, McKinsey, Global Parliamentarians, Nekton, Global Island Partnership, Vulcan Skylight, ESRI, University of Victoria, and, University of California Santa Barbara.	The consultations aimed to build relationships with potential implementing partners and locate opportunities for collaboration. Decisions were made regarding partnership relationships and delegation of Blue Nature Alliance funding and areas of work. The consultations which yielded relevant opportunities for partnership within the Blue Nature Alliance's project, have led to Memorandums of Understanding and scopes of work which can be found detailed in the Blue Nature Alliance Project Document. These leverage partners will remain engaged

	Information on the relationships and opportunities for collaboration that arose from these meetings was documented in the Blue Nature Alliance shared document repository.	throughout the implementation phase until the scope of work detailed in their Memorandum of Understanding has been completed.
Site-Specific Stakeholder Engagement – Lau Seascape, Fiji	The Blue Nature Alliance conducted the following Site-Specific Stakeholder Engagement for the Lau Seascape, Fiji: An in-person trip and consultation took place from Nov. 11-22 2019, including meetings with government authorities, local communities & Indigenous peoples, and tourism operators. During the in-person trip and consultation, the Blue Nature Alliance began work to obtain letters of invitation to engage with stakeholders and began exploring opportunities to conduct gender-sensitive stakeholder consultations. A summary of this trip and its resulting consultations was recorded in the Blue Nature Alliance shared document repository. A range of virtual meetings followed this in-person trip, including meetings with local NGOs, traditional leaders of Lau province – particularly Roko Sau, and local communities.	The aim of the in-person scoping trip and consultations was to socialize the Blue Nature Alliance and to gain insight from local stakeholders on their needs and desires for the Lau Seascape. It provided guidance from which the Blue Nature Alliance shaped its engagement strategy for the region. The Blue Nature Alliance recorded consultation participants by gender with a focus on achieving gender-sensitive stakeholder consultations which engage all relevant stakeholders. The stakeholders consulted during this process expressed interest and will remain engaged throughout the implementation phase as the Blue Nature Alliance executes its engagement strategy for the Lau Seascape through its implementing partner – Conservation International Fiji.
Site-Specific Stakeholder Engagement – Tristan da Cunha	The Blue Nature Alliance conducted the following Site-Specific Stakeholder Engagement for Tristan da Cunha: Virtual consultations were conducted with the Tristan Council (community governing body), Tristan Government Administrator, Tristan Government Fisheries Department, Tristan Government Conservation and Tourism Departments, wider Tristan community members,	The aim of these consultations was to socialize the Blue Nature Alliance with the Tristan da Cunha community and governing body and, ultimately, receive input and support for a Blue Nature Alliance engagement. Throughout the consultation process the Blue Nature Alliance sought input from the wider community, including women and children. The contributions of men and women were captured in a manner consistent with the Gender Action Plan, such as the tracking of number of men and women consulted and in leadership positions as well as the participation in project activities. The information gathered during these consultations has been captured in the design of the Blue Nature Alliance's engagement in Tristan da Cunha.

	and Tristan schoolchildren. The Blue Nature Alliance sought consent through the socializing of its project goals, soliciting of input from community members. This was an essential step before engagement could begin as the Tristan Council serves as the decision-making authority for the community.

Virtual meetings were held to discuss leverage funding with the National Geographic Society and the Royal Society for the Protection of Birds. | The Tristan da Cunha community and Tristan Council will remain engaged through the implementation phase as leaders in implementing the project with support from the Blue Nature Alliance and other leverage partners identified. |
| **Site-Specific Stakeholder Engagement – Western Indian Ocean** | The Blue Nature Alliance conducted the following Site-Specific Stakeholder Engagement for the Western Indian Ocean:

Virtual meetings were held between the dates of Jul. 2020 and Jan. 2021 with an array of relevant organizations – including IUCN, WIOMSA, Fish-I Africa, Rare, CI-Africa, Vulcan, Blue Ventures, WCS, Wild Oceans, WWF, and Space for Giants among others – to aid in the development of priorities and interventions for the Blue Nature Alliance Engagement. This engagement was documented in the Blue Nature Alliance shared document repository.

These meetings included conversations with organizations which have completed in-person consultations with local communities in Mozambique, Madagascar, Kenya, and Tanzania to solicit input and gauge interest in the creation of LMMAs.   As in-person travel is not possible at this time, consent was sought for a Blue Nature Alliance engagement through these organization.

Future in-person consultation is planned as Blue Nature | The aim of these meetings was to socialize the Blue Nature Alliance with organizations active in the region and seek input on the needs which could be met through a Blue Nature Alliance engagement. Discussion included ongoing work in the region as well as identifying shortcomings in current marine conservation strategies.

The information gathered during these consultations has been captured in the design of the Blue Nature Alliance's engagement in the Western Indian Ocean. This includes an acknowledgement of the patriarchal structure or societies in the Western Indian Ocean and the need for gender sensitive approaches to meet the requirements of the Gender Action Plan.

These organizations – particularly WIOMSA and IUCN – and communities will remain engaged through the implementation phase with support from the Blue Nature Alliance and other leverage partners identified. |

	Alliance staff have relocated to the region.	
Site-Specific Stakeholder Engagement – Seychelles	The Blue Nature Alliance conducted the following Site-Specific Stakeholder Engagement for the Seychelles: Virtual consultations were held with Seychelles community members, governing agencies such as the Ministry of Environment and Climate Change, and the Blue Economy Research Institute to aid in the development of priorities and interventions for the Blue Nature Alliance engagement. Additional virtual meetings were held with The Nature Conservancy – a previous funder and involved organization in the region – and Oceans 5 pertaining to co-financing. This engagement was documented in the Blue Nature Alliance shared document repository.	The aim of these meetings was to socialize the Blue Nature Alliance with organizations active in the region and seek input on the needs which could be met through a Blue Nature Alliance engagement. Discussion included an overview of ongoing work in the region as well as identifying shortcomings in current marine conservation strategies. This included conversation on the need to establish an MPA management unit and reduce the financing gap for the MPA network. The information gathered during these consultations has been captured in the design of the Blue Nature engagement strategy in Seychelles. These organizations – particularly SeyCCAT – and communities will remain engaged through the implementation phase with support from the Blue Nature Alliance and other leverage partners identified.
Site-Specific Stakeholder Engagement – Palau	The Blue Nature Alliance conducted the following Site-Specific Stakeholder Engagement for Palau: The Blue Nature Alliance held a range of in-person meetings/consultations with stakeholders pertaining to the Palau National Marine Sanctuary from Nov. 2020 – Mar. 2021, including staff members from the Palau National Marine Sanctuary and Palau International Coral Reef Center (PICRC). These meetings included discussion on the proposal development process as a step to reach consensus among stakeholders.	The aim of these meetings was to socialize the Blue Nature Alliance with organizations active in the region and seek input on the needs which could be met through a Blue Nature Alliance engagement. Discussion included ongoing work in the region as well as identifying shortcomings in current marine conservation strategy. Palau has a strong history of involving stakeholders in the process relating to ocean governance and marine conservation and, currently, there is a consortium of government, non-governmental, and community representatives that meet periodically. Stakeholders including community members, fishers, women groups, and youth groups are regularly consulted in the management planning process for PNMS. This strong track-record of stakeholder engagement has been captured in the project plan and will contribute to the design of the engagement strategy. The organizations – particularly PICRC– and communities will remain engaged through the

	The engagement dates and individual's contacted have been documented in the Blue Nature Alliance shared document repository.	implementation phase with support from the Blue Nature Alliance and other leverage partners identified.
Site-Specific Stakeholder Engagement – Canada	The Blue Nature Alliance conducted the following Site-Specific Stakeholder Engagement for Canada: The Blue Nature Alliance held a range of virtual meetings/consultations with stakeholders pertaining to the expansion and improved management of Canada's network of MPAs and Indigenous Protected Areas (IPAs) from Feb. 2020 – Jan. 2021, totalling 19 discussions across 13 different organizations, including non-profit organizations, Indigenous-led organizations, funders, and the federal government. Organizations contacted included – but were not limited to – Oceans North, the Canadian Parks and Wilderness Society, Indigenous Circle of Experts, and Department of Fisheries and Oceans Canada. The engagement dates and individuals contacted have been documented in the Blue Nature Alliance shared document repository.	The aim of these meetings was to socialize the Blue Nature Alliance with organizations active in the region and seek input on the needs which could be met through a Blue Nature Alliance engagement. Discussion included ongoing work in the region as well as identifying shortcomings in current marine conservation strategy. Through these consultations, the Blue Nature Alliance selected a lead implementing partner—Oceans North—that has a core commitment to work in partnership with and follow the leadership of relevant Inuit, First Nation, and Métis organizations and coastal communities to determine key objectives and outcomes for IPAs and MPAs. The information gathered during these consultations has been captured in the design of the Blue Nature engagement strategy for Canada. These organizations – particularly Oceans North – and communities will remain engaged through the implementation phase with support from the Blue Nature Alliance and other leverage partners identified.

| Site-Specific Stakeholder Engagement – Niue | The Blue Nature Alliance conducted the following Site-Specific Stakeholder Engagement for Niue:

The Blue Nature Alliance held a range of virtual meetings/consultations with stakeholders pertaining to the improved management of the existing Niue Moana Mahu Marine Protected Area from Jan. 2021 – Jun. 2021, with a range of local and international organizations. Those contacted included – but were not limited to – Niue Ocean Wide, Tofia Niue, Oma Tafua, Oceans 5, Global Island Partnership, Secretariat of the Pacific Community, South Pacific Regional Environmental Program, and Fisheries Forum Agency.

As fisheries in Niue's waters are primarily orientated to subsistence with some small-scale commercial fishing, the Blue Nature Alliance sought input and consent from stakeholders to ensure that interventions for the project were compatible with the traditional values placed on reef fishing and the Niuean lifestyle and livelihood.

The engagement dates and individuals contacted have been documented in the Blue Nature Alliance shared document repository. | The aim of these meetings was to socialize the Blue Nature Alliance with organizations active in the region and seek input on the needs which could be met through a Blue Nature Alliance engagement. Discussion included ongoing work in the region as well as identifying shortcomings in current marine conservation strategy.

The information gathered during these consultations has been captured in the design of the Blue Nature engagement strategy for Niue and will guide the development of interventions and project goals.

These organizations – particularly Niue Ocean Wide – and communities will remain engaged through the implementation phase with support from the Blue Nature Alliance and other leverage partners identified. |

b. Project Disclosure

Disclosing project information is essential for meaningful consultation on project design and for stakeholders to understand the potential opportunities of the project, and the risks and impacts of the project.

Confirm that the following information was shared with stakeholders in a timely manner and in an appropriate form and language during the PPG/PPF Phase:

Information	When, How and Where this was shared?
☒ The purpose, nature and scale of the project	The purpose, nature and scale of the Alliance

	project was official shared through a public launch in April 2021 and details can be found on the [Alliance website](#).
☒ The duration of proposed project activities	The duration of the overall GEF-support Alliance project is made clear to Core partners and other select stakeholders; however, each site-based intervention has its own unique timeframe and workplan determined in collaboration with implementing partners and communicated to all partners and stakeholders through formal and informal meetings and communications.
☒ Information from the environmental and social safeguard screening process, regarding potential risks and impacts of the project on stakeholders, including: • Proposals for mitigating risks and impacts • Potential risks and impacts that might disproportionately affect vulnerable and disadvantaged groups • Description of differentiated measures to be taken to avoid and minimize disproportionate risks and impacts	Information on the environmental and social safeguard screening process and requirements are communicated to implementing partners/grantees during inception meetings prior to the development of proposals for Alliance funding. The Code of Conduct, and other important resources are made available on the [Resources page](#) of the Alliance website in order to communicate Alliance principles to current and perspective partners.
☒ The proposed stakeholder engagement process, highlighting ways in which stakeholders can participate and contribute during project design and/or implementation	The Alliance's site engagement process is summarized in the [Our Approach](#) page of the Alliance website, which outlines how stakeholders participate in and contribute to site-based engagements.
☒ The time and venue of proposed public consultation meetings, and the process by which meetings will be notified, summarized and reported	Each site-based intervention has its own stakeholder consultations and events to engage stakeholders, which are determined in collaboration with implementing partners and communicated to all partners and stakeholders using appropriate channels.
☒ The process and means by which grievances can be raised and addressed	The Alliance has a two-tiered grievance mechanism. The global grievance mechanism information is available on the [Grievance Mechanism page](#) of the Alliance website and the accompanying [Accountability and Grievance Mechanism Manual](#) is available on the Resources page.

c. Reporting of Indicators During PPG/PPF

Number (and name) of stakeholder groups involved in project design and preparation process	75

Number of people who have been involved in the project design and preparation process	Men:	Total: At least 150 people (gender unknown)
	Women:	
Number of engagements (meetings, workshops, consultations, etc) with stakeholders during PPG phase		At least 70

d. Lessons Learned during PPG/PPF:

The development of this GEF Project Document has provided learning opportunities for the Alliance that will help guide both the project and overall Alliance going forward. Some of these lessons are detailed below.

- **Meaningful partnership takes work:** Everyone holds the idea of partnership differently. Building trust, aligning values, and maintaining relationships across and between the people representing institutions and communities, from the Core Partners to those working on the ground in a site, takes time and effort. In reflecting on lessons learned from past collaborations, Barry Gold, a member of the Alliance Steering Council, remarked that "we need a bigger coffee budget" – meaning that we need to prioritize the time and effort required for talking, engaging, and understanding each other so that real collaboration can occur. Conservation International and The Pew Charitable Trusts have spent two years doing the work to build a partnership and trust between two fundamentally different organizations. That work will continue. Under restrictions related to the COVID-19 pandemic, the coffee and travel budgets were diminished, however the work of building partnership remained as important as ever. The Alliance shifted quickly to all-remote operations and have put in place extensive practices to stay connected and to build new relations even in a remote setting.

- **Aligning around shared goals for sites and then flexibly executing:** As the Alliance has begun engaging additional partners at prospective engagement sites, new lessons have emerged on partnership. Specifically, the importance of defining a shared goal up front with partners has become exceedingly clear. Once that shared goal is agreed upon, then together we need to maintain flexibility in how we reach that goal, understanding that reality changes and often with it the best path to the goal. In multiple early site engagements, significant changes due to COVID or political turnover or turmoil required a quick adjustment of our strategy on the ground. It reinforced the need to have a shared understanding of what we were aiming for without spending too much time being overly prescriptive on the specific activities to get there. It has also reinforced that having a lead implementing partner at each site, rather than complicated coalition of partners, is the most efficient way to ensure alignment around a shared goal. As a result, the Alliance has adjusted its site scoping process to focus more effort upfront on alignment around a shared goal with a single or a few lead implementing partners and has adjusted its site engagement strategy to maintain more flexibility during implementation.

- **Making the scoping process valuable for both the Alliance and stakeholders (in person and remotely):** The Alliance is learning new approaches from each scoping process it participates in, whether in-situ or remote. The Alliance's goal is to not only to better understand the site, the opportunity for the Alliance, and associated risks and challenges, but perhaps more importantly to help bring together stakeholders and build local partnerships in the process. This effort is best exemplified by the scoping conducted in Peru in February 2020. In

partnership with several government agencies, Conservation International-Peru, Oceana-Peru, Oceana-International, and the Wyss Foundation, the Alliance led a series of planning and discussion workshops and meetings over the course of one week in Lima, Peru. By bringing together all of the partners and creating space where they could honestly discuss the conservation issues related to the proposed Nazca Ridge Marine Reserve, the Alliance was able to identify strengths and weaknesses in the MPA proposal and make science-based and practical recommendations both to the local non-governmental organization (NGO) partners and to the government agencies. The Alliance also opened the door for new levels of collaboration between the local NGOs and set clear expectations of what would be needed for further Alliance engagement post-designation. As the Alliance shifted to remote scoping, it tried to build in other opportunities for stakeholders and potential implementing partners to collaborate.

- **Leading from Behind:** From the beginning, the Alliance has intentionally taken a non-traditional approach to external communications. The Alliance chose not to lead with a major announcement about how much money has been committed, or even about its audacious goal. The five core partners agreed that it was more important to communicate impact and to elevate and celebrate the partners – the organizations, communities, leaders, and governments – that are on the frontlines of site engagements. The Alliance executed a soft-launch with a public-facing website, collateral materials, and transparent communications, but it has not yet elected to issue press releases or engage in any major media announcements to date. However, the advantage of this approach is a real demonstration of integrity and establishing the Alliance's reputation with those who it is in direct conversation. As a result, the Alliance has accelerated some engagements, and in other cases people and groups that typically do not engage with BINGOs have signed on to work with the Alliance.

SECTION V: Stakeholder Engagement in the Implementation Phase

Stakeholder Name	Method of Engagement	Location and Frequency	Resources Required	Budget
Governing authorities	Engagements with governing authorities will begin in the initial phase of site scoping through calls and/or in-person meetings. In the case of engagement sites where GEF funds will be allocated, the Alliance will require a no-objection letter from the relevant GEF focal point.	Early in site scoping process and on an annual basis minimum through on the ground implementing partners	Presentations, calls, in-person and virtual meetings, as well as reports may be used. Engagements with governing authorities will be undertaken by Alliance Regional Program Officers, Alliance Technical Directors andimplementing partners.	Costs for initial engagements during site scoping are covered under Component 1-Site Scoping. Costs for ongoing engagement with governing authorities during implementation will be budgeted into grant agreements with implementing partners under Component 2-New Protection of Key Ocean Geographies and Component 3—Improved Protection of key Ocean Geographies. Alliance staff will also have budget to travel to each site on an annual basis to conduct stakeholder engagement. These travel costs are also budgeted under Components 2 and 3.
Implementing partners	Select implementing partners will be engaged through formal and in-formal meetings and calls beginning in the site scoping process. A strong implementing partner is an essential element of Alliance engagement, without which a site-level intervention cannot proceed.	Ongoing discussions and engagement will begin early in the site scoping phase and will be formalized in grant agreements where the frequency and mode of reporting will be clarified.	Presentations, calls, reports and in-person and virtual meetings may be used. Engagements with implementing partners will be undertaken primarily by Alliance Regional Program Officers and occasionally Alliance Technical Directors and other technical staff.	Costs for initial engagements during site scoping process are covered under Component 1-Site Scoping. Alliance staff will also have budget to travel to each site on an annual basis to work in close coordination with implementing partners on the ground. These travel costs are budgeted under Components 2 and 3.
Leverage partners	The identification of leverage partners will take place in discussions with implementing partners early in the site engagement process. Then, informal and formal discussions via calls and in-person meetings with key leverage partners.	Ongoing discussions and engagement will begin early in the site scoping phase and will continue at mutually agreed upon frequency throughout implementation.	Presentations, calls, in-person and virtual meetings, as well as occasionally reports may be used. Engagements with leverage partners will be undertaken primarily by Alliance Regional Program Officers and occasionally Alliance Technical Directors and other technical staff.	Costs for initial engagements are covered under Component 1-Site Scoping. Costs for ongoing engagement with leverage partners will be budgeted under Components 2 and 3.

