



# Combined Project Information Documents / Integrated Safeguards Datasheet (PID/ISDS)

Appraisal Stage | Date Prepared/Updated: 15-Jun-2017 | Report No: PIDISDSA20404



**BASIC INFORMATION**

**A. Basic Project Data**

Country OECS Countries	Project ID P159653	Project Name Caribbean Regional Oceanscape Project	Parent Project ID (if any)
Region LATIN AMERICA AND CARIBBEAN	Estimated Appraisal Date 31-May-2017	Estimated Board Date 21-Sep-2017	Practice Area (Lead) Environment & Natural Resources
Financing Instrument Investment Project Financing	Borrower(s) OECS Commission	Implementing Agency	GEF Focal Area International waters

Proposed Development Objective(s)

The Project Development Objective is to strengthen capacity for ocean governance and coastal and marine geospatial planning in selected Caribbean countries.

Components

- Strengthening Ocean Governance
- Strengthening Knowledge and Capacity
- Project Management, Monitoring and Assessment

**Financing (in USD Million)**

Financing Source	Amount
Global Environment Facility (GEF)	6.30
<b>Total Project Cost</b>	<b>6.30</b>

Environmental Assessment Category

B - Partial Assessment

Decision

The review did authorize the preparation to continue

Other Decision (as needed)



## B. Introduction and Context

### Country Context

**The small island countries of the Organization of Eastern Caribbean States (OECS)<sup>1</sup> have traditionally encountered serious development challenges, coupled with low growth, high debt, and limited fiscal space to maneuver around these problems.** Starting with the global financial crisis in 2008, tourism, remittances, and financial sector activity suffered considerably, and public debt and fiscal imbalances increased sharply. OECS countries recorded a cumulative drop in output of 6 percent during 2009–12; at the same time, periodic natural disasters continued to batter their infrastructure and economies. Although, for the 2013-2015 period OECS economies started to recuperate driven by a steady recovery in tourism and the United States economy, regional growth decelerated to an estimated 2.2 percent pace in 2016. This has slowed the performance in key sectors (i.e. tourism, construction, agriculture, and investment inflows) that was only partly offset by lower fuel prices. In line with the region's potential output, the average regional growth rate is expected to stabilize at 2.2 percent in 2017 and over the medium term through 2019.

**OECS countries have not reduced poverty and unemployment rates to levels compatible with their per capita income levels.** Official poverty rates were 30.2 percent in Saint Vincent & the Grenadines (SVG), 37.7 percent in Grenada<sup>2</sup>, 3.9 percent in St. Kitts and Nevis<sup>3</sup>, and 24.1 percent Saint Lucia. Poverty is concentrated in rural areas, and female-headed households are more likely to be poor. The already high historic unemployment rates were aggravated by the fallout of the 2008 financial crisis that significantly reduced demand for OECS exports and services. The more recent recovery in real GDP growth has helped reduce the unemployment rate (i.e. now down to 25.1 percent in SVG and 28.2 percent in Grenada), but it remains higher among youth, exceeding 30 percent in both countries.

**The OECS marine and coastal assets offer an unprecedented opportunity for strengthening the region's economy and closing the gap on poverty and unemployment rates.** The OECS marine ecosystem is characterized by diverse features (i.e. coral reefs, mangroves, sea grasses, sandy beaches, and rocky shores). These features provide a wide array of goods and services that help fuel the regional economy including, among others, (a) seafood, (b) tourism and recreation, (c) coastal protection and resilience from reefs and mangroves, and (d) carbon sequestration. These key elements of the region's economy are, however, undermined by unsustainable anthropogenic practices including poorly planned coastal development and overexploitation of marine resources. To combat unsuitable practices, continue reaping the benefits of the ocean economy, and maximize returns to eradicate poverty and catalyze sustainable development, countries must focus on integrated management approaches that are both adaptive and fully collaborative.

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<sup>1</sup> Established in 1981 by the Treaty of Basseterre, this intergovernmental organization promotes economic harmonization and integration, human and legal rights, and good governance. In 2011, the Revised Treaty of Basseterre Establishing the Organisation of Eastern Caribbean States Economic Union entered into force. The organization has seven founding and full members (Antigua and Barbuda, Dominica, Grenada, Montserrat, St. Kitts and Nevis, Saint Lucia, and St. Vincent and the Grenadines) and three associate members (Anguilla and the British Virgin Islands—British Overseas Territories; and, Martinique, an overseas territorial collectivity of France which joined in 2015).

