

A Review of Regional Initiatives Relevant to The Coral Triangle Initiative

October 2018

Prepared for:

CTI RPOA Review Committee and NCCS



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LIST OF ACRONYMS

ACAP Agreement on the Conservation of Albatrosses and Petrels

ADB Asian Development Bank

AEC ASEAN Economic Community

AICHR The ASEAN Intergovernmental Commission on Human Rights

APSC ASEAN Political-Security Community

ARC Audit and Risk Committee

ASEAN Association of Southeast Asian Nations

BAU Business As Usual

BEBC BIMP-EAGA Business Council

BEV BIMP-EAGA Vision

BIMP- Brunei Darussalam-Indonesia-Malaysia-Philippines East Asean Growth Area

EAGA

BMZ The German Federal Ministry for Economic Cooperation and Development

BOBLME Bengal Large Marine Ecosystem Program

BPAF The Bahamas Protected Area Fund

CBF Caribbean Biodiversity Fund

CBFP The Congo Basin Forest Partnership

CCA Community & Corporate Affairs
CCI Caribbean Challenge Initiative

CCR- Consortium for the Conservation and Restoration of the BOBLME

BOBLME

CCSBT Commission for the Conservation of Southern Bluefin Tuna

CEO Chief Executive Officer

CEP Core Environment Program

CMM Conservation and Management Measures

CNCP Cooperating Non-Contracting Party

COMIFAC The Central African Forests Commission

COP Conference of the Parties

CRGA The Committee of Representatives of Governments and Administrations

CTC Coral Triangle Center

CTI - CFF Coral Triangle Initiative on Coral reefs, Fisheries and Food Security

CWGs The Clusters and Working Groups

DOI-ITAP Department of the Interior's International Technical Assistance Program

DPR Democratic People's Republic

EAS East Asian Seas

EOC The GMS Environment Operations Center

FC Facilitation Center

Fondo The National Fund for the Environment and Natural Resources of Dominican Republic

MARENA

GEF Global Environment Facility
GMS Greater Mekong Subregion

GSDTF Grenada Sustainable Development Trust Fund

ICM Integrated Coastal Management

ICT Information and Communication Technology
 IOC Intergovernmental Oceanographic Commission
 IOSEA Indian Ocean—South-East Asian Marine Turtle

IOTC The Indian Ocean Tuna Commission

IPIECA International Petroleum Industry Environmental Conservation

Kfw Bank aus Verantwortung
LGF Local Government Forum
LME Large Marine Ecosystem
M&E Monitoring And Evaluation

MEPA The Marine Ecosystem Protected Area

MEWG Monitoring and Evaluation Working Group

MM Ministerial Meeting

MoU Memorandum of Understanding

NCCs National Coordinating Committee

NCTFJ National Conservation Trust Fund of Jamaica

NCTFs National Conservation Trust Funds
NGOs Non-Government Organizations

NPOAs National Plan of Actions
NSs National Secretariats
NSUs National Support Units

OFCF Overseas Fishery Cooperation Foundation

PAC Project Appraisal Committee
PDR People's Democratic Republic

PEMSEA Partnerships in Environmental Management for the Seas of East Asia

PIT Project Implementation Team

PNLG he PEMSEA Network of Local Governments

POAs Plan of Actions

PPP Public Private Partnership
PRC People's Republic of China
PRF PEMSEA Resource Facility
PSC Project Steering Committee

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EXECUTIVE SUMMARY

The aim of this input-support report is to provide a brief review, and descriptions of structures and processes from other multi-national collaborative initiatives that may be relevant to the CTI-CFF in shaping the CTI-CFF over the next 10 years. It is important to note that we did not conduct an analysis on the effectiveness of the other multi-national initiatives, but aimed at compiling information for a descriptive comparison with some aspects of the CTI-CFF.

This report is based on a literature review and interviews with a selection of experts. White (2016)¹, already conducted a comprehensive descriptive review of ocean-governance initiatives in the East Asian Seas (EAS) and identified good practices, key success factors, common concerns or issues, and emerging solutions and lessons learned on addressing transboundary issues. Combining these with findings from our analysis we briefly list relevant observations after each description of other multi-national collaborative initiative and provide some recommendations for consideration during the process to revise aspects of the CTI for a next phase.

Views, and suggestions provided in this report are those of the authors. In some cases, we copied text describing initiatives from formal and public documents on those initiatives but any errors in the document, factual or otherwise, are the responsibility of the authors.

For the purposes of this review we focused on the following regional initiatives:

- Association of Southeast Nations (ASEAN);
- Bay of Bengal Large Marine Ecosystem Program (BOBLME);
- Brunei Darussalam-Indonesia-Malaysia-Philippines East Asian Growth Area (BIMP-EAGA);
- Caribbean Challenge Initiative (CCI);
- Congo Basin Forest Partnership;
- Greater Mekong Subregion Core Environmental Program;
- Indian Ocean Tuna Commission;
- Partnerships in Environmental Management for the Seas of East Asia (PEMSEA);
- Pacific Community; and
- Pacific Regional Environment Program.

The nine ocean governance initiatives included in the White (2016) review were selected due to their comprehensive approach to ocean governance and marine conservation with major geographic footprints, and generally with significant levels of support from their national members and donors, and include: 1. ATSEA (Arafura and Timor Seas Action Program) 2. BOBLME (Bay of Bengal Large Marine Ecosystem) 3. COBSEA (Coordinating Body on the Seas of East Asia) 4. CTI-CFF (Coral Triangle Initiative on Coral Reefs, Fisheries and Food Security) 5. NOWPAP (Northwest Pacific Action Plan) 6. PEMSEA (Partnerships in the Environmental Management for the Seas of East Asia) 7. SSME (Sulu-Sulawesi Marine Ecoregion) 8. WCPFC/WPEA Project (Western and Central Pacific Fisheries Commission / West Pacific East Asia - Sustainable Management of Highly Migratory Fish Stocks in the West Pacific and East Asian Seas) 9. YSLME (Yellow Sea Large Marine Ecosystem).

When drawing lessons, it is important to consider that the effectiveness of any project or initiative in achieving desired change and planned impact depends only partially on the people and resources dedicated to it. External factors can have a profound influence on the level of impact of a specific intervention. Considering the complex and dynamic geopolitical context of the region, growing pressures from economic development and growing populations in the CT6, and the external demands placed onto the region, this is certainly not different for the CTI and this must be considered when revising it.

The review of the RPOA already found that sustainable finance is of utmost importance, that commitments and ownership of member countries to the goals and shared agenda must be confirmed continuedly, that and effective and lean governance and institution structure is preferable, that strategically increasing positive relations and collaboration with other regional initiatives and -groups is the main opportunity to enhance capacity to achieve change and impact and that thinking about how the CTI-CFF can help deliver on sustainable development agendas that include responsible trade and infrastructure development will be key in the next phase.

Currently, as each CT member country is considering the relevance of collaborating through the CTI-CFF to also effectively achieve national priorities, the importance of applying the experiences and lessons learned in each country since the CTI-CFF was initiated to improve the RPOA for the next 10 years is clear. In addition, the RPOA must consider the current contexts for each country and development member within the CTI as well as the different capacities of each country in marine and fisheries development. The RPOA review acknowledged that country priorities and national strategic direction will take precedence over regional collaboration, and as such any NPOA revisions should direct the RPOA revision by seeking common issues and concerns where collaboration on a bilateral, sub-regional, or regional level provides added benefits.

The ten regional initiatives reviewed in this report vary considerably in scope, size, and purpose – each with its strengths and weaknesses. Here we list the most specific observations,

ASEAN - CTI-CFF: Membership of ASEAN at its charter establishment in 2008 had grown from the five founding members to 10. The large number of objectives – 15 – of ASEAN, that are only broadly described, may provide better opportunity for each member to benefit from working through ASEAN on some issues that are relevant to some but not all members. The organizational structure of ASEAN appears more complex than that for CTI. ASEAN has developed some early and direct benefits that are easy to identify and thus supportive of a high profile of ASEAN to its members, for example by simplifying processes related to international travel and international working opportunities for citizens of its member countries.

<u>BOBLME - CTI-CFF:</u> the description of the BOBLME with its eight-member countries, indicates a relatively loose collaborating consortium mechanism, where multi-national collaboration is operationalized when projects are funded as well as on an annual basis through formal meetings to exchange information relevant to the goal of improving coastal population livelihoods. The members, to this project have some 24 participating consortium partners with more said to be joining. Some of the participating partners are multi-national collaboratives themselves. Such broad engagement of consortium partners may stimulate exchange of information relevant to the members. Capacity to develop projects for funding was mentioned as a need similar to the CTI-CFF.

BIMP-EAGA- CTI-CFF: the structure and collaboration of the BIMP-EAGA is similar as that for CTI-CFF, but its focus is on stimulating collaboration for resilient, sustainable, inclusive and prosperous economic growth to address development challenges in the member countries. The M&E system is described as having macro, sector and project indicators, and it could be useful for CTI to consider those as well. The ADB is a regional development partner and there are current 3 more development partners: People Republic of China, Japan and the Northern Territory of Australia. A recent review suggested some learnings similar to the CTI, including the need to engage business sector more in the collaboration and the need to improve effectiveness of the sub-regional secretariat in order to facilitate more progress.

<u>CCI - CTI-CFF</u>: the CCI has only two specific goals, one supportive of the other. The 11 countries make rapid progress on their goals, and the sustainable finance mechanism that has been designed and established is already resourced. This rapid and focused and seemingly successful resource mobilization and sustainable finance mechanism should be an important example for the CTI.

<u>CBFP - CTI-CFF:</u> the CBFP is voluntary, aimed at stimulating strategic discussion around forestry conservation and stewardship and is open to all who endorse its Cooperation Framework, including the CBFP Cooperation objectives, principles and structures. Membership within CBFP does not imply any direct financial commitment. There is no secretariat but one of the members leads coordination for external representation and communications as well as organizes annual meetings of parties. Collaboration occurs around facilitation of strategic discussions on issues of relevance to the parties. The preparation and facilitation of strategic discussions by CBFP is something to consider by the CTI-CFF.

<u>GMSCEP - CTI-CFF</u>: the GMSCEP is administered by ADB and has a relatively simple institutional structure. The environmental strategic plan has just been created and was launched in 2018 for the 3rd and next phase. Sustainable finance is a key issue similar to the CTI-CFF and a detailed strategy has been developed that needs to be implemented now. This provides a good opportunity for the CTI to consider the strategy for similar relevance and to compare it with the finance strategy that was developed some years ago for CTI-CFF.

<u>IOTC - CTI-CFF:</u> the IOTC deals with monitoring status of shared stocks for sustainable fisheries development by its member countries and supports development science-based and consensus-based conservation measures to ensure the stocks remain in good health to support socio-economic sustainability around the exploitation of these stocks. Because the stocks are worth much to most of the contracting members, the collaboration is mostly seen as facilitation of the need to negotiate access to the shared stocks and agree on practices that will not destroy the stocks. The CTI-CFF has some valuable fish stocks within its oceans as well and while the IOTC and another RFMO – the WCPFC are the organizations dealing with tuna, the CTI-CFF grouping of members could consider the relevance of improving collaboration around tuna management inside their waters. A structure of the IOTC (and WCPFC) with its subsidiary committees including a scientific committee could be considered as relevant to the CTI-CFF.

<u>PEMSEA - CTI-CFF:</u> the benefits and costs related to coordinating with a large number of partners and through a broad network of collaborators that PEMSEA has done since 2 decades, is something to consider by CTI-CFF. It could be useful to consider which CTI goals can be progressed by working more closely through PEMSEA. The White (2016) review was looking at progress and approaches for multi-national collaborative initiatives in the East Asian Seas and presented at one of the 3-years EAS

congresses that the Resource Facility organizes, it was clear that there are good opportunities for CTI-CFF to collaborate closer with PEMSEA, but it needs to follow from a clear analysis related to the revised RPOA, which goal or target may become the focus of intensified collaboration.

<u>SPC - CTI-CFF:</u> perhaps the most relevant observation on the SPC relates to its capacity to adapt to the changing needs of both dependent territories and independent island countries has enabled SPC to survive for more than half a century and will ensure its continuing role in the social and economic development of the Pacific Island region. It is also important to note that it is a collaboration that is not political and which provides scientific and technical support to its members to enable solid decision making. With the opportunity for CTI-CFF to revise its RPOA and develop a focus on current matters of importance to the CT6 members, that capacity to adapt to remain relevant needs to be supported through the CTI institution.

<u>SPREP - CTI-CFF</u>: the SPREP appears very similarly set-up as the CTI-CFF and lessons learned from its organizational effectiveness could be really useful for CTI. Another support document² on the regional context to the CTI-CFF in the Pacific, describes strongly how CTI can collaborate and strengthen communication with SPREP as most of the goals are the same.

Across the initiatives considered, a number of common themes emerged, which we summarize in the following points.

- Successful initiatives³ tend to align themselves with relevant international and national
 priorities and commitments. It is therefore important for the CTI-CFF to align itself with the
 relevant national priorities and commitments of CTI member countries to deliver on their
 commitments to the global and regional agenda. Examples of such commitments are
 Sustainable Development Goals, Paris Agreement on Climate Change, and Aichi Biodiversity
 Targets.
- 2. As evidenced from the compiled information and analysis of nine ocean governance initiatives and their extensive level of effort, the White (2016) review also revealed the important role of synergies in scaling up programs around common geographies and probably more importantly common themes so that mutually related work can be reinforced, and made stronger and more effective. This implies that vertical and horizontal integration, coordination, and good communication are critical within and across the ocean governance initiatives reviewed here so that real hope and progress drives the initiatives forward. This could be a role of the CTI-CFF.
- 3. Many effective initiatives use the private sector as the primary engine of growth, coupled with the public sector as an enabling body. As such, CTI-CFF could look to expand its current set of partners to include the private sector (similar to the Caribbean Challenge Initiative Council), among others or establish a separate group for private sector partners, similar to the BIMP-EAGA Business Council, whose tasks include consulting and dialogue with the private sector regarding issues and challenges related to the sectors of cooperation; identifying private sector-led projects that support the BIMP-EAGA development agenda; and promoting trade, tourism and investments.

² Available upon request

³ We must assume that initiative that have been active for a long time could be considered successful to some extent.

- 4. An important component of several initiatives is the demonstration of quantitative benefits of regional collaboration in addressing coastal and marine issues, versus losses from the business as usual scenario. Doing so provides strong evidence and justification for convincing government officials, partners, and other stakeholders to continue (or begin) their participation and support to the program. This is an important component that can be added to the RPOA and NPOAs as shown in the BOBLME Strategic Action Plan 2015.
- 5. Several initiatives, including the BOBLME Strategic Action Plan and the GMS CEP Strategic Framework (2018–2022), proactively identify specific projects that will be implemented over the next phase of their respective programs and their cost implications. CTI-CFF could benefit from a similar approach and incorporating an investment plan that will identify specific future (and thus targeted) projects (to the extent possible) as well as funding requirements and sources.
- 6. Monitoring and Evaluation (M&E) is considered a critical component of most regional initiatives, and is, as an example, one of the key functions of the BOBLME SAP Coordination Unit. There may be a need to review the MEWG and other working groups as a means of delivering/supporting the various goals and targets of the CTI. It may also be worthwhile to explore embedding M&E as part of the function of the Regional Secretariat as part of project and program management.
- 7. The sustainability of the actions by regional initiatives can be improved by incorporating activities into the work plan and budget of other relevant government agencies and partner institutions and strong country ownership and commitment and support from partners and other stakeholders are key to the success of any regional initiative. At the same time, regional initiatives need to be constantly relevant as an established vehicle for cooperation in addressing current and emerging issues and contributing to the development agenda.
- 8. Given the largely decentralized nature of coastal and marine resources management in the CTI-CFF member countries, local government participation is vital. The CTI-CFF could explore establishing a platform for local government leaders' engagement similar to the BIMP-EAGA's Local Government Forum, which provides government leaders the venue to engage in dialogue and share experiences and lessons learned on development initiatives. PEMSEA has its Network of Local Governments composed of local governments implementing integrated coastal management programs.
- 9. In some successful initiatives, such as the Caribbean Challenge Initiative, physical and financial goals are set. This assures adequate funding for achieving targets. Physical targets can only be achieved with adequate funding. As such, the CTI could benefit from identifying financial goals in addition to physical targets.
- 10. Country contributions typically comprise only a minor share of funding support of regional cooperation initiatives. Various forms of financing mechanisms are utilized in partnership with government, donor agencies, the private sector, and philanthropic organizations, as examples, to sustain program operations and implementation of activities. One of the financing mechanisms suggested in the CTI-CFF Sustainable Architecture study is the establishment of a business development unit or a project service facility that will develop pipeline projects in close consultation and working hand in hand with member countries. This

- unit will facilitate access to funding. The same concept has been adopted by the GMS Core Environment Program for its next phase.
- 11. For many of the regional cooperation initiatives, fundraising is crucial and one of the key roles of the head of the organization or its Secretariat. CTI could benefit greatly by the addition of staff specifically in support of focused fundraising efforts.

1.0 INTRODUCTION

This report provides input support to a review of the Regional Plan of Action (RPOA) for the Coral Triangle Initiative on Coral Reefs, Fisheries and Food Security (CTI-CFF), which was completed by PT Hatfield Indonesia (www.hatfieldgroup.com). The objective of the RPOA review was to: "Consider the usefulness of the RPOA as a framework to meet the priorities and needs of the member governments, development partners, and local stakeholders at regional, sub-regional, and national levels." A brief summary of main findings of this review, relevant to this report, is provided below.

The aim of this input-support report is to provide a brief review, and descriptions of structures and processes from other multi-national collaborative initiatives that may be relevant to the CTI-CFF in shaping the CTI-CFF over the next 10 years. It is important to note that we did not conduct an analysis on the effectiveness of the other multi-national initiatives, but aimed at compiling information for a descriptive comparison with some aspects of the CTI-CFF.