	New Leverage partners may be engaged throughout the site engagement.			
Local communities, Indigenous Peoples (IPLCs) including disadvantaged groups	IPLCs and disadvantaged groups will be engaged by implementation partners or governing authorities. Stakeholder Engagement Plans and interventions will be planned for each site engagement to determine the appropriate method of engagement.	Stakeholder Engagement plans and planned interventions will identity the appropriate frequency and location of engagements with IPLCs and implementing partners will account for and report on those engagements.	A variety of materials and resources may be needed for engagement of IPLCs including but not limited to written statements, communication pieces, meetings, public announcements, etc.	Costs for initial engagements during site scoping process are covered under Component 1-Site Scoping. Stakeholder engagement activities will be budgeted and planned for within the grant agreements with implementing partners and covered under Components 2 and 3.
Commercial fisheries and tourism operators	Commercial fisheries and tourism operators will be engaged by Alliance and implementing partners in a variety of ways depending on the specific needs of individual sites.	Commercial fisheries and tourism operators will be engaged at various frequency and in different locations depending on the specific needs of individual sites.	The materials needed for these engagements will also vary but may include presentations, communication pieces, documents, etc.	Costs for engagement with commercial fisheries or tourism operators will be either budgeted into grant agreements or conducted by Alliance technical staff and will be covered within Components 2 and 3.
Core partners	Core partners will be engaged through bi-annual Steering Council meetings and reports.	Bi-annual meetings that are held either in person or remotely.	Materials for Steering Council meetings include reports, budgets, and presentations.	Costs for these engagements are covered by co-financing.
Strategic advisors	Strategic advisors will be engaged on an ad hoc basis through various formal and informal methods.	Ad hoc based on the specific needs of individual sites.	The materials needed for these engagements will also vary but may include presentations, communication pieces, documents, etc.	Costs for these engagements are covered by co-financing or included in grant agreements of implementing partners under Components 2, 3, and 4.
GEF IW Project Directors	All GEF IW Project Directors will be engaged regularly through IW:LEARN events and exchanges. Individual GEF IW Project Directors will be further engaged on an ad hoc basis in overlapping geographies through informal and formal meetings and calls.	Bi-annually at IW:LEARN convenings plus ad hoc based on the specific needs of individual sites.	The materials needed for these engagements will also vary but may include presentations, communication pieces, documents, etc.	Costs for these engagements, including travel costs for all IW:LEARN events, are covered in Component 4 (Outcome 4.2: Knowledge Management and Learning). .

SECTION VI: Monitoring and Reporting

Project monitoring and evaluation will be conducted in accordance with established Alliance and GEF procedures established by the project team and the CI-GEF Project Agency. The project's M&E plan will be presented and finalized at the project inception workshop, including a review of indicators, means of verification, and the full definition of project staff M&E responsibilities.
Monitoring and Evaluation Roles and Responsibilities

The project Executing Agency (The Blue Nature Alliance) will be responsible for initiating and organizing key monitoring and evaluation tasks. This includes the project inception workshop and report, quarterly progress reporting, annual progress and implementation reporting, documentation of lessons learned, and support for and cooperation with the independent external evaluation exercises.

The project Executing Agency (The Blue Nature Alliance) is responsible for ensuring the monitoring and evaluation activities are carried out in a timely and comprehensive manner, and for initiating key monitoring and evaluation activities, such as the independent evaluation exercises.

Key Alliance implementing partners (i.e. grantees) are responsible for providing any and all required information and data necessary for timely and comprehensive project reporting, including results and financial data, as necessary and appropriate.

The Blue Nature Alliance Steering Council plays a key oversight role for the project, with regular meetings to receive updates on project implementation progress and approve annual workplans. The Project Steering Committee also provides continuous ad-hoc oversight and feedback on project activities, responding to inquiries or requests for approval from the Management Team.

The CI-GEF Project Agency plays an overall assurance, backstopping, and oversight role with respect to monitoring and evaluation activities.

The CI General Counsel's office with the Grants and Contracts Unit are responsible for contracting and oversight of the planned independent external evaluation exercises at the mid-point and end of the project.

On an annual basis, the Alliance will report, using the CI-GEF Project Implementation Report (PIR) template, on the following CI-GEF's minimum indicators.

Indicator
13. Number of people (sex disaggregated) that have been involved in project implementation phase (on an annual basis)
14. Number of stakeholder groups (government agencies, civil society organizations, private sector, indigenous peoples and others) that have been involved in the project implementation phase (on an annual basis)
15. Number of engagements (meetings, workshops, consultations, etc.) with stakeholders during the project implementation phase (on an annual basis).

Person responsible for implementing and monitoring the SEP:	Laure Katz, Alliance Technical Director and Whitney Yadao-Evans, Alliance Safeguards Advisor
How/Where will the approved SEP be disclosed[105]:	This safeguards plan will be included as a part of the Alliance ProDoc and made available on the CI-GEF Agency website.

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[105] Approved Safeguard plans are to be disclosed to stakeholders in a manner and form that they will understand and that is culturally appropriate. This may require translation of the document.

When will the approved SEP be disclosed:	This safeguards plan will be disclosed at the start of the implementation phase.

APPENDIX VI-g: Stakeholder Engagement Plan

CI-GEF/GCF PROJECT AGENCY
CI-GEF GENDER MAINSTREAMING PLAN (GMP)

SECTION I: Project Information

PROJECT TITLE:	Blue Nature Alliance to Expand and Improve Conservation of 1.25 billion Hectares of Ocean Ecosystems		
GEF/GCF PROJECT ID:	10375	**PROJECT DURATION:**	60 months
EXECUTING AGENCY/ENTITY:	Blue Nature Alliance		
PROJECT ANTICIPATED START DATE:	*(07/2021)*	**PROJECT END DATE:**	*(06/2026)*
GMP PREPARED BY:	Whitney Yadao-Evans, Safeguard Advisor		
DATE OF (RE)SUBMISSION TO CI-GEF/GCF:			
GMP APPROVED BY:	*Ian Kissoon, Director of ESMS, CI-GEF/GCF Project Agency*		
DATE OF CI-GEF/GCF APPROVAL:	*2021-05-17*		
PERSON RESPONSIBLE FOR IMPLEMENTING AND MONITORING THE GMP:	*Laure Katz, Alliance Technical Director/Whitney Yadao-Evans, Safeguards and Gender Manager*		
HOW/WHERE WILL THE APPROVED GMP BE DISCLOSED[106]:	*This safeguards plan will be included as a part of the Alliance ProDoc and made available on the CI-GEF Agency website.*		
WHEN WILL THE APPROVED GMP BE DISCLOSED:	*This safeguards plan will be disclosed at the start of the implementation phase.*		

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[106] Approved Safeguard plans are to be disclosed to stakeholders in a manner and form that they will understand and that is culturally appropriate. This may require translation of the document.

SECTION II: Gender Analysis/Assessment

As the Alliance moves to catalyse the creation, expansion or improved management of large ocean areas, the Alliance will engage with a number of prominent stakeholder groups including recreational fishers, subsistence fishers, commercial fishers, scientists and others. These are heavily male-dominated stakeholder groups. Even though women play an important role in fisheries – women make up a majority of the post-harvest jobs in the fisheries sector, and overall it is estimated that women make up roughly 47% of jobs in the small-scale fisheries sector – these contributions are often overlooked and women hold a disproportionally low number of official or salaried jobs in the fishing industry. Today, more women work in commercial fishing jobs than ever before, yet this it still calculated to be roughly 15% of the workforce. Cultural perceptions and lack of representation constitute significant barriers for women to engage in the fisheries sector and as a result, we anticipate facing some challenges in reaching our goal of 33% participation in project activities. Especially considering that the Alliance will often be engaging with government officials representing national marine resource agencies, reaching the 33% goal of women's participation will require execution of multiple strategies and close monitoring to achieve the goal. Conversely, the Alliance is in a good position to achieve the second goal of women constituting 50% of project beneficiaries. Due to the focus of the Blue Nature Alliance on large-scale ocean management and conservation, project beneficiaries will include a broad scope of coastal communities and local economies.

Due to the broad geographic scope of the Blue Nature Alliance project with a plan to engage in different sites across the globe, a more detailed gender assessment is infeasible at this time. However, the Alliance plans to overcome this limitation by implementing gender assessments and gender action plans for each of specific site during project implementation. The follow section outlines the actions that will be taken within the Alliance site scoping and site engagement process to meet the GEF Gender Policy requirements and implement gender-inclusive site engagements designed to meet gender targets.

SECTION III: Gender Action Plan

The Blue Nature Alliance has set an ambitious set of goals for gender mainstreaming within the project. The Alliance aims for 33% of project participants to be women and for 50% of project beneficiaries to be women.

The Blue Nature Alliance will use three strategies in order to reach the goals for gender mainstreaming. First, the Alliance intends to work with local partners that are deeply embedded in project sites and have close relationships with local stakeholders. This strategy will ensure that local partners are aware of local cultural norms and gender roles and are well positioned to identify specific barriers to women's participation as well as actions to minimize those barriers. Using the process described in paragraphs 193 and 197 in the ProDoc, partners will apply their in-depth knowledge of the specific geography to develop a quality Gender Action Plan accompanying their proposal and will collect gender disaggregated data to monitor progress toward the gender goals. Second, the Alliance will invest in capacity building for staff and implementing partners to raise awareness and understanding of gender and the importance of including women in marine resource management and conservation initiatives. Furthermore, Alliance staff will receive targeted training on how to complete gender assessments, as well as how to effectively support partners to develop and implement Gender Actions Plans. Third, the Alliance team for this project includes a Safeguards and Gender Manager with the purview to review and provide guidance on gender assessments and Gender Action Plans at multiple stages in the site development process. This key role will strengthen performance and work with Alliance staff and partners to ensure gender tools are implemented appropriately.

While the specific social-economic and cultural context of each engagement site the Alliance will eventually invest in is not yet known, the significance of the site for its residents constitutes an important consideration during the Alliance's site scoping and selection process. Through its scoping process, the Alliance will collect and consider the following information for all sites:

- Socio-economic conditions including economic marginalization, poverty, health, conflict, access to food, or livelihood insecurity, a characterization of the different resource-based and non-resource-based livelihoods in the area for local communities, Indigenous groups and broader local population, and a characterization of the level of resource dependence of the local communities, Indigenous groups and local population for economic and subsistence uses;
- Governance including a characterization of pertinent governance laws and policies, agencies and organizations, and decision-making processes related to the marine management and conservation in the country, and a preliminary evaluation of current governance against criteria for effectiveness (e.g. direction, coordination, capacity, evidence-based, accountable, efficient, adaptable), equity (e.g., recognition, participation, fair, just), and robustness (e.g., legal mandate, political will, public support, legitimacy, connected)

- Stakeholder Engagement & Inclusiveness of Management including a description of current stakeholder engagement processes related to ocean governance and marine conservation in the country or site, a characterization of the level of inclusiveness and participation in site level management planning in the country and/or site (including specifically address how Indigenous groups participate in management as relevant), identification of whether and how social, economic and cultural considerations are currently taken into account in ocean conservation and management decisions.
- Gender impacts including a characterization of how women and men use, access, and depend on resources in the site, a description of how women and men participate in decision-making processes and management actions, as well as opportunities for or barriers to women's full participation, and the identification and comparison of how women and men will be impacted by project activities and opportunities – including livelihoods, workload, access to resources, etc.
- Social impacts including the anticipated positive and negative impacts of achieving the Alliance outcome on gender dynamics between men and women and gender-based violence, the anticipated positive and negative impacts of achieving the Alliance outcome on cultural heritage, and the anticipated positive and negative impacts of achieving the Alliance outcome on community health, safety and security.

Using the results of the Gender Analysis, and considering the project context, scope and components, the Gender Action Plan details how the project will ensure the active and meaningful participation of both women and men, equal access to opportunities, resources and benefits from the project, and avoid perpetuating social inequalities.

Component 1: Site Scoping				
Outputs	**Activities to Mainstream Gender into Output**	**Target**	**Resources Required**	**Budget**
Output 1.1.1: Desktop Assessment of potential site to evaluate Alliance criteria is conducted.	Initial review of potential sites to identify high-risk situations such as high rates of GBV.	Completed for all potential sites	A Safeguards and Gender Manager available to participate in the Alliance site scoping process.	Safeguards and Gender Manager staff costs
Output 1.1.2: Advanced site scoping (either in situ or remote), including participatory and gender-sensitive stakeholder consultations and any necessary political, legal, ecological, and/or other assessments is completed.	Alliance will work with implementing partners to conduct stakeholder engagement during advanced scoping that considers the different needs and roles of men and women. This includes holding meeting in locations and at times when women and men can both attend. Holding separate gatherings for women (if appropriate) to ensure women have an opportunity to participate and engage. All surveys and other structured interactions with stakeholders will aim to have 50% women participation.	Site dependent, however, whenever possible stakeholder engagement activities will aim to have 50% women participation	A Safeguards and Gender Manager available to participate in the Alliance site engagement process; oversee development of gender and stakeholder engagement plans; and to approve all engagement framework documents and gender plans.	Safeguards and Gender Manager staff costs
Output 1.1.3: Collaboratively with stakeholders, implementing partners,	Alliance will work with implementing partners to develop	All investment sites have a completed	A Safeguards and Gender Manager available to	Safeguards and Gender Manager

leverage partners and/or technical partners, a gender-sensitive engagement framework to advance each site is developed.	engagement frameworks and workplans that consider the different needs and roles of men and women. Furthermore, the Alliance completes a stakeholder and gender assessment of each site as a part of engagement framework.	Engagement Framework document that includes stakeholder and gender assessments.	participate in the Alliance site engagement process; oversee development of gender and stakeholder engagement plans; and to approve all engagement framework documents and gender plans.	staff costs.
Output 1.1.4: Prior to investment, the site engagement framework is endorsed by the Blue Nature Alliance Steering Council.	n/a			
Component 2: New Protection of Key Ocean Geographies				
Output 2.1.1: Financial and/or technical support is provided to implementing partners in order to achieve legal recognition of a new or expanded ocean conservation area.	As a part of the proposal development process, implementing partners complete a gender assessment and action plan. This includes designing activities to minimize barriers and maximize opportunities for women's participation.	All proposals are accompanied by stakeholder engagement and gender plans that include actions to increase women's participation and tracks indicators within GEFs gender results areas. Targets for the Alliance globally – and within each site – are to have 33% women's participation and for 50% of project beneficiaries to be women.	A Safeguard Advisor available to participate in the Alliance site engagement process; oversee development of gender and stakeholder engagement plans; and to approve all gender plans submitted by implementing partners as part of their grant proposal.	necessary resources to implement the identified gender actions will be planned and budgeted into grant agreements. Additional technical guidance and support may be provided by the Alliance Safeguards and Gender Manager.
Output 2.1.2: For those engagement sites that achieve legal recognition, a baseline management effectiveness assessment is conducted.	n/a			
Output 2.1.3: For those engagement sites that achieve legal recognition, additional financial and/or technical support is provided to implementing partners in order to develop long-term sustainable financing plans.	n/a			
Component 3: Improved Protection of Key Ocean Geographies				
Output 3.1.1: Financial and/or technical support is provided to implementing partners to achieve upgraded protection and/or improved management of ocean conservation areas.	As a part of the proposal development process, implementing partners complete a gender assessment	All proposals are accompanied by stakeholder engagement and gender plans that include actions to	A Safeguard Advisor available to participate in the Alliance site engagement process; oversee	Necessary resources to implement the identified gender actions will be planned and budgeted into grant agreements.

	and action plan. This includes designing activities to minimize barriers and maximize opportunities for women's participation.	increase women's participation and tracks indicators within GEFs gender results areas. Targets for the Alliance globally – and within each site – are to have 33% women's participation and for 50% of project beneficiaries to be women.	development of gender and stakeholder engagement plans; and to approve all gender plans submitted by implementing partners as part of their grant proposal.	Additional technical guidance and support may be provided by the Alliance Safeguards and Gender Manager.
Output 3.1.2: A management effectiveness assessment is conducted at each engagement site both before and after receiving Alliance support.	n/a			
Output 3.1.3: Financial and/or technical support to develop a plan to achieve long-term sustainable financing is provided to on-the ground implementing partners.	n/a			
Component 4: Global Enabling Conditions to Scale Up Ocean Conservation				
Output 4.1.1: Research projects that advance the field of large-scale ocean conservation that are completed with technical or financial support from Blue Nature Alliance.	n/a			
Output 4.1.2: Peer-reviewed publications that advance the field of large-scale ocean conservation that are completed with technical or financial support from the Blue Nature Alliance.	n/a			
Output 4.2.1: Learning initiatives that advance the field of large-scale ocean conservation and/or transboundary ocean governance and that provide training and professional development for ocean conservation practitioners/stakeholders supported	Learning initiatives undertaken by the Alliance will use various approaches to increase women's participation such as reserving a percentage of spots for women, promoting opportunities within women's networks, and working with	The Alliance's target is to achieve 33% women's participation.	Resources required to achieve these targets will be planned for and budgeted within grant agreements and advised by the Alliance Safeguards Advisor.	Resources required to achieve these targets will be planned for and budgeted within grant agreements and advised by the Alliance Safeguards Advisor.

	partners to design activities considering women's needs and roles.			
Output 4.2.2: New tools, trainings, or innovative approaches for large-scale ocean conservation developed and disseminated, including via regional entities.	When appropriate, new tools will include gender-sensitive approaches and perspectives and aim to increase women's participation.	n/a	The Alliance Safeguards Advisor will advise on the development of select tools.	The Alliance Safeguards Advisor will advise on the development of select tools.
Output 4.2.3: Collaboration and coordination of NGOs, funders, and other implementors, working to advance ocean conservation areas, regional collaboration and ocean conservation at scale increased.	n/a			
Output 4.2.4: Results of and lessons from Blue Nature Alliance investments shared at international conferences, with the IW:LEARN and LME:LEARN communities of practitioners and with regional entities.	n/a			
Component 5: Monitoring & Evaluation Plans Inform Adaptive Management				
Output 5.1.1: Alliance monitoring and evaluation program implemented.	The minimum indicators required by the GEF have been integrated into the grant agreements with implementing partners and are required for all site-based engagements. Furthermore, implementing partners have been asked to select indicators from GEF's three gender results areas to help the Alliance track progress.	These are required for all site-based engagements.	The resources and budget required for gender monitoring is embedded in the overall monitoring and evaluation system developed by the Alliance.	The resources and budget required for gender monitoring is embedded in the overall monitoring and evaluation system developed by the Alliance.
Output 5.1.2: Results from monitoring and evaluation program included in progress reports and evaluations.	Gender indicators from all site-based engagements will be collated and	Results from all site-based interventions will be gathered, collated and	The resources and budget required for reporting on gender is embedded in	The resources and budget required for reporting on gender is embedded in

	reported to the GEF in scheduled progress reports and evaluations.	reported.	the project management costs.	the project management costs.