<sup>2</sup> Data for 2008

<sup>3</sup> Preliminary LFS estimates in 2013 for St. Kitts and Nevis, and 2015 data for Saint Lucia.



## Sectoral and Institutional Context

**Economic growth opportunities in the Caribbean are threatened by increasing development pressures and competing interests for the use of marine and coastal resources and its ocean space.** The region is experiencing rapid growth in coastal development that is negatively affecting the natural barriers of protection against increasingly unpredictable tropical storms of greater strength. Coastal development is contributing to soil erosion and coral reef degradation both of which are directly responsible for great revenue losses in the tourism sector. Rapid development is also associated with increased marine and coastal pollution as well as competition for space and resources. As such, about 85 percent of untreated wastewater is discharged into the ocean. The region's fisheries, for example, are increasingly threatened by unsustainable fishing practices leading to an alarming decline in economically important species, such as reef fish, pelagics, conch, lobster, and shrimp. These anthropogenic threats are compounded by the impacts of climate change and variability; this is expected to increase the frequency of natural disasters, which have already caused an economic impact above 50 percent of Caribbean countries' annual GDP<sup>4</sup> in specific years. The combination of these threats exacerbates conflicts among sectors and industries over resources and space in which to carry out their activities. This unsustainable pattern of development has a real effect on the future opportunities for prosperous growth and needs to be urgently addressed.

**The current mechanisms for planning coastal and marine development as well as for addressing user conflict and unsustainable practices are disjointed and often lack a cohesive common goal.** Resource management and strategic planning is currently performed on a sectoral basis, independent of what are often perceived as the external interests of competing industries, ministerial jurisdictions, or resource users. This disjointed planning is further limited by (a) incomplete information regarding the overall impact on the marine and coastal resource base (from all sectors and users), (b) inadequate internal capacities and skills, and (c) underdeveloped and often inadequate planning tools. Cross-sectoral collaborative values and integrated planning practices of both the marine and coastal space must be inculcated among the array of institutions operating in the Caribbean.

**The OECS has jurisdiction over an extensive area of marine and coastal space along with its associated living and non-living resources.** The OECS countries are characterized by a land to sea ratio in average greater than 1:80, subject to delimitation of maritime boundaries. Such a large space presents opportunities for the OECS to diversify its economy, and the application of a 'blue economy' approach, will help ensure that ocean development expands economic output, creates jobs, reduces poverty, and builds local skills while conserving the public good nature of the marine and coastal resources. Coastal and marine spatial planning are tools available to create a coordinated and forward-looking vision of the blue economy recognizing the multiple economic uses of ocean space while preserving the valuable integrity of the marine ecosystem. Therefore, a 'blue economy' approach is essential to ensure cross-sectoral and multistakeholder planning in the process of addressing issues linked with conflicts over space and resources both at the national and regional levels.

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<sup>4</sup> Saint Lucia (1980, 69 percent of GDP), Jamaica (1988, 65 percent of GDP), Antigua and Barbuda (1995, 71 percent of GDP), Dominica (1995, 78 percent of GDP), St. Kitts and Nevis (1995, 85 percent of GDP; 1998, 139 percent of GDP), Honduras (1998, 81 percent of GDP), Grenada (2004, 212 percent of GDP), Guyana (200, 56 percent of GDP), and Haiti (2010, 120 percent of GDP). Source: Charles, Keren Carla. 2013. *Fiscal Risks Related to Catastrophes in LAC*. The World Bank Group.