This report is based on a literature review and interviews with a selection of experts. White (2016)⁴, already conducted a comprehensive descriptive review of ocean-governance initiatives in the East Asian Seas (EAS) and identified good practices, key success factors, common concerns or issues, and emerging solutions and lessons learned on addressing transboundary issues. Combining these with findings from our analysis we briefly list relevant observations after each description of other multi-national collaborative initiative and provide some recommendations for consideration during the process to revise aspects of the CTI for a next phase.

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- Caribbean Challenge Initiative (CCI):
- Congo Basin Forest Partnership;
- Greater Mekong Subregion Core Environmental Program;
- Indian Ocean Tuna Commission;

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⁴ The nine ocean governance initiatives included in the White (2016) review were selected due to their comprehensive approach to ocean governance and marine conservation with major geographic footprints, and generally with significant levels of support from their national members and donors, and include: 1. ATSEA (Arafura and Timor Seas Action Program) 2. BOBLME (Bay of Bengal Large Marine Ecosystem) 3. COBSEA (Coordinating Body on the Seas of East Asia) 4. CTI-CFF (Coral Triangle Initiative on Coral Reefs, Fisheries and Food Security) 5. NOWPAP (Northwest Pacific Action Plan) 6. PEMSEA (Partnerships in the Environmental Management for the Seas of East Asia) 7. SSME (Sulu-Sulawesi Marine Ecoregion) 8. WCPFCWPEA Project (Western and Central Pacific Fisheries Commission /West Pacific East Asia - Sustainable Management of Highly Migratory Fish Stocks in the West Pacific and East Asian Seas) 9. YSLME (Yellow Sea Large Marine Ecosystem).

- Partnerships in Environmental Management for the Seas of East Asia (PEMSEA);
- Pacific Community; and
- Pacific Regional Environment Program.

1.1 THE CORAL TRIANGLE INITIATIVE ON CORAL REEFS, FISHERIES AND FOOD SECURITY

First endorsed in 2009, the 10-year Regional Plan of Action (RPOA) provides the guiding framework for the Coral Triangle Initiative on Coral Reefs, Fisheries and Food Security (CTI or CTI-CFF) and has led to a wide range of accomplishments in the CTI region. Acknowledging this unique regional⁵ leadership platform and considering the high strategic potential leverage of this initiative for multiple agendas (including biodiversity conservation, regional stability, sustainable economic development and climate change adaptation), several international development partners provided very significant financial support and technical expertise to develop a Regional Plan of Action (RPOA) and implement programs to achieve its five goals: i) priority seascapes are designated and effectively managed; ii) an Ecosystem Approach to Fisheries Management (EAFM) and other marine resources is fully applied; iii) Marine Protected Areas (MPAs) are established and effectively managed; iv) climate change adaptation measures are achieved; and v) the status of threatened species is improving. The RPOA further has ten specific targets for 2020 and 38 regional actions that followed a prioritization workshop in 2012.

The RPOA is essentially implemented through five Technical Working Groups (TWGs) which mirror the RPOA Goals and comprise technical experts from both member countries and Development Partner organizations⁶ as well as specialists drawn from other interested stakeholder organizations, institutions and groups. RPOA implementation is also supported by three sets of cross-cutting actions, including Coordination Mechanisms and Implementing Partners, Financial Resources and Monitoring and Evaluation (M&E). The CTI is governed through a Committee of Senior Officials and a Council of Ministers with the Chair currently held by the Philippines. A Regional Secretariat (RS) located in Manado, hosted by the Ministry of Marine Affairs and Fisheries (MMAF) of Indonesia, is the intergovernmental regional body mandated to promote regional cooperation, sharing of lessons and facilitate learning across the member countries. The RS also coordinates and monitors progress in achieving the goals mentioned above.

A robust, transparent, independent evaluation of the RPOA was conducted to provide the CTI members and stakeholders with guidance on how the RPOA might be reshaped or revised prior to 2020 to build on the accomplishments of the past nine years and to take strategic advantage of any new regional and global drivers that have emerged or are emerging and which might generate a positive influence and impact on the future achievement of CTI goals.

While the RPOA review was acknowledged that some of the national projects have successfully contributed to making a difference in the lives of coastal communities, many respondents considered

⁵ CTI is unique in geographic scope with Southeast Asia and Pacific countries although they have common membership in other regional organizations.

⁶ Development Partners include the Governments of Australia and the USA, the Asian Development Bank, The Nature Conservancy (TNC), Conservation International (CI), the World Wildlife Fund (WWF), Global Environment Facility (GEF) and the Coral Triangle Center (CTC).

that the implementation of the RPOA as a whole has not achieved its original concept of improving the well-being of coastal communities through improved livelihoods and improved management of resources. There is therefore a need to revisit discussions on the original intent of the CTI program and other substantive areas in the next version of the RPOA. Socializing the benefits of the CTI needs to be done to clearly articulate it reaches beyond just conservation and resource management to food security, higher incomes, improved health and well-being, contribution to sustainable development, etc.

Some of the areas to consider for improvement to enhance the effectiveness of the CTI-CFF are listed below in four main categories.

Institutional Improvements

The effective implementation of the role of the Regional Secretariat (RS) was considered and facilitation around effective leadership and team work between the staff, between the leadership and the senior managers, as well as between the RS and the Committee of Senior Officials (CSO) and Technical Working Groups (TWGs) will be required going forward. This requires definition and agreement on the tasks of the RS, which should be clearly defined in an updated Terms of Reference, and should also include clearly defined processes for performance review and supervisory mechanisms for the ED and staff of the RS. The relationship between the RS and the NCCs is equally important in order for the countries to feel that they gain capacity to collaborate regionally and to ensure that the burden on national government staff is manageable. Contracting some of the functions of the NCCs and/or working groups can reduce their workload. Having a more diverse representation of CT countries in the RS could enhance understanding of the different needs and priorities of each country. This could stimulate different countries to think about each other's priorities and allow for some innovative discussions to enter the SOMs. This must be well prepared by the TWGs and the RS so that it is valuable for all countries.

Operational Improvements

Challenges related to insufficient financial resources were raised during the CTI RPOA review, and particularly the lack of a sustainable finance mechanism needs to be addressed. Financial independence and stability due to the establishment of a trust and a mechanism for decisions on disbursements is deemed critical. It was suggested that the next version of the RPOA should clearly spell out what can be realistically achieved at national and regional levels. This should include a resource mobilization strategy to support the implementation of the various activities, projects, and programs that support the achievement of targets and goals.

Specific to the calculation, allocation and prioritization of financial contributions by CT member countries, most NCCs provided detailed suggestions for improvement. This is a priority matter that requires significant attention, as the new contribution payments are due and all NCC secretariats reflected on how difficult it will be to convince their ministers and national budget agencies of the beneficial value of the regional components of the CTI-CFF. Providing more clarity on the financial contributions from development partners so that gaps can be more easily reviewed and addressed at SOMs was suggested as a potential improvement. This would enhance effective adaptive action and decisions on fund raising and allocation. Having development partners be formally integrated into the CTI structure will allow for this and provide additional opportunities to enhance the effectiveness of operations.

Learning and Knowledge Sharing

The MEWG published the Monitoring and Evaluation System Operations Manual in 2014. This Manual was the result of several regional workshops and summarizes the core elements of the CTI M&E System, which was endorsed by the SOM and Council of Ministers in 2012. The Manual prescribes a process for facilitating regional collaboration among the countries to track progress towards the CTI goals and higher-level outcomes. The review of the RPOA identified that the need to ensure a fully functional M&E system for the CTI-CFF is high. Indicators should go beyond biophysical measures and include food and nutrition security and improved well-being as examples, and be streamlined with indicators used in other regional commitments or global agendas that countries are party to (e.g., CBD, SDGs). Review of the usefulness and practicality of tools developed for M&E is considered a priority. Actively reviving the CT Atlas will allow it to serve the function of: i) sharing information to researchers, media and students; and ii) profiling the work of all CTI actors to engage new partners and grow constituency and positive energy.

Improved Communications and Partnerships

The review suggested that closer integration of the CTI program into the activities of the lead government agencies involved in the program as well as other government agencies is needed and that inclusion of the CTI in the budget of other Ministries or national planning agencies is also needed so that it is viewed as part and parcel of the mandate of these agencies. This will require work to communicate the logic of working at a regional level clearly and more effectively to specific target audiences and individual decision makers. More effort is needed to engage and to gain the support of Planning and Finance Ministries and higher decision-making bodies of governments (including those ministries related to foreign affairs and law enforcement).

It was recommended that improved communications are needed so that the CTI can avoid duplicating work that is already done by other regional organizations and focus on its core competencies or where it holds a competitive advantage. Aligning more strategically with other organizations will also allow the CTI to work towards better complementing work done by others. To support this, it will be important to allocate greater effort to clarifying where the delivery of the CTI lies. This clarity will help more people understand the actual value of the CTI and support it to achieve its full potential. Also, recommendations included to systematically open up the development partner group for other partners such as UNDP, United Nations Environment Program (UNEP), FAO, World Bank, etc. and actively and structurally engage the private sector to increase effective joint action in a number of areas.

2.0 BRIEF DESCRIPTION OF MULTI-NATIONAL COLLABORATIVE INITIATIVES

2.1 ASSOCIATION OF SOUTHEAST ASIAN NATIONS

History and Purpose: The Association of Southeast Asian Nations or ASEAN was established on 8 August 1967 in Bangkok, Thailand, with the signing of the ASEAN Declaration (Bangkok Declaration) by the Founding Nations of ASEAN: Indonesia, Malaysia, Philippines, Singapore, and Thailand.

Its objectives are as follows: (i) maintain and enhance peace, security, and stability, and further strengthen peace-oriented values in the region; (ii) enhance regional resilience by promoting greater

political, security, economic, and socio-cultural cooperation; (iii) preserve Southeast Asia as a Nuclear Weapon-Free Zone and free of all other weapons of mass destruction; (iv) ensure that the peoples and member states of the ASEAN live in peace with the world at large in a just, democratic, and harmonious environment; (v) create a single market and production base which is stable, prosperous, highly competitive, and economically integrated with effective facilitation for trade and investment in which there is free flow of goods, services, and investment; (vi) alleviate poverty and narrow the development gap within ASEAN through mutual assistance and cooperation; (vii) strengthen democracy, enhance good governance and the rule of law, and to promote and protect human rights and fundamental freedoms, with due regard to the rights and responsibilities of the member states of the ASEAN; (viii) respond effectively, in accordance with the principle of comprehensive security, to all forms of threats, transnational crimes, and transboundary challenges; (ix) promote sustainable development so as to ensure the protection of the region's environment, the sustainability of its natural resources, the preservation of its cultural heritage, and the high quality of life of its peoples; (x) develop human resources through closer cooperation in education and life-long learning, and in science and technology, for the empowerment of the peoples of ASEAN and for the strengthening of the ASEAN community; (xi) enhance the well-being and livelihood of the peoples of ASEAN by providing them with equitable access to opportunities for human development, social welfare, and justice; (xii) strengthen cooperation in building a safe, secure, and drug-free environment for the peoples of ASEAN; (xiii) promote a people-oriented ASEAN in which all sectors of society are encouraged to participate in and benefit from the process of ASEAN integration and community building; (xiv) promote an ASEAN identify through the fostering of greater awareness of the diverse culture and heritage of the region; and (xv) maintain the centrality and proactive role of ASEAN as the primary driving force in its relations and cooperation with its external partners in a regional architecture that is open, transparent, and inclusive.

Geography/Countries: The current ASEAN member states are: Brunei Darussalam, Cambodia, Indonesia, Lao PDR, Malaysia, Myanmar, Philippines, Singapore, Thailand, and Viet Nam.

Strategic Framework: The ASEAN Charter serves as a firm foundation in achieving the ASEAN community by providing legal status and institutional framework for ASEAN. It also codifies ASEAN norms, rules, and values; sets clear targets for ASEAN; and presents accountability and compliance.

The ASEAN Charter entered into force on 15 December, 2008. A gathering of the ASEAN Foreign Ministers was held at the ASEAN Secretariat in Jakarta to mark this historic occasion for ASEAN. With the entry into force of the ASEAN Charter, ASEAN operates under a new legal framework and establishes a number of new organs to boost its community-building process. In effect, the ASEAN Charter has become a legally binding agreement among the 10 ASEAN member states.

Governance: The organizational structure of the ASEAN is the following.

(a) <u>ASEAN Summit</u>. The ASEAN Summit shall comprise of the heads of the state or government of the member states. The ASEAN Summit shall: (i) be the supreme policy-making body of the ASEAN; (ii) deliberate, provide policy guidance and take care of key issues pertaining to the realization of the objectives of ASEAN, important matters of interest to the member states and all issues referred to it by the ASEAN Coordinating Council, the ASEAN Community Councils, and ASEAN Sectoral Ministerial Bodies; (iii) instruct the relevant Ministers in each of the Councils concerned to hold ad-hoc inter-Ministerial meetings, and address important issues concerning ASEAN that cut across the Community Councils, rules of procedure for

- such meetings shall be adopted by the ASEAN Coordinating Council; (iv) address emergency situations affecting ASEAN by taking appropriate actions; (v) decide on matters referred to it under Chapters VII and VIII of the Charter; (vi) authorize the establishment and dissolution of Sectoral Ministerial Bodies and other ASEAN institutions; and (vii) appoint the Secretary General of ASEAN, with the rank and status of Minister, who will serve with the confidence and at the pleasure of the Heads of State or Government upon the recommendation of the ASEAN Foreign Ministers Meeting.
- (b) ASEAN Coordinating Council. The ASEAN Coordinating Council shall comprise the ASEAN Foreign Ministers and meet at least twice a year. The ASEAN Coordinating Council shall: (i) prepare the meetings of the ASEAN Summit; (ii) coordinate the implementation of agreements and decisions of the ASEAN Summit; (iii) coordinate with the ASEAN Community Councils to enhance policy coherence, efficiency, and cooperation among them; (iv) coordinate the reports of the ASEAN Community Councils to the ASEAN Summit; (v) consider the annual report of the Secretary General on the functions and operations of the ASEAN Secretariat and other relevant bodies; (vii) approve the appointment and termination of the Deputy Secretaries General upon the recommendation of the Secretary General; and (viii) undertake other tasks provided for in the Charter or such other functions as may be assigned by the ASEAN Summit.
- (c) ASEAN Community Councils. The ASEAN Community Councils shall comprise the ASEAN Political-Security Community Council, ASEAN Economic Community Council, and ASEAN Socio-Cultural Community Council. Each Community Council shall have under its purview the relevant ASEAN Sectoral Ministerial Bodies. Each member state shall designate its national representation for each ASEAN Community Council meeting. In order to realize the objectives of each of the three pillars of the ASEAN Community, each ASEAN Community Council shall:

 (i) ensure the implementation of the relevant decisions of the ASEAN Summit; (ii) coordinate the work of the different sectors under its purview and on issues which cut across the other Community Councils; and (iii) submit reports and recommendations to the ASEAN Summit on matters under its purview. Each ASEAN Community Council shall be supported by the relevant senior officials.
- (d) ASEAN Sectoral Ministerial Bodies. The ASEAN Sectoral Ministerial Bodies shall (i) function in accordance with their respective established mandates; (ii) implement the agreements and the decisions of the ASEAN Summit under their respective purview; (iii) strengthen cooperation in their respective fields in support of ASEAN integration and community building; and (iv) submit reports and recommendations to their respective Community Councils. Each ASEAN Sectoral Ministerial Body may have under its purview the relevant senior officials and subsidiary bodies to undertake its functions as contained in Annex 1 of the ASEAN Charter. The Annex may be updated by the Secretary General of ASEAN upon the recommendation of the Committee of Permanent Representatives without recourse to the provision of Amendments under the ASEAN Charter.
- (e) <u>Secretary General of ASEAN and ASEAN Secretariat</u>. The Secretary General of ASEAN shall be appointed by the ASEAN Summit for a non-renewable term of office of five years, selected from among nationals of the ASEAN member states based on alphabetical rotation, with due consideration to integrity, capability and professional experience, and gender equality. The Secretary General shall: (i) carry out the duties and responsibilities of this high office in

accordance with the provisions of the ASEAN Charter and relevant ASEAN instruments, protocols, and established practices; (ii) facilitate and monitor progress in the implementation of ASEAN agreements and decisions, and submit an annual report on the work of ASEAN to the ASEAN Summit; (iii) participate in meetings of the ASEAN Summit, the ASEAN Community Councils, the ASEAN Coordinating Council, and ASEAN Sectoral Ministerial Bodies and other relevant ASEAN meetings; (iv) present the view of ASEAN and participate in meetings with external parties in accordance with approved policy guidelines and mandate given to the Secretary General; and (v) recommend the appointment and termination of the Deputy Secretaries General to the ASEAN Coordinating Council for approval.

The Secretary General shall also be the Chief Administrative Officer of ASEAN. He/she will be assisted by four Deputy Secretaries General with the rank and status of Deputy Ministers. They shall be accountable to the Secretary General in carrying out their functions. They shall be of different nationalities from the Secretary General and shall come from different ASEAN member states. They shall comprise of (i) two Deputy Secretaries General who will serve a non-renewable term of three years, selected from among nationals of the ASEAN member states based on alphabetical rotation with due consideration to integrity, qualifications, competence, experience and gender equality; and (ii) two Deputy Secretaries General who will serve a term of three years, which may be renewed for another term of three years. They shall be openly recruited based on merit.

The ASEAN Secretariat shall comprise the Secretary General and such staff as may be assigned. The ASEAN Secretariat's basic function is to provide for greater efficiency in the coordination of ASEAN organs and for more effective implementation of ASEAN projects and activities. Its mission is to initiate, facilitate and coordinate ASEAN stakeholder collaboration in realising the purposes and principles of ASEAN as reflected in the ASEAN Charter.

The organizational structure of the ASEAN Secretariat is provided in Figure 1.