SECTION IV: Monitoring and Reporting

Project monitoring and evaluation will be conducted in accordance with established Alliance and GEF procedures established by the project team and the CI-GEF Project Agency. The project's M&E plan will be presented and finalized at the project inception workshop, including a review of indicators, means of verification, and the full definition of project staff M&E responsibilities.

Monitoring and Evaluation Roles and Responsibilities

The project Executing Agency (The Blue Nature Alliance) will be responsible for initiating and organizing key monitoring and evaluation tasks. This includes the project inception workshop and report, quarterly progress reporting, annual progress and implementation reporting, documentation of lessons learned, and support for and cooperation with the independent external evaluation exercises.

The project Executing Agency (The Blue Nature Alliance) is responsible for ensuring the monitoring and evaluation activities are carried out in a timely and comprehensive manner, and for initiating key monitoring and evaluation activities, such as the independent evaluation exercises.

Key Alliance implementing partners (i.e. grantees) are responsible for providing any and all required information and data necessary for timely and comprehensive project reporting, including results and financial data, as necessary and appropriate.

The Blue Nature Alliance Steering Council plays a key oversight role for the project, with regular meetings to receive updates on project implementation progress and approve annual workplans. The Project Steering Committee also provides continuous ad-hoc oversight and feedback on project activities, responding to inquiries or requests for approval from the Management Team.

The CI-GEF Project Agency plays an overall assurance, backstopping, and oversight role with respect to monitoring and evaluation activities.

The CI General Counsel's office with the Grants and Contracts Unit are responsible for contracting and oversight of the planned independent external evaluation exercises at the mid-point and end of the project.

On an annual basis, the Alliance will report, using the CI-GEF Project Implementation Report (PIR) template, on the following CI-GEF's minimum indicators.

Indicator
16. Number of men and women who participated in project activities (e.g. meetings, workshops, consultations).
17. Number of men and women who received benefits (e.g. employment, income generating activities, training, access to natural resources, land tenure or resource rights, equipment, leadership roles)
18. Number of strategies, plans (e.g. management plans and land use plans) and policies derived from the project that include gender considerations (this indicator applies to relevant projects)

In addition to the minimum indicators above, projects are strongly encouraged to provide additional gender indicators specific to their projects. Implementing partners are asked to select or develop at least one indicator from each of the three gender results areas (see Appendix VI-c):
- Gender Result Area 1: Equal access and control over natural resources for women and men.
- Gender Result Area 2: Increased participation and leadership of women in the project.
- Gender Result Area 3: Targeted socioeconomic benefits and services for women.

SECTION V: Considerations for the Implementation of the GMP

1. Alignment + integration

The activities, budget and staffing outlined in this action plan must be integrated into the project's overall Project Document + Results Framework. Please confirm that:

    a. The activities identified in this Action Plan have been integrated into the project's proposal document including the results framework. (Y)/N)

    b. The necessary budget for activities identified in this Action Plan have been integrated into the project's overall budget. (Y)/N)

2. Staffing capacities

The Blue Nature Alliance has funded a Safeguards and Gender Manager at 50% time in order to oversee the implementation of safeguard processes and compliance with safeguard policies, including the implementation of this gender action plan. As indicated in the table above, funds for the implementation of specific gender actions within the site-based interventions and involved in the development of learning initiatives and tools are included within those specific Engagement Frameworks, workplans and grant agreements.

APPENDIX VII: Detailed Project Budget

Please see excel file.

APPENDIX VIII: Co-financing Commitment Letters

The Blue Nature Alliance will continue to collect co-financing commitment letters throughout the implementation stage of the project as additional sites and related co-financing are secured. At the time of submission of the ProDoc, the following co-financing commitment letters have been secured and are included:

1. Conservation International
2. Pew Charitable Trust
3. Rob and Melani Walton Foundation
4. Minderoo Foundation
5. Vulcan, Skylight
6. Antarctic and Southern Ocean Coalition
7. International Eco Fund

CONSERVATION
INTERNATIONAL

January 25, 2021

Miguel Morales
Senior Vice President, GEF Project Agency and GCF Implementing Agency
Conservation International
2011 Crystal Drive, Suite 600
Arlington, VA 22202

Subject: Co-Financing support for *"Blue Nature Alliance to expand and improve conservation of 1.25 billion hectares of ocean ecosystems"*

Dear Mr Morales,

On behalf of Conservation International Foundation, I am pleased to inform you that CI plans to contribute $25,000,000 to the Blue Nature Alliance, of which $23,028,913 will be cash cofinancing directly attributed to the GEF project *"Blue Nature Alliance to expand and improve conservation of 1.25 billion hectares of ocean ecosystems,"* (the "Project") based on an expected CEO endorsement date of July 1, 2021.

This co-financing amount represents the expenditures and investments foreseen in the framework of the Project, will be attributable to all components of the Project, including Project Management Costs, and will contribute to the results of the Project.

We look forward to a continued partnership to advance this important Project.

Sincerely,

Barbara DiPietro
Chief Financial Officer

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THE PEW
CHARITABLE TRUSTS

2005 Market Street, Suite 2800	P 215.575.9050
Philadelphia, PA 19103-7077	F 215.575.4939
901 E Street NW, 10th Floor	P 202.552.2000
Washington, DC 20004	F 202.552.2299
pewtrusts.org	

Miguel Morales
Senior Vice President, GEF Project Agency and GCF Implementing Agency
Conservation International
2011 Crystal Drive, Suite 600
Arlington, VA 22202

Subject: Co-Financing support for *"Blue Nature Alliance to expand and improve conservation of 1.25 billion hectares of ocean ecosystems"*
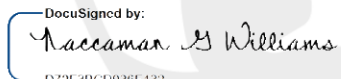
Dear Mr. Morales,

On behalf of The Pew Charitable Trusts, I hereby attest that our institution has agreed to contribute $25,000,000 to the Blue Nature Alliance, pursuant to the terms of the Collaboration and Funding agreement between The Pew Charitable Trusts and Conservation International Foundation, dated December 19, 2019, of which $20,965,859 will be cash cofinancing to the GEF project *"Blue Nature Alliance to expand and improve conservation of 1.25 billion hectares of ocean ecosystems,"* based on an expected GEF CEO endorsement date of July 1, 2021.

This co-financing represents expenditures and investments foreseen in the framework of the activities program and will be attributable to all components of the project, including Project Management Costs, and will contribute to the results of the project.

We look forward to a continued partnership to advance this important project.

Sincerely,

DocuSigned by:

Linda Bartlett
00A39B7F8C90461...

Linda Bartlett
Senior Vice President, Finance and Chief Financial Officer

January 26, 2021

Miguel Morales
Senior Vice President, GEF Project Agency and GCF Implementing Agency
Conservation International Foundation
2011 Crystal Drive, Suite 600
Arlington, VA 22202

Subject: Co-Financing support for *"Blue Nature Alliance to expand and improve conservation of 1.25 billion hectares of ocean ecosystems"*

Dear Dr. Morales,

On behalf of the Rob and Melani Walton Foundation, I hereby attest that our institution has committed $25,000,000.00 to Conservation International Foundation (Grant 101213) for the Blue Nature Alliance, of which $20,032,065.00 will be cash co-financing to the GEF project *"Blue Nature Alliance to expand and improve conservation of 1.25 billion hectares of ocean ecosystems,"* based on an expected CEO endorsement date of July 1, 2021.

This co-financing represents expenditures and investments foreseen in the framework of the activities program and will be attributable to all components of the project, including PMC, and will contribute to the results of the project.

We look forward to a continued partnership to advance this important project.

Sincerely,

Naccaman G. Williams
Secretary
Rob and Melani Walton Foundation
PO Box 2030
Bentonville, AR 72712

8 December 2020

Miguel Morales
Senior Vice President, GEF Project Agency and GCF Implementing Agency
Conservation International
2011 Crystal Drive, Suite 600
Arlington VA 22202

Subject: Co-Financing support for *"Blue Nature Alliance to expand and improve conservation of 1.25 billion hectares of ocean ecosystems"*

Dear Mr Morales,

On behalf of The Minderoo Foundation Pty Ltd, I hereby attest that our institution has committed US$25,000,000 to the Blue Nature Alliance, of which US$22,139,842 will be cash co-financing to the GEF project *"Blue Nature Alliance to expand and improve conservation of 1.25 billion hectares of ocean ecosystems,"* based on an expected CEO endorsement date of July 1, 2021.

This co-financing represents expenditures and investments foreseen in the framework of the activities program and will be attributable to all components of the project, including PMC, and will contribute to the results of the project.

We look forward to a continued partnership to advance this important project.

Sincerely,

Tony Worby
CEO, Flourishing Oceans

January 27, 2021

Dr. Miguel Morales,
Senior Vice President, GEF Project Agency and GCF Implementing Agency
Conservation International
2011 Crystal Drive, Suite 600
Arlington, VA 22202

Subject: In-kind contribution and support for *"Blue Nature Alliance to expand and improve conservation of 1.25 billion hectares of ocean ecosystems"*

Dear Dr. Morales,

On behalf of Vulcan Technologies LLC ("Vulcan"), this letter is to confirm that Vulcan intends to provide in-kind contributions of Skylight™, Vulcan's maritime domain awareness software and technology ("Vulcan Contributions"), to the Blue Nature Alliance in support of the GEF project, *"Blue Nature Alliance to expand and improve conservation of 1.25 billion hectares of ocean ecosystems."*

Vulcan's provision of the Vulcan Contributions is subject to the terms and conditions in the Memorandum of Agreement dated September 4, 2020 between Vulcan and Conservation International Foundation ("MOA"). The estimated value of the Vulcan Contributions is $25 million over the course of five years, provided that the MOA remains in effect. Conservation International Foundation is not providing any goods or services in exchange for the Vulcan Contributions.

We understand that the Vulcan Contributions are part of the expenditures and investments foreseen within the framework of the project, and that our in-kind contribution will support the activities of Blue Nature Alliance and contribute to the results of the project.

We look forward to a continued partnership to advance this important project.

Sincerely,

Alison G. Ivey
Alison G. Ivey
Vice President
Vulcan Technologies LLC

CONSERVATION INTERNATIONAL

ASOC Secretariat
1320 19ᵗʰ St. NW, Fifth Floor, Washington, DC 20036 USA
PHONE 202.234.2480
www.asoc.org

January 8, 2021

Miguel Morales
Senior Vice President, GEF Project Agency and GCF Implementing Agency
Conservation International
2011 Crystal Drive, Suite 600
Arlington, VA 22202

Subject: Co-Financing support for *"Blue Nature Alliance to expand and improve conservation of 1.25 billion hectares of ocean ecosystems"*

Dear Mr Morales,

On behalf of The Antarctic and Southern Ocean Coalition (ASOC), I hereby attest that our institution will contribute an amount of US$1,070,079 in cash and in kind as leverage to the Blue Nature Alliance investment in the Antarctic and Southern Ocean. Of this leverage funding, an amount of US$482,539 in cash and in kind can be counted as co-financing for the GEF project *"Blue Nature Alliance to expand and improve conservation of 1.25 billion hectares of ocean ecosystems,"* based on an expected CEO endorsement date of July 1, 2021.

This co-financing represents expenditures and investments foreseen in the framework of the activities program and will contribute to the results of the project.

We look forward to a continued partnership to advance this important project.

Sincerely,

Claire Christian

Claire Christian
Executive Director, ASOC
1320 19ᵗʰ St. NW
Fifth Floor
Washington, DC 20036

International Eco Fund

Charity registered in England & Wales – Charity number 1115374
Registered office: The Lodge, Sandy, Bedfordshire, SG19 2DL, England
Telephone: +441767 680551 Facsimile: +441767 692365

Miguel Morales
Senior Vice President,
GEF Project Agency and GCF Implementing Agency
Conservation International
2011 Crystal Drive, Suite 600
Arlington, VA 22202

25 January 2021

Co-Financing support for *"Blue Nature Alliance to expand and improve conservation of 1.25 billion hectares of ocean ecosystems"*

Dear Mr Morales,

On behalf of the International Eco Fund, I hereby attest that, in addition to the investment made by the Blue Nature Alliance, a total of GBP£2,800,000 (approximately US$3,816,400) in cash has been committed by other funders to the Tristan da Cunha Community Fund. The full £2,800,000 (approximately US$3,816,400) can be considered co-financing to the GEF project "Blue Nature Alliance to expand and improve conservation of 1.25 billion hectares of ocean ecosystems," based on an expected CEO endorsement date of July 1, 2021.

This co-financing represents expenditures and investments foreseen in the framework of the activities program and will contribute to the results of the project.

We look forward to a continued partnership to advance this important project.

Yours sincerely,

Victoria Watts
On behalf of International Eco Fund

APPENDIX IX: Terms of Reference

A Terms of Reference is provided for the following staff that will charge to both PMC and Components:

1. Blue Nature Alliance Technical Director
2. Blue Nature Alliance Grants Manager

TERMS OF REFERENCE: Blue Nature Alliance Technical Director (STAFF)
Project Objective: Expand and improve the conservation of 1.25 billion hectares of ocean ecosystems.

Description of Role: The Technical Director for the Blue Nature Alliance co-leads the implementation of the Blue Nature Alliance. This position oversees and is responsible for the successful delivery of the Alliance's ambitious goals, including overseeing site scoping, strategy development and implementation, grant-making, and site delivery. This will include overseeing the effective deployment of $150M+ in Alliance resources.
The Technical Director will serve as the project lead for this GEF Project and will be ultimately responsible for the effective delivery of the GEF Project and its integration within the broader Blue Nature Alliance.
Responsibilities include:

- Oversee successful delivery of Blue Nature Alliance's goals, including the delivery of site engagements
- Oversee all aspects of the GEF project, ensure all GEF requirements are met and that the project is well integrated into the full Blue Nature Alliance
- Manage (directly or in-directly) all other project staff including in this project
- Provide thought leadership for the field of ocean conservation at scale, both by designing and overseeing a portfolio of investments in science and learning that strategically advances the field and directly through engagement with the global community.
- Oversee the design and implementation of a scientifically rigorous monitoring and evaluation program for the Alliance.
- Oversee the design and implementation of a Learning, Capacity Building, and Knowledge Management strategy for the Alliance.
- Represent the Alliance externally to a broad range of governments, private-sector and community actors; pursue and secure new partnerships.
- Develop and manage this project's $25M project budget and the full Blue Nature Alliance Budget
- Identify and secure new and expanded sources of funding and partnerships for the Blue Nature Alliance
- Oversee effective and efficient grant-making for the Blue Nature Alliance

COMPONENT 1:	Site Scoping
Outcome 1.1: Engagement frameworks (i.e. new or existing ocean conservation areas) that meet the Blue Nature Alliance criteria have been collaboratively developed and endorsed.	**Outputs 1.1.1-1.1.4:** The Technical Director will oversee site engagement team conducting site scoping, will provide technical inputs, and will lead scoping for multiple sites. The Technical Director will also be responsible for seeking Steering Council approval for new site engagements.
COMPONENT 2:	New Protections of Key Ocean Geographies
Outcome 2.1: New or expanded ocean conservation areas legally recognized.	**Outputs 2.1.1-2.1.3:** The Technical Director will oversee the site engagement team working to ensure each engagement site that the Alliance invests in Outcome 2 successfully reaches its goal. She will provide technical inputs across all sites and will directly oversee the implementation of multiple sites.

COMPONENT 3:	Improved Protection of Key Ocean Geographies
Outcome 3.1: Previously established ocean conservation areas have upgraded protections and/or improved management, as evidenced by the legal ratification for upgraded protection level, and/or for measurably improved management, as measured by the achievement of a site-specific target for improved management effectiveness.	**Outputs 3.1.1-3.1.3:** The Technical Director will oversee the site engagement team working to ensure each engagement site that the Alliance invests in Outcome 3 successfully reaches its goal. She will provide technical inputs across all sites and will directly oversee the implementation of multiple sites.
COMPONENT 4:	Global Enabling Conditions to Scale Up Ocean Conservation
Outcome 4.1: Collaborative scientific research that advances the field of large-scale and/or transboundary ocean conservation developed and implemented.	**Outputs 4.1.1-4.1.2**: Using co-financing, the Technical Director will provide strategic input to the Blue Nature Alliance Science Delivery Team that will be responsible for selecting and advancing research projects that advance the goals identified in the Blue Nature Alliance Science and Knowledge Systems Framework. She will supervise the Blue Nature Alliance Science Advisor who will lead this delivery team and outcome. In some cases, as appropriate, the Technical Director will serve as a co-author on publications supported by the Blue Nature Alliance.
Outcome 4.2: Knowledge management and learning for the fields of large-scale and transboundary ocean conservation has been strengthened and expanded.	**Outputs 4.2.1-4.2.4**: The Technical Director will provide strategic input to the Blue Nature Alliance Learning and Capacity Building Delivery Team that will be responsible for advancing learning initiatives under Outcome 4.2. She will supervise the Blue Nature Alliance Capacity Building Advisor who will lead this delivery team and outcome. In some cases, as appropriate, the Technical Director will serve as a trainer or capacity assessor.
COMPONENT 5:	Monitoring and Evaluation
Outcome 5.1: Monitoring and evaluation framework for the Blue Nature Alliance in place and used.	**Outputs 5.1.1-5.1.2:** The Technical Director will provide technical inputs and guidance to the Monitoring and Evaluation Manager and will be responsible for ensuring monitoring and evaluation framework for the Blue Nature Alliance in place, meets all GEF requirements, and used.
PMC	The Technical Director will be accountable for all project reporting to the GEF. She will develop, manage, and report against this project's $25M project budget and the full Blue Nature Alliance budget.

TERMS OF REFERENCE: Blue Nature Alliance Grants Manager (STAFF)

Project Objective: Expand and improve the conservation of 1.25 billion hectares of ocean ecosystems.

Description of Role: The Grants Manager for the Blue Nature Alliance will provide direct support to the grants and contracts awarded by the Blue Nature Alliance by coordinating full cycle award support, ensuring compliance with Conservation International and GEF policies. The Grants Manager will be responsible for providing technical assistance to grantees to support their capacity building under the components, and by providing support to the administrative and financial aspects of grants and contracts management and ensuring that they are performed efficiently and to a high standard of quality, from the planning and application phase through contracting, reporting, and close-out.