**To promote a common approach to ocean governance (that is, pursue a blue economy), the OECS has taken a first step through the adoption of the Eastern Caribbean Regional Ocean Policy (ECROP) and its Strategic Action Plan.** Endorsed by the OECS' Heads of Government in 2013, ECROP guides the future use of the region's marine waters and provides a basis for enhanced coordination and management of ocean resources within the Eastern Caribbean. The OECS Commission operates within the regional mandate of ECROP which encourages the collaborative formulation of well-integrated governance frameworks capable of addressing marine user conflicts and protecting the fragile legacy of their marine environment. With few spatial planning initiatives of smaller scale adopted so far, ECROP calls for multiple-use ocean planning and integrated management techniques for better decision making over transboundary marine systems. This project responds to such demand, through the adoption of coastal and marine spatial plans to coordinate management across sectors and resources and integrate environmental management directly with economic development. These plans will build upon early national marine planning efforts<sup>5</sup> and will help Eastern Caribbean countries better understand and then reform governance of the diversity of ocean uses and economic activities, resulting in a more secure framework for sustained investment in the blue economy.

**At a regional level, a number of initiatives were launched to better measure and conserve the Caribbean Sea's natural capital, therefore supporting the basis for the transition to a blue economy.** For example, since 2009 the Global Environment Facility (GEF) has funded a Caribbean Large Marine Ecosystem (CLME+) Project implemented by the United Nations Development Programme, to better assess the status of the ecological systems and the region's natural capital, and support policy recommendations for conservation.<sup>6</sup> Similarly, in 2013, nine Caribbean states and territories signed the Caribbean Challenge Initiative (CCI) Leaders Declaration committing to effectively conserve and manage at least 20 percent of the marine and coastal environment by 2020, together with sustainable financing mechanisms established (for example, Caribbean Biodiversity Fund [CBF]) to fund operating costs over the long term. Six OECS member states are participating in the CCI. Of these, four are currently Caribbean Regional Oceanscape Project (CROP) participating countries. Another initiative is the Climate Resilient Eastern Caribbean Marine Managed Areas Network (ECMMAN) Project (managed by the OECS Commission in partnership with TNC) which aims at establishing new marine managed areas while providing improved livelihood opportunities to the Eastern Caribbean. These and other regional initiatives will lay a strong foundation for the implementation of CROP.

### C. Higher Level Objectives to which the Project Contributes

**The proposed project directly promotes the World Bank Group's Twin Goals, contributes to the WBG's OECS Regional Partnership Strategy (RPS) FY2015–2019 Framework, and ECROP.** More specifically, the project directly responds to the Bank's overarching Twin Goals (eradicating extreme poverty and promoting shared prosperity) by working toward the longer-term objectives of supporting food security, creating jobs for coastal populations, and increasing resilience to climate variability of those who depend on the marine resources, which are among the poorest and most vulnerable. The project is also

<sup>5</sup> National Ocean Policies in St. Vincent and the Grenadines, and St. Kitts and Nevis (draft); Integrated Coastal Zone Management policies in Grenada and Saint Lucia, among others.

<sup>6</sup> <http://www.clmeproject.org/index.html>. Full title and scope of CLME+ Project is: Catalyzing Implementation of the Strategic Action Programme for the Sustainable Management of Shared Living Marine Resources in the Caribbean and North Brazil Shelf Large Marine Ecosystems.



consistent with the WBG’s OECS RPS FY2015–2019 Framework, Report Number: 85156-LAC<sup>7</sup>, by contributing to the competitiveness and resilience areas of engagement<sup>8</sup>. In addition, the project is aligned with ECROP and the associated Three Year Strategic Plan approved in 2013, which provides the framework for enhanced coordination and management of ocean resources within the Eastern Caribbean, where OECS has a key role to play in regional ocean governance<sup>9</sup>.

**The project is also designed to support achieving the goal of the GEF-6 International Waters (IW) focal area** - to promote collective management for transboundary water systems and subsequent policy reforms for the sustainable use and maintenance of ecosystem services. More specifically, through the development of geospatial plans and capacity building, the project responds to the GEF-1 IW objective to “catalyze sustainable management of transboundary water systems by supporting multi-state cooperation through foundational capacity building, targeted research and portfolio learning”, and to the Biodiversity 4 objective to “mainstream biodiversity conservation and sustainable use into production seascapes and sectors”.