ASEAN Secretariat Secretary-General Organisational Structure (Effective 1 January 2016) Internal Audit & **ASEAN Connectivity** Division **Evaluation Division** Division ASEAN Political -ASEAN Economic ASEAN Socio -Community & **Security Community** Community **Cultural Community** Corporate Affairs (APSC) (AEC) (ASCC) (CCA) Department Department Department Department ASEAN ASCC Political & Market Sectoral Analysis & Monitoring Corporate Affairs Integration egal Service. Integration Directorate Developmen Affairs Directorate Directorate Directorate Directorate Directorate Directorate Directorate Directorate Monitoring, Programme ade Facilitatio Transport External Surveillance 8 ASCC Political Education, Treaty Analysis & Cooperation & Division Division Analysis Relations Coordination Cooperation Division 1 outh & Sports Division Project Division 1 Division Division Division Division Management Division Standards & Analysis & ICT & Tourism Conformance International Conference Monitoring on Trade, Industry 8 Division Disaster Resource Political External Services. Relations Protocol & Managemen Cooperation Division 2 ASCC Health Emerging Issues Division Division 2 lumanitariar Formalities Division Division Services & Monitoring Division Assistance Division Energy & Division Investment Division Division inerals Division Analysis & General Legal Monitoring on External Finance & Competition, inance & Socio udget Divisio Relations Poverty Culture & od, Agricultur Division 3 Division 1 Eradication 8 & Forestry otection & IPR ender Divisio Division Human Resources Enterprise & Division Security Science & Division Stakeholders Cooperation Technology Labor & Civil Division 2 Engagement Division

Figure 1 ASEAN Secretariat Organizational Structure.

Source: Organizational Structure of the ASEAN Secretariat. http://asean.org/?static_post=organizational-structure-of-the-asean-secretariat.

Service Divisio

Information Technology Systems

Division

Division

External

Economic

Finance Integration IAI & NDG

luman Rights

- (f) Committee of Permanent Representatives to ASEAN. Each ASEAN member state shall appoint a permanent representative to ASEAN with the rank of ambassador based in Jakarta. The permanent representatives collectively constitute a Committee of Permanent Representatives which shall: (i) support the work of the ASEAN Community Councils and ASEAN Sectoral Ministerial Bodies; (ii) coordinate with the ASEAN National Secretariats and other ASEAN Sectoral Ministerial Bodies; (iii) liaise with the Secretary General of ASEAN and the ASEAN Secretariat on all subjects relevant to its work; (iv) facilitate ASEAN cooperation with external partners; and (v) perform such other functions as may be determined by the ASEAN Coordinating Council.
- (g) <u>ASEAN National Secretariats</u>. Each ASEAN member state shall establish an ASEAN National Secretariat which shall: (i) serve as the national focal point; (ii) be the repository of information on all ASEAN matters at the national level; (iii) coordinate the implementation of ASEAN decisions at the national level; (iv) coordinate and support the national preparations of ASEAN meetings; (v) promote ASEAN identity and awareness at the national level; and (vi) contribute to ASEAN community building.
- (h) <u>ASEAN Intergovernmental Commission on Human Rights</u>. The ASEAN Intergovernmental Commission on Human Rights (AICHR) is an inter-governmental body and an integral part of the ASEAN organisational structure. It is a consultative body that consists of the member states of ASEAN with each Member State appointing a representative to the AICHR who shall be accountable to the appointing Government.

The purpose of the AICHR is: (i) promote and protect human rights and fundamental freedoms of the peoples of ASEAN; (ii) uphold the right of the peoples of ASEAN to live in peace, dignity and prosperity; (iii) contribute to the realisation of the purposes of ASEAN as set out in the ASEAN Charter in order to promote stability and harmony in the region, friendship and cooperation among ASEAN member states, as well as the well-being, livelihood, welfare and participation of ASEAN peoples in the ASEAN community building process; (iv) promote human rights within the regional context, bearing in mind national and regional particularities and mutual respect for different historical, cultural and religious backgrounds, and taking into account the balance between rights and responsibilities; (v) enhance regional cooperation with a view to complementing national and international efforts on the promotion and protection of human rights; and (vi) uphold international human rights standards as prescribed by the Universal Declaration of Human Rights, the Vienna Declaration and Programme of Action, and international human rights instruments to which ASEAN member states are parties.

Its mandate and functions are: (i) develop strategies for the promotion and protection of human rights and fundamental freedoms to complement the building of the ASEAN Community; (ii) develop an ASEAN Human Rights Declaration with a view to establishing a framework for human rights cooperation through various ASEAN conventions and other instruments dealing with human rights; (iii) enhance public awareness of human rights among the peoples of ASEAN through education, research and dissemination of information; (iv) promote capacity building for the effective implementation of international human rights treaty obligations undertaken by ASEAN member states; (v) encourage ASEAN member states to consider acceding to and ratifying international human rights instruments; (vi) promote the full implementation of ASEAN instruments related to human rights; (vii) provide advisory services

and technical assistance on human rights matters to ASEAN sectoral bodies upon request; (viii) engage in dialogue and consultation with other ASEAN bodies and entities associated with ASEAN, including civil society organisations and other stakeholders, as provided for in Chapter V of the ASEAN Charter; (ix) consult, as may be appropriate, with other national, regional and international institutions and entities concerned with the promotion and protection of human rights; (x) obtain information from ASEAN Member States on the promotion and protection of human rights; (xi) develop common approaches and positions on human rights matters of interest to ASEAN; (xii) prepare studies on thematic issues of human rights in ASEAN; (xiii) submit an annual report on its activities, or other reports if deemed necessary, to the ASEAN Foreign Ministers Meeting; and (xiv) perform any other tasks as may be assigned to it by the ASEAN Foreign Ministers Meeting.

<u>Some observations relevant for the CTI-CFF:</u> Membership of ASEAN at its charter establishment in 2008 had grown from the five founding members to 10. The large number of objectives – 15 – of ASEAN, that are only broadly described, may provide better opportunity for each member to benefit from working through ASEAN on some issues that are relevant to some but not all members. The organizational structure of ASEAN appears more complex than that for CTI. ASEAN has developed some early and direct benefits that are easy to identify and thus supportive of a high profile of ASEAN to its members, for example by simplifying processes related to international travel and international working opportunities for citizens of its member countries.

2.2 BAY OF BENGAL LARGE MARINE ECOSYSTEM PROJECT

History/Purpose: The eight countries surrounding the Bay of Bengal—Bangladesh, India, Indonesia, Malaysia, Maldives, Myanmar, Sri Lanka, and Thailand—committed themselves to working together through the Bay of Bengal Large Marine Ecosystem (BOBLME) Project to better the lives of coastal populations through improved regional management of the Bay of Bengal environment and its fisheries.

Over a five-year period (April 2009 to December 2015)—the first of two phases of the Project—work focused on gaining a better understanding of major marine resources and identifying the critical issues and underlying causes contributing to a decline in the health of the Bay of Bengal ecosystem. With that knowledge, strengthening and harmonizing management capabilities in each participating country would be undertaken in preparation for the second phase of the project.

The BOBLME Strategic Action Program (SAP) has now been endorsed by all 8 partner countries, through the 16 associated Ministries responsible for fisheries management and environmental conservation. This important milestone was reached after intensive consultation over a period of more than two years. This endorsement now enables the SAP implementation phase to begin.

Geography/Countries: Bangladesh, India, Indonesia, Malaysia, Maldives, Myanmar, Sri Lanka, and Thailand.

Strategic Framework: The SAP will provide an engagement and coordination mechanism for countries and their agencies Regional collaboration holds the greatest promise of positive change because many of the key challenges in the highly complex BOBLME are transboundary in nature. The BOBLME Project has had considerable success in bringing together the eight countries of the Bay of Bengal, and their associated national fisheries and environment agencies, to work together on

common issues. However, there is both a need and opportunity to improve inter-agency coordination and engagement.

Building on the good work of the BOBLME Project, it is envisaged that the SAP will provide BOBLME countries with a stronger mandate to continue their collaboration to address transboundary issues. There are strong incentives for a wider range of national marine management agencies to implement SAP activities, and in doing so, better interact with each other on current SAP issues, as well as other common issues in the future. Cooperation between countries on issues of shared interest offers real advantages for capacity development, sharing of experiences, and effective action.

Halting the degradation of marine and coastal environments and maintenance of existing ecosystem services through the implementation of the SAP will generate economic values worth more than USD 1,350 billion from BOBLME resources and habitats over the next 25 years. Conversely, under a business as usual (BAU) scenario of continued ecosystem degradation and loss, economic values will decrease to approximately USD 1,110 billion. Thus, implementing the SAP and only halting the current level of damage being inflicted on the environment will secure ecosystem services worth approximately USD 240 billion over the next 25 years – a figure which will be considerably higher should the SAP also serve to improve or further enhance the status and productivity of marine and coastal environments.

This comparison of marine and coastal ecosystem values under BAU and SAP scenarios underlines the high economic costs and losses which will be incurred by failing to act to halt marine and coastal biodiversity loss and ecosystem degradation in the BOBLME. These costs and damages would accrue across many different sectors, including: fisheries, tourism, water, energy, settlement and infrastructure, food security, disaster risk reduction, and climate change adaptation.

The value added and costs avoided by implementing the SAP are substantial for local, national, and even international economies, and are realized even under the very conservative or minimal scenario (i.e. that the SAP will serve only to halt any further degradation of natural habitats and fisheries). The incremental cost to implement the first seven years of the Bay of Bengal SAP is approximately USD 48 million. It is expected that this will be delivered within a BOBLME Project comprising of at least five projects that are based on the regional and national actions from one or more of the SAP themes: (i) Marine living resources: Fisheries and other living marine resources have been restored and are managed sustainably; (ii) Critical habitats: Degraded, vulnerable, and critical habitats are restored, conserved, and maintained: (iii) Water quality: Coastal and marine pollution and water quality are controlled to meet agreed standards for human and ecosystem health; and (iv) Social and economic considerations: Social and economic constraints are addressed, leading to increased resilience and empowerment of coastal people. The five projects currently envisaged are: (i) Sustainable management of fisheries (SAP themes 1 and 4, USD 10 million); (ii) Restoration and conservation of critical marine habitats (SAP themes 2 and 4, USD 13 million); (iii) The creation of enabling environments for management in critical transboundary areas (SAP themes 2 and 4, USD 4 million); Management of marine pollution to improve ecosystem health in the Bay of Bengal (SAP themes 3 and 4, USD 15 million); and (v) Strengthening institutional capacity for the management of the Bay of Bengal Large Marine Ecosystem (SAP themes 1, 2, 3 and 4, USD 6 million).

Governance: The implementation arrangement of the SAP is the following.

Consortium for the Conservation and Restoration of the BOBLME. There are many regional bodies, organizations, and partnerships with a range of mandates and competencies working towards similar environmental goals in the Bay of Bengal. Therefore, there is considerable potential for them to collectively provide momentum and synergy for SAP implementation at the national, sub-regional, and regional levels. The BOBLME Project worked with more than 20 institutions, bodies, and agencies during its first phase. This has contributed to improved understanding of resource and habitat status and related management activities in the Bay of Bengal; fostered collaborative action and exchange of information; reduced duplication of work; and promoted the optimal use of funding and other resources.

The SAP comprises a broad range of activities relating to a diverse spectrum of topics and sectoral interests that span a wide geographical area. At present, there is no single body or environmental convention that has a complete mandate to cover all aspects of the SAP across its entire geographical range. In 2013, the BOBLME Project Steering Committee endorsed an institutional arrangement for SAP implementation which would consist of a consortium of countries and major partners and donors working in the areas of fisheries, environment, water quality, and their associated social and economic dimensions. This is envisaged as an intermediate arrangement, while the possibility of a permanent arrangement will be explored during the SAP implementation phase.

This "Consortium for the Conservation and Restoration of the BOBLME" (CCR-BOBLME) will meet regularly (at least annually) to: (i) promote information exchange and capacity development, (ii) monitor BOBLME health and status, and (iii) monitor progress of the SAP implementation activities and projects.

While the membership of the Consortium and the exact nature and extent of the activities of the Consortium members are yet to be defined, the following entities, bodies, and organizations have agreed, in principle, to join the CCR-BOBLME and play a role in SAP implementation. Additional members are expected to join in the future. Current members include: Asian Development Bank, Asia-Pacific Fishery Commission, Association of South East Asian Nations, Bay of Bengal Initiative for Multi-Sectoral Technical and Economic Cooperation, Bay of Bengal Program-Intergovernmental Organization, Fauna and Flora International, Food and Agriculture Organization, Government of Norway, Government of Sweden, Indian Ocean Global Ocean Observing System, Indian Ocean Tuna Commission, Intergovernmental Oceanographic Commission of the United Nations Educational, Scientific and Cultural Organization, International Collective in Support of Fish workers, International Union for the Conservation of Nature, International Labor Organization, Network of Aquaculture Centers in Asia and Pacific, National Oceanic and Atmospheric Administration of the United States, Partnerships in Environmental Management for the Seas of East Asia, South Asia Association for Regional Cooperation, South Asia Cooperative Environment Program, Southeast Asian Fisheries Development Center, United Nations Environment Program, United Nations Development Program, World Bank, and WorldFish.

SAP implementation will proceed through several streams of work, consisting of national work plans that include the national activities listed in the SAP document, work being undertaken by partners operating in the region, and a regional program of work that will focus on: (i) implementing activities relating to the regional actions listed in the SAP; (ii) supporting or augmenting a range of existing country and partner activities; (iii) supporting partner capacity development; (iv) actively promoting the

development of additional initiatives and projects in support of the SAP implementation; (v) coordinating and monitoring SAP implementation; and (vi) creating, fostering, coordinating, and strengthening partnerships.

The regional program of work is envisaged to be a donor-funded project that would operate for at least seven years, but will likely require a time horizon of 10 to 12 years. A Project Steering Committee (PSC) will be established to manage and set policy for the program. The PSC will consist of two members nominated by each country – one person from the Ministry of Fisheries and one person from the Ministry of Environment (or equivalent government agencies). These representatives will be expected to support national actions and promote linkages between marine-related government agencies and other stakeholders, aside from providing guidance to the regional program of work. A SAP Coordination Unit will provide project coordination and monitoring services, similar to the role played by the BOBLME Project Regional Coordination Unit. It will support both the PSC and the CCR-BOBLME.

Monitoring and Evaluation: Effective monitoring and evaluation (M&E) is recognized as an indispensable tool in project and program management, and M&E is one of the key functions of the SAP Coordination Unit. The SAP Implementation Project will also adopt the indicators framework proposed by the International Waters Task Force, which consists of three types of indicators: (i) process indicators; (ii) stress-reduction indicators; and (iii) environmental-status indicators. Most interventions or transboundary and national actions undertaken in the areas of institutional arrangements, legal and policy reforms, knowledge strengthening, awareness and communication, and human capacity development, will lead to results and contribute to objectives for which process indicators will be applied. The implementation of management measures, however, is expected to contribute directly to environmental stress reduction and status improvement, which will be measured through the application of ecosystem indicators.

Sustainability: The BOBLME countries are currently investing substantial financial resources on management and research in the marine environment and fisheries in the Bay of Bengal. It is recognized that these current, ongoing, and planned programs of BOBLME countries represent a significant contribution to the resources required for SAP implementation, while additional resourcing can be explored through multi-lateral and bilateral arrangements.

An increased level of sustainability in the implementation of SAP activities and a consequential reduction in donor dependence is expected to be achieved as countries and Consortium partners incorporate more SAP activities into their national and agency work plans over the next five to 10 years.

Some observations relevant for the CTI-CFF: the description of the BOBLME with its eight-member countries, indicates a relatively loose collaborating consortium mechanism, where multi-national collaboration is operationalized when projects are funded as well as on an annual basis through formal meetings to exchange information relevant to the goal of improving coastal population livelihoods. The members, to this project have some 24 participating consortium partners with more said to be joining. Some of the participating partners are multi-national collaboratives themselves. Such broad engagement of consortium partners may stimulate exchange of information relevant to the members. Capacity to develop projects for funding was mentioned as a need similar to the CTI-CFF.

2.3 BRUNEI DARUSSALAM-INDONESIA-MALAYSIA-PHILIPPINES EAST ASEAN GROWTH AREA

History and Purpose: The Brunei Darussalam-Indonesia-Malaysia-Philippines East ASEAN Growth Area (BIMP- EAGA) initiative was established in 1994 by the four-member countries as a shared strategy to accelerate socioeconomic development of less-developed and geographically-remote areas in the member countries. From its inception, the cooperation program adopted a public-private approach to development, with the private sector serving as the engine of growth and the public sector taking on an enabling role.

BIMP-EAGA cooperation aims to increase trade, tourism, and investments by: (i) facilitating the free movement of people, goods, and services; (ii) making the best use of common infrastructure and natural resources; and (iii) taking the fullest advantage of economic complementation.

To achieve its development goals, the BIMP-EAGA cooperation is anchored on six strategic pillars: (i) connectivity; (ii) food basket; (iii) tourism; (iv) environment; (v) trade and Investment facilitation; and (vi) socio-cultural and education.

The strong sense of ownership by the member countries and their commitment to this initiative enabled BIMP-EAGA to achieve noteworthy successes in the last 20 years. Despite many challenges, member countries engaged in significant efforts directed at sustaining BIMP-EAGA cooperation to address common development challenges and issues. BIMP-EAGA continues to be highly relevant as: (i) an established program for cooperation; (ii) a platform for synergies and complementarities in the development priorities of the focus areas; and (iii) an effective vehicle for contributing to the broader ASEAN's regional integration agenda.

Geography/Countries: BIMP-EAGA covers the entire sultanate of Brunei Darussalam; the provinces of Kalimantan, Sulawesi, Maluku and West Papua of Indonesia; the states of Sabah and Sarawak and the federal territory of Labuan in Malaysia; and Mindanao and the province of Palawan in the Philippines. The subregion covers a land area of 1.6 million square kilometers with an estimated population of 70 million.

Strategic Framework: The BIMP-EAGA Vision 2025 (BEV 2025) was formulated to ensure that member countries are attuned to regional and global development trends, opportunities, and challenges that would influence the future of economic cooperation. BEV 2025 builds on the successes and progress achieved by BIMP-EAGA thus far. It is grounded in the commitments made by member countries through their national and local development plans to promote sub-regional cooperation. National consultations and sector planning workshops were conducted to ensure the greatest possible participation by BIMP-EAGA stakeholders (national and local governments, sector cluster and working groups, and the private sector) in the formulation of BEV 2025. Because the BIMP-EAGA initiative is considered a building block of ASEAN economic integration, the BIMP-EAGA Senior Officials Meeting agreed to align the period of this strategic plan with that of ASEAN Vision 2025: Forging Ahead Together.