This position will play an integral role in ensuring that their portfolio of grants and contracts complies with the GEF's requirements with an emphasis on compliance monitoring of financial reporting, contractual compliance, and strengthening sub-recipients' grant management capacity.

Responsibilities include:
- Provide capacity building assistance
- Assess and manage grantee risk and compliance
- Generate grant agreements, contracts, and amendments
- Ensure integrity of data in the grants and contracts database(s)
- Analyze data in the grants and contracts database(s)
- Ensure procurement policies are followed
- Review grantee financial reports
- Troubleshoot financial reporting problems
- Process disbursement requests

COMPONENT 1:	Site Scoping	
Outcome 1.1: Engagement frameworks (i.e. new or existing ocean conservation areas) that meet the Blue Nature Alliance criteria have been collaboratively developed and endorsed.	**Outputs 1.1.1-1.1.3:** N/A	
COMPONENT 2:	**New Protections of Key Ocean Geographies**	
Outcome 2.1: New or expanded ocean conservation areas legally recognized.	**Outputs 2.1.1-2.1.3:** Build capacity of Alliance grantees in the delivery of new protections of key ocean geographies, by providing training, and ensure compliance with GEF policies.	
COMPONENT 3:	**Improved Protection of Key Ocean Geographies**	
Outcome 3.1: Previously established ocean conservation areas have upgraded protections and/or improved management, as evidenced by the legal ratification for upgraded protection level, and/or for measurably improved management, as measured by the achievement of a site-specific target for improved management effectiveness.	**Outputs 3.1.1-3.1.3:** Build capacity of Alliance grantees in the delivery of improved protection of key ocean geographies, by providing training, and ensure compliance with GEF policies.	

COMPONENT 4:	Global Enabling Conditions to Scale Up Ocean Conservation
Outcome 4.1: Collaborative scientific research that advances the field of large-scale and/or transboundary ocean conservation developed and implemented.	**Outputs 4.1.1-4.1.2:** N/A
Outcome 4.2: Knowledge management and learning for the fields of large-scale and transboundary ocean conservation has been strengthened and expanded.	**Outputs 4.2.1-4.2.4:** Build capacity of Alliance grantees, in the delivery of global enabling conditions to scale up ocean conservation by providing training, and ensure compliance with GEF policies.

COMPONENT 5:	Monitoring and Evaluation
Outcome 5.1: Monitoring and evaluation framework for the Blue Nature Alliance in place and used.	**Outputs 5.1.1-5.1.2:** N/A
PMC	The Grants Manager will be responsible for reporting, assessing and managing risk, conducting pre-award screenings of grantees, reviewing grantee reports, disbursing payments, and ensuring compliance with GEF and Conservation International Polices.

APPENDIX X: Science and Research Framework

A Science and Research Framework for the Blue Nature Alliance

[FOR INTERNAL USE ONLY]

The Blue Nature Alliance, a partnership between Conservation International, Pew Charitable Trusts, Rob & Melani Walton Foundation, Minderoo Foundation and Global Environment Facility, aims to catalyze the conservation of 18 million square kilometers of ocean by 2025. Specifically, the Blue Nature Alliance seeks to support the legal establishment of new ocean conservation areas around the world, as well as expand the size, upgrade the protection status, and improve the management of existing ones. In order to achieve its ambitious goals, the Blue Nature Alliance will not only work to directly support ocean conservation areas on the ground, but also support broader science, policy and capacity-building activities in order to grow the field of large-scale marine conservation.

The purpose of this document is to outline a general research strategy to be pursued by the Blue Nature Alliance and its partners through 2025. It is important to note that this framework is separate, but complementary, to any Alliance site engagements that may also include support for science activities at individual ocean conservation areas. In this regard, this document seeks to provide general guidance on science activities to be supported by the Blue Nature Alliance and its partners, including those conducted at individual sites, as well as those that support the Alliance science portfolio more broadly. This framework builds on several previously published documents that provide practical guidance on research to be conducted in support of large-scale marine protected areas (MPAs), including:

- Big Ocean shared research agenda on large-scale MPAs (Big Ocean 2013)
- Toward a social science research agenda for large-scale MPAs (Gruby et al. 2015)
- IUCN guidelines on the design and management of large-scale MPAs (Lewis et al. 2016)
- A practical framework for addressing the human dimensions of large-scale MPAs (LSMPA HD Community of Practice 2016)
- Incorporating human dimensions into large-scale MPAs (Christie et al. 2017)
- Current status and consideration of socio-economic dimensions of large-scale MPAs (Smyth & Hanich 2019)
- Developing a shared research agenda for blue water MPAs (CEA Consulting 2019)

![Conservation International logo]

These previously published research agendas already provide a detailed inventory of research needs that are particularly relevant to large-scale marine conservation and were used as a starting point to develop the research framework for the Blue Nature Alliance. Specifically, the research needs outlined in those previously published research agendas were prioritized based on how relevant they are to the objectives, timeframe, and budget limitations of the Blue Nature Alliance. In this regard, this document seeks to provide a framework to identify and prioritize potential research activities to be pursued by the Blue Nature Alliance, with potential activities having to:

1. address the priority research needs of large-scale ocean conservation areas;
2. be achievable within the time, budget, and capacity limitations of the Alliance;
3. be relevant to the design, establishment, and management of large-scale ocean conservation areas; and
4. be impactful in advancing the field or large-scale marine conservation.

Figure 1. *Diagram of criteria used to evaluate potential research activities to be supported by the Blue Nature Alliance and its partners through 2025. Given resource limitations, only those projects meeting all criteria (red area) should be pursued.*

With this approach in mind, this document not only identifies the priority research needs for the Blue Nature Alliance, but also outlines a series of cross-cutting science products to be developed by the Alliance and its partners in the coming years. It is important to highlight that several additional science products and activities will be needed to holistically address the research needs of the Blue Nature Alliance. This research framework will therefore remain a living document, as details will inevitably change over the course of the project.

<u>Audience</u>

The primary audience for this document are people who could plan and execute the priority science activities outlined in this research framework. This target audience includes researchers who are interested in advancing our understanding of large-scale marine conservation from a wide range of disciplines, such as natural scientists, social scientists, economists, historians, archaeologists, indigenous knowledge holders, and cultural practitioners. Additionally, we hope that this document, and more importantly the science products that will subsequently be produced, will also be used by those who implement large-scale ocean conservation areas on the ground, including resource managers, policy makers, scientists, cultural practitioners and educators from government agencies, academic institutions, community-based organizations, non-governmental institutions, cultural groups, and private organizations.

Priority research needs

Previously published research agendas on large-scale MPAs (see above) were taken as a starting point to develop the priority research needs for the Blue Nature Alliance. In some of these previously published guidance documents the research needs are phrased as questions, so they were rewritten as research needs for consistency. The list of research needs was further condensed by grouping similar needs, and then prioritized by staff members of the Blue Nature Alliance based on their perceived relevance in supporting the design and management of large-scale ocean conservation areas, as well as how likely these could be achieved given the limitations of the Alliance and its partners. In this regard, this document seeks to focus research efforts on those that have direct and practical implications to marine conservation efforts supported by the Alliance, as opposed to those that are mostly undertaken as intellectual or academic exercises. Several of the research needs outlined below seek to obtain big picture insights that are applicable globally across multiple ocean conservation areas, whereas others seek to generate specific information that could help inform the design, planning, and management of specific ocean conservation areas that have been established, or that may be considered for the establishment in the near future. Within each major research theme, needs are listed in order of priority.

Implementation and management (including incorporating the human dimensions across these activities)
- Determine how to incorporate a wide range of human uses and interests in the design and management of ocean conservation areas while maintaining their conservation value *(High priority)*
- Examine how indigenous knowledge and cultural practices can be incorporated into planning, research and management *(High priority)*
- Develop guidance on how rights and tenure, social, cultural considerations, local community and indigenous knowledge can be incorporated into the planning and management of ocean conservation areas *(High priority)*

- Understand the uses, values, and needs of communities affected by the establishment of ocean conservation areas, and examine how to incorporate this information into site design and management *(Medium priority)*

Threats and climate change
- Understand how to design and manage ocean conservation areas to build resilience against climate change and other impacts, including through the use of novel conservation approaches *(High priority)*
- Understand how the effectiveness and benefits of ocean conservation areas will change under different future climate change scenarios *(High priority)*
- Determine how marine species movements will change due to climate change and develop spatial planning tools that facilitate MPA siting and zoning *(Medium priority)*

Benefits and costs of ocean conservation areas
- Determine the social, cultural, economic, and political benefits and impacts of ocean conservation areas, including novel ocean conservation alternatives that may achieve similar benefits *(High priority)*
- Determine the economic costs and benefits of establishing MPAs, and compare these to other ocean conservation measures, including *status quo* opportunity losses and gains *(High priority)*
- Quantify important ecosystem services provided by ocean conservation areas, including biodiversity, food security, tourism, recreation, coastal protection, carbon sequestration, cultural benefits, and others, including economic valuations of those services, the number of people who benefit, and the demographic distribution of those benefits *(Low priority)*

Fisheries-related topics
- Determine the attributes of ocean conservation areas that increase the overall abundance and biomass of fisheries species, and under what conditions they reduce the risk of overfishing and local depletion *(High priority)*
- Determine how large-scale ocean conservation areas affect the spatial and temporal distribution of fish populations on a regional scale *(High priority)*
- Quantify the impacts of ocean conservation areas on the profitability of fisheries and the distribution of those profits *(High priority)*
- Determine how ocean conservation areas can serve as tools for the management of pelagic fisheries, as well as complement conventional fishery management approaches *(High priority)*
- Map and quantify spillover of protected areas into adjacent fishery grounds *(Medium priority)*
- Characterize the effects of fishing near the boundaries of marine reserves *(Low priority)*

Design and management effectiveness (including enforcement)
- Investigate sustainable financing mechanisms for the long-term management of ocean conservation areas *(High priority)*
- Identify the management challenges associated with large and remote ocean conservation areas and solutions to address them *(High priority)*
- Identify the enforcement challenges of large and remote ocean conservation areas, and determine how these may be mitigated by new technologies or approaches *(Medium priority)*
- Develop cost effective methods for monitoring and evaluating the management effectiveness of ocean conservation areas *(Medium priority)*
- Review case studies and best practice guidance to identify the key design attributes (i.e., biophysical, social, cultural, political, economic, and institutional) that determine effectiveness of ocean conservation areas for different objectives *(Low priority)*

Governance
- Assess the political motivations for designating and opposing ocean conservation areas *(Medium priority)*
- Determine the appropriate means to work with local and indigenous leaders and holders of traditional and indigenous knowledge in all aspects of ocean conservation area management *(Medium priority)*
- Determine the relative effectiveness and perceived legitimacy of different governance approaches for large ocean conservation areas *(Medium priority)*

Baseline biodiversity and biophysical information
- Conduct rapid biological characterizations, including studies on the abundance, distribution and condition of the most important species, habitats, and ecosystems *(Medium priority)*
- Identify cost-effective approaches to monitor key ecological and biophysical processes *(Medium priority)*
- Study connectivity, including studies on the movement of organisms and pollutants *(Low priority)*
- Conduct rapid assessments on the state of ecosystems and human stressors *(Low priority)*

Conservation outcomes and global contributions
- Determine the root causes for the success or failure of previous large-scale ocean conservation efforts in achieving goals for which they were established *(High priority)*
- Determine how ocean conservation areas contribute to the global conservation of ecologically, commercially, or recreationally important species, habitats and ecosystems *(Low priority)*

- Determine the key indicators for assessing the performance of ocean conservation areas in achieving conservation, social, cultural, and economic objectives *(Low priority)*
- Quantify the contributions of both MPA and non-MPA measures in achieving global targets (e.g., Convention of Biological Diversity, International Union for Conservation of Nature) *(Low priority)*
- Determine how ocean conservation areas impact important ecosystem services globally, including food security, carbon sequestration, coastal protection, biodiversity, tourism, recreation, cultural benefits and others *(Low priority)*

Cross-cutting research outputs: science resources, activities, and products

Addressing the above list of priority research needs will require interdisciplinary collaborations between numerous researchers, as well as a wide variety of different research approaches. The below list of science resources, activities, and products is meant to provide general guidance on how to address numerous of these priority research needs. This is not meant to be an exhaustive list of all science outputs that will be developed by the Blue Nature Alliance and its partners, but rather provide practical guidance on the types of science resources, activities, and products that should be developed to address the research needs of ocean conservation areas. Additional research outputs may be developed over the timespan of the project depending on budget availability and needs.

Figure 2. Diagram of cross-cutting science resources, activities, and products to be supported in order to address the research needs of the Blue Nature Alliance.

Science resources - the tools needed to address our research needs

Registry of expertise

Understanding who has the appropriate expertise to conduct a particular scientific activity is fundamental to any research effort. We therefore propose to compile a list of experts by region and expertise, so this list can be consulted prior to commencing scientific activities. While this list will not necessarily determine who will conduct a particular scientific activity for the Blue Nature Alliance, it will provide useful guidance of who could be consulted on a particular research topic or project. Emphasis will be placed in identifying local experts in regions where the Blue Nature Alliance is engaged.

Inventory of relevant and ongoing research projects

Given resource limitations, leveraging ongoing research projects will be crucial for the Blue Nature Alliance to achieve its ambitious goal of catalyzing the conservation of 18 million square kilometers of ocean by 2025. We therefore propose to compile an inventory of ongoing research projects that are relevant to the research needs of the Blue Nature Alliance. Due to workload limitations and the great amount of relevant research that is occurring globally, this inventory will focus primarily on ongoing research projects within Conservation International and The Pew Charitable Trusts, but might also include external projects that are relevant to the Alliance. It is important to note that this inventory will not necessarily determine what projects the Alliance will engage with or fund. However, this list will be consulted to provide context, as well as identify potential projects that could be implemented at ocean conservation areas that the Alliance is engaged with, provided there is a strong synergistic argument to do so. Additionally, this inventory will be consulted to avoid funding redundant research.

Annotated bibliography

Understanding what is known from previous research efforts, as well as related knowledge gaps, is the first step in any research program. We therefore propose to compile an annotated bibliography of scientific publications and policy papers that are particularly to the priority science needs of the Blue Nature Alliance (see above). This bibliography should include electronic copies of the publications, as well as high-level summaries of the main findings of particularly relevant publications.

Geodatabase for spatial planning

Supporting the spatial design of new ocean conservation areas will be an important activity for many sites that the Blue Nature Alliance will engage with. We therefore propose to help develop geographic information system (GIS) databases that include a wide variety of layers that are

directly relevant to the design and management of large-scale ocean conservation areas. These include (but are not limited to):

- jurisdictional boundaries (e.g., exclusive economic zones, extended continental shelf claimed areas, existing marine protected areas, regional fishery management organizations and other international competent bodies)
- human threats and impacts (e.g., fishing effort, shipping activity, known distributions of oil, gas and seabed minerals, distribution of submarine cables, chemical pollution, plastic pollution, noise pollution, invasive species, coral bleaching locations, sea-level rise, ocean acidification, and human population distributions)
- habitat and ecosystem distributions (e.g., known and predicted locations of tidal flats, coral reefs, seagrass beds, saltmarshes, kelp forests, seamounts, submarine canyons, cold-water corals, cold seeps, and hydrothermal vents)
- key species distributions (e.g., known and predicted distributions of commercially valuable fishery species, threatened and endangered species)
- key species connectivity (e.g., migration routes and population connectivity breaks of key species)
- conservation area distinctions (e.g., World Heritage Sites, Biosphere Reserves, RAMSAR Sites, Particularly Sensitive Sea Areas, Ecologically or Biologically Significant Areas, Vulnerable Marine Ecosystem, Areas of Particular Environmental Concern, Key Biodiversity Areas, Important Bird Areas, Important Marine Mammal Areas, IUCN Green List Areas, Marine Conservation Institute Blue Parks, and Mission Blue Hope Spots).
- seafloor mapping data (e.g., multibeam bathymetry, satellite-derived bathymetry, and global geomorphological features)
- key environmental variables (e.g., currents, temperature, salinity, chlorophyll, nutrients, dissolved oxygen, aragonite saturation, and sea ice extent)

Inventory of relevant datasets

Since many of the sites that the Blue Nature Alliance will engage with will likely lack previous detailed scientific surveys, we propose to compile an inventory of global or regional datasets that are likely relevant to the design and management of large-scale ocean conservation areas. This will include many of the datasets that are outlined in the geodatabase noted above, but will also include many other datasets that are not georeferenced. Examples include:

- Fisheries catch data
- Climate data
- Taxonomic guides
- Museum collections
- Photos of marine species and ecosystems

Science activities - the things we do to address our research needs

<u>Multidisciplinary peer networks and communities of practice</u>
Most of the research needs of large-scale marine conservation integrate knowledge from a wide variety of scientific disciplines and knowledge systems. Individual experts are therefore oftentimes insufficient to holistically address these knowledge gaps. We therefore propose to engage with and support multidisciplinary peer networks or communities of practice that are focused on creating innovative solutions to the needs of large-scale ocean conservation areas.

<u>Expeditions and field research</u>
Many of the research needs outlined above require the collection of new data in the field. Scientific expeditions and other field research activities are therefore an important component of the Blue Nature Alliance research framework. While these activities often require advanced technologies and are typically expensive, the Blue Nature Alliance will work with partners to leverage already funded work wherever possible.

Science products - the things we generate to communicate the results of our research
<u>Peer-reviewed publications</u>
Ultimately, addressing the Alliance research needs through the cross-cutting science products outlined above will lead to original research. This research should be published in the peer-reviewed scientific literature, preferably in open-access journals, so that it can be accessed by the broader community to advance the field of large-scale marine conservation globally. Where appropriate, the Alliance will work to ensure that peer-reviewed publications are linked to a well thought out public communications plan targeted at decision makers and other important stakeholders.

<u>Conference presentations</u>
In addition to publishing in the peer-reviewed scientific literature, results from the Blue Nature Alliance research efforts should also be presented at major international conferences, particularly those focused on international ocean science and conservation. Such conference presentations should also be linked to a well planned public communications plan where appropriate, in order to ensure that research results are strategically communicated to relevant stakeholders.

<u>Website</u>
A great number of documents, data, and information will be compiled as part of the Blue Nature Alliance research framework. This data will not only be relevant to scientists involved with Alliance research efforts, but also to various working groups and other stakeholders of the Blue Nature Alliance. We therefore propose to develop a science page on the Blue Nature Alliance website where some of this information can be organized and shared with partners as appropriate. While we strive to make this information freely available to whomever needs it, at least some of the information will need to remain internal.