**At the global level, the project is well positioned to support the Sustainable Development Goals (SDGs), the Nationally Determined Contributions (NDCs), and the Convention of Biological Diversity’s Aichi targets.** This project will directly contribute toward the achievement of SDG 14, dedicated to the conservation and sustainable use of the oceans for sustainable development, which will be an indispensable building block supporting additional SDGs such as to end poverty (SDG 1) and climate action (SDG 13), among others,<sup>10</sup> in the sustainable development platform. Likewise, the project is well-positioned to contribute to the climate change policies and measures of the OECS countries, outlined in their NDCs.<sup>11</sup> Finally, the implementation of the marine spatial plans (MSPs) will also contribute to achieving the Aichi targets through incorporating protected areas into spatial designs with the purpose of conserving marine and coastal ecosystems (Target 11).

### C. Proposed Development Objective(s)

**Note to Task Teams:** The PDO has been pre-populated from the datasheet for the first time for your convenience. Please keep it up to date whenever it is changed in the datasheet.

#### Development Objective(s) (From PAD)

<sup>7</sup> Endorsed by the Board of Executive Directors on November 13, 2014

<sup>8</sup> In particular, Outcomes 1 and 2 of the competitiveness pillar, which respectively are, improved investment climate and increased tourism benefits; and Outcome 9 of the resilience pillar, which is to increase capacity to manage natural hazards.

<sup>9</sup> The project would support the adoption of an integrated approach to development and management of the ocean (Action 3.2), and application of MSP for improved management (Action 3.3). As such, the project will contribute to the protection of the vital marine habitats in the Caribbean Large Marine Ecosystem (LME) to the benefit of current and future generations.

<sup>10</sup> The project is also a building block to end hunger, achieve food security, and improved nutrition (SDG 2), ensure healthy lives and promote well-being for all at all ages (SDG 3), and promote sustained, inclusive and sustainable economic growth, full and productive employment, and decent work for all (SDG 8).

<sup>11</sup> The NDCs of the participating OECS countries emphasize improving climate change adaptation in priority sectors such as tourism and agriculture. By taking climate change into consideration as an emerging risk, as well as reflecting adaptation and mitigation in the design of coastal and marine spatial plans, the project provides a framework to achieve some of the NDC commitments.



The Project Development Objective (PDO) is to strengthen capacity for ocean governance and coastal and marine geospatial planning in selected Caribbean countries.

#### Key Results

**Four PDO-level results indicators will be used to monitor the success of the proposed Project:**

- (a) Marine spatial plans developed in a participatory manner and endorsed by participating member states and the OECS Commission.
- (b) Coastal master plans developed in a participatory manner and endorsed by participating member states.
- (c) Improved OECS ocean data coverage and access to ocean education on existing platforms.

#### D. Project Description

This project seeks to program grant funding from the Global Environment Facility (GEF) in the following participating GEF-eligible countries:<sup>12</sup> Commonwealth of Dominica, Grenada, St. Kitts (Christopher) and Nevis, Saint Lucia, and St. Vincent and the Grenadines.

**Component 1. Strengthening Ocean Governance (GEF US\$4.00 million).**

**The objective of this component is to strengthen ocean governance through (a) development of coastal and marine spatial plans (CMSP) and associated training, and (b) development of national ocean strategies/policies for participating countries and enhanced alignment of ECROP with the 2030 Development Agenda and recent MEAs<sup>13</sup>.** The development of CMSPs and new ocean strategies and/or policies would support more informed decision making over sustainable management of ocean spaces at both national and regional levels. CMSPs are particularly important to guiding decision-making over ocean spaces and reducing conflicts over multiple uses such as marine tourism, recreation, conservation of biodiversity, fisheries, gas/oil, mining, transport, etc. CMSPs bring a spatial dimension to the regulation of marine activities by helping to establish more effective geographical patterns of sea uses within a given area. The process of developing CMSPs and associated strategies and/or policies is designed to decrease user conflict, improve planning and regulatory efficiencies, and preserve ecologically and economically valuable ecosystem functions and services. Citizen engagement and participation in the process of developing CMSPs and ocean strategies/policies is key to achieving more equitable distribution of benefits to all groups.

This component will support the development of (a) six marine spatial plans (MSPs)<sup>14</sup>, including a regional MSP which is in alignment with National MSPs, and four coastal master plans (CMPs)<sup>15</sup> –

<sup>12</sup> All of the founding and full members of the OECS are participating countries in the project with exception of Antigua and Barbuda, who may opt in at a later phase, and the Overseas Territories—Anguilla, British Virgin Islands, Martinique, and Montserrat—who are not eligible to receive GEF financing. The World Bank is exploring alternative ways of integrating the Overseas Territories into the project.