The BIMP-EAGA Vision for 2025 is "Resilient, Inclusive, Sustainable and Economically competitive BIMP-EAGA to narrow development gap." BIMP-EAGA aspires to achieve a level of resilience in its development that would cushion the subregion from the impact of external shocks and hasten recovery. It intends to foster inclusivity by narrowing development gaps within each country, and between the subregion and ASEAN. All BIMP-EAGA initiatives will consider environmental impacts

and seek the sustainable management of natural resources. Lastly, BIMP-EAGA development efforts will be directed at growing industries where BIMP-EAGA already has, or could easily develop, a competitive advantage.

BEV 2025 focuses on delivering three main outcomes: (i) a competitive and green manufacturing sector aiming to transition from resource extraction into higher levels of processing and value-added production; (ii) sustainable, competitive, and climate-resilient agro-industry and fisheries to ensure food security, export development, and livelihoods; and (iii) BIMP-EAGA as a sustainable, well-developed and connected multi-country tourism destination, to benefit less-developed areas.

Given that connectivity is vital for the seamless movement of goods and people across BIMP-EAGA, and for its integration in ASEAN and the rest of the world, the West Borneo Economic Corridor, Greater Sulu-Sulawesi Economic Corridor, and other economic corridors provide a spatial focus to the physical, institutional, and people-to-people connectivity being pursued. The BIMP-EAGA development approach is to mobilize the private sector as an engine of growth, with governments (particularly at subnational levels) providing a facilitative and conducive environment that promotes and supports private sector investment.

The BEV 2025 key enablers are active and supportive local governments, and an engaged and empowered private sector. The BIMP-EAGA development path to 2025 is guided by the long-term strategic thrusts of enhancing connectivity within and outside BIMP-EAGA, establishing the subregion as a food basket in ASEAN and the rest of Asia, promoting BIMP-EAGA as a premier tourism destination, ensuring the sustainable management of natural resources, and promoting people-to-people connectivity through socio-cultural understanding and increasing mobility.

Governance: The BIMP-EAGA institutional structure is modelled after the ASEAN institutional framework, sharing a multi-tiered and hierarchical structure. The BIMP-EAGA structure illustrated in Figure 2 delineates the roles and responsibilities of the institutional mechanisms. Changes from the BIMP-EAGA Implementation Blueprint 2012–2016 structure are as follows: (i) a new Statistics Working Group as part of the Trade and Investment Facilitation Cluster, to support and sustain the sub-regional database; (ii) the Infrastructure and Connectivity Monitoring Unit will be dissolved and its function of monitoring progress of implementation of the PIPs transferred to the clusters and working groups (CWGs) and the National Secretariats (NSs); and (iii) addition of the Socio-cultural and Education Pillar with the corresponding SCE cluster and working groups for human resources development and socio-cultural development.

The implementation arrangement of the BIMP-EAGA is the following.

(a) High-Level Policy and Strategic Guidance. The Summit, Ministerial Meeting (MM), and the Senior Officials Meeting (SOM) provide overall policies and strategic directions supported by the NSs and the BIMP-Facilitation Center (FC), which serves as the sub-regional secretariat. Coordination at the strategic level with the participating states, provinces, and local governments is done by the MM through the Local Government Forum (LGF) participated in by the heads of the provincial governments and states involved in BIMP-EAGA; while coordination with the private sector is done by SOM, through the BIMP-EAGA Business Council (BEBC). Select sectors, such as transport, agriculture, and information and communication technology (ICT) have ministerial level meetings, as with the heads of customs meeting, that provide sector-specific guidance aligned with the broad directions of

the BIMP-EAGA Leaders. These meetings involving line ministries/agencies are organized as required. The annual strategic planning meeting provides opportunities for the alignment of sector strategies with the overall BIMP-EAGA goals and brings together all stakeholders. The SOM provides strategic guidance to the CWGs at the annual strategic planning meeting and also reviews the progress and accomplishments of sector strategies and projects.

Leaders Summit Line Ministries/Agencies Transport, Agriculture, and ICT Meetings Ministerial Meeting Heads of Customs Meeting REBO BIMP. Socio-Food Environment Cultural and Tourism Basket Connectivity Pillar Education Pillar Pillar Pillar Pillar Trade and Power and Socio-Cultural Energy Facilitation Cluster Cluster Cluster Cluster Cluster WG WG WG SMED WG Statistics 200

Figure 2 BIMP-EAGA Organizational Structure.

Source: BIMP-EAGA Vision 2025. https://www.adb.org/sites/default/files/related/72256/bimp-eaga-vision-2025.pdf.

- (b) <u>Sub-regional Coordination</u>. The BIMP-FC, established in 2003, is tasked to coordinate the BIMP-EAGA bodies, including the NSs and the CWGs, through regular meetings and dissemination of reports. The BIMP-FC facilitates implementation of projects by following up on actions required to resolve issues and by organizing critical follow-up meetings. As Secretariat for the SOM and MM, it provides technical and administrative support in preparation for high-level meetings. The BIMP-FC provides regular reports to the SOM on the progress of project implementation. It also serves as the focal point for various development partners such as the governments of the People's Republic of China (PRC), Japan, and the Northern Territory of Australia, as well as for the ASEAN Secretariat, and Asian Development Bank (ADB), among others.
- (c) <u>National (In-Country) Coordination</u>. The in-country structure mirrors the sub-regional institutional structure. The role of the NS is to coordinate activities of their respective line ministries participating in BIMP-EAGA and of the private sector through the BEBC country

focal organizations and other related organizations. The NS serves as the main focal and contact points with the provincial, state, and local governments as well as with the BEBC focal organizations. In-country consultation, dialogue, and feedback mechanisms are at the core of the NS activities. The agencies presently designated as NSs in the BIMP-EAGA are the: (i) Ministry of Foreign Affairs and Trade for Brunei Darussalam; (ii) Coordinating Ministry for Economic Affairs for Indonesia; (iii) Federal Economic Planning Unit under the Office of the Prime Minister supported by the state economic planning units of Sabah and Sarawak and the Labuan Corporation for Malaysia; and (iv) Mindanao Development Authority under the Office of the President for the Philippines.

(d) Operational Level. The CWGs, organized under each strategic pillar, are the operating units responsible for translating the sector strategic thrusts into projects that clearly impact the goals of BIMP-EAGA cooperation. The CWGs formulate sector strategies, identify and implement projects, and develop results monitoring systems for projects. An important function of the cluster is to serve as a mechanism for vetting and prioritizing projects to ensure that the highest consideration is given to projects contributing directly to the realization of the subregion's goals.

The CWGs also play a critical role in consolidating and elevating BIMP-EAGA interests and agenda from the provincial, state, and local governments, as well as from the private sector, to higher decision-making bodies. In addition, the CWGs work closely with the cluster representatives of the BEBC and other private sector groups in facilitating active private sector participation in cluster activities and projects. The CWGs are chaired by the four countries on a rotating basis, based on the principle of shared responsibilities especially at the operational level. The roles, responsibilities, and accountabilities of the CWGs chairs are well defined. The Cluster chairs report to the SOM on behalf of all the working groups under the cluster. The Working Group Chairs ensure the effective and timely delivery of the collective outputs of the national project implementers to achieve intended objectives and results. They are responsible for overall coordination of project implementation and delivering project results at the sub-regional level. Specific responsibilities include: (i) monitoring project progress and reporting these to the SOM; (ii) requesting guidance from SOM on issues and problems related to project implementation which require solutions at the sub-regional level; (iii) convening meetings which include substantive preparations in collaboration with BIMP-FC and the NS; and (iv) providing and facilitating means for national project implementers (project teams) to coordinate in between regular meetings.

- (e) <u>Local Government Participation</u>. The LGF serves as the main platform for BIMP-EAGA's local government leaders (i.e. chief ministers of Sabah and Sarawak and the chairman of the Labuan Corporation in Malaysia, and governors of the provinces of Indonesia and the Philippines; Brunei Darussalam is represented by its Ministry of Home Affairs) to engage in dialogue and share experiences and lessons learned on development initiatives. The LGF also promotes cooperative activities and opportunities for cross-border trade and investment on a bilateral or multilateral basis. The LGF participates at the MM level.
- (f) Private Sector Engagement. The BEBC is the umbrella organization representing BIMP-EAGA's private sector. It has been granted fifth country status and its Chairman enjoys the same rank as senior officials, with appropriate representation at the SOM. As a private sector organization, it has an independent structure at both country and sub-regional levels. The

BEBC adopts its own rules and mechanisms regarding representation and participation in sub-regional meetings, consistent with but independent of the public sector institutional structure. Chairmanship of the BEBC is rotated among the four-member countries and comes from one of the country focal organizations. The main task of the BEBC is to consult and dialogue with the private sector regarding issues and challenges related to the sectors of cooperation.

A consolidated list of issues and challenges together with recommendations on how to improve the business environment is presented by the BEBC Chair to the SOM for appropriate action. An important task of the BEBC is to identify private-sector led projects that support the BIMP-EAGA development agenda. The BEBC also plays a key role in the promotion of trade, tourism, and investment both within and outside BIMP-EAGA, by organizing and participating in select trade, tourism, and investment fairs and conferences and business matching activities. The CWGs also engage industry players within their sectors. An example of this is the ICT CEO Forum under the ICT Cluster, one of the most active private sector groups.

(g) Cooperation with Partners In 2002, ADB agreed to take on the role of BIMP-EAGA Regional Development Advisor. Since then ADB has provided a wide range of technical assistance and advisory services, including the redefining of strategic direction and priorities, strengthening of institutions and cooperation mechanisms, sector development, and mobilizing technical and financial resources in support of project implementation and facilitation. In addition, ADB provides loan facilities to member countries in the development of critical infrastructure that enhances connectivity within the subregion. As the Regional Development Advisor, ADB participates in the Summit, MM, SOM, and select cluster meetings.

Since 2004, BIMP-EAGA has attracted the interest of development partners that at present include the governments of PRC, Japan, and the Northern Territory of Australia. The main objective of these partnerships is to strengthen mutually beneficial dialogues, cooperation, and engagements such as in the development of trade and investment in various sectors including agriculture and fisheries, tourism, transport, and ICT. Other areas of partnerships are in the development of SMEs, knowledge-sharing and capacity-building, including technical assistance in the conduct of seminal studies, sector assessments, and technical exchanges. Separate SOMs with China, Japan, and the Northern Territory of Australia are held annually, in conjunction with the BIMP-EAGA SOM.

As a subset of ASEAN, BIMP-EAGA initiatives are intended to deepen sub-regional economic cooperation within the broader ASEAN integration efforts that require closer cooperation between BIMP-EAGA and ASEAN. The ASEAN Secretariat continues to assist BIMP-EAGA in clearly defining coordination relationships between BIMP-EAGA institutions and the ASEAN Secretariat and various ASEAN bodies. ASEAN also helps BIMP-EAGA build partnerships with its strategic partners, as well as aiding in sourcing and mobilizing resources for the implementation of some measures.

Review and Improvements in Institutional Mechanisms and Operating Processes: The BIMP-EAGA institutional structure has been adequate in facilitating consultations and dialogue between and among the member countries at national and sub-regional levels. In-country institutional structures are also in place and equally adequate for consultations and coordination among the

different ministries and agencies, for engaging local governments and private sector, and for establishing convergent country positions on various agenda items at the BIMP-EAGA level.

The present institutional structure is simple, sufficiently flexible, and generally effective in supporting the project-based and activity-driven approach of the BIMP-EAGA cooperation program. Capacity of the NSs and BIMP-FC is being improved and the CWGs are sharpening the effectiveness and focus of their sector work. BIMP-EAGA will continue to regularly review its institutional mechanisms and cooperation processes, led by BIMP-FC at the sub-regional level and the NS at the in-country level, to ensure they remain responsive to the requirements of the subregion. Under BEV 2025, some areas for improvement have been identified and could be pursued:

- (a) Private sector. Private sector involvement in cooperation activities will be strengthened through the engagement at the level of CWGs of industry players and stakeholders within their respective sectors. The ICT CEO Forum is a good model for engaging the private sector which can be replicated in other sectors. Under this approach, the BEBC can help broaden its consultative platform and feedback mechanisms on the issues and challenges faced by the BIMP-EAGA private sector, especially the SMEs.
- (b) Local Government Forum. Engagement by local governments will be enhanced with the formal structuring of the LGF, which currently meets under ad hoc arrangements. A convener will be identified to lead the new LGF structure. Direct participation of local governments in cooperation development and project prioritization and implementation will be strengthened through a dynamic and flexible process. This can include project-specific arrangements such as the Green Cities Initiative, twinning, adopting the sister-city concept, and other mechanisms where state, provincial and local governments can actively participate.
- (c) <u>Project Appraisal Committee.</u> Strengthening of the project prioritization process with the activation of the Project Appraisal Committee (PAC). The PAC is tasked with assessing project concepts prior to their inclusion in the list of priority BIMP-EAGA projects. The terms of reference of the PAC will be reviewed to ensure effectiveness in evaluating projects, based on the projects' contribution to BEV 2025 outcomes.
- (d) Project Implementation Team. Reinforcing the project implementation process through the creation of a Project Implementation Team (PIT) for each designated priority project. The PIT will be tasked with preparing the detailed implementation and action plans for each priority project that will include, among others, a pragmatic monitoring and evaluation system with project level targets and indicators to measure project performance.
- (e) <u>BIMP-EAGA Facilitation Center</u>. Finalization of the institutional arrangements of the establishment of the BIMP-FC and strengthening of the BIMP-EAGA sub-regional secretariat, to enable the organization to more effectively and sustainably address the growing coordination needs of BIMP-EAGA.
- (f) <u>Development Partners</u>. BIMP-EAGA's absorptive capacity for technical assistance and grants flowing from development partners will be strengthened, particularly among the CWGs. Measures to improve project identification and improve capacity to prepare project concepts and proposals will be put in place. A strategy will be developed to encourage partners to fund and/or invest in sub-regional projects.

Improving Project Management: One of the major improvements under BEV 2025 is the strengthening of project management mechanisms and processes. The CWGs have been an effective mechanism for consultation, dialogue, and feedback among the member countries, but its structure and once-a-year meetings do not fully allow for efficient and effective project preparation, implementation, and coordination.

Under BEV 2025, a more disciplined process of project planning, implementation, monitoring, and evaluation will be adopted to ensure quality delivery and greater accountability. The PAC will be activated to periodically assess if projects prioritized by the CWGs comply with the requirements of a sub-regional project as defined in the BIMP-EAGA Project Manual. Projects with well-defined concepts, implementation plans, and those using results-based approaches will be considered under BEV 2025. Other considerations include contribution to sector outcomes and outputs and to the overall BIMP-EAGA goals. Approved projects (with timelines, budget, implementation plans, and project owners/implementers) in the local and national pipelines as well as approved public private partnership (PPP) projects covering the BEV 2025 period 2017–2025 will be included. Funding for projects will be from national, state, provincial and local governments, private sector, and development partners. In addition, PPP projects will be promoted under BEV 2025.

Each proposed project under BEV 2025 will have project proponents tasked to prepare the project concept, identify potential funding and develop the full proposal. Each approved project will have a project implementation team (PIT) with country leads for accountability in delivering results. The PIT will have primary responsibility for overseeing on-the-ground project implementation, reporting periodically on progress, and monitoring and tracking of project level targets and indicators. The PIT can include as members public or private-sector project proponents, line ministries and agencies responsible for actual implementation or for overseeing project implementation, as well as other organizations and institutions directly involved or crucial in project delivery. The PIT will have the flexibility to decide on working arrangements appropriate to their project/s. The PIT terms of reference will include identification of project level indicators that measure not only project performance but also contribute to realizing sector and overall BIMP-EAGA goals and objectives.

Monitoring and Evaluation: Under BEV 2025, the results-based monitoring and evaluation system is designed to assess the overall development effectiveness of BIMP-EAGA at macro, sector, and project levels. Broad development results towards achieving the overall BIMP-EAGA outcomes of competitive and green manufacturing; sustainable, competitive, and climate-resilient agro-industry and fisheries; and the establishment of the subregion as a sustainable tourism destination will be measured based on macro-economic data. At the sector level, the achievement of sector outcomes and outputs based on defined targets and indicators will be measured. These will be aggregated to assess sector contributions to the overall BIMP-EAGA outcomes. Project level indicators will be monitored and aggregated to assess contributions to sector strategies, as part of the shift to a more results-focused program. BEV 2025 is seen as a living document, and as such will periodically be revisited and enhanced in the course of its implementation from 2017 to 2025.

<u>Some observations relevant for the CTI-CFF:</u> the structure and collaboration of the BIMP-EAGA is similar as that for CTI-CFF, but its focus is on stimulating collaboration for resilient, sustainable, inclusive and prosperous economic growth to address development challenges in the member countries. The M&E system is described as having macro, sector and project indicators, and it could be useful for CTI to consider those as well. The ADB is a regional development partner and there are current 3 more development partners: People Republic of China, Japan and the Northern Territory of

Australia. A recent review suggested some learnings similar to the CTI, including the need to engage business sector more in the collaboration and the need to improve effectiveness of the sub-regional secretariat in order to facilitate more progress.

2.4 CARIBBEAN CHALLENGE INITIATIVE

History and Purpose: The Caribbean Challenge Initiative (CCI) is an innovative platform uniting government, the private sector, and partners (e.g. funding agencies, non-government organizations [NGOs]) to take collaborative action to conserve and sustainably manage the Caribbean's marine and coastal environment. It is a historic conservation initiative that brings together for the first-time governments, companies, and partners to accelerate action on conservation in the Caribbean. Launched in 2008, the CCI aims to support/incentivize Caribbean governments to: (i) meet their sustainable development commitments, (ii) catalyze new funding and accelerated action, and (iii) help ensure more prosperous and sustainable economies across the Caribbean in the future. Participating members, including governments, companies, and partners, formally declared their commitment to marine and coastal conservation and agreed to take on the initiative's two major goals:

- (a) <u>'20-BY-20' Goal</u>. To effectively conserve and manage at least 20 percent of the marine and coastal environment by 2020, and
- (b) <u>Sustainable Finance Goal</u>. To achieve the '20 by 20' Goal, to have in place fully functioning sustainable finance mechanisms that will provide long-term and reliable funding to conserve and sustainably manage the marine and coastal resources and the environment in each participating country and territory.