Image gallery

Scientific exploration is going to be one of the few avenues to collect images in many remote ocean conservation areas that the Blue Nature Alliance will engage with. While not technically a science product, these images will be important for many other Alliance activities. We therefore propose to compile a repository of high-quality photos and videos taken in sites that the Blue Nature Alliance engages with, so these can be used to develop a variety of different materials.

Implementation

The work outlined in this research framework document is far greater than what can be achieved within the budget, time frame, staff time, and other constraints of the Blue Nature Alliance and its partners. As a result, collaborations with outside partners will be essential to execute the research outlined in this document. While we hope that the guidance provided herein will motivate some outside researchers to conduct science that can advance large-scale marine conservation more broadly, in many cases Alliance staff time or funds will need to be invested strategically to ensure that those research efforts are relevant to the goals of the Blue Nature Alliance. This could include writing letters of support for outside researchers that are submitting proposals to other funding agencies, having Alliance staff participate in communities of practice led by other groups, helping outside researchers to implement research results at Alliance engagement sites, or directly paying for specific science projects. An Alliance Science Delivery Team will meet regularly to discuss potential science projects that the Alliance could engage with. This group may consult additional outside experts as necessary. Once the Science Delivery Team has identified science projects that they believe the Alliance should engage with, they will present these to the Blue Nature Alliance Management Team for decision-making (e.g. executing science grants, developing memorandums of understanding, or other activities that require substantial investments of Alliance staff time or funds). The Science Delivery Team will seek to communicate potential opportunities to Alliance Management Team as early as possible, so that the leadership team can be part of shaping potential science partnerships from the inception.
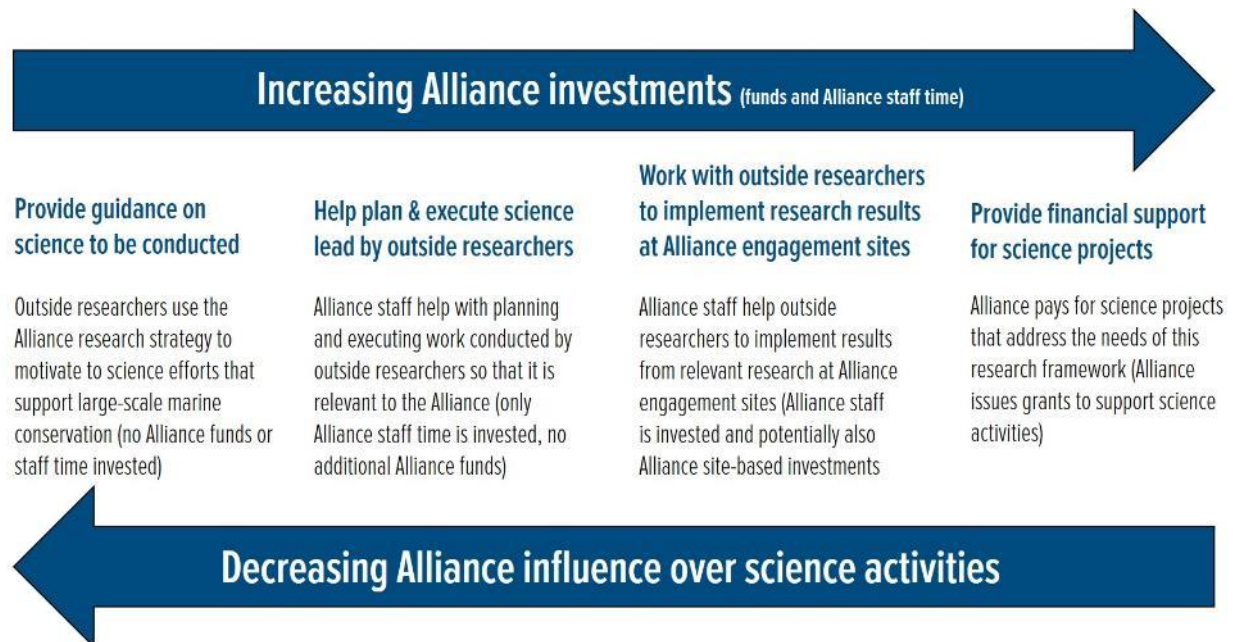
Figure 3. *Diagram showing the different avenues that will be used to implement this research framework. An Alliance Science Delivery Team will meet regularly to discuss potential science projects that the Alliance could engage with and present these to the Blue Nature Alliance leadership team for decision making.*

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APPENDIX XI: Learning, Capacity Building, Knowledge Management, and Collaboration Framework

The Blue Nature Alliance Learning, Capacity Development, Knowledge Management, and Collaboration Framework

[FOR INTERNAL USE ONLY]

Contents

I. Introduction

1.   The Blue Nature Alliance

The Blue Nature Alliance is a global partnership accelerating momentum for large-scale ocean conservation. It was founded by Conservation International, the Pew Charitable Trusts, the Global Environment Facility, Minderoo Foundation and the Rob and Melani Walton Foundation. The Alliance aims to catalyze the creation, expansion and improved management of large marine protected areas and other effective conservation measures, with the goal of advancing conservation
of 18 million square kilometers of ocean by 2025. In order to achieve its goals, the Blue Nature Alliance will both directly support ocean conservation areas on the ground and build global enabling conditions in order to "Grow the Field" of large-scale marine conservation.

The Alliance's **Growing the Field** component seeks to forge partnerships and invest in new science, tools, capacity, and innovations directly related to the field of large-scale ocean conservation. While supporting the enabling conditions for the Alliance's site-based work, the Alliance's contributions to growing the field of large-scale ocean conservation will extend beyond individual sites to support the call for protecting 30% of the global ocean by 2030.

This framework covers the interconnected areas of **Learning, Capacity Development, Knowledge Management and Collaboration,** which are critical to both **Alliance supported sites** and to **growing the field of ocean conservation at scale.** The field of ocean conservation at scale is relatively young with Large Scale Marine Protected Areas (LSMPAs) starting to proliferate in the last decade from a few well-established sites such as the Great Barrier Reef Marine Park and Papahānaumokuākea Marine National Monument. To successfully grow the field of ocean conservation at scale, the Alliance will both learn from existing LSMPAs and develop and share new and innovative approaches to strengthen site and network planning, implementation and management. It is important that as many large-scale ocean conservation practitioners as possible have access to the Alliance's learning and capacity development approaches and are supported to share their learning with each other. To facilitate meaningful exchange, the Alliance will gather and disseminate tools that have proven effective and link practitioners through intentional convenings or communities of practice.

2.   High-level Objectives

This Framework is organized around five high-level objectives (explained in detail in Section III.) each with strategic actions, key audiences, and outputs:

1. Capacity needs, challenges, strengths, and successes of global efforts to advance effective and equitable ocean conservation at scale are consistently understood.
2. Approaches, tools, and providers are identified, referenced and deployed to help address capacity needs and strengthen planning and implementation processes, ongoing management effectiveness, and integration of human dimensions.
3. Major gaps in approaches to advance ocean conservation at scale are identified and addressed through key partnerships and investments.

4. Practitioners working to advance ocean conservation at scale are regularly collaborating and exchanging lessons and successful approaches.
5. A knowledge management system is effectively housing and sharing Alliance capacity development tools and lessons learned to strengthen: planning and implementation, management effectiveness and incorporation of human dimensions.

II. The Purpose and Scope of this Framework

1. Purpose Statement

The Framework is designed to help ensure strategic use of Alliance resources by guiding investments in Learning, Capacity Development, Knowledge Management and Collaboration, while still allowing for flexibility and responsiveness to emerging opportunities. The Framework will be reviewed and updated regularly to ensure it accurately reflects the dynamic field of large-scale ocean conservation.

The fundamental purpose of this Framework is to ensure that all Alliance supported sites and other ocean conservation initiatives at scale have access to tools, approaches, successful practitioners and lessons to help them address their needs to effectively and equitably design, implement and manage ocean conservation initiatives.

Pursuing the objectives and strategic actions in this Framework will guide Alliance staff to identify important **partnerships and investments** that will be pivotal to achieving our long-term goals.

2. Audiences for the Framework

There are two main types of audience for this framework:

Practitioners that are focused on learning and capacity development including both internal and external to the Alliance. Within the Alliance, the Framework will help to guide investments and partnerships that are focused on increasing the sharing of lessons learned and mobilization of capacity development approaches to improve planning processes and outcomes, strengthen management effectiveness and better incorporate human dimensions. For external audiences, the Framework will be shared selectively with key external organizations to help them to understand the Alliance's approach on these topics. This may pave the way for possible collaboration or simply offer suggestions to help improve the practice of ocean conservation at scale.

Implementors of ocean conservation at scale as they are able to directly impact what happens on-site at in large-scale ocean conservation areas. Implementors include, managers of ocean conservation areas, policymakers, NGOs, and other organizations working to design, establish and implement ocean conservation at scale. For most capacity development and learning activities, the Alliance will work with government and/or NGO practitioners that, in turn, work directly with key groups including: rights holders, indigenous and local communities, stakeholders, the private sector and the public. As such these groups are secondary audiences for this framework. However, Alliance work is guided by our aim of increasing and improving global marine conservation and by our Code of Conduct that strives to ensure that the human dimensions are considered.

These audiences are detailed under each objective in Section III. of this Framework.

3. Partnerships

We will pursue the objectives and strategic actions in the Framework through a combination of staff time, grants with partners, and contracts with key service providers. Our preferred approach is to develop partnerships with organizations that share our goal of expanding ocean conservation at scale. This will provide greater engagement and longevity than engaging in just contract arrangements. The Alliance has formed a foundational partnership with Big Ocean, the only peer-to-peer learning network for LSMPA managers. Big Ocean has and will continue to support the development, refinement and implementation of this Framework with the Alliance.

Big Ocean

Since its inception in 2010, Big Ocean has remained the only peer-learning network created by and for managers working at-scale. The network's driver is best-practice management. Its goal is to grow capacity within the field by developing tools, products, and approaches that enhance day-to-day operations and raise the bar for the genre overall. As a network built on trusted relationships, one of its most valuable assets is its ability to convene diverse audiences. Big Ocean prioritizes creating "safe spaces" (virtual and real) where practitioners, managers, scientists, and cross-sector partners can share lessons learned and build personal relationships in real-time.

Today, with thirty-plus LSMPAs worldwide, Big Ocean's role as a neutral convener is more relevant and necessary than ever. To more effectively employ its convening power, amongst other capacities, the network is seeking to create partnerships that help to develop strategies to more effectively merge and address the needs of on-the-ground managers and the needs of the genre as a whole. The latter introduces many issues above and beyond what a single manager working at a site can address or affect. As such, capacity building approaches must consider enabling conditions and the broader links to socio-economic issues faced by the communities invested in large-scale ocean areas or regions. To this end, collaboration with the Alliance is the first joint initiative that combines intent, expertise, and the resources required to catalyze change on a global scale.

As individual sites' needs can vary widely, Big Ocean has developed a variety of approaches that can be used in collaboration with the Alliance or other organizations working in the field of LSMPA management. These approaches aim to produce tangible, practical, and actionable outcomes— namely, activities that fall within these three main categories:

A. **Capacity building:** Expanding the skills and professional experience of management teams and their partners to (a) improve operations at the site level, (b) deepen that expertise within the broader community of practice, and (c) continue development of innovative initiatives.

B. **Communication:** Enhancing the development, collection, analysis, and sharing of information (and knowledge) internally and externally about LSMPAs and best-practice management.

C. **Product Development:** Developing methodologies, tools, and services that improve the design, establishment, and management of LSMPAs and collaboration between and amongst the broader network of LSMPAs globally.

The Alliance is similarly coordinating with the Global Environment Facility's (GEF) International Waters Learning Exchange and Resource Network (IW-LEARN) to ensure synergies on learning exchange. The Alliance will continue to look for opportunities to partner with additional organizations that share similar values and goals in terms of expanding and improving ocean conservation at scale. In the field of capacity development for ocean conservation, there are several opportunities for partnerships. These include: with NOAA, including the NOAA International Marine Protected Area Capacity Building Team (MPA IMPAC) and the NOAA supported Pacific Islands Managed and Protected Area Community (PIMPAC); MPA Connect; the Reef Resilience Network (operated by the Nature Conservancy), the Marine Conservation Institute; the Western Indian Ocean Science Association (WIOMSA); the South Pacific Community (SPC); the South Pacific Regional Environment Programme (SPREP); the Coral Triangle Center (CTC) and others.

4. Criteria for Investment

To be as efficient and effective as possible, the Blue Nature Alliance has set criteria for investments in the Growing the Field component. Investments in this Capacity, Learning and Tool Needs must meet the following criteria:

1. **Impactful:** Investments that will result in significant and scalable impacts with a high return on investment and/or will diversify global approaches.
2. **Achievable:** Investments that will have clearly defined objectives, a strategy for achieving those objectives, including a viable pathway for uptake of tools and knowledge. They will be collaborative and conducted by experienced and ready partners, as well as cost-effective with high leverage.
3. **Relevance:** Investments will aim to connect to the identified needs of Alliance engagement sites and to seek synergies between and among them.

Figure 1. Diagram of criteria used to evaluate potential activities to be supported by the Blue Nature Alliance and its partners through 2025. Given resource limitations, only those projects meeting all criteria (red area) should be pursued.

5. Overview of Learning, Capacity Development, Knowledge Management and Collaboration for the Blue Nature Alliance

To help ensure clarity around what is and is not included in this Framework, we provide general definitions and a short summary of our intent around each element. All elements of this Framework are focused both on strengthening the management of effectiveness of Alliance sites and on growing the field of ocean conservation at scale overall.

a. **Learning:** For the Alliance, learning will focus on gathering, assessing, interpreting and sharing key findings and lessons from ocean conservation at scale including existing LSMPAs, Alliance investment sites, and other sites as relevant. The Alliance will both help sites that we invest in to learn from other practitioners and support our sites to actively gather learning from their work and share it other sites and practitioners. Learning will include a two-way exchange and strive to provide key information that any and all practitioners and implementors of ocean conservation at scale can use to strengthen their practice. The Alliance Partnership with Big Ocean will be critical to supporting increased Learning between initiatives that are pursuing ocean conservation at scale.

b. **Capacity and Capacity Development:** Capacity is the ability to do or manage something successfully and is an essential attribute of people and institutions. For the purposes of the Alliance, capacity is specifically the ability of key entities to carry out key activities and processes necessary to achieve their objectives in ocean conservation at scale. When a program or organization is not achieving its objectives, one can look to the capacity of the entity to do the work as a first clue about where problems may lie and how they can be corrected.

Capacity development**,** also called capacity building or capacity strengthening, is a process of change that is designed to improve the ability to plan and act. Capacity is found within individuals, organizations, and programs and as a result they are the focus of the capacity development process. Most (if not all) ocean conservation initiatives will have capacity limitations in terms of budget, human resources, skills and knowledge, operational resources, political will, public support and other key factors that are critical to success. As a result, implementors must carefully consider how to apply limited resources to develop and sustain sufficient capacity to succeed in the highest priority elements of conservation implementation. For the past several years, a number of CI projects have utilized a framework for understanding Capacity and Capacity Development that takes a holistic view, considering both the three dimensions and three levels of capacity[107] (Please see Appendix One for more detail).

The dimensions of capacity include:
1. Competency including skills knowledge and experience of individuals and the team,
2. Attitudes and behaviors that affect the ability to set and achieve goals, and

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[107] This holistic view of capacity and capacity development is explained in detail in capacity needs assessment and planning guides developed by CI and partners including: "Capacity Development Assessment and Planning Guide for Large-Scale Marine Area Ecosystem-based Management", designed specifically for the Global Environment Facility to advance capacity building in Large Marine Ecosystems (LMEs).

3. Operational effectiveness, which includes the tools, resources (human and financial), resource management systems, administrative practices and processes, organizational structure, and physical infrastructure needed to set and achieve goals and objectives.

Levels of capacity include:
1. The individuals who work to advance ocean conservation initiatives,
2. Organizations or institutions that work collectively on ocean conservation, and
3. The enabling environment including public support, political will, and policies that either support or limit the efficacy of ocean conservation initiatives.

The Alliance will apply this general framing for its capacity development efforts. We will also strive to learn and apply new approaches to capacity development such as those utilized by Big Ocean, to help ensure that we are mobilizing the most innovative and cutting-edge approaches possible.

c. **Knowledge Management** is the process of creating, sharing, using and managing the information of an organization. Knowledge Management under this framework will focus on capturing and sharing information on:

1. Tools, approaches and practitioners that can assist sites to build needed capacity to carry out key activities and achieve their objectives.
2. Results from research undertaken to support the Alliance sites and Growing the Field.
3. Lessons learned from site planning, implementation and management that may benefit other sites and the field of ocean conservation at scale overall.

The Alliance reporting templates include requirements to capture and share key lessons from site implementation. The Alliance will also facilitate opoprtunities for sites to engage in more thorough and detailed capture and sharing of lessons. Important lessons learned from site implementation will be shared through periodic convenings of site practitioners as well as through online forums, including the Alliance website and key partner websites such as IW:LEARN and Panorama.

d. **Collaboration:** The Alliance has a long-term objective of increasing collaboration among practitioners working to advance ocean conservation at scale. The intent is to break down competitiveness and seek more opportunities for conversations and alignment. Through regular partner convenings and dialogue, the Blue Nature Alliance will increase collaboration between NGOs, ocean funders, and other contributors to the field of large-scale ocean conservation. Approaches to maximize the utility of collaboration will be identified with Alliance site implementation partners, Big Ocean and other partners.

6. Core Elements for Capacity Development and Learning
There are similar core elements that need to be effectively pursued for site-based ocean conservation initiatives at any scale to be successful. The Alliance is compiling a set of core elements that generally form the foundation for effective and equitable management at large-

scale ocean conservation sites. While the core elements for the Alliance are still under development, in general the following are key to success.

- Understanding the baseline and ongoing situation in the site through key assessments;
- Building a supportive enabling environment including political will and public support;
- Effectively engaging key stakeholders and incorporating human dimensions considerations in site planning and management;
- Effective designing and planning to identify targets, threats and their root causes, and solutions to overcome these threats including regulations and actions;
- Effective implementation of the MPA including outreach, enforcement, and operating the MPA management system;
- Monitoring, evaluation and adaptive management;
- Sustainability including in finance, capacity, and the enabling environment.

While needs will vary between sites, these elements are typically the focus of capacity development and learning efforts. Management effectiveness and/or capacity development needs assessments can help individual sites to understand and articulate where they are strong and where they need additional support and capacity development on each of these core elements.