<sup>13</sup> Approval of ECROP in 2013 preceded the emergence of the 2030 Sustainable Development Goals (SDGs) and recent Multilateral Environment Agreements (MEAs), such as the SAMOA Pathway and Paris Climate Accord, to which the OECS member states subscribed.

<sup>14</sup> One MSP for each participating country, and one regional MSP.



together CMSPs, and associated training; and (b) at least two national strategies and/or ocean policies for participating countries absent of a current strategy/policy. Stakeholder participation will inform every aspect of plans' design, development, and future implementation. In gathering social data, vulnerable and underrepresented groups (including women, youth, the elderly, indigenous and/or migratory communities – essentially more broad citizen engagement), will also be targeted. This component will finance the provision of goods, consulting and non-consulting services, training, workshops and operating costs.

### **Component 2. Strengthening Knowledge and Capacity (GEF US\$1.99 million)**

**The objective of this component is to strengthen knowledge and capacity of citizens and institutions for ocean governance.** Recognition of the importance of oceans and the need to sustainably manage this frontier economic development space increased significantly since the United Nations Conference on Sustainable Development (Rio+20) and for the Caribbean region in particular as evidenced by the G20 Development Working Group meeting on the Blue Economy with Caribbean finance ministers in 2015.<sup>16</sup> Ocean governance is considered the conduct of the policy, actions and affairs regarding ocean areas – essentially, the influence and actions by multiple stakeholders - public, private, and civil society (including with broad-based support by citizens) - to ensure appropriate stewardship over marine resources, both living and non-living. Assessments have suggested that there are at least three gaps that if addressed would enhance ocean stewardship, including policy/strategy formulation for ocean governance. These include a lack of reliable and accessible data and analytics to support decision-making over ocean assets, a lack of broad-based awareness of the importance of ocean spaces and access to cost-effective ocean education for SIDS, and a lack of sustainable investment to support countries' aspirations to transition to a blue economy. This component will address these gaps.

This component will strengthen knowledge and capacity of public, private, and civil society sectors by expanding access to ocean data and ocean education with innovative tools and approaches through partnerships. The project will specifically support (a) expanding the development and use of innovative tools that aggregate and analyze marine data for improved decision-making over ocean assets; (b) enhancing aggregation of, and access to educational content concerning the oceans, primarily via virtual approaches; (c) supporting an investor roundtable to forge new partnerships and raise interest in investing in countries' transition to a blue economy; and (d) strengthening collaboration with UN to help support more effective GEF-supported CLME+ SAP implementation across OECS and the Caribbean region and support for IW-Learn. This component will finance the provision of goods, consulting and non-consulting services, training, workshops, and operating costs.

### **Component 3. Project Management, Monitoring and Assessment (GEF US\$0.31 million)**

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<sup>15</sup> Coastal Master Plan already developed in Grenada will be replicated in the other four participating countries.

<sup>16</sup> CROP is established to support coastal and small island nations on how to fully realize the economic potential of their marine jurisdiction under the UNCLOS within the Caribbean Sea while simultaneously supporting the Sustainable Development Goal (14) for ocean conservation and use, and relevant oceans mandates under the SOMOA Pathway for SIDS. One of the targets set within this SDG goal (14) is to increase the economic benefits to Small Island Developing States (SIDS) from the sustainable use of marine resources (both living and non-living). The intention of this component is to support SIDS across the Caribbean toward these targets and to identify and unlock the economic potential and contribution of their oceans resources and coastal and marine ecosystems through the promotion and stimulation of sustainable blue growth, poverty reduction and shared prosperity.



**The objective of this component is to ensure effective project implementation, monitoring of activities and final project evaluation.** The component will finance goods, consulting and non-consulting services, training and incremental operational costs to the PIU (including a project coordinator) for expenditures related to project activities, including (a) project coordination and management; (b) monitoring and evaluation (M&E), data collection, and stakeholder involvement and coordination, (c) fiduciary administration, accounting and financial/technical audits; and (d) safeguards management.