Achieving these goals, through public-private partnerships and other means, can help to ensure a prosperous economy and a sustainable future for the Caribbean region, benefiting this and future generations.

Geography/Countries: On 17 May 2013, nine Caribbean Governments and territories (Bahamas, British Virgin Islands, Dominican Republic, Grenada, Jamaica, Puerto Rico, St. Lucia, St. Kitts and Nevis, St. Vincent, and the Grenadines) signed the CCI Leaders Declaration committing them to accelerate and expand efforts to safeguard the Caribbean region's marine and coastal environment, further promote the sustainable use of natural resources through new commitments to conservation and/ or scaling up of existing actions, engage the private sector and partners of the CCI, and expand the CCI to include additional governments.

Governance: The organizational structure of the CCI is composed of the following.

a) <u>CCI Council</u>. The CCI Council provides high-level support and overall strategic direction to CCI, in order to stimulate greater collaboration, including public-private partnerships, among the three major CCI "constituency groups" (governments, companies, partners). The Council was co-chaired initially by The Government of the Bahamas, the Virgin Group, and the Government of Germany, with periodic rotation of Co-Chairs. Composed initially of 27 total members (with designated alternates), including nine members from each constituency group, the CCI council aims to: (i) convene informal "Solution Dialogues" designed to stimulate and accelerate innovative, solution-oriented action to achieve CCI goals; (ii) serve as CCI champions, with members taking a leadership role to mobilize the political will, private sector

- support, and financial resources needed to achieve CCI goals; and (iii) periodically review progress toward achieving CCI goals, and agree on steps to accelerate progress as needed.
- b) <u>CCI Secretariat</u>. The Secretariat manages CCI operations with the help of an extended team of partners and a CCI Council comprised of representatives from CCI governments, companies, and partners. Grenada is host to the first permanent CCI Secretariat.

Sustainable Financing: A new sustainable finance architecture is being established to support CCI composed of a set of trust funds, including the following.

- a) <u>Caribbean Biodiversity Fund (CBF)</u>. To provide CCI governments with the reliable, long-term support needed to achieve their CCI commitments, the CBF was legally established as a United Kingdom-based charity in 2012. It promotes for the benefit of the public, the conservation, protection, management, and expansion of national protected area systems and other areas of environmental significance of participating geographies. It was established to support achievement of the CCI commitments by 2020.
 - CBF funding through an initial financial commitment of USD 42 million has been made to capitalize the CBF endowment. Donors to date include the Government of Germany (BMZ/KfW, USD 26 million), the Global Environment Facility through the World Bank and the United Nations Development Program (USD 7.95 million), and The Nature Conservancy through generous private philanthropy funds (USD 8 million). Together, the CCI and CBF will help increase natural and socioeconomic resilience in the Caribbean at a scale that has never been seen in the region. The Initiative will result in 8.5 million Ha of new protected areas—approximately the size of South Carolina—and will promote a nature-based approach to building climate resilience that can serve as a model in a world gravely threatened by climate change. It will also support the tourism industry, on which so many Caribbean livelihoods rely, and foster sustainable management of fisheries and other marine resources.
- b) National Conservation Trust Funds (NCTFs). The CBF regional endowment channels funds into NCTFs set up in each CCI country. These funds are matched by revenue raised by CCI governments via sustainable finance mechanisms, such as tourism fees. The amount of annual CBF funding available for disbursement to the participating NCTFs will be approximately 4.5% of the monthly value of the portion of the CBF endowment earmarked for each trust fund (averaged over the previous three years). This formula is designed to help smooth out the fluctuation of investment returns. The transfer of funds will be governed by the terms and conditions set out in Vertical Agreements between the CBF and individual NCTFs.
 - Antigua and Barbuda: The Marine Ecosystem Protected Area Trust (MEPA Trust), Inc. Established on May 22, 2015, the MEPA Trust is envisioned to be a core national mechanism for sustained financing to support local community environmental initiatives. It is dedicated to the protection, recovery, and effective management of Antigua and Barbuda's protected areas to build resilience to the impacts of climate change. The Trust has an appreciation for the natural environment, not only for tourism purposes but as our way of life.

The Trust has embarked on various initiatives to support NGOs and local community groups in capacity building by conducting training workshops, empowerment support to

assist the groups to be legally registered, continuous networking with the groups to build strong partnerships and engagement in joint sustainable activities.

The MEPA Trust has formed strong partnerships with various supportive entities to include the Department of Environment and CBF. With the signing of the CBF Partnership Agreement, the Trust will have additional funding available to support conservation activities and work towards achieving the CCI goal of effectively conserving and managing at least 20% of Antigua and Barbuda's marine and coastal environment by 2020.

As their tag line states "Biodiversity is our Business" and thus the MEPA Trust is committed to collaborating with all stakeholders (government, NGOs, civil society, private sector) to determine grant-making activities that will further enhance the protection and conservation of biological diversity within the marine and terrestrial ecosystems. While continuing to engage communities in all projects funded by the Trust as a means of promoting environmentally sustainable development activities in Antigua and Barbuda.

<u>The Bahamas: The Bahamas Protected Area Fund (BPAF)</u>. In order to address the issue of financial sustainability for the protected areas in the Bahamas, the BPAF Act was drafted and includes efforts towards the partnership agreement to accommodate the CBF and other donors both local and international from whom donations might be received.

The BPAF Act was passed in 2014 and BPAF launched on 9 July 2014. BPAF is a national conservation trust fund devoted to helping ensure that Bahamian marine parks will have a dedicated, sustainable source of revenue to employ staff, galvanize local community support, purchase equipment, build visitor facilities, and monitor ecosystem health.

It seeks to fund an effectively managed national protected area system via grants to local protected area managers. Its mission is to ensure the sustainable financing for the management of protected areas in the Bahamas, including activities under the CCI and secure the objectives of the CBF. The BPAF's Act allows for a broad range of revenue sources including public and private donations, gifts and bequests, fees, investments, and proceeds from the sale of tangible and intangible property.

Current funding sources for the BPAF include subventions from the Government of The Bahamas, a one-time allocation from the Global Environment Facility, conditional disbursements from the CBF, and any interest that the Fund accrues.

The BPAF functions under the core principles of:

- a) <u>Transparency</u>. This principle is embodied in the BPAF Act's provisions on conflict of interests and audits.
- b) Accountability. This principle is embodied in the BPAF Act's provision for the Board to issue an annual report to the Minister who shall share a copy with the House of Assembly and the Senate and to make the auditor's annual report publicly available.

- c) <u>Independence/Non-Political</u>. This principle is embodied to the BPAF Act's provision that the Fund not publish propaganda, attempt to influence legislation or participate in any political campaign or on behalf of any political candidate or party.
- Dominican Republic: The National Fund for the Environment and Natural Resources (Fondo MARENA). Fondo MARENA is an organization created to develop and finance projects related to the environment and natural resources for the benefit of natural communities and people. It has legal personality, independent patrimony, its own administration and jurisdiction throughout the national territory, was created by Law 64-00 with the purpose of developing and financing programs and projects of protection, conservation, research, education, restoration and use, sustainable environment and natural resources, and is regulated by Executive Decree 783-09 of October 21, 2009.

Its vision is to be an effective and efficient catalyst to channel national and international public and private investment to support a strategic environmental management that contributes to the sustainable development of the country and to the improvement in the quality of life of the population.

Its mission is to promote public and private investment, through different financial mechanisms, to support strategic environmental management that contributes to the country's sustainable development.

Fondo MARENA is an institution created to: (i) contribute to the environmental management and conservation of biodiversity in the Dominican Republic; (ii) provide support for the strengthening of environmental policy; (iii) encourage the construction of systems and institutional capacities for the capture of financial resources; the administration, monitoring, and evaluation of programs and projects, and the creation of public-private strategic alliances with national, international, and local organizations.

- Grenada: Grenada Sustainable Development Trust Fund (GSDTF). The CBF has been working with The Nature Conservancy, the Government of Grenada, and the Board of the GSDTF to ensure that the Fund meets the criteria of the CBF as a Partner Fund in 2018.
 - The Fund's Purpose is to provide a sustainable source of financing into perpetuity through the development and management of endowments and other funds for supporting sustainable development initiatives and activities, including but not limited to: (1) activities conserving the biodiversity and natural ecosystems of the coastal and marine environment of Grenada, such as those meeting the objectives of the Caribbean Challenge Initiative, and terrestrial environment of Grenada; (2) climate change mitigation and adaptation activities; and (3) environmental conservation activities associated with human development and pollution.
- Jamaica: National Conservation Trust Fund of Jamaica (NCTFJ). The NCTFJ Ltd. was established in December 2014 under the Companies Act of Jamaica with the objective of promoting, for the benefit of the public, the conservation, protection, management, and expansion of Jamaica's national Protected Areas System by providing a sustainable flow of funds to support, without limitation, enforcement, infrastructure, monitoring needs, and other activities that contribute substantially to the conservation, protection, and maintenance of biodiversity within the National Protected Areas System or any other area

of environmental significance of Jamaica. Complementing the Government of Jamaica and other international funding sources, the Fund will provide a dependable and additional source of financing leading towards more effective protected area management.

Saint Kitts and Nevis: St. Christopher and Nevis Conservation Foundation (SCNCF). The SCNCF is a non-profit public-interest operating and funding foundation (hereinafter, the "Foundation") established pursuant to the Foundations Act, Cap. 21.19 of the 2009 Revised Laws of the Federation of St. Christopher and Nevis.

The Foundation is intended to provide long term and reliable funding to support the management of the country's marine and terrestrial resources, with special emphasis on marine ecosystems. The Foundation will be supported in part by the CBF, which will provide annual funding to the Foundation from investment returns. Ultimately, it is intended that the Foundation will receive funding from additional funding sources.

The Foundation will operate as a financing institution and award grants to government agencies, NGOs, and other qualifying entities for priority marine resource management projects in St. Kitts and Nevis, including projects to support sustainable fisheries, sustainable tourism, livelihoods, and various other sustainable initiatives.

Saint Lucia: Saint Lucia National Conservation Trust Fund (SLUNCF). Incorporated in 2016, the SLUNCF is dedicated to the conservation, restoration, and effective management of Saint Lucia's biodiversity and natural resources. Although developed primarily to manage funding flows that will be generated by the CBF, the SLUNCF is designed to accommodate a diverse range of funding flows that will catalyze and support the conservation, restoration, and effective management of Saint Lucia's biodiversity and natural resources, and the sustainable livelihoods that can be generated from them.

The SLUNCF's mandate extends beyond the management of CBF funds, and the SLUNCF will seek to generate additional sustainable funding to support other focal areas including sustainable livelihoods.

Grants from the SLUNCF can be used to support a wide range of both marine and terrestrial conservation-related activities including protected area management and strengthening, habitat and species management, environmental education and awareness linked to biodiversity and conservation management, local community engagement directly linked to marine or terrestrial protection, alternative sustainable livelihoods, environmental education and awareness, habitat and species management, implementation of laws and regulations for ecosystem and biodiversity conservation, and capacity building and management planning linked to conservation of the marine and terrestrial environment.

Saint Vincent and The Grenadines: The Saint Vincent and the Grenadines Conservation Fund (SVGCF). The SVGCF is intended to provide a sustainable flow of funds to support the long-term management and expansion of Saint Vincent and the Grenadines National System of Protected Areas and other activities that contribute substantially to the conservation, protection, and maintenance of biodiversity in Saint Vincent and the Grenadines. The Fund will be supported in part by annual payments from the CBF which will generate annual funding from investment returns that will be channeled through the Fund. These payments, as of Year 3 of the Fund, are contingent on the matching funds from the SVGCF. The design of the Fund is sufficiently flexible to permit windows for future funding streams.

The Fund will administer a grant-making program with the funds available to it from various sources to support priority conservation in Saint Vincent and the Grenadines, specifically those projects that support the long-term management and expansion of Saint Vincent and the Grenadines areas of land and/or sea, which are specifically dedicated to the sustainable use of resources, protection and maintenance of biological diversity and natural resources and other activities that contribute substantially to the conservation, protection and maintenance of biodiversity as identified after consultations with stakeholders

Monitoring and Evaluation: Meaningful and lasting progress has been made through the Initiative. Five of the 11 CCI countries and territories have already met or exceeded their 20-by-20 goal: the Dominican Republic, Haiti, Puerto Rico, St. Kitts and Nevis, and the U.S. Virgin Islands.

The Dominican Republic, through an unprecedented Presidential Decree, declared 31 new protected areas totaling over 1.3 million Ha, which will protect coral reefs, sharks, and sea turtles. The Bahamas expanded Andros West Side National Park from 357,000 Ha to nearly 530,000 Ha, which includes important fish habitat and mangrove forests. St. Kitts and Nevis declared a new protected area that encompasses a 3.2 km (2-mile) radius around the entire island nation and includes 60% of its nearshore marine shelf. Haiti declared nearly 105,000 Ha in new protected areas, bringing the country just over its 20% goal.

<u>Some observations relevant for the CTI-CFF:</u> the CCI has only two specific goals, one supportive of the other. The 11 countries make rapid progress on their goals, and the sustainable finance mechanism that has been designed and established is already resourced. This rapid and focused and seemingly successful resource mobilization and sustainable finance mechanism should be an important example for the CTI.

2.5 CONGO BASIN FOREST PARTNERSHIP

History and Purpose: The Congo Basin Forest Partnership (CBFP) is a non-binding multistakeholder partnership enabling member organizations to cooperate on a voluntary basis. The Partnership is open to all states, international institutions and organizations, NGOs, research and academic institutions, and private sector entities, which adhere to this Cooperation Framework. Endorsement of this Cooperation Framework, including the CBFP Cooperation objectives, principles and structures, is a prerequisite for CBFP membership. Membership within CBFP does not imply any direct financial commitment.

CBFP works in close relationship with the Central African Forests Commission (COMIFAC), the regional body in charge of forest and environmental policy, coordination and harmonization, with the objective to promote the conservation and sustainable management of the Congo basin's forest ecosystems. CBFP members support the implementation of COMIFAC's regional Convergence Plan and the 1999 Yaoundé Declaration: (a) harmonizing forest policy and taxation, (b) resource knowledge and inventory, (c) ecosystem management, (d) biodiversity conservation, (e) sustainable

use of forest resources, (f) alternative income generation, (g) capacity development and training, (h) research, (i) innovative financing mechanisms, and (j) regional cooperation and partnerships.

In the spirit of the Paris Declaration on Aid Effectiveness, which is mirrored in CBFP's cooperation framework, the objective of the partnership is to raise effectiveness of the partners' programs and initiatives, through improved communication and collaboration.

Geography/Countries: Member countries induce: Burundi, Cameroon, Central African Republic, Chad, Democratic Republic of the Congo, Equatorial Guinea, Gabon, Republic of the Congo, Rwanda, and Sao Tome and Principe.

Governance: Consistent with its non-binding and voluntary character, CBFP does not have a formalized institutional structure. Rather, it has a set of informal structures, which serves to enable effective dialogue, exchanges and collaboration, and to promote the convergence of collectively held views on issues of major importance to the protection and sustainable management of the Congo Basin forests among the large number of CBFP members.

The CBFP does not play a direct part in program implementation or financing. It does not have a secretariat or permanent staff. It works as a bridge between donors and implementing agencies and provides a forum for dialogue between its partners. The form of governance chosen by the CBFP is steering through "facilitation", provided by one of its members for a set period of time. The role of the facilitation is to organize dialogue and promote cooperation between the partners, to set up a work program based on the guidelines established in the COMIFAC Convergence Plan, and to represent the partnership externally.

Cooperation structures, the CBFP colleges, and the CBFP Council, have been established and started to function. These structures are intended to reinforce possibilities for dialogue and exchanges within a partnership, whose membership has grown substantially since its inception.

a) The CBFP Members/Colleges. The partnership brings together the 10-member states of the COMIFAC, donor agencies, international organisations, NGOs, scientific institutions and private sector representatives. It counts over 104 members who share the commitment to enhance communication and coordination among them and to create synergies between their respective projects, programs, and policies, in support of the COMIFAC convergence Plan.

The colleges are introduced in order to allow each partner to express their views more easily than is possible at the annual Meetings of Parties and to ensure that channels for information-sharing are established and function as efficiently as possible. The colleges assemble CBFP partners of the same category and, as such, provide a forum where issues and concerns of common interest can be expressed and discussed.

Consideration inside the colleges constitutes the way through which individual CBFP partners can propose issues which they think should be discussed in the CBFP Council. Similarly, the colleges provide a mechanism for groups of partners to exchange views on the outcome of meetings of the CBFP Council and of the annual Meetings of CBFP Parties.

The colleges are designated on the basis of their composition as follows: (i) The CBFP Regional College, (ii) The CBFP Civil Society College, (iii) The CBFP International NGO College, (iv) The CBFP Private Sector College, (v) The CBFP Donor College, (vi) The CBFP Scientific and Academic College, and (vii) The CBFP Multilaterals College.

Only CBFP members can belong to a CBFP college. A CBFP member can only belong to one CBFP college. Each college establishes its own working methods and modalities for sharing information and forming collective opinions, including for designating two college members to represent the college in the work of the CBFP Council.

In order to ensure a fair and balanced representation of all CBFP members, while safeguarding sufficient continuity in the work of the CBFP Council, the mandate of college representatives should enable them to represent their college at no fewer than two, but not more than five meetings of the CBFP Council. When representing their college in the CBFP Council, college representatives should act consistent with the orientations that have been agreed beforehand by the college they represent. They should also report on all Council meetings to all members of their college. Throughout their mandate, college representatives must be able to animate an ongoing dialogue and exchange within their college as well as represent their college in two meetings of the CBFP Council annually. Consideration inside the colleges constitutes the way through which individual CBFP members can propose issues which they think should be discussed in the CBFP Council.