III. Goal, Objectives, and Strategic Actions for Learning, Capacity Development, Knowledge Management and Collaboration

For this Framework, the Alliance is working to achieve the following Goal (also referred to as Output 2.2. in the Alliance workplan):

Goal: By 2026, the Blue Nature Alliance has enhanced knowledge management and learning systems and produced and disseminated new tools and lessons, resulting in increased knowledge, capacity, and tools to plan, implement and manage ocean conservation at scale and/or transboundary ocean governance. Through regular partner convenings and dialogues, the Blue Nature Alliance has increased collaboration between NGOs, ocean funders, and other contributors to the field of large-scale ocean conservation. Specific opportunities for investment will be identified with partners and end-users to maximize the utility of any convenings, learning initiatives, and/or new tools and publications.

1. **Objectives, Strategic Actions, Key Audiences and Outputs**
To guide our efforts on Learning, Capacity Development, Knowledge Management and Collaboration the Alliance has identified five high-level objectives. These objectives provide the framework for strategic actions that will collectively propel the Alliance to achieve our ultimate goal in this component. Below, we provide an explanation of each objective and their strategic actions, audiences and outputs. Specific planned activities, responsibilities, and the timeline for each objective are detailed in the tactical plan.

1. **Objective One: Capacity needs, challenges, strengths, and successes of global efforts to advance effective and equitable ocean conservation at scale are consistently understood.**
   To effectively design and deploy capacity development and learning efforts, it is critical to understand where our efforts are most needed. To do this, we will undertake a review of

needs, challenges, strengths and successes of large-scale ocean conservation efforts. This will start with a review of Big Ocean sites through a series of interviews and be expanded through discussion with practitioners that work across numerous large MPA sites across the world. We will also consistently track the needs, challenges, strengths, and successes of Alliance sites to understand their progress and how to best deploy capacity development initiatives to strengthen management effectiveness and integration of human dimensions.

a. **Strategic Actions:**
  1. Consultations with Big Ocean sites to understand needs, challenges, success and strengths and to identify any trends.
  2. Integration of questions to identify capacity needs in the Alliance scoping and engagement process.
  3. Development of streamlined Capacity Needs Assessment and Planning approaches to deploy with site partners as needed. Please note, these assessments will not be required but several sites have already indicated interest in conducting them.
  4. Application of Big Ocean Site Diagnostic approach with key site partners to help them identify and start to address priority capacity needs.

b. **Key Audiences:**
  1. Site Managers.
  2. Management agencies in partner countries.
  3. NGO partners working to support effective site implementation.

c. **Key Outputs:**
  1. Summary assessment of strengths (including opportunities for mentoring by sites), needs, challenges of LSMPAs (namely Big Ocean sites).
  2. Ongoing summaries of common capacity needs observed across Alliance sites.
  3. Streamlined Capacity Needs Assessment and Planning tool and results from site assessments.
  4. Capacity Development Plans for Alliance sites that chose to develop such plans. We already know that Palau and Seychelles will develop these plans.

2. **Objective Two: Approaches, tools, and providers are identified, referenced and deployed to help address capacity needs and strengthen planning and implementation processes, ongoing management effectiveness, and integration of human dimensions.** Given the Alliance's ambition to support sites covering 18 million square kilometers, it will be important to provide sites with options for gaining capacity on key conservation area design, planning, implementation, adaptive management, human dimensions, and how to build durability into their initiatives. This support may be provided by site implementation partners or in many cases may require outside support from partners that specialize on specific capacity development topics. As we track the needs, challenges, successes, and strengths of Alliance sites, we will better understand where key capacity development interventions such as training and mentoring and direct technical assistance are most needed. Under this objective, we are also exploring potential partnerships with entities that provide capacity development support to ocean conservation initiatives in key regions of the world. Possible partners include entities such as the Western Indian Ocean Marine Science

Association based in Tanzania, the Regional Marine Protected Area School in Chile, the Coral Triangle Center in Indonesia and several others. We will explore if these entities could play a greater role in building and maintaining needed capacity for effective implementation of large-scale ocean conservation initiatives.

a. **Strategic Actions:**
   1. Directly provide Alliance sites with needed capacity development tools and approaches. Site needs will be identified as mentioned in Objective One, through site proposals, Capacity Assessment and Planning processes, Big Ocean Site Diagnostics, or other means. The Alliance may respond to help fill these needs in a variety of ways including: targeted training and mentoring on critical topics, assisting sites to find the best practitioners to assist on key topics, supporting partner countries to set up long-term systems to deliver capacity development and others.
   2. Undertake an inventory of available tools and approaches to train and mentor on key MPA elements at scale. This will include identification of practitioners that may be able to provide support both to the managers and staff of specific sites and to site implementation partners.
   3. Develop a capacity building program to develop guidance and training materials focused on the understanding and integration of human dimensions (e.g., rights, culture, governance, livelihoods, gender, stakeholders, Indigenous peoples, transparency, co-management, socio-economics, etc.) into marine conservation planning and management.
   4. Identify regional institutions (such as the Western Indian Ocean Science Association, WIOMSA and others) around the world that may be able to strengthen their role in supporting capacity development (possibly as regional hubs) to support sites and practitioners in their region.
   5. Develop partnerships with capacity development providers both in specific sites and to support needs of sites and possible regional delivery of capacity development services.

b. **Key Audiences:**
   1. Site managers.
   2. Management agencies in partner countries.
   3. NGO partners working to support effective site implementation.
   4. International and regional capacity development providers.

c. **Key Outputs:**
   1. Ongoing inventory of capacity development tools and practitioners that are most able to address Alliance site needs.
   2. Summaries of regional institutions and opportunities to develop capacity development hubs.
   3. Capacity building program on the human dimensions of marine conservation.
   4. Partnership agreements with other capacity development providers.

3. **Objective Three: Major gaps in approaches to advance ocean conservation at scale identified and addressed through key partnerships and investments:** Initiatives to

pursue ocean conservation at scale are relatively new, having proliferated primarily in the last ten years. As a result, the field is young and there are some aspects that are not yet well developed. There are a number of opportunities to pursue innovations in ocean management that can strengthen the field of ocean conservation at scale. These include a growing emphasis on development of Other Effective Conservation Measures (OECMS), formalizing and securing legal recognition for Indigenous and Community Conservation Areas (ICCAs), and networking Locally Managed Marine Areas. Likewise, there are many elements of management in which large-scale ocean conservation is different than MPAs and other approaches at smaller scales. This includes management planning for very large areas, governance systems, enforcement over large remote areas, sustainable financing and other key elements. Under this Outcome, we will also strive to understand those elements that need tailored training and mentoring approaches for LSMPAs. We will then identify whether or not adequate resources are available to address these specific needs. Where resources are not adequate, we will develop new tools and approaches to help fill key gaps.

a. **Strategic Actions**
   1. Develop strategies to pursue innovative conservation approaches at scale including: OECMs, ICCAs, and other approaches such as networks of LMMAs.
   2. Partner with Big Ocean to identify elements in large-scale ocean conservation that need tailored training and mentoring approaches and tools.
   3. Develop and deploy the most needed tools and approaches to support improved management at large-scale ocean conservation sites.

b. **Key Audiences**
   1. Implementors of LSMPAs and other approaches to ocean conservation at scale.
   2. Policy experts and partners.
   3. NGOs and government agencies focuses on OECMs, ICCAs, and LMMAs.

c. **Key Outputs**
   1. Strategies for pursuing innovative conservation approaches developed (in collaboration with the Alliance Policy team).
   2. Summaries of consultations to identify tools and approaches for capacity development that are tailored to the needs of LSMPAs.
   3. New tools and approaches to address specific needs of LSMPAs.

4. **Objective Four: Practitioners working to advance ocean conservation at scale are regularly collaborating and exchanging lessons and successful approaches.** Collaboration and exchange of ideas can be effective in advancing innovation in ocean conservation and will be emphasized in our efforts to expand ocean conservation at scale. Working closely with Big Ocean, the Alliance will provide opportunities for targeted collaboration and exchange of lessons learned. This will include forging partnerships with numerous partner organizations, capturing and sharing lessons learned from efforts in the field, convening both virtually and in person (when possible), and participating in or creating a practitioner network focused on ocean conservation at scale.

a. **Strategic Actions:**

1. Integrate questions that capture lessons learned in the reporting templates for Alliance site and Growing the Field grantees.
2. Develop a profile and case study template for capturing lessons learned at Alliance sites for more in-depth capture and sharing of lessons learned. Going deep on lessons learned will be optional for sites but encouraged and Alliance staff will assist in the process.
3. Draw out in-depth case studies that demonstrate successes in planning, management or integration of human dimensions in large-scale marine conservation.
4. Collaborate with the Alliance communications team to integrate lessons and case studies sharing into internal and external communications.
5. Identify topics for learning exchanges across LSMPAs directly engaged by Big Ocean and the Alliance. These exchanges may focus on addressing common challenges faced at large sites or may function as "think tanks" to develop new approaches in ocean conservation at scale, such as OECM, ICCAs or LMMA networks.
6. Partner with Big Ocean practitioner network to host one to three targeted learning exchanges annually. Please note, these will be of different sizes and may be virtual or in person depending on the situation with COVID-19.
7. Complete Experience Notes and Results Notes in GEF IW-LEARN formats.

b. **Key Audiences:**
   1. Alliance site implementation partners and other practitioners of ocean conservation at scale.
   2. MPA management agencies.
   3. Capacity development providers.
   4. IW-LEARN and GEF overall.

c. **Key Outputs:**
   1. Lessons learned sections from Alliance site reports.
   2. In-depth lessons learned profiles from as many Alliance sites as possible.
   3. Case study reports on the successful planning, management or integration of human dimensions considerations (e.g., culture, livelihoods, rights, Indigenous peoples) into large-scale conservation
   4. Periodic internal and external communications products on lessons learned.
   5. Learning exchange results and reports.
   6. Experience Notes and Results Notes in IW-LEARN formats.

5. **Objective Five: A knowledge management system is effectively housing and sharing Alliance capacity development tools and lessons learned to strengthen: planning and implementation, management effectiveness and incorporation of human dimensions.**
   Effective sharing of tools, lessons and knowledge gained through the work of the Alliance can contribute to expansion of ocean conservation at scale. The Alliance will start by creating an internal knowledge management system to gather and house information on: capacity needs of our sites and other large-scale ocean conservation initiatives, effective capacity development approaches and tools, lessons learned and case studies from both site implementation and learning exchanges. As we develop this system, if we find that it has

utility beyond the Alliance, we will work to make it publicly accessible. We will also work with the GEF International Waters Program to make sure key information on our site progress is shared through experience and results notes in the IW-Learn system. Finally, we are exploring options to share key lessons on our progress through other knowledge exchange systems including Open Channels, Panorama, and Blue Solutions.

a. **Strategic Actions:**
  1. Development of internal formats to collect and manage information and knowledge. For example, initially this includes an internal excel data-base of capacity development tools and practitioners.
  2. Integration of knowledge management approaches for capacity development and learning into the Alliance website. This may include creating a repository for capacity development tools and lessons learned.
  3. Sharing of key approaches, tools and lessons through IW-LEARN and other knowledge management systems (potentially including Panorama, Open Channels, and others). This will be coordinated with the Alliance communications team.

b. **Key Audiences**
  1. Alliance staff.
  2. Capacity development providers.
  3. Partner NGOs.
  4. MPA management authorities.
  5. GEF IW-LEARN.

c. **Key Outputs:**
  1. Internal formats for collecting and managing information on capacity development and learning.
  2. A knowledge management system to share key information with partners via the Alliance website.
  3. Products shared with external partners as appropriate through IW-LEARN and other platforms.

Appendix 1: Capacity, Capacity Development and Capacity Assessment [108]

1. Capacity Development

1.1 About capacity and capacity development

Capacity—the ability to do or manage something successfully—is an essential attribute of people and institutions. How success is measured is relative to the goals and objectives set for that activity or program. So, when a program or organization is not achieving its objectives, one can look to the capacity of the entity to do the work as a first clue about where problems may lie and how they can be corrected.

Capacity development, also called capacity building or capacity strengthening, is a process of change that is designed to improve the ability to plan and act. Capacity is found within individuals, organizations, and programs and, as a result, they are the focus of the capacity development process. As a first step, they must recognize the need to improve and have the desire to develop and change.

In the case of Ecosystem-based Management, we look to the ability to create and achieve EBM goals as our first indication about the level of capacity. A comprehensive capacity assessment will tell us about strengths and gaps in capacity and indicate where capacity development is needed in order to more effectively and efficiently achieve EBM goals. Throughout this Guide, we suggest methods and approaches to capacity development that are focused on a specific set of EBM goals relating to management at large spatial scales. For example, if a primary goal within an LME / EBM program is to improve sustainable fisheries management, then the project or program management team should look to have or develop the needed skills, attitudes, organizational structure, policy environment, and support from other government agencies to effectively manage threats and improve the management of fisheries in the target geography.

1.2 How to assess capacity

Capacity assessment, at its most basic level, is a process that is designed to answer three questions: What is the full capacity that is needed to successfully achieve your management goals? What capacity do you have? and What capacity do you need to develop to be at full capacity? (Figure 2)

Though conceptually simple, answering these questions can become very complicated. To aid in this process it is extremely important that you have clearly articulated the management outcomes (or goals) that you are working to achieve. You will only be able to identify what capacity you need if you first have a clear understanding of what you are trying to achieve. In this Guide, we use the LME / EBM Program Development Indicators that are defined in the LME-MES Scorecard as our basis for capacity assessment and planning. Although individual teams may want to adjust their objectives depending on their specific situation, the Scorecard provides a comprehensive set of indicators of success in EBM. By completing the Scorecard, you will better understand how well your program is doing at achieving success in each of the indicators. From

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[108]   Excerpted from: Capacity Development Assessment and Planning Guide for Large-Scale Marine Area Ecosystem-based Management. Available from Scott Atkinson: satkinson@conservation.org

this process you will be able to identify which LME / EBM areas are your highest priorities and have the greatest gaps including those where capacity is a major gap or limitation.
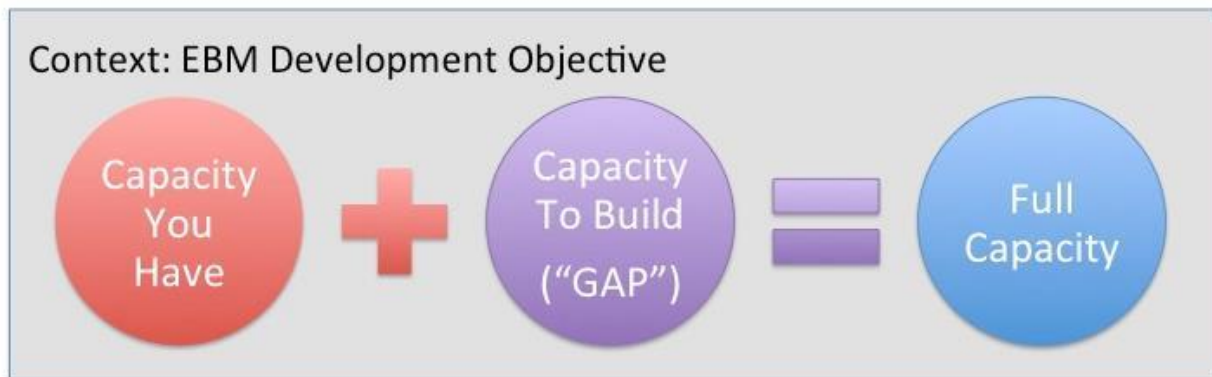

Figure 1. Overview of a capacity assessment within your programmatic context

1.3 The dimensions of capacity

To help in assigning the right types of capacity development activities to capacity gaps, we distinguish three dimensions of capacity (

Figure). They are:

2. **Competence:** the skills, knowledge, and experience of the team and its individuals to set and achieve established objectives;
3. **Attitudes and Behaviors:** the demonstrated behaviors, cultural norms and priorities, societal expectations, personal aspirations for self and family, and other values that affect the ability to set and achieve goals and objectives; and
4. **Operational Effectiveness:** the tools, resources (human and financial), resource management systems, administrative practices and processes, organizational structure, and physical infrastructure needed to set and achieve goals and objectives.

These three dimensions have potentially overlapping elements, and they certainly have the ability to influence one another. However, it is useful to separate them from one another to the extent possible to ensure that clear objectives can be developed to address all aspects and attributes of capacity development.
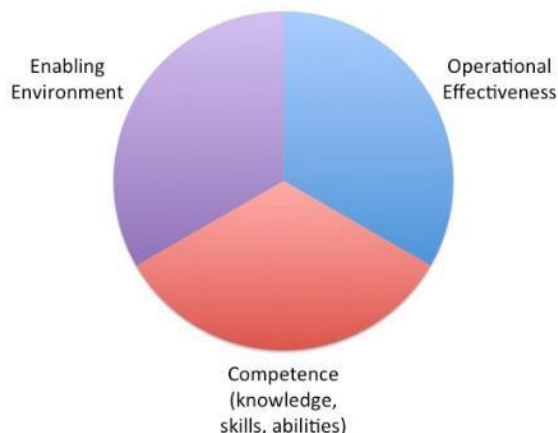
Figure 2. The three dimensions of capacity used in this Guide. Its important to note that the relative priority of these three dimensions may vary depending on the local context.

4.1 The levels of capacity

As part of this process, we encourage you to ask: whose capacity will you assess and whose capacity will you build? This is important because it guides decisions about the types of capacity development activities you will implement. In the LSMPA context, we define up to four important levels of capacity: the individual, the organization, the local enabling environment and the regional enabling environment (Figure):

1. **Individual:** If the assessment target is a relatively small team, every individual may be assessed for their individual capacity to achieve their professional goals and aspirations. In larger teams or programs, key personnel may be the focus of a capacity assessment targeting individuals.

2. **Organization:** The organization, institution, program, partnership or team whose capacity will be assessed. Assessment at this level focuses on the organization's leadership and effectiveness, including its ability to meet overall programmatic targets.

3. **Enabling Environment:** All relevant aspects of the world that are outside the organization or program. Relevant means that the people, social norms, organizations, policies, or other aspects can or do directly influence the team's ability to achieve its goals. Because governance complexity is common and important in LSMA management, the enabling environment here is split into two levels: local and regional.

    a. **Local Enabling Environment:** The enabling environment within a political boundary (e.g., a provincial or national government)

    b. **Regional Enabling Environment:** The enabling environment that reaches across political boundaries (e.g., a national government or regional organizing body).

Figure 3. The levels of capacity used in this Guide. Enabling environment can be sub-divided into local and regional scales. Likewise, the relative importance of each of these levels may vary by the specific context of the LME and specific jurisdictions within the LME.

4.2 Applying the concepts: the LSMA capacity assessment framework

A matrix of capacity dimensions vs. organizational levels provides a framework to understand the types of capacity that are needed, the capacity that exists already, the ways in which capacity can be assessed, and the types of interventions that are most appropriate to fill specific capacity gaps (**Error! Reference source not found.**). This capacity assessment matrix underpins the assessment methodology and is described in the sections below.