## E. Implementation

### Institutional and Implementation Arrangements

**The implementing entity is the OECS, which will carry out the project through the OECS Commission.** This implementation arrangement is proposed to ensure clear leadership of project components and to facilitate strengthened regional and inter-ministerial coordination among the OECS Member States. Each participating country (GEF Operational Focal Point) has provided an endorsement letter<sup>17</sup> to the World Bank/GEF authorizing this implementation arrangement.

**The OECS Commission will be responsible for all project aspects including procurement and financial management (FM), as well as technical coordination and M&E.** The Commission houses key units under the Social and Sustainable Development Division (SSDD) that will contribute to the implementation of the project. In particular, the Ocean Governance and Fisheries Program (OGF) within the Environmental Sustainability Cluster (ESC) of SSDD, is responsible for the implementation of OECS' ECROP, and assumes a central role in the implementation of the project. The OGF will be supported by ESC and the Commission's thematic specialists (procurement, financial management, M&E, environment, social, education, human resource, legal and communications), as well as the OECS Ocean Governance Team (OGT)<sup>18</sup> which includes representatives from OECS Member States participating in the project.

**The Project Implementing Unit (PIU) function will be discharged by the OGF which will be responsible for the day-to-day administration of the project.** The PIU functions include coordination, technical support, procurement, FM, and reporting in accordance with the Grant Agreement and the Project Operational Manual (POM). The PIU will consist of the following roles: general project supervision by the OGF coordinator; and, day-to-day project coordination by a project coordinator (in close collaboration with the OGT, and National Ocean Governance Committees (NOGC) in participating countries. The NOGCs, which includes sector ministries, agencies, and nongovernmental entities whose functions

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<sup>17</sup> Letters were submitted by: Dominica GEF Operational Focal Point (Mr. Lloyd Pascal- Ministry of Health and Environment) dated April 5, 2016; Grenada GEF Operational Focal Point (Mr. Fitzroy James - Ministry of Economic Development, Planning, Trade and International Business) dated May 5, 2016; St. Vincent and the Grenadines GEF Operational Focal Point (Mrs. Janeel Miller-Findlay - Ministry of Economic Planning, Sustainable Development, Industry, Information and Labour) dated June 2, 2016; St. Christopher and Nevis GEF Operational Focal Point (Mr. Lavern Queeley - Ministry of Sustainable Development) dated May 3, 2016; and Saint Lucia GEF Operational Focal Point (Ms. Caroline Eugene - Ministry of Sustainable Development, Energy, Science and Technology) dated May 3, 2016.

<sup>18</sup> The OGT is established pursuant to the mandate by the OECS Authority at its 54th meeting in November 2012 to support the development and implementation of the OECS ECROP which was approved by the authority at its 56th Meeting in June 2013.



concern the health and wealth of the ocean, will support and provide guidance in the preparation/implementation of the coastal and marine spatial plans at the national level jointly with the OECS Commission. **A Project Steering Committee (PSC)** will be established to provide oversight and guidance in the implementation of CROP. It will be chaired by the Head of ESC and will comprise various experts from across the OECS Commission, and on a rotational basis, a member of the Ocean Governance Team from participating OECS Member States.

**Note to Task Teams:** The following sections are system generated and can only be edited online in the Portal.

**F. Project location and Salient physical characteristics relevant to the safeguard analysis (if known)**

The Project targets five countries: Grenada, Saint Kitts and Nevis, Saint Lucia, Saint Vincent and the Grenadines, and Dominica. Of the five OECS countries where the project is being implemented, there is a small community of Indigenous Peoples in the Commonwealth of Dominica in what is known as the Carib Territory. The Carib Territory is home to the Kalinago people and it's comprised of 3, 782.03 acres of land stretching over 9 miles on the East, Atlantic coast of Dominica in the Parish of St. David. The Territory is divided into 8 hamlets: Sineku, Gaulette River, Mahaut River, St. Cyr, Salybia, Crayfish River, Battaca and Touna Concorde. As per the 2011 Preliminary Census, the population of the Carib Territory recorded 2,145 people. Based on Dominica's small community of IPs, OP 4.10 has been triggered and an Indigenous Peoples Policy Framework (IPPF) is recommended to be implemented as a guide to the management plans during the implementation phase of the project.