Colleges meet at least once a year, during the annual Meeting of Parties. Colleges should be able to prepare their views on items on the agenda of the CBFP Council without holding a physical meeting.

b) The CBFP Council. The CBFP Council is a platform for promoting effective inter-partner discussion. With its college-based composition, the Council will allow the viewpoints of different groups of partners to be brought together and considered more effectively. This should help to promote the convergence of collectively held views on issues of importance to the protection and sustainable management of the forests, including key problems, priorities and efforts to foster concerted action. It should also allow for more regular follow-up on key issues and discussions.

The CBFP Council is composed of two representatives of each CBFP college and chaired by the CBFP Facilitation. It meets twice a year, once during the annual Meeting of Parties and once between such meetings. Council meetings may be held in Central Africa or in Europe.

With its college-based composition, the Council is a platform for effective inter-partner discussion. It allows the viewpoints of different groups of CBFP partners to be brought together and considered. This helps to promote the convergence of collectively held view on issues of major importance to the protection and sustainable management of the Congo Basin forests, including key problems, priorities and efforts to foster concerted action.

The Council regularly follows up on the outcome of the annual Meetings of Parties, including minutes, conclusions and recommendations, and assists the Facilitation in preparing such meetings. The Council supports the Facilitation in steering the Partnership, including through discussions of strategic issues regarding the key challenges facing the Congo Basin forests and the orientation and priorities of CBFP cooperation.

The CBFP colleges may propose items to be considered by the Council. Such items should reflect a significant level of shared interest in the respective college. The Facilitation may also propose agenda items and request feedback from the colleges. The Council operates with a

high degree of transparency. All CBFP members are informed of the outcome of all Council meetings.

c) <u>CBFP Facilitation</u>. CBFP is led on a voluntary basis by one of its members, which serves as Facilitator. The Facilitation, which plays a key role in fostering effective dialogue and cooperation within the Partnership, chairs the CBFP Council, represents the Partnership externally, leads the organization of the annual Meetings of Parties and manages the CBFP communication and information sharing tools. Any CBFP member may provide financial and/or technical support to support the work of the CBFP Facilitation.

<u>Some observations relevant for the CTI-CFF:</u> the CBFP is voluntary, aimed at stimulating strategic discussion around forestry conservation and stewardship and is open to all who endorse its Cooperation Framework, including the CBFP Cooperation objectives, principles and structures. Membership within CBFP does not imply any direct financial commitment. There is no secretariat but one of the members leads coordination for external representation and communications as well as organizes annual meetings of parties. Collaboration occurs around facilitation of strategic discussions on issues of relevance to the parties. The preparation and facilitation of strategic discussions by CBFP is something to consider by the CTI-CFF.

2.6 GREATER MEKONG SUBREGION CORE ENVIRONMENT PROGRAM

History and Purpose: In recognition of emerging environmental challenges and opportunities, the Greater Mekong Subregion (GMS) Core Environment Program (CEP) was initiated in 2006. Program implementation was planned over three successive phases comprising a pilot period followed by scaling up interventions, and finally the consolidation of activities. The program is currently implementing Phase II, which has been extended to June 2019.

Since its inception, CEP has strived to improve environmental quality and climate resilience across the subregion by creating an "environmentally friendly and climate resilient GMS Economic Cooperation Program." The Asian Development Bank (ADB) is the CEP executing agency while the GMS Working Group on Environment (WGE) provides overall leadership and direction for the program. The GMS Environment Operations Center (EOC) in Bangkok, Thailand coordinates program implementation and provides secretariat support to the WGE.

Geography/Countries: Member countries include: Cambodia, People's Republic of China (Guangxi and Yunnan), Lao People's Democratic Republic, Myanmar, Thailand, and Viet Nam.

Strategic Framework: Environment ministers from the six countries of the Greater Mekong Subregion (GMS) endorsed the CEP Strategic Framework and Action Plan 2018–2022 in Chiang Mai, Thailand, in February 2018. The program, which was launched in 2006 and administered by ADB, is embarking on its third phase.

The new 5-year environment strategy will guide the implementation and monitoring of the next phase of the program. It seeks to consolidate and leverage the progress made, accelerate and stimulate increased regional cooperation on environmental sustainability and climate resilience, decentralize program implementation arrangements to the countries, and develop a green and sustainable development focused program that would be underpinned by a bankable project pipeline.

The strategy will focus on the following priority areas: (i) green technologies and sustainable infrastructure, (ii) natural resources and ecosystem services, and (iii) climate resilience and disaster risk management. Within each of these priority areas the CEP will support three types of interventions that influence the investment project cycle: (i) investment preparation and financing, (ii) knowledge management and technology uptake, and (iii) policy and strategic planning.

These interventions will leverage the program's competencies on developing and supporting investment projects (such as the Biodiversity Conservation Corridors project, Green Freight Initiative, and Climate-Friendly Agri-Business Value Chain). Priority projects include more than \$540 million worth of investments focused on land-use management, waste management, pollution control, and climate-proofing of rural infrastructure.

Governance: Long-term sustainability and success of the CEP will largely depend on the commitment and ownership of the program by the GMS countries. Financial sustainability and increased GMS country contributions to the delivery of the core functions of the CEP are the two major institutional objectives of the next phase of the program. It is anticipated that once the capacity of the WGE focal agencies and NSUs has been enhanced, implementation of future CEP activities will shift from EOC to GMS countries. This will significantly reduce core operating costs and increase country ownership of the program.

A simpler and more practical option is to continue with the current EOC operating structure. However, there will be a greater focus on a regional programmatic approach in providing policy advice and knowledge support and developing a pipeline of viable projects. There will also be a closer liaison with donors and the devolution of project implementation tasks to the member countries. This also has its limitations as the CEP has evolved to become an important GMS initiative that relies on external funding sources to fulfill its mandate. It therefore needs to be responsive to the program priorities of new donors. Unfortunately, the current model perpetuates dependence on ADB and a small group of donors, limiting the CEP both in scope and impact and in its ability to tap a wider network of climate and environment related funding sources.

CEP will continue to be implemented under the guidance and oversight of the WGE, which will set the strategic direction for the successful implementation of the program. The WGE will provide periodic reports to the GMS Environment Ministers and implement any decisions made.

Following a decision of the WGE in 2016, the management structure for the delivery of CEP will be reorganized and streamlined to better serve the needs of the evolving program. Under the new structure, the EOC will be reorganized from one of project management to an environmental services provider that will deliver project readiness support. It will undertake four main functions: (i) preparing and maintaining the CEP project pipeline and facilitating access to funding, (ii) providing knowledge management and advisory services, (iii) program monitoring and reporting, and (iv) acting as secretariat to the WGE. Financial sustainability and project formulation and management will be the two major institutional objectives.

While the EOC will coordinate regional and cross-border activities and the delivery of CEP services, most national activities will be implemented by the relevant line agencies, supported by National Support Units (NSUs). National responsibilities will include data collection and management, coordination with implementing line agencies, serving as counterparts to CEP technical specialists, and organizing national meetings, workshops, and study visits. These functions will be handed over to

CEP focal ministries and NSUs in a phased manner according to each country's capacity and ability to absorb support costs. The timing and scope of the decentralization plan will be informed by the findings of the needs-assessment of the GMS countries. The proposed structure for CEP service delivery, financial, and reporting flows is illustrated in Figure 3.

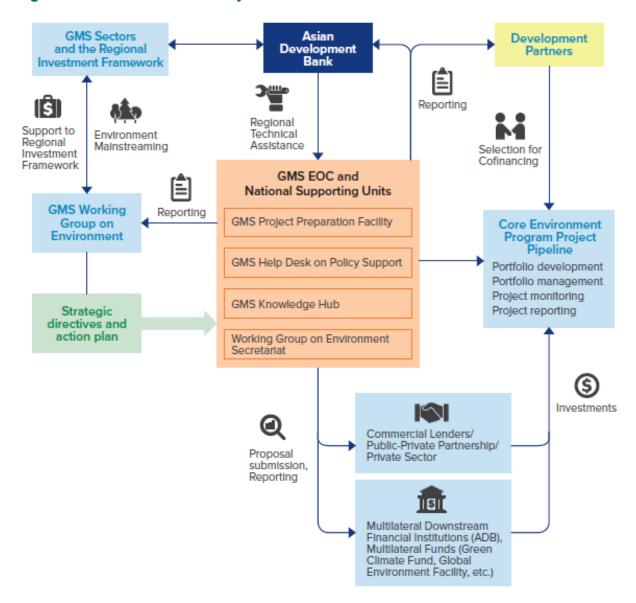


Figure 3 CEP Services Delivery Structure and Financial Flows.

Sustainable Financing: Successful implementation of the CEP-SF is reliant on developing and maintaining a pipeline of projects to attract funding and promote collaboration with development partners. Funding for pipeline projects can be sourced from ADB grants and/or loans, Climate Investment Funds, the Green Climate Fund, Global Environment Facility, the Nordic Development Fund, the Government of Sweden, and other potential bilateral and private sector investors. Development partners will have the option of subscribing to specific activities or projects in the pipeline either on a stand-alone basis or through an ADB technical assistance project. This will enable donors and financing institutions to be closely connected with the project and thereby help ensure flexible implementation and good governance. Budgets will be sourced under three categories of activities: (i) support for policy development, strategic planning, and legal frameworks; (ii) support for

investment project readiness for funding by financing institutions; and (iii) environmental "add-ons" to new or ongoing development sector projects.

The proposed CEP funding will initially take a hybrid approach of financing through technical assistance and securing funds for specific pipeline projects and activities from donors and financial entities based on their investment priorities and funding requirements.

ADB regional technical assistance will be used to cover costs associated with policy advisory services, project preparation, maintaining a knowledge-based repository, consultant costs, and EOC operations. Project implementation budgets will be secured from a wider network of funding sources by developing projects that meet donor or private sector investment criteria.

Sustainability Strategy: The CEP has demonstrated sustainable results since its inception in 2006, primarily because of the support and reinforcement it has received from GMS countries and development partners. Program deliverables have been tailored to regional environmental priorities that facilitate cross border interventions, knowledge sharing, and technical cooperation. Capacity building has been a major focus, as it provides national stakeholders with the skills to undertake activities on their own and assume greater ownership of the program and its resultant impacts. Despite an initial steep learning curve, procedural issues and the complexity that a crosscutting multisector program poses, the CEP has been able to make significant achievements and is now well recognized and embedded in the national programmatic planning process. A phased decentralization and transfer of responsibilities to NSUs is planned. It will be based on a function-wise capacity assessment and will underpin country ownership of the program. The role of development partners has been significant and going forward, the CEP will continue to engage with a wider range of partners both as financers and as technical implementers. This will expand the network of development partners and increase interest in CEP activities, thereby promoting the sustainability of the program.

The CEP will build on existing knowledge sharing and co-financing partnerships but will increasingly seek to forge new associations with emerging global associations that have similar priorities. This will result in several benefits that will strengthen the sustainability of the program. It will: (i) enable GMS countries to tap a diversified investment marketplace; (ii) create awareness for the program; (iii) access international best practices and technical systems; (iv) adopt proven green technologies; (v) reduce lead time for project implementation; and (vi) increase opportunities for skill transfer, learning, and knowledge sharing. Private sector engagement is a critical aspect for the CEP to widen the investment base, reduce reliance on constrained public funding, and develop the small and mediumsized enterprise sector. The private sector is often reluctant to invest in project preparation that they have to bid and win or are unsure about the consistency of state policies. Private sector involvement in the CEP will be promoted by: (i) providing bankable environment projects with risk-return ratios that mirror or are close to conventional investments, (ii) dismantling barriers to investment, (iii) building investor safeguards through policy advice, (iv) providing incentives by easing access to long term concessional finance, and (v) providing financing instruments to cover short term capital requirements. An integrated value chain approach to project development will provide greater opportunities for SME participation and social inclusiveness that will contribute to the sustainability of the program.

Measuring the economic benefits of environmental interventions, in financially quantifiable terms has been challenging as natural resource valuations, and social benefits derived from cleaner air and

conservation activities are difficult to quantify. Decision makers responsible for the planning and allocation of public finance, do not consider the depletion of natural resources and the impacts of climate change and greenhouse gas emissions on the economy. In recent years, adverse weather events and disasters have necessitated a shift in perspective, as the economic costs of remediation, reconstruction, and human welfare have forced governments to divert limited resources from development activities to providing relief and rebuilding. Several economic methodologies have now been developed that assess the true social costs of natural resource depletion. These cost benefit analysis ratios provide an indication of whether benefits outweigh the cost of an intervention thus providing a decision-making tool for policy makers. The CEP promotes the use of these methodologies and analyses with GMS stakeholders responsible for planning and resource allocation. It is anticipated that this will provide a more realistic assessment of the economic benefits of environmental interventions and result in a higher allocation of funds for green initiatives and sustainable development.

Sustainability of CEP initiatives can be guaranteed through a cost recovery-based approach that incorporates a recurrent revenue stream in all projects to offset investment and operating and maintenance outlays. This reduces dependence on state subsidies, strengthens prudent financial management, and provides more assured returns to investors. Several direct financing mechanisms can be employed to recover costs including consumption or usage fees, taxes, and environmental offsets. In addition, indirect risk mitigation measures such as policy incentives, credit guarantees, insurance, or pooling of investments can be used to spread the risk. It is, therefore, imperative to develop viable and bankable projects that are investment worthy and provide potential investors with an attractive risk-return ratio. This can be demonstrated through proof of concept or pilot projects that will foster confidence and provide insights to investors.

Infrastructure development underpins core economic activity and is essential for inclusive sustainable development and poverty alleviation. There is a pressing need to create climate smart and resilient infrastructure to tackle the challenges of climate change and extreme weather events. However, access and availability to adequate, timely, and cost-effective funding remains a major constraint to environmentally friendly and climate-proofed infrastructure development. This poses a serious challenge to sustainable development initiatives that seek to transition to a green economy built on efficient natural resource use, reduced greenhouse gas emissions, and low carbon technology deployment. Investment risk mitigation can be achieved through a combination of policy and financing instruments that spread risk. These include trade incentives, credit guarantees, insurance, pooling of smaller investments, senior and subordinate debt options, mezzanine, and bridge financing.

Short-term repayments can be restructured with longer term debt obligations once the project has achieved a level of operational stability or is past its gestation period. This guaranteeing of a proportion of the revenue stream, together with concessional finance will also reduce the cost of capital. Increasingly, blending of traditional funding options is being adopted for green infrastructure investments along with innovative financing mechanisms. These include green bonds, crowdfunding or crowdsourcing, structured notes, public–private partnerships, combining commercial and concessionary debt instruments, securitization, on-bill financing, leasing options provided by equipment suppliers, and results-based financing. Conservation finance together with impact investing are two mechanisms that are gaining support from financial institutions (pension funds, insurance companies, and fund managers) and private investors (family foundations, religious and philanthropic organizations, and individuals) as it provides a new asset class for investments that

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were traditionally considered the responsibility of the public sector. These options have significantly expanded the resource mobilization base and provided additional avenues to seek investment funds thus enabling green infrastructure projects, which require longer payback and investment return periods, to be sustainable.

<u>Some observations relevant for the CTI-CFF:</u> the GMSCEP is administered by ADB and has a relatively simple institutional structure. The environmental strategic plan has just been created and was launched in 2018 for the 3rd and next phase. Sustainable finance is a key issue similar to the CTI-CFF and a detailed strategy has been developed that needs to be implemented now. This provides a good opportunity for the CTI to consider the strategy for similar relevance and to compare it with the finance strategy that was developed some years ago for CTI-CFF.

2.7 INDIAN OCEAN TUNA COMMISISON

History and Purpose: The Indian Ocean Tuna Commission (IOTC) is an intergovernmental organization responsible for the management of tuna and tuna-like species in the Indian Ocean. It works to achieve this by promoting cooperation among its Contracting Parties (members) and Cooperating Non-Contracting Parties in order to ensure the conservation and appropriate utilization of fish stocks and encouraging the sustainable development of fisheries.

The Commission has four key functions and responsibilities which enable it to achieve its objectives. They are drawn from the United Nations Convention on the Law of the Sea, and are: (i) to keep under review the conditions and trends of the stocks and to gather, analyze and disseminate scientific information, catch and effort statistics and other data relevant to the conservation and management of the stocks and to fisheries based on the stocks; (ii) to encourage, recommend, and coordinate research and development activities in respect of the stocks and fisheries covered by the IOTC, and such other activities as the Commission may decide appropriate, such as transfer of technology, training and enhancement, having due regard to the need to ensure the equitable participation of Members of the Commission in the fisheries and the special interests and needs of Members in the region that are developing countries; (iii) to adopt on the basis of scientific evidence Conservation and Management Measures (CMM) to ensure the conservation of the stocks covered by the Agreement and to promote the objective of their optimum utilization throughout the Area; and (iv) to keep under review the economic and social aspects of the fisheries based on the stocks covered by the Agreement bearing in mind, in particular, the interests of developing coastal States.

Geography/Countries: Commission Contracting Parties (Nation State Members) include: Australia, Bangladesh, People's Republic of China, Comoros, Eritrea, European Union, France, Guinea, India, Indonesia, Iran, Japan, Kenya, Korea, Madagascar, Malaysia, Maldives, Mauritius, Mozambique, Oman, Pakistan, Philippines, Seychelles, Sierra Leone, Somalia, Sri Lanka, South Africa, Sudan, Tanzania, Thailand, United Kingdom, and Yemen.