Capacity matrix for large-scale environmental projects (the Levels and Dimensions of Capacity for management).

Dimension of Capacity / Level of Organization	Competence (Knowledge, skills, experience)	Attitudes and Behaviors (Expressed values and norms)	Operational Effectiveness (Tools, resources, organizational structure, policies and procedures)
Individuals within the Organization, Program, or Team	Skills, knowledge and experience that each person needs. Presence/ availability of these individuals to regularly support the team.	Attitudes and behaviors that each person should display	The availability of tools, equipment, resources, and operational elements needed by each individual

Organization, Program, or Team as a whole	Leadership, planning, coordination, outreach, management, and other competencies needed at the program level	Attitudes and behaviors, demonstrated by leadership and implementing teams, and reinforced at a program level	Infrastructure required at the organizational or team level, such as buildings and offices, organizational resources, and operational elements
Enabling Environment (Local)	Technical competence among local beneficiaries, partners and stakeholders.	Attitudes and behaviors of the local society, especially among partners and stakeholders	Local policies, resources, and infrastructure in place that may support the organization's ability to achieve management goals and objectives
Enabling Environment (Regional)	Technical competence among local beneficiaries, partners and stakeholders.	Attitudes and behaviors of the local society, especially among partners and stakeholders	Local policies, resources, and infrastructure in place that may support the organization's ability to achieve management goals and objectives

APPENDIX XII: Blue Nature Alliance Monitoring and Evaluation Framework

[FOR INTERNAL USE ONLY]

Introduction

The Blue Nature Alliance is a global partnership accelerating momentum for large-scale ocean conservation. It was founded by Conservation International, the Pew Charitable Trusts, the Global Environment Facility, Minderoo Foundation and the Rob and Melani Walton Foundation. The Alliance aims to catalyze the creation, expansion and improved management of large marine protected areas and other effective conservation measures, with the goal of advancing conservation of 18 million square kilometers of ocean by 2025. In order to achieve its goals, the Blue Nature Alliance will both directly support ocean conservation areas on the ground and build global enabling conditions in order to "Grow the Field" of large-scale marine conservation.

The overarching outcomes of the Blue Nature Alliance are to:
(1) By 2025, investments from the Blue Nature Alliance and leveraged co-investment support 18 million square kilometers of new, expanded, upgraded or improved ocean conservation areas.
   a. New & Expanded Protection: By 2025, investments from the Blue Nature Alliance and leveraged co-investment will result in the legal establishment of 10-14 million km2 of new or expanded ocean conservation areas, as measured by legal ratification, each with a 5-year strategy for how they can reach effective management and long-term financing.
   b. Upgraded Protection & Improved Management: By 2025, investments from the Blue Nature Alliance and leveraged co-investment will result in the upgraded protection status and/or improved management of 6-14 million km2 of previously established ocean conservation areas, as measured by legal ratification for increased protection levels, and by a change in management effectiveness score for improved management, each with a 5-year strategy for how they can reach effective management and long-term financing.
(2) Growing the Field: By 2025, investments from the Blue Nature Alliance will result in new science, tools, capacity, and innovations directly related to the field of large-scale ocean conservation, thus contributing beyond individual sites to the shared goal of protecting 30% of the global ocean.
(3) Alliance Development, Operations, and Communications: By 2026, the Blue Nature Alliance's financial capital, which includes a minimum of $125M, has been effectively and efficiently deployed in line with the goals of the Alliance.

An effective monitoring and evaluation strategy is required to track the progress against these outcomes, to reevaluate approaches if necessary, as well as communicate progress to various stakeholders in order to build momentum for marine conservation.

Purpose and scope of this Framework

The Monitoring and Evaluation Framework focuses at the program level (i.e. the full portfolio of sites) and consists of a series of indicators that will be tracked consistently across the Blue Nature Alliance portfolio, descriptions of the general methodologies used to collect data on those indicators, data analyses and visualizations to help interpret indicator trends, and the process by which the Alliance will utilize the information to inform adaptive management (Figure 1). Applying the Monitoring and Evaluation Framework will be an iterative process that aims to adapt approaches in order to achieve Alliance goals.
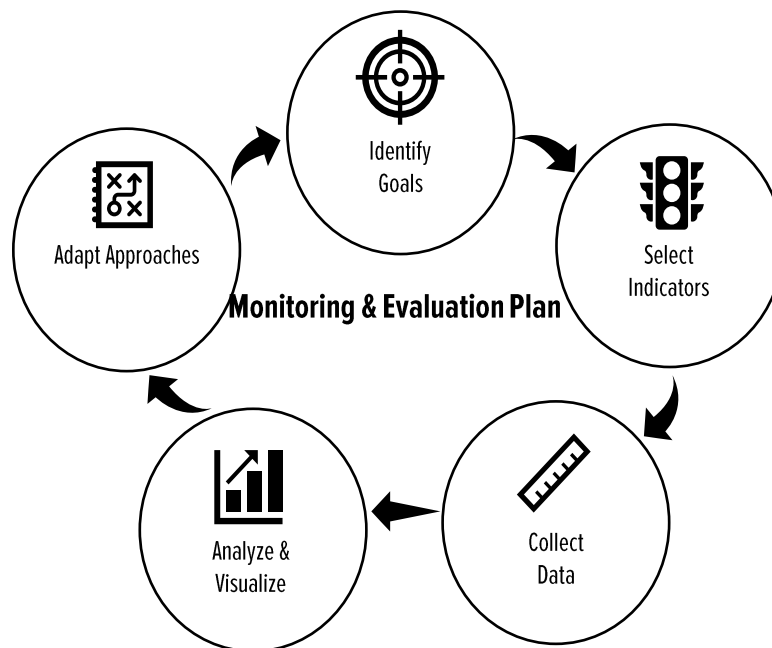

Figure 1. Workflow of the monitoring and evaluation strategy of the Blue Nature Alliance. Note that this strategy will be used regularly and iteratively throughout the lifespan of the project to meet Alliance goals. This strategy will be used to evaluate both the performance of the Blue Nature Alliance as a whole, as well as individually for each site that the Alliance will invest in.

Site-specific monitoring and evaluation strategies may be developed for individual sites that the Blue Nature Alliance will invest in. These site-specific plans will include all the indicators that will be measured across the Alliance portfolio and may also include additional indicators that will be defined based on the objectives outlined in the engagement framework and workplan of individual engagement sites.

The Blue Nature Alliance Monitoring and Evaluation Framework will be executed in consultation with a working group comprised of members of the broader Blue Nature Alliance team, who might also engage external experts if necessary. This working group will be coordinated by a Monitoring and Evaluation Manager, who will be responsible for coordinating monitoring and evaluation activities, including convening working group meetings, reaching out to data providers to obtain indicator data, developing and refining the methods for data acquisition, data quality control, developing maps, analyzing and summarizing data for the Blue

Nature Alliance Management Team to support decision making, and communicating results to relevant Blue Nature Alliance stakeholders (Figure 2). Providing up to date data on all Alliance indicators will be an important task of the monitoring and evaluation coordinator prior to Alliance Steering Council meetings, which are scheduled to occur at least twice a year, in June and December, respectively. Victor Ramos will serve as the monitoring and evaluation coordinator, and will work closely with Daniel Wagner, Shubash Lohani, Laure Katz, and Grace Reville on the implementation and adaptation of the strategy.
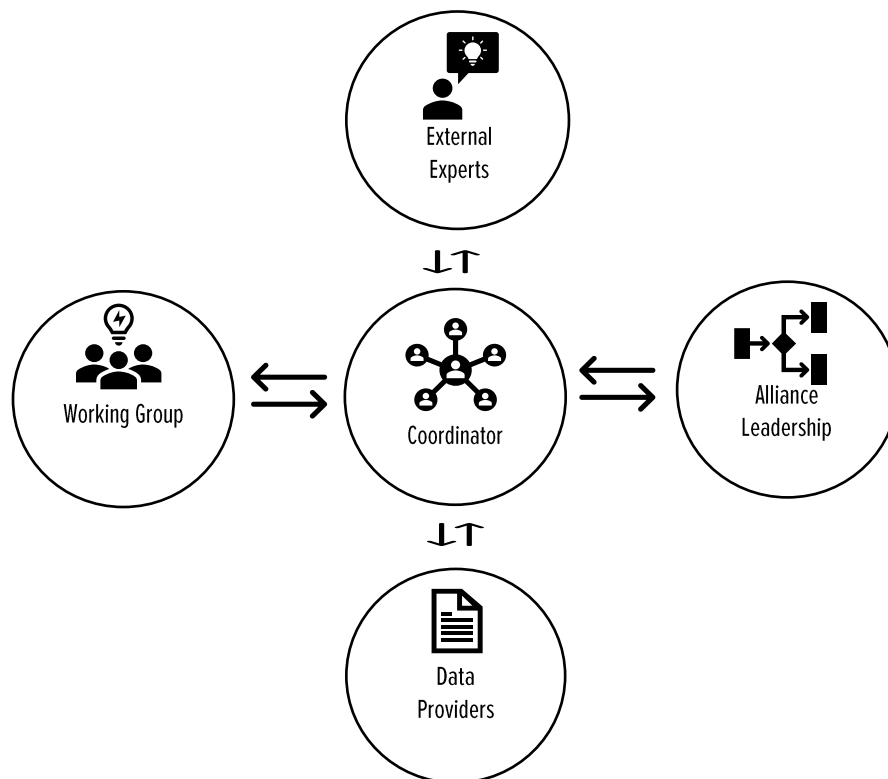

Figure 2. *Structural diagram of the team that will be responsible for executing the monitoring and evaluation strategy of the Blue Nature Alliance. This team will be coordinated by a monitoring and evaluation coordinator, who will convene regular working group meetings, engage external experts as necessary, reach out to data providers, and summarize working group recommendations to Alliance Management Team to support decision making.*

Indicators
The indicators that will be tracked across all sites that the Blue Nature Alliance will invest in, as well as the general methods for collecting data, are briefly summarized in the accompanying excel spreadsheet. Data collections for each indicator will be determined at the start of the engagement, as well as annually throughout the lifespan of the Alliance engagement in order to track progress over time. Data for each data variable will be updated at the inception of each site engagement, and on an ad-hoc ongoing basis. In some cases, however, indicator values might be assessed more or less frequently in order to provide progress reports to specific stakeholders. Indicators will be tracked for each site individually, as well as tallied up across all sites to provide a portfolio-level summary for the Blue Nature Alliance.

Although the Alliance will strive to use consistent and standardized methodologies to assess indicator values across all engagement sites, this will not be possible for some indicators. For instance, for engagement sites where improved management is the Alliance end goal, management effectiveness will be assessed using a methodology that is most appropriate to each site. Consequently, comparisons amongst different engagement sites will not be meaningful for some indicator values. However, within each engagement site, consistent data collection methods will be used across time, so that temporal trends can easily be recognized. As noted above, additional site-specific indicators may be tracked at individual sites to assess the progress towards meeting site-specific goals. Examples of site-specific indicators are presented in Tab 2 of the accompanying excel spreadsheet, as well as in Pomeroy et al. (2004), PMNM (2008), Gallacher et al. 2016, Villaseñor-Derbez et al. (2018), and Reef Trust Partnership (2019). As noted above, any additional site-specific indicators will be carefully chosen in consultation with implementing partners based on the objectives outlined in the engagement framework of individual engagement sites.

Finally, it is important to highlight that the Monitoring and Evaluation Framework of the Blue Nature Alliance, including the indicators and variable excel spreadsheet, will remain living documents, as details will inevitably be adapted throughout the lifespan of the project. Specifically, the monitoring and evaluation working group will review the indicators and data collection methods on an at least annual basis in order to determine if changes are needed.

Data collection

Several types of data will be compiled to assess values on the different Blue Nature Alliance indicators (accompanying excel spreadsheet), including:

(1) data on the regulations, management, and budget of ocean conservation areas, which will require input from the managers and staff of each ocean conservation area;

(2) area-based measurements on the natural, cultural and economic resources that are protected by each ocean conservation area, which in many cases will require analyses using GIS software;

(3) financial information about Blue Nature Alliance engagements, which will require input from Alliance finance staff and fundraisers; and

(4) project-specific information about funded activities that will require input from implementing partners.

Multiple people will be involved in providing data for these indicators. The Monitoring and Evaluation Manager will be responsible to reaching out to these data providers to obtain data, as well as developing the data ingestion methods (e.g. online forms, phone interviews, etc.). The groups of people that will be responsible for providing data for each one of the main indicators that will be tracked across the Blue Nature Alliance portfolio are shown in Table 1. Note that the Alliance will seek to develop data sharing agreements with engagement sites. While this might not be accomplished at every site, such data sharing agreements would provide access to additional data sets that are collected by an engagement site.

Table 1. List of the main data providers for each of the indicators that will be tracked across all Blue Nature Alliance engagement sites.

Note: that more than one data provider may be necessary for individual indicators. Also note that additional indicators may be tracked at individual sites, and the necessary data providers for those indicators will be determined later as appropriate.

Indicator	Site managers & staff	Alliance GIS specialist	Alliance staff or delivery teams	Implementing partners
Goal 1: Supporting the establishment of new or improved ocean conservation areas				
Site name	X			
Site country	X	X		
Alliance engagement goal			X	
Site engagement status			X	
Site engagement status			X	
Engagement start date			X	X
Engagement end date			X	X
Approved engagement budget			X	
Alliance site engagement key documents			X	
Alliance site engagement lead and team			X	
Global Environment Fund availability			X	
Large Marine Ecosystem		X	X	
Global Environment Fund invested large marine			X	
Implementing partner organizations			X	
Leveraged partner organizations			X	
Engagement area	X	X		
Gazetted area	X	X		
Gazettement date	X			
IUCN protected area category	X	X		
Protection level of ocean conservation area	X			
Type of fishing restricted	X			
Area closed to fishing (by type)	X			
Other activities restricted	X			
Stage of development of ocean conservation area	X			
Management authority	X			

Indicator	Site managers & staff	Alliance GIS specialist	Alliance staff or delivery teams	Implementing partners
Key threats	X	X		
Management plan status	X			
Site conservation goals	X			
Monitoring program implemented	X			
Last management effectiveness assessment	X			
Management effectiveness score	X			
Workshops, trainings, or learning initiatives held	X		X	
Number of people that attended trainings	X		X	
Major project outputs with gender considerations	X		X	
Sustainable financing status	X		X	
Implementing partner staff				X
MPA site personnel	X			
MPA partner personnel	X			X
Small scale or artisanal fishers	X	X		
Number of people in post-harvest jobs of small-scale		X		
Tourist service providers	X			
Site visitors	X			
Number of project participants	X	X	X	X
People living within 1 km of engagement site		X		
Ecosystem services provided		X		
Habitats conserved		X		
International conservation area distinctions	X	X		
IUCN Red List species conserved		X		
Goal 2: Growing the field of large-scale marine conservation				
Implementing partner organizations			X	X
Leveraged partner organizations			X	X
Level of partner coordination				X
Scientific publications				X

Indicator	Site managers & staff	Alliance GIS specialist	Alliance staff or delivery teams	Implementing partners
New tools or innovations developed				X
Workshops, trainings, or learning initiatives held				X
Number of people with enhanced knowledge				X
Research projects funded			X	
Conference presentations				X
Case studies or stories				X
Goal 3: Effective Alliance operations and leadership				
Funds raised (by category)			X	
Funds spent (by category)			X	
Funds leveraged			X	X
Ratio of funds leveraged to funds spent			X	
Percent of grantees with on time deliverables			X	X
Percent of sites complying with safeguards			X	X

Information on many the governance and management of ocean conservation areas may be available through a management effectiveness assessment, which will be completed by site managers or staff of engagement sites where improved management is the goal of the Alliance at least pre and post engagement. As noted in the indicators and variables excel spreadsheet, there is currently no standardized methodology that is consistently used to assess management effectiveness at ocean conservation areas around the world. Thus, engagement sites may choose a methodology that is most relevant for assessing their management effectiveness. A list of methodologies that are commonly used to monitor and evaluate the effectiveness of conservation areas is presented in Table 2. However, engagement sites may also choose other methodologies that best suit their needs.

Table 2. List of methodologies that are commonly used to monitor and evaluate the management effectiveness of ocean conservation areas around the world.

Detailed summaries of most these methodologies, as well as additional methodologies applied to terrestrial protected areas, can be found in Leverington et al. (2008). A comprehensive list of methodologies that are used to monitor and evaluate the management effectiveness of protected areas around the world, including both terrestrial and marine ones, can be found in the appendices of UNEP-WCMC (2017).

Methodology	Application location	Reference
Globally applied methodologies		
Rapid assessment and prioritization of protected area management (RAPPAM)	Global	Erwin et al. (2003)

Methodology	Application location	Reference
Score card to assess progress in achieving management effectiveness goals for marine protected areas	Global	Staub & Hatziolos (2004)
A guidebook of natural and social indicators for evaluating marine protected area management effectiveness	Global	Pomeroy et al. (2004)
A framework for assessing management effectiveness of protected areas	Global	Hockings et al. (2006)
Monitoring important bird areas: a global framework	Global (IBAs)	BirdLife International (2006)
Management effectiveness tracking tool (METT)	Global	Stolton et al. (2007)
Enhancing our heritage toolkit: assessing management effectiveness of natural world heritage sites	Global (UNESCO world heritage sites)	Hockings et al. (2008)
World heritage outlook assessment	Global (UNESCO world heritage sites)	IUCN (2012)
Ramsar site management effectiveness tracking tool (R-METT)	Global (RAMSAR sites)	RAMSAR (2015)
Conservation action planning (CAP)	Global (TNC projects)	TNC (2019)
Large marine ecosystems management effectiveness scorecard (in development)	Global (CI LME-learn projects	In development
Regionally applied methodologies		
Strategy for monitoring the management of protected areas in Central America (PROARCA-CAPAS score card)	Central America	Courrau (1999)
Measuring protected area management effectiveness	Latin America	Cifuentes et al. (2000)
Manual for the rapid evaluation of management effectiveness in marine protected areas of Mesoamerica	Central America	Corrales (2004)
A workbook for assessing management effectiveness of MPAs in the Western Indian Ocean	West Indian Ocean	Wells & Mangubhai (2005)
Evaluating the management effectiveness of marine protected areas: using UK sites and the UK MPA programme to illustrate different approaches	United Kingdom	Gubbay (2005)
Marine protected area management effectiveness assessment tool (MPA MEAT)	Coral Triangle	Coral Triangle Initiative (2011)
Protocol for monitoring marine protected areas protected areas network	Palau	Republic of Palau (2012)

Methodology	Application location	Reference
Monitoring Mediterranean marine protected areas: a set of guidelines to support the development of management plans	Mediterranean	MMMPA Supervisory Board (2016)
MPA monitoring action plan	California	California Department of Fish and Wildlife (2018)
A user-friendly tool to evaluate the effectiveness of no-take marine reserves (MAREA)	Mexico	Villaseñor-Derbez et al. (2018)
Great Barrier Reef monitoring and evaluation plan	Great Barrier Reef	Reef Trust Partnership (2019)

Data analysis & visualization

A large volume of data will be collected and analyzed as part of the Alliance monitoring and evaluation framework. The Alliance will seek to develop data sharing agreements with engagement sites, as well as encourage them to submit data to publicly available data repositories where appropriate (e.g. Word Database of Protected Areas, Global Database on Protected Area Management Effectiveness), so that data is openly available to anyone that needs it. The ultimate goal of collecting this data is to help determine whether Alliance goals are being met under current approaches, or whether alternative approaches may be necessary. In order to support Alliance Management Team in decision making, the monitoring and evaluation working group will develop a series of visualizations or dashboards to show the temporal trends of indicators across the portfolio. Figures 3-6 show draft data dashboards that will help serve this purpose, however, these will likely be refined later.