Governance: The governance structure of the IOTC is the following.

a) <u>Commission Contracting Parties (Members)</u>. Membership within the IOTC is open to Indian Ocean coastal countries and to countries or regional economic integration organisations which are members of the UN or one of its specialised agencies, and are fishing for tuna in the Indian Ocean. There are currently 31 Contracting Parties (Members), the majority of which are Nation States (Australia, Bangladesh, People's Republic of China, Comoros, Eritrea, European Union, France, Guinea, India, Indonesia, Iran, Japan, Kenya, Korea,

- Madagascar, Malaysia, Maldives, Mauritius, Mozambique, Oman, Pakistan, Philippines, Seychelles, Sierra Leone, Somalia, Sri Lanka, South Africa, Sudan, Tanzania, Thailand, United Kingdom, and Yemen).
- b) Commission Cooperating Non-Contracting Parties. In addition to being a full Member, States with a real interest in the Indian Ocean fisheries of tuna and tuna-like species can participate in the IOTC process as a Cooperating Non-Contracting Party (CNCP). This status is granted for a period of one year, upon request from the State. CNCPs are not obliged to pay a financial contribution, but they do not enjoy voting rights on IOTC matters, and they are subject to the same regulations as the full Members. CNCP status is reviewed annually by the Commission. CNCPs for 2016/2017 include Liberia and Senegal.
- c) <u>Sub-Commissions</u>. Sub-commissions may be formed to provide a forum for consultation and cooperation on matters related to the management of stocks that are not shared by all Contracting Parties. In particular, they may examine management options and recommend to the Commission appropriate conservation and management measures. To date, the Contracting Parties have not considered it necessary to establish any sub-commissions.
- d) <u>Subsidiary Bodies</u>. These include the following:
 - Compliance Committee. The Compliance Committee meets annually and monitors compliance of the IOTC Contracting Parties and Cooperating Non-Contracting Parties with adopted CMM.
 - ii. **Standing Committee on Administration and Finance**. The Standing Committee on Administration and Finance meets annually and advises the Commission on administrative and financial matters, in particular the operational budget for the current year and the provisional budget for the ensuing year.
 - iii. **Scientific Committee**. The Scientific Committee (SC) meets annually and provides advice to the Commission on the status of stocks and the management actions necessary to ensure sustainability of the fishery.
- e) <u>Working Parties</u>. The primary function of the Working Parties is to analyse technical problems related to the management goals of the Commission. For example, Working Parties related to the different species analyse the status of the stock and offer options to the Scientific Committee for management recommendations to the Commission.
- f) Observers to IOTC Meetings. Meetings of the Commission and all of its subsidiary bodies are open to Observers. The list of current, pre-approved observers who may attend IOTC meetings, as well as the processes for applying to be an observer at IOTC meetings may be consulted on the Observers page.
- g) <u>Secretariat</u>. The Secretariat facilitates the processes required to implement the policies and activities of the Commission, whose goal is to achieve the objectives stated in the IOTC Agreement. In essence, these processes include the acquisition, processing, and dissemination of information that constitutes the basis for the Commission's decisions, as well as supporting the actions taken by the Contracting Parties (Members) and Cooperating Non-Contracting Parties to implement effectively those decisions.

The Secretariat is divided into sections composed of staff with similar specialised skills. In order to provide support to the scientific activities of the Commission and its subsidiary bodies, there is close cooperation between the Sections in the production of datasets and analyses that will assist the Scientific Committee and its Working Parties to formulate its advice to the Commission. Similarly, the Data Section and the Compliance Section cooperate in maintenance of the databases needed to monitor the effectiveness in the implementation of the measures adopted by the Members.

Cooperation with Other Organizations: Since its inception, the Indian Ocean Tuna Commission has entered into a number of arrangements with other institutions, almost invariably of a technical nature, either to conduct activities in cooperation or to facilitate exchange of information that would enhance the output of both organizations.

The arrangements take the form of either a formalized Memorandum of Understanding (MoU), or informal arrangements to share information. The following provides details of those arrangements.

a. Memorandum of Understanding

- 1. Agreement on the Conservation of Albatrosses and Petrels. In 2009 the IOTC and ACAP signed a MoU to promote cooperation between the two organizations to enhance the conservation of Albatrosses and Petrels in the IOTC area of competence. That MoU put into place arrangements and procedures to promote cooperation between the two organizations and enhance the conservation of seabirds.
 - In 2015 the IOTC and the Agreement on the Conservation of Albatrosses and Petrels (ACAP) renewed the MoU aimed at further facilitating cooperation between the IOTC and the ACAP Secretariat with a view to supporting efforts to minimize the incidental bycatch of albatrosses and petrels within the IOTC area of competence.
- 2. Commission for the Conservation of Southern Bluefin Tuna (CCSBT). At its 1st Special Session in 1997 the Indian Ocean Tuna Commission recognized that the CCSBT should have the prime responsibility for conservation and management of southern bluefin tuna (while also recognizing the legal competence of IOTC to do so). The IOTC signed a MoU with CCSBT on the arrangements to include the exchange of data relating to the transshipment and observer program as a means to eliminate duplication of work and reducing data collection costs.
- 3. Overseas Fishery Cooperation Foundation of Japan. At its 6th Session in 2001, the Indian Ocean Tuna Commission recognized the need for the execution of a joint project with the Overseas Fishery Cooperation Foundation (OFCF) of Japan, to help in the improvement the data collection and processing systems in developing countries from the region with important fisheries on species under the mandate of the Commission. Since then, the OFCF and IOTC have renewed the MoU in 2005, 2009, and 2013.
- 4. Western and Central Pacific Fisheries Commission. In 2007, in acknowledgement of the commonalities between IOTC and the Commission for the Conservation and Management of Highly Migratory Fish Stocks in the Western and Central Pacific Ocean (WCPFC) the Commission signed a MoU between IOTC and WCPFC that puts into place arrangements and procedures to promote cooperation between the two organizations and enhance

conservation and sustainable use of species which are within the competence of both organizations.

b. Other Arrangements/Agreements

1. Indian Ocean—South-East Asian Marine Turtle Memorandum of Understanding, The IOTC cooperates informally with the Indian Ocean—South-East Asian Marine Turtle (IOSEA) through a MoU. A number of IOTC members are also IOSEA Signatory States. Cooperation is at the level of the subsidiary body of the IOTC in particular the Working Party on Ecosystems and Bycatch and the Scientific Committee.

Monitoring: The IOTC has undergone two performance reviews of IOTC activities in 2007 and 2014. The aim was to evaluate if the IOTC, in its current legal and operational structure, fulfils its basic objective and, on the basis of this evaluation, identify any weaknesses and present possible actions to address the issues. It was also to evaluate how up to date the Agreement is in relation to other international fisheries instruments.

Some observations relevant for the CTI-CFF: the IOTC deals with monitoring status of shared stocks for sustainable fisheries development by its member countries and supports development science-based and consensus-based conservation measures to ensure the stocks remain in good health to support socio-economic sustainability around the exploitation of these stocks. Because the stocks are worth much to most of the contracting members, the collaboration is mostly seen as facilitation of the need to negotiate access to the shared stocks and agree on practices that will not destroy the stocks. The CTI-CFF has some valuable fish stocks within its oceans as well and while the IOTC and another RFMO – the WCPFC are the organizations dealing with tuna, the CTI-CFF grouping of members could consider the relevance of improving collaboration around tuna management inside their waters. A structure of the IOTC (and WCPFC) with its subsidiary committees including a scientific committee could be considered as relevant to the CTI-CFF.

2.8 PARTNERSHIPS IN ENVIRONMENTAL MANAGEMENT FOR THE SEAS OF EAST ASIA (PEMSEA)

History and Purpose: Partnerships in Environmental Management for the Seas of East Asia (PEMSEA) was created with a clear mission—to foster and sustain healthy and resilient coasts and oceans, communities and economies across the Seas of East Asia through integrated management solutions and partnerships.

In December 2003, participating governments and collaborative partners endorsed the Sustainable Development Strategy for the Seas of East Asia (SDS-SEA), a document that outlines a shared vision as well as collective strategies and approaches to achieve the goals of sustainable development for the region. The implementation of the SDS-SEA requires a long-term commitment, policy reforms, strategic management interventions, and significant financial resources. In June 2007, the GEF Council approved Phase I of a 10-year project (2007–2017) to implement the SDS-SEA, which facilitates PEMSEA's transformation into a self-sustaining regional operating mechanism. GEF will provide the necessary financial support to cover the incremental costs of addressing regional environmental issues that are of global significance through implementation of the SDS-SEA.

For over two decades, the organization has provided solutions for effective management of coasts and oceans across the shared seas of East Asia. As the regional coordinating mechanism for the

SDS-SEA, a shared marine strategy among 14 countries in the region, PEMSEA works with national and local governments, companies, research and science institutions, communities, international agencies, regional programs, investors and donors towards implementation of the SDS-SEA. Crucial networks, such as learning centers also contribute their expertise and coastal management skills to the shared goals of the SDS-SEA.

PEMSEA aims to proactively build effective intergovernmental and intersectoral partnerships and expand the capacities of countries and other stakeholders with innovative, cross-cutting policies, tools and services for integrated coastal and ocean management. PEMSEA applies integrated coastal management as the primary approach for generating and sustaining healthy oceans, people and economies.

Geography/Countries: Member countries include: Cambodia, People's Republic of China, DPR Korea, Indonesia, Japan, Lao PDR, RO Korea, Philippines, Singapore, Timor-Leste, and Vietnam.

Governance: Recognizing the importance and urgency in addressing the environmental challenges and in moving toward sustainable development of the Seas of East Asia, the 2006 Haikou Partnership Agreement established PEMSEA as the region's coordinating mechanism for implementing the Sustainable Development Strategy for the Seas of East Asia (SDS-SEA). PEMSEA carries out this mandate through these operating mechanisms:

- a. <u>East Asian Seas (EAS) Congress</u>. Held every three years, the EAS Congress serves as an intellectual meeting of the various stakeholders, partners and collaborators, and is an opportunity to share knowledge and monitor the progress of the SDS-SEA programmes and projects.
 - Among the various events of the EAS Congress are a Ministerial Forum and an International Conference. The Ministerial Forum is a venue for providing policy directions and commitments related to SDS-SEA implementation, while the International Conference conducts knowledge exchange activities and discussions targeted at specific sectors' issues, while promoting priority programs and various mechanisms and encouraging corporate responsibility the business community.
- b. <u>East Asian Seas Partnership Council</u>. The EAS Partnership Council is a regular body that provides the policy and operational guidance for the progress of the implementation of the SDS-SEA. It steers, monitors and reviews on-going directions of the implementation. The Council is composed of an Executive Committee, an Intergovernmental Session, and a Technical Session.
- c. <u>PEMSEA Resource Facility (PRF)</u>. Secretariat and technical services are provided by the PRF to support SDS-SEA implementation. Specifically, the Secretariat Services oversees the implementation of Council decisions, the organization of the EAS Congress, and monitoring and reporting. Technical Services delivers and mobilizes policy and technical advice, capacity building and technical support for sustainable coastal ocean governance. These services include the following:
 - Advisory and project services strengthen coastal sustainable development strategy and programs, reducing risks and improving management of coastal and ocean resources.

- Environmental management including risk assessment, stakeholder engagement, program development and implementation, impact assessment, monitoring and reporting.
- 2. <u>International development</u> including project design, execution, monitoring and evaluation.
- Marine economic and scientific services including land and sea-use zoning/marine spatial planning, economic valuation of ecosystem services, baseline assessments (governance; socioeconomic; environmental) and integrated environmental monitoring.
- ii. Knowledge services empower local governments and other organizations by building their knowledge, skills and capacity to effectively and sustainably manage coastal and ocean resources.

Supporting its advisory and project services, PEMSEA has developed a comprehensive set of knowledge products and capacity development programs focused on integrated coastal management and port safety, health and environmental management. These include:

- A library with an extensive collection of coastal and ocean governance publications, as well as thousands of titles covering integrated coastal management and port safety, health, and environmental management.
- Seas of East Asia Knowledge Bank, an online platform providing access to best practices, codes and guidelines for governance, management and State of Coasts reporting.
- 3. National and regional training workshops on a variety of topics including integrated coastal management, coastal-use zoning, marine spatial planning, vulnerability/risk assessment, ecosystem service valuation, ecosystem approach to fisheries management and integrated river basin and coastal area management.
- 4. Integrated coastal management solution case studies from sites around the region providing insights and lessons learned from on-the-ground experiences with successful project implementation.
- 5. Internships, fellowships, training-of-trainers and study tour programs.
- iii. Certification services provide an internationally recognized standard to guide coastal management and validate performance excellence. Through certification, governments, companies and other organizations gain recognition, enhance stakeholder confidence and establish proper governance for reducing risk and encouraging investment.

For organizations looking to institute a recognized standard in coastal management, PEMSEA offers two certification systems, along with a professional certification for integrated coastal management practitioners: (1) port safety health, and

environmental management system certification; (2) integrated coastal management system certification; and (3) integrated coastal management professional certification.

An Executive Director heads the PRF, overseeing coordination between both services. Voluntary contributions from the region's partners and from other sources are used to fund Secretariat Services, while Technical Services augment funds from sponsored projects and programs.

Partners: PEMSEA works with several groups of partners as follows:

- a) <u>Funding Partners</u>. PEMSEA's ongoing work and impact in East Asia has been made possible through strong relationships with its sponsoring organizations, including the United Nations Development Programme and the Global Environment Facility.
- b) <u>Country Partners</u>. PEMSEA was built on partnerships. For over two decades, its Country Partners work together, planning and implementing strategies for the sustainable development of coasts and oceans across the region.
- c) Non-Country Partners. Along with its Country Partners, PEMSEA's network includes 22 nongovernmental organizations—scientific institutions, industry associations, and regional programs—all working together to support implementation of the SDS-SEA. These include the following: ASEAN Centre for Biodiversity, Coastal Management Center, Conservation International (Philippines), International Environmental Management of Enclosed Coastal Seas Center, UNEP Global Programme for Action, IOC Sub-Commission for the Western Pacific, International Ocean Institute, IPIECA, International Union for Conservation of Nature—Asia Regional Office, Korea Environment Institute, Korea Institute of Ocean Science and Technology, Korea Maritime Institute, Korea Environment Management Corporation, Marine Biodiversity Institute of Korea, The Ocean Policy Research Institute, Northwest Pacific Action Plan, Oil Spill Response, Plymouth Marine Laboratory, PNLG for Sustainable Coastal Development, UNDP/GEF Small Grants Programme, Swedish International Development Cooperation Agency, and UNDP/GEF Yellow Sea LME Project.
- d) <u>Collaborating Organizations</u>. In addition to its official country and non-country partners, PEMSEA works with a number of collaborating organizations, including international and regional NGOs, industry associations, development organizations, regional projects and research institutions. These collaborative partnerships play an important role in coordinating and leveraging shared efforts on research, planning, investment and other strategic interventions towards sustainable development of coasts and oceans in East Asia.

Network: PEMSEA continues to innovate and expand its various regional networks in support of the implementation of the SDS-SEA. Building on more than a decade of experience, in which individuals, organizations, and public and private entities have been engaged in advancing knowledge and technology transfer, information exchange, and skills training, a number of new arrangements and networking approaches have been developed.

a) <u>PEMSEA Network of Local Governments (PNLG)</u>. The PNLG for Sustainable Coastal Development is the first of its kind in the East Asian Seas region. It is a self-sustaining network of local governments implementing integrated coastal management (ICM) programs.

- Local government members develop and implement ICM programs using the same framework and processes.
- b) <u>Integrated Coastal Management Learning Centers</u>. The ICM Learning Centers are platforms for collaboration on ICM program development and implementation at the local level. ICM Learning Centers across the region provide technical assistance to various stakeholders and support capacity-building activities and other local ICM initiatives.
- c) <u>Regional Centers of Excellence</u>. PEMSEA recognizes the value and expertise that research institutions can contribute to the sustainability of seas and coasts. These internationally-recognized experts provide technical support in various projects and training workshops.

Stakeholders: PEMSEA works with various stakeholders in the sustainability of coasts and oceans. The key clients are the following:

- a) <u>Local and National Governments</u>. PEMSEA's local and national government partners are at the forefront of implementing ICM solutions. PEMSEA provides customized services to governments across the region seeking to restore, protect and sustain the health of their coastal ecosystems, communities, and economies.
- b) <u>International Development Organizations</u>. International development organizations face a number of challenges in the complex coastal and marine environment. With over two decades of experience, PEMSEA is equipped to assist multilaterals, bilaterals, NGOs, and other development organizations in strengthening their effectiveness in planning and implementing coastal and marine sustainable development programs.
- c) <u>Companies and Investors</u>. Healthy coasts and oceans provide the basis for sustained growth across a number of industries operating in coastal and marine areas. PEMSEA assists companies and investors in improving their coastal and marine strategies for reducing risks, generating new opportunities and enhancing competitiveness in an emerging blue economy.
- d) Research and Science Organizations. Through PEMSEA, research and science organizations benefit from access to the latest thinking and on-the-ground practice in coastal and marine environmental management. Institutions can connect with potential collaborators and maximize opportunities for practical application of their research.

Some observations relevant for the CTI-CFF: the benefits and costs related to coordinating with a large number of partners and through a broad network of collaborators that PEMSEA has done since 2 decades, is something to consider by CTI-CFF. It could be useful to consider which CTI goals can be progressed by working more closely through PEMSEA. The White (2016) review was looking at progress and approaches for multi-national collaborative initiatives in the East Asian Seas and presented at of of the 3-years EAS congresses that the Resource Facility organizes, it was clear that there are good opportunities for CTI-CFF to collaborate closer with PEMSEA, but it needs to follow from a clear analysis related to the revised RPOA, which goal or target may become the focus of intensified collaboration.

2.9 PACIFIC COMMUNITY

History and Purpose: The Pacific Community (PC)—formerly the South Pacific Commission (SPC)⁷—was established as an intergovernmental organisation in 1947 with the signing of the Agreement Establishing the South Pacific Commission (Canberra Agreement) by the governments of Australia, France, the Netherlands, New Zealand, the United Kingdom, and the United States of America. More than 70 years later, SPC remains the principal scientific and technical organisation of the Pacific region, with 26-member states and territories, including 22 Pacific Island countries and territories, and the four remaining founding member states.

One of the oldest regional organizations in the world, it is a non-political, technical assistance and research body and performs a consultative and advisory role. SPC has constantly evolved, both reflecting and shaping the island regionalism that has built today's Pacific. Its capacity to adapt to the changing needs of both dependent territories and independent island countries has enabled SPC to survive for more than half a century and will ensure its continuing role in the social and economic development of the Pacific Island region.

Each member has equal status and one vote at the Conference of the Pacific Community, which meets every two years, although debates are usually resolved by consensus rather than voting.

SPC covers more than 20 sectors. They are renowned for knowledge and innovation in such areas as fisheries science, public health surveillance, geoscience, and conservation of plant genetic resources for food security. Much of the focus is on major cross-cutting issues, such as climate change, disaster risk management, food security, gender equality, human rights, non-communicable diseases, and youth employment. Using a multi-sector approach in responding to member development priorities, they draw upon skills and capabilities from around the region and internationally, and support the empowerment of Pacific communities and sharing of expertise and skills between countries and territories.

SPC's mission is to work for the well-being of Pacific people through the effective and innovative application of science and knowledge, guided by a deep understanding of Pacific Island contexts and cultures. SPC's Pacific vision is for a region of peace, harmony, security, social inclusion, and prosperity, so that all Pacific people can lead free, healthy, and productive lives. This is a shared vision for the Pacific under the Framework for Pacific Regionalism.

The strategic organizational objectives of the SPC are: (a) strengthen engagement and collaboration with Pacific Community members and partners, (b) strengthen our technical and scientific knowledge and expertise, (c) address members' development priorities through multi-disciplinary approaches, (d) improve our planning, prioritization, evaluation, learning and innovation, and (e) enhance the capabilities of our people, systems and processes.

Geography/Countries: SPC members Include: American Samoa, Australia, Cook Islands, Federated States of Micronesia, Fiji, France, French Polynesia, Guam, Kiribati, Marshall Islands, Nauru, New Caledonia, New Zealand, Niue, Northern Mariana Islands, Palau, Papua New Guinea, Pitcairn Islands, Samoa, Solomon Islands, Tokelau, Tonga, Tuvalu, USA, Vanuatu, and Wallis and Futuna.

⁷ We use both abbreviations throughout this section

Governance: The governance mechanism of the SPC is the following.

a) <u>Conference of the Pacific Community</u>. SPC's governing body is the Conference of the Pacific Community, which meets every two years. Other members can, however, offer to host the Conference. In this case, the obligations of the host country are to be determined by the Secretariat and the host country.

The Conference is charged with establishing the high-level, strategic orientations of the organization, either on its own behalf or in response to recommendations for change submitted by the Secretariat through the Committee of Representatives of Governments and Administrations (CRGA).

The Conference appoints the Director-General and decides on renewal of his/her contract based on an evaluation of the Director-General's performance carried out by CRGA. The Conference decides on applications for membership and observer status of the organization in accordance with the Policy on Membership and Observer Status of the Pacific Community, adopted at the Ninth Conference of the Pacific Community.

b) <u>CRGA</u>. The CRGA is a subsidiary body of the Conference. CRGA meets annually at the senior official level. In years that the Conference does not meet, the Conference has delegated powers to CRGA to decide on all matters that would normally be examined by the Conference, except appointment and renewal of the Director-General.

The CRGA's functions are as follows: (a) to monitor implementation of the Pacific Community Strategic Plan and report thereon to the Conference; (b) to adopt the organization's budget; (c) to provide governance oversight and guidance to the Secretariat, particularly identifying priorities for SPC's work and resource allocation; (d) to consider the results and outcomes of SPC's program of scientific, technical and development work on the basis of an annual Results Report prepared by the Secretariat; (e) to debate and approve strategic policy issues for the organization put forward by the Secretariat and by member countries and territories; (f.) to adopt and modify SPC's Financial and Staff Regulations; (g) to consider the annual accounts and audit reports (internal and external); (h) to assist the Conference with the appointment of the Director-General; and (i) to conduct annual performance evaluations of the Director-General, and make relevant recommendations to the Conference on that basis.

CRGA consists of the following: (a) one representative, Alternates or Advisers from each member of the Pacific Community, (b) the Director-General, the Deputy Directors-General, and other officers of the Secretariat; and (c) one representative, alternate or adviser from each Permanent Observer to SPC.

c) <u>SPC</u>. The SPC is headed by the Director-General, who is the chief executive officer of SPC. The Director-General has full responsibility and authority to lead and manage the Secretariat and to represent, promote, and defend the interests of SPC within the guidelines and regulations established by Conference and CRGA. The Director-General develops the vision, sets the goals, makes proposals to CRGA and the Conference on the range of services SPC may provide to its members, and makes decisions relating to the delivery of such services. The Director-General is fully accountable to CRGA and the

Conference for any failure to meet the organization's objectives or violation of the organization's regulations and standards of conduct.

The Director-General has the authority to appoint Deputy Directors-General through an open and transparent selection process. Their performance is appraised annually by the Director-General. The Director-General can delegate powers and responsibilities to the Deputy Directors General and other selected Secretariat staff in order to ensure the effective and efficient operation of the Secretariat and implementation of the organization's activities. Such delegations are included in an Instrument of Delegations compiled by the Secretariat.

The Director-General may modify the structure of the Secretariat from time to time to maintain organizational efficiency. Approval of the Conference is required for major change involving considerations of strategic direction and/or significant, unbudgeted cost increases. In years when the Conference does not meet, such approval is obtained from CRGA.

The Director-General informs members of the state of SPC's administration and work programs, together with any other significant matters, through an annual report tabled at CRGA. The results of SPC's work programs are communicated to members by means of an annual Pacific Community Results Report.

In addition to the Director-General, SPC's senior executives include two Deputy Directors-General. Executive management is composed of the following: (a) Director of the Division of Fisheries, Aquaculture and Marine Ecosystems; (b) Director of the Educational Quality and Assessment Program; (c) Director of Information Services; (d) Director of Communications; (e) Director of Climate Change and Environmental Sustainability Division; (f) Director of the Land Resources Division; (g) Director of Geoscience, Energy and Maritime Division; (h) Director of Statistics for Development Division; (i) Director of Human Resources; (j) Regional Director for Melanesia; (k) Chief Adviser for the Director-General's Office; (l) Regional Director for Micronesia; (m) Director of the Social Development Program; (n) Director of Finance; (o) Director of the Public Health Division; and (p) Director of the Regional Rights Resource Team.

The governance structure of SPC is illustrated in Figure 4.

The Pacific Community
Conference

CRGA

Sub-committee
Srategic Plan

Pacific Board for
Educational Quality
Internal audit

Director-General

Figure 4 SPC's Governance Structure.

Source: Pacific Community. Governance. https://www.spc.int/about-us/governance.

Financing: SPC's budget is derived from: (a) assessed annual membership contributions and other sources, such as bank interest, project management fees, and miscellaneous income; and (b) programme and project funding received from some members, donors and development partners.

Project management fees are applied to programme and project funds at a rate of 15% of the total programme/project budget. Where a development partner refuses the application of a 15% project management fee, the Secretariat makes every effort to ensure direct costs and indirect costs are considered in the project budget beyond the level of the management fee accepted by that development partner.

Some observations relevant for the CTI-CFF: perhaps the most relevant observation on the SPC relates to its capacity to adapt to the changing needs of both dependent territories and independent island countries has enabled SPC to survive for more than half a century and will ensure its continuing role in the social and economic development of the Pacific Island region. It is also important to note that it is a collaboration that is not political and which provides scientific and technical support to its members to enable solid decision making. With the opportunity for CTI-CFF to revise its RPOA and develop a focus on current matters of importance to the CT6 members, that capacity to adapt to remain relevant needs to be supported through the CTI institution.

2.10 PACIFIC REGIONAL ENVIRONMENT PROGRAMME

History and Purpose: The Pacific Regional Environment Programme (SPREP) began in the late 1970s as a joint initiative of the South Pacific Community, South Pacific Bureau for Economic Co-

operation, Economic and Social Commission for Asia and the Pacific, and the United Nations Environment Programme, eventually functioning as a component of UNEP's Regional Seas Programme. The Programme received further impetus as a result of the 1982 Conference on the Human Environment in the South Pacific. Following a period of expansion and long deliberations, SPREP left SPC in Noumea in 1992 and relocated to Samoa. It achieved autonomy as an independent inter-governmental organisation with the signing of the Agreement Establishing SPREP in Apia on 16 June 1993.

The SPREP is the region's key inter-governmental organisation for environment and sustainable development, and is one of several inter-governmental agencies comprising the Council of Regional Organisations in the Pacific. SPREP's mandate is to promote cooperation in the Pacific region and aid in order to protect and improve its environment and to ensure sustainable development for present and future generations. SPREP is guided by its vision for the future: "A resilient Pacific environment, sustaining our livelihoods and natural heritage in harmony with our cultures".

SPREP is the Secretariat of the Noumea Convention, Waigani Convention and Apia Convention, which was suspended in 2006 until further notice. Its role as Secretariat includes: (a) facilitating effective function of the COP and its subsidiary bodies through administrative, logistical, management and procedural support; (b) reporting on work done as well as administrative and budgetary matters; (c) keeping Parties informed and communicating information received from one Party to other Parties; and (d) implementing COP decisions and supporting parties' implementation of COP decisions.

As the regional intergovernmental environment organization, the role of SPREP is to facilitate and implement activities with Members and partners to achieve sub-national, national, and regional outcomes. SPREP's overall assistance to Members will be delivered through agreed regional environment goals and objectives that respond to Members' environmental priorities and sustainable development goals. The key to enabling this work will be a focus on: (a) integration of gender and human rights; (b) integration of traditional knowledge with technical capacity; (c) technical knowledge and communication; (d) environmental advocacy to increase the awareness and understanding of environmental management priorities; (e) institutional capacity building; and (f) leadership at all levels committed to action.

The four regional goals to achieving resilience and sustainable Pacific communities are:

- a) Regional Goal 1: Pacific people benefit from strengthened resilience to climate change.
- b) Regional Goal 2: Pacific people benefit from healthy and resilient island and ocean ecosystems.
- c) Regional Goal 3: Pacific people benefit from improved waste management and pollution control.
- d) Regional Goal 4: Pacific people and their environment benefit from commitment to and best practice of environmental governance.

These regional goals define the core priorities and focus of SPREP in the areas of: climate change, resilience, island and ocean ecosystems, effective waste management and pollution control, and environmental governance.

The strategic direction for SPREP is clearly set out in the 2017–2026 SPREP Strategic Plan. The Plan outlines the mandate, vision, and programs for the organization, and places strong emphasis on effective delivery of services to SPREP member countries and territories.

Geography/Countries: SPREP has 21 Pacific island member countries and territories: American Samoa, Cook Islands, Federated States of Micronesia, Fiji, French Polynesia, Guam, Kiribati, Marshall Islands, Nauru, New Caledonia, Niue, Northern Marianas, Palau, Papua New Guinea, Samoa, Solomon Islands, Tokelau, Tonga, Tuvalu, Vanuatu, and Wallis & Futuna; and 5 other countries with direct interests in the region: Australia, France, New Zealand, United Kingdom and United States of America.

Governance: SPREP's senior management team is composed of the following: Director General; Deputy Director General for strategic planning and project coordination and information services; Deputy Director General for strategic policy and technical programmes, who also serves as Director for island and oceans ecosystems; Director for climate change resilience; Director for environment monitoring and governance; Director for waste management and pollution control; Director for finance and administration; legal counsel; and Director for human resources.

The executive support staff is composed of the following: Executive Assistant to the Director General; Executive Assistant to the Director General for strategic planning and project coordination and information services, and an Executive Officer.

SPC also has an in-house internal auditor and staff for its communications and outreach unit as well as its sub-regional offices and various programs (i.e., climate change resilience, environmental monitoring and governance, island and oceans ecosystems, waste management and pollution control) and departments (strategic planning and project coordination and information services, finance and administration, and human resources).

<u>Some observations relevant for the CTI-CFF:</u> the SPREP appears very similarly set-up as the CTI-CFF and lessons learned from its organizational effectiveness could be really useful for CTI. Another support document on the regional context to the CTI-CFF in the Pacific, describes strongly how CTI can collaborate and strengthen communication with SPPRES as most of the goals are the same.

3.0 LESSONS FROM REGIONAL COOPERATION INITIATIVES AND SOME RECOMMENDATIONS

When drawing lessons, it is important to consider that the effectiveness of any project or initiative in achieving desired change and planned impact depends only partially on the people and resources dedicated to it. External factors can have a profound influence on the level of impact of a specific intervention. Considering the complex and dynamic geopolitical context of the region, growing pressures from economic development and growing populations in the CT6, and the external demands placed onto the region, this is certainly not different for the CTI and this must be considered when revising it.

The review of the RPOA already found that sustainable finance is of utmost importance, that commitments and ownership of member countries to the goals and shared agenda must be confirmed continuedly, that and effective and lean governance and institution structure is preferable, that strategically increasing positive relations and collaboration with other regional initiatives and -groups is the main opportunity to enhance capacity to achieve change and impact and that thinking about

how the CTI-CFF can help deliver on sustainable development agendas that include responsible trade and infrastructure development will be key in the next phase.

Currently, as each CT member country is considering the relevance of collaborating through the CTI-CFF to also effectively achieve national priorities, the importance of applying the experiences and lessons learned in each country since the CTI-CFF was initiated to improve the RPOA for the next 10 years is clear. In addition, the RPOA must consider the current contexts for each country and development member within the CTI as well as the different capacities of each country in marine and fisheries development. The RPOA review acknowledged that country priorities and national strategic direction will take precedence over regional collaboration, and as such any NPOA revisions should direct the RPOA revision by seeking common issues and concerns where collaboration on a bilateral, sub-regional, or regional level provides added benefits.

The ten regional initiatives reviewed in this report vary considerably in scope, size, and purpose – each with its strengths and weaknesses. However, a number of common themes emerged during our review, which we summarize in the following points.

- Successful initiatives⁸ tend to align themselves with relevant international and national
 priorities and commitments. It is therefore important for the CTI-CFF to align itself with the
 relevant national priorities and commitments of CTI member countries to deliver on their
 commitments to the global and regional agenda. Examples of such commitments are
 Sustainable Development Goals, Paris Agreement on Climate Change, and Aichi Biodiversity
 Targets.
- 2. As evidenced from the compiled information and analysis of nine ocean governance initiatives and their extensive level of effort, the White (2016) review also revealed the important role of synergies in scaling up programs around common geographies and probably more importantly common themes so that mutually related work can be reinforced, and made stronger and more effective. This implies that vertical and horizontal integration, coordination, and good communication are critical within and across the ocean governance initiatives reviewed here so that real hope and progress drives the initiatives forward. This could be a role of the CTI-CFF.
- 3. Many effective initiatives use the private sector as the primary engine of growth, coupled with the public sector as an enabling body. As such, CTI-CFF could look to expand its current set of partners to include the private sector (similar to the Caribbean Challenge Initiative Council), among others or establish a separate group for private sector partners, similar to the BIMP-EAGA Business Council, whose tasks include consulting and dialogue with the private sector regarding issues and challenges related to the sectors of cooperation; identifying private sector-led projects that support the BIMP-EAGA development agenda; and promoting trade, tourism and investments.
- 4. An important component of several initiatives is the demonstration of quantitative benefits of regional collaboration in addressing coastal and marine issues, versus losses from the business as usual scenario. Doing so provides strong evidence and justification for convincing government officials, partners, and other stakeholders to continue (or begin) their participation

⁸ We must assume that initiative that have been active for a long time could be considered successful to some extent.

- and support to the program. This is an important component that can be added to the RPOA and NPOAs as shown in the BOBLME Strategic Action Plan 2015.
- 5. Several initiatives, including the BOBLME Strategic Action Plan and the GMS CEP Strategic Framework (2018–2022), proactively identify specific projects that will be implemented over the next phase of their respective programs and their cost implications. CTI-CFF could benefit from a similar approach and incorporating an investment plan that will identify specific future (and thus targeted) projects (to the extent possible) as well as funding requirements and sources.
- 6. Monitoring and Evaluation (M&E) is considered a critical component of most regional initiatives, and is, as an example, one of the key functions of the BOBLME SAP Coordination Unit. There may be a need to review the MEWG and other working groups as a means of delivering/supporting the various goals and targets of the CTI. It may also be worthwhile to explore embedding M&E as part of the function of the Regional Secretariat as part of project and program management.
- 7. The sustainability of the actions by regional initiatives can be improved by incorporating activities into the work plan and budget of other relevant government agencies and partner institutions and strong country ownership and commitment and support from partners and other stakeholders are key to the success of any regional initiative. At the same time, regional initiatives need to be constantly relevant as an established vehicle for cooperation in addressing current and emerging issues and contributing to the development agenda.
- 8. Given the largely decentralized nature of coastal and marine resources management in the CTI-CFF member countries, local government participation is vital. The CTI-CFF could explore establishing a platform for local government leaders' engagement similar to the BIMP-EAGA's Local Government Forum, which provides government leaders the venue to engage in dialogue and share experiences and lessons learned on development initiatives. PEMSEA has its Network of Local Governments composed of local governments implementing integrated coastal management programs.
- 9. In some successful initiatives, such as the Caribbean Challenge Initiative, physical and financial goals are set. This assures adequate funding for achieving targets. Physical targets can only be achieved with adequate funding. As such, the CTI could benefit from identifying financial goals in addition to physical targets.
- 10. Country contributions typically comprise only a minor share of funding support of regional cooperation initiatives. Various forms of financing mechanisms are utilized in partnership with government, donor agencies, the private sector, and philanthropic organizations, as examples, to sustain program operations and implementation of activities. One of the financing mechanisms suggested in the CTI-CFF Sustainable Architecture study is the establishment of a business development unit or a project service facility that will develop pipeline projects in close consultation and working hand in hand with member countries. This unit will facilitate access to funding. The same concept has been adopted by the GMS Core Environment Program for its next phase.

11. For many of the regional cooperation initiatives, fundraising is crucial and one of the key roles of the head of the organization or its Secretariat. CTI could benefit greatly by the addition of staff specifically in support of focused fundraising efforts.

Considering these and related more detailed lessons drawn by White in his 2016 report, will be an important task at the start of the revision of the RPOA and when improvements to the CTI-CFF institution and operations are deemed necessary.

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