In addition to supporting the Alliance Management Team and Management Team and Steering Team in decision making, the monitoring and evaluation data dashboards may also be valuable in communicating the project progress to additional Blue Nature Alliance stakeholders, such as current and future Alliance donors, implementing partners and staff of ocean conservation areas, influencers, and the general public. However, since some of the data collected by the Blue Nature Alliance monitoring and evaluation strategy may be confidential or proprietary, custom data dashboards that protect sensitive data will be developed for external audiences.
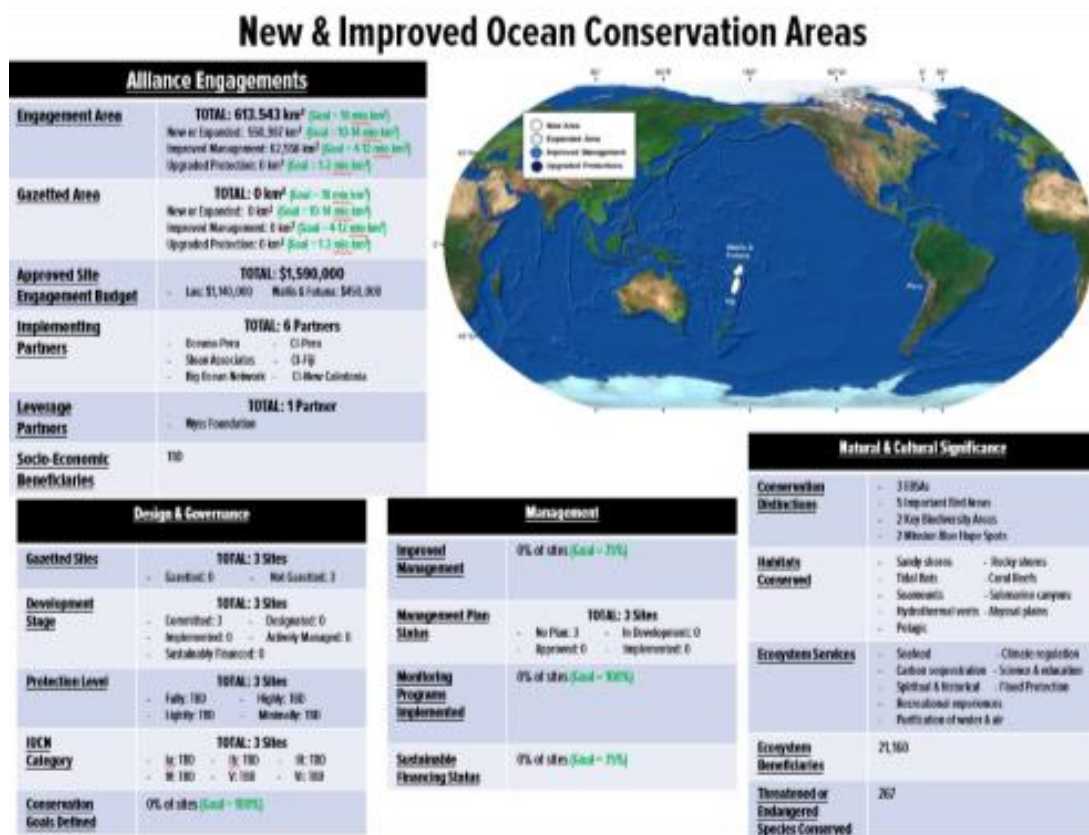
Figure 3. *Draft dashboard on Alliance goal 1: supporting the establishment of new and improved ocean conservation areas.*
Note that the data displayed in this dashboard is not complete and was just generated as best as possible to provide a general idea of how a data dashboard could look like.
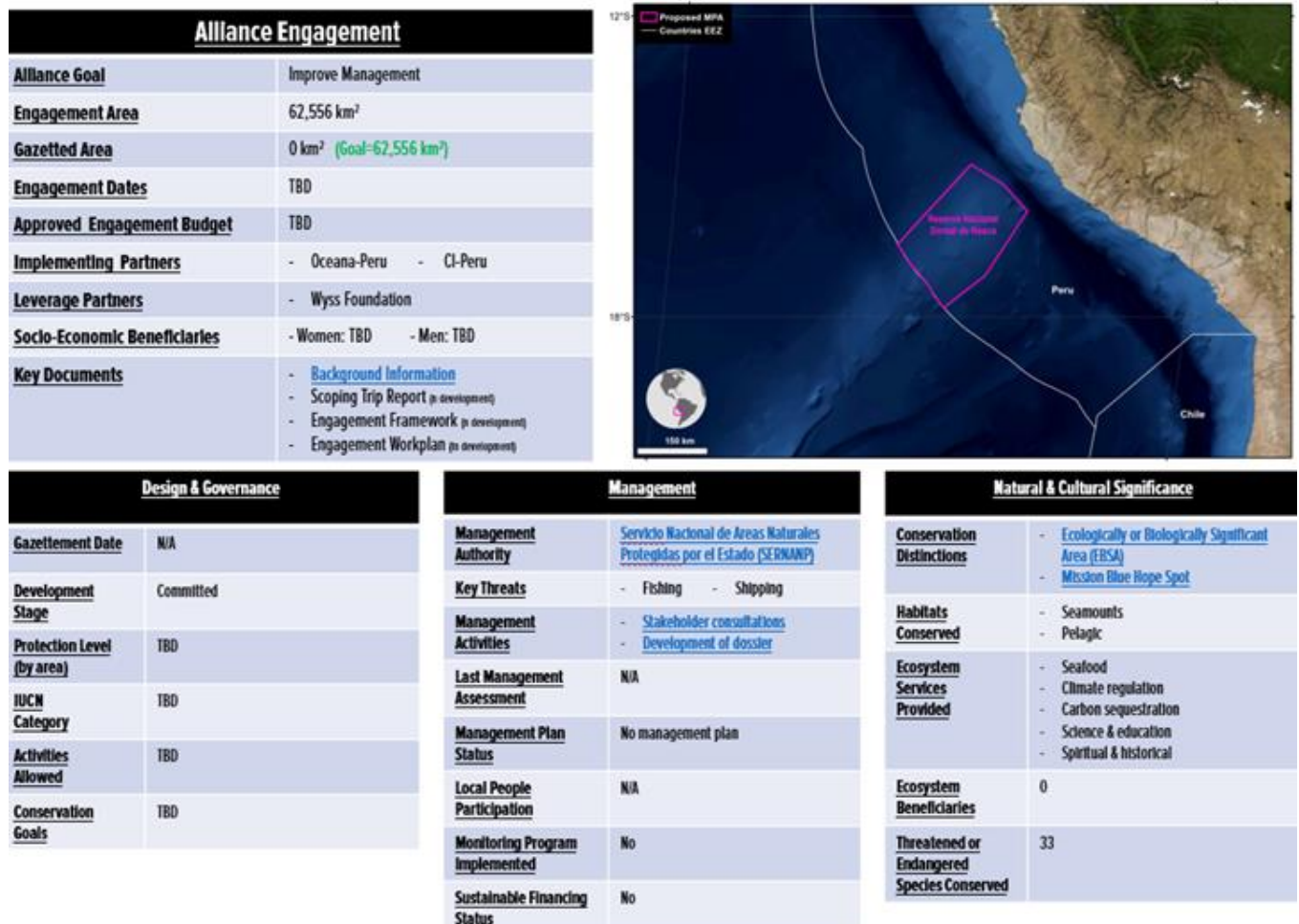
Figure 4. *Draft dashboard on individual Alliance engagement site. Note that the data displayed in this dashboard is not complete, and was just generated as best as possible to provide a general idea of how a data dashboard could look like.*

Growing the Field of Marine Conservation

Growing the Field of Marine Conservation	
Implementing Partners	**TOTAL: 6 Partners** - Oceana-Peru - CI-Peru - Sloan Associates - CI-Fiji - Big Ocean Network - CI-New Caledonia
Leverage Partners	**TOTAL: 1 Partner** - Wyss Foundation
Workshops or Trainings Held	0
People Attending Trainings	**TOTAL: 0** (Goal = 1000) Women: 0 (Goal = 30%) Men: 0 Students: 0
Scientific Publications	0 (Goal = 10)
Research Projects Funded	1 (Goal = 5)
New Tools or Innovations	0 (Goal = 5)
Conference Presentations	3

Figure 5. Draft dashboard on growing the field of large-scale marine conservation. Note that the data displayed in this dashboard is not complete, and was just generated as best as possible to provide a general idea of how a data dashboard could look like.

Effective Operations

Effective Alliance Operations	
Funds Raised	$125,000,000
Funds Spent	**TOTAL: $1,104,075** Site Investments: 5% (Goal = 80%) Growing the Field: 2% (Goal = 5%) Operations: 93% (Goal = 15%)
Funds Leveraged	$0
Funds Spent to Leveraged Funds	TBD: 1 (Goal = 12:1)
Percent on Time Grantee Deliverables	TBD (Goal =75%)
Grantees Complying with Safeguards	TBD (Goal-100%)

Figure 6. Draft dashboard on Alliance effective operations & leadership. Note that the data displayed in this dashboard is not complete, and was just generated as best as possible to provide a general idea of how a data dashboard could look like.

Adaptive management

Since the ultimate goal of the Alliance monitoring and evaluation strategy is to help support decision making in order to ensure that Alliance goals are met, data outputs will be provided regularly to the Alliance Management Team as well as to the Alliance Steering Council. Most of the data required to compute values for the Blue Nature Alliance indicators (see Table 1-2) will only be collected once a year, because these indicator values are not expected to vary substantially over shorter time frames. Thus, comprehensive summary reports will be reported for the Alliance Steering Council annually. These reports will be provided in a written form, as well via oral presentations when needed.

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APPENDIX XIII: Beneficiaries Definition, Assumptions, and Methodology

Monitoring Beneficiaries for Global Environment Facility (GEF)-investments made by the Blue Nature Alliance

The Blue Nature Alliance aims to catalyze the conservation of 18 million square kilometers of ocean by 2025 by supporting the legal establishment of new ocean conservation areas around the world, as well as by expanding the size, upgrading the protection status, and improving the management of existing ones. Achieving these ambitious goals will require an effective monitoring and evaluation strategy to track the progress of the Alliance performance over time, as well as communicate progress to stakeholders in order to build momentum for large-scale marine conservation. The number of people that benefit from investments will be an important indicator that the Blue Nature Alliance will track consistently at each engagement site. The purpose of this document is to provide a definition of this indicator, as well as estimate a portfolio-level total of this indicator based on the seven current prospective sites that are eligible for funding by the GEF

Definition of beneficiaries: People that receive socio-economic, recreational or cultural benefits as a result of investments made by the Alliance, including both monetary (e.g. jobs, grants, increased income) and non-monetary benefits (e.g. training, increased knowledge, enhanced experiences). These include the following stakeholders, each of which will be measured individually for each ocean conservation area that the Alliance will invest in, or for broader science, policy and capacity-building activities that the Alliance may invest in to grow the field of large-scale marine conservation. The Blue Nature Alliance will collect data on this indicator in a sex-disaggregated manner.

- Personnel of all MPAs that the Alliance invests in. This includes all personnel that are directly employed by the government agency responsible for managing the MPA, including staff responsible for management, finance, program evaluation, science, research, communications, outreach, education, and enforcement. Data on this variable will be collected by interviewing site managers of MPAs.
- MPA partner personnel that is directly involved in enforcement, research, education and outreach activities funded by the Alliance. This includes all personnel that are not employed by the government agency managing the MPA, but that are directly involved with activities related to implementing the MPA that are funded by the Alliance. Data on this variable will be collected by reviewing grant documents and interviewing grantees.
- Small scale or artisanal fishers that operate within or in close proximity of Alliance engagement sites. Data on this variable will be estimated using fisheries data from the local government agency, or if unavailable, using the Sea Around Us database.

Since it may not always be possible to only count those small-scale fishers that maintain access to fishing inside MPA after it is established, our assumption is that they will benefit in the long term even though they may experience short-term losses.

- People employed in post-harvest jobs of small-scale fisheries. Data on this indicator will be estimated by multiplying the number of small-scale or artisanal fishers metric (see above) and multiplying by 2.7 (based on global estimates in World Bank 2012). Dara will further be sex-disaggregated by assuming that 85% of people in this workforce are women (FAO 2020).
- Tourist service providers that operate within Alliance engagement sites. Data on this variable will be collected by the government agency responsible for managing the MPA.
- MPA visitors. Data on this variable will be collected by the government agency responsible for managing the MPA, or if unavailable, estimated from the government tourist office based on visitors of the area where MPA is located.
- People living within or within 1 km of the MPA, and therefore will reap the many ecosystem service benefits of the area. Data on this variable will be estimated using the latest human population census.
- Other MPA users (e.g. scientists, educators, historians, etc.) that conduct activities within ocean conservation areas. Data on this variable will be collected by the government agency responsible for managing the MPA, or by reviewing permit reports and permit applications of the MPA.
- Staff of all implementing partners that are directly involved with activities funded by the Alliance. This includes not only those activities funded at individual engagement sites, but also broader science, policy and capacity-building activities that might not be tied to only one ocean conservation area. Data on this variable will be collected by reviewing Alliance grants and interviewing grantees.
- People that participate in workshops and trainings funded by the Alliance. Data on this variable will be collected by interviewing workshop organizers.

The following table provides an estimate of the total number of beneficiaries for this project, based on the current seven prospective ocean conservation areas that are eligible for funding by the GEF:

	Lau Seascape	East Antarctic & Weddell Sea	Nazca Ridge National Reserve	Palau National Marine Sanctuary	Seychelles National MPA Network	Southern Cone MPAs	System of oceanic marine parks	Total (sum of prospective GEF-eligible areas)
Country	Fiji (new)	ABNJ (new)	Peru (improved)	Palau (improved)	Seychelles (new)	Argentina & Chile (n)	Chile (improved)	N/A
Estimated Area (km²)	287,233	3,800,000	62,392	502,538	410,000	213,000	1,455,603	6,730,766
Percent EEZ	22%	N/A	7%	82%	30%	6.2% & 4%	37%	N/A
MPA personnel (assumes	4	8	4	4	4	8	16	48

at least 4 per each MPA)								
MPA partner personnel (assumes 10x of MPA personnel)	40	80	40	40	40	80	160	480
MPA visitors (assumes that each visitor to major island where MPA is located will spend some time in MPA)	unknown (Fiji Tourism Office currently does not have figures for number of visitors to Lau Archipelago)	44,000	N/A	106,000	384,204	N/A	100,000	634,204
Number of small scale fishers (based on data on subsistence & artisanal fishers from Sea Around Us; assumes 2 fishers for subsistence boats, 5 fishers for artisanal boats, and that fishers will operate in MPA in a proportional effort of MPA size to EEZ size)	88,504	0	15,981	18,938	4,511	2,238	20,700	150,872
People employed in post-harvest jobs (assuming 2.7X multiplier of people employed in this sector in relation to small-scale fishers)	238,961	0	43,149	51,133	12,180	6,043	55,890	407,354
People living within 1 km of MPA (based on 2020 census)	9,602	4,000	0	17,907	unknown (boundaries of MPA not yet available)	0	8,661	40,140
Implementing partner staff	25	25	25	25	25	25	25	175
People participating in workshops	75	75	75	75	75	75	75	525
TOTAL	337,211	48,188	59,274	194,122	401,039	8,469	185,527	**1,233,798**

Based on the estimates of the above table, we estimate that there will be at least **1,233,798** beneficiaries in the seven prospective Alliance engagement sites that are eligible for funding by the GEF. Note that these seven prospective sites represent only about half of the total ocean conservation areas that the Alliance will support over the course of the project. Note that the seven prospective sites collectively encompass an area of approximately

6,730,766 km^2 (~673 million hectares), which is approximately half of the total goal that was specified in the GEF project identification form for this project (750 million hectares new conservation areas + 500 million in improved management or increased protections = 1250 million hectares). Therefore, we estimate that the total number of beneficiaries will be at least twice the value calculated above, or over **2,467,596.**

With the exception of the number of artisanal and subsistence fishers, we expect that the number of beneficiaries will be distributed somewhat evenly distributed between women and men. However, since small-scale fishers are still highly skewed towards males in many places of the world, we estimate a ratio of 11:89% for this sector (Harper et al. 2020). Additionally, for people employed in fish processing and other post-harvest jobs of small-scale fishers, we assume that the opposite will be true, with approximately 85% in this sector being women (FAO 2020). Consequently, we estimate that the total number of beneficiaries will be distributed by gender as indicated in the following table. However, it is important to highlight that the Alliance will not be able to influence many of these gender ratios. Thus, while the Alliance will strive to achieve an even gender distribution, this might not be possible in some circumstances.

	Estimated Total	No . of Women	No. of Men	Ratio Women:Men
MPA personnel (assumes at least 4 per each MPA)	96	48	48	50:50
MPA partner personnel (assumes 10x of MPA personnel)	960	480	480	50:50
MPA visitors (assumes that each visitor to major island where MPA is located will spend some time in MPA)	1,268,408	634,204	634,204	50:50
Number of small scale fishers (based on data on subsistence & artisanal fishers from Sea Around US; assumes 2 fishers for subsistence boats, 5 fishers for artisanal boats, and that fishers will operate in MPA in a proportional effort of MPA size to EEZ size)	301,744	33,192	268,552	11:89
People employed in post-harvest job	814,708	692,502	122,206	85:15
People living within 1 km of MPA	80,280	40,140	40,140	50:50
Implementing partner staff	350	175	175	50:50
People participating in workshops	1,050	525	525	50:50
TOTAL	**2,467,596**	**1,401,266**	**1,066,330**	**57:43**

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