**G. Environmental and Social Safeguards Specialists on the Team**

Ramon E. Anria, M. Yaa Pokua Afriyie Opong, Shafick Hoossein

**SAFEGUARD POLICIES THAT MIGHT APPLY**

Safeguard Policies	Triggered?	Explanation (Optional)
Environmental Assessment OP/BP 4.01	Yes	This policy is applicable even in the absence of civil works or construction in Project preparation and implementation, as consideration of safeguard aspects must still be carried out to ensure the application of best environmental and social practice. Since the Project intends to support spatial planning and facilitate investments in a specific



geographical area, it would be prudent to conduct a Strategic Environmental and Social Assessment (SESA) of the Project area to ensure it is clear how the intended interventions would impact directly and cumulatively. The SESA will provide an overarching, high level visionary decision making tool that will inform the Project leadership of all the environmental and social opportunities and constraints at the regional level. While the SESA will be undertaken during implementation, the draft TOR will be formalized during preparation (e.g. Procurement Plan, TOR in the Operations Manual).

Natural Habitats OP/BP 4.04

Yes

Through Component 1, the Project will finance marine spatial plans and will work on strategic documents to promote economic activity in both existing protected areas and unprotected areas of varying significance. To ensure that the preparation of such plans take into account the identification of potential risks and impacts on marine natural habitats, which are highly likely to be present in the Project's area of intervention, OP 4.04 will apply. If the Project strategic options are successful, the impacts on critical coral reef habitats and biodiversity are expected to be positive. During the formulation of the Project and throughout its implementation consultations will be carried out with key stakeholders to identify potential issues of concern and interest associated with natural habitats and their constituent ecological function, flora and fauna species and genetic resources pool. These will be reflected and impacts noted in the Strategic Environmental and Social Assessment prepared in conjunction with Environmental Assessment OP/BP 4.01, during the implementation of the Project.

Forests OP/BP 4.36

Yes

The financing of coastal and marine spatial plans will include areas along the coast that will inevitably contain Mangrove Forests that are located along estuarine systems as well coves along the coasts of all the islands. Given the fact that the creation of these plans will involve the management of Mangrove Forests, triggering OP/BP 4.36 applies. The impact on the mangrove ecosystem will be positive and the implementation of the MSPs will enhance the future sustainable management of



		these systems in light of any future developments that may be foreseen or recommended in terms of this project or as result of the SESA process.
Pest Management OP 4.09	No	This policy is not triggered as the project will neither support the use nor invests in Pesticides.
Physical Cultural Resources OP/BP 4.11	No	This policy is not triggered as the project will not finance activities that impact physical cultural resources.
Indigenous Peoples OP/BP 4.10	Yes	Implementation of Project activities will be carried out in five OECS countries, one of which is home to a small community of IPs in the Commonwealth of Dominica in what is known as the Carib Territory. This area is home to the Kalinago people and it is comprised of 3,782.03 acres of land stretching over 9 miles on the East, Atlantic coast of Dominica in the Parish of St. David. The Carib Territory is divided into 8 hamlets: Sineku, Gaulette River, Mahaut River, St. Cyr, Salybia, Crayfish River, Battaca and Touna Concorde. As per the 2011 Preliminary Census, the population of the Carib Territory recorded 2,145 people. Based on Dominica's small community of IPs, OP 4.10 is being triggered and an Indigenous Peoples Policy Framework (IPPF) will be prepared as a guide to the management plans during the Implementation phase of the Project, with the advice of the Ministry of Carib Affairs and the Carib Council and in full consultation with the community. Appropriate grievance-handling procedures and arrangements for monitoring the IPPF will be prepared and managed by the Project Implementation Unit.
Involuntary Resettlement OP/BP 4.12	Yes	OP/BP 4.12 is being triggered as a precaution. Based on marine spatial plans to be developed, and the pilot Blue Growth Coastal Master Plan prepared for Grenada in April, 2016 (which will be replicated in all of the targeted countries), the individual country plans will very likely recommend the establishment of Protected Areas (both coastal and marine) which if implemented in the future as part of a World Bank-financed activity or through other agencies or governments, could result in the involuntary restriction of access to the protected areas. As such, a Process Framework will be prepared as an output of the Project to serve as guidance to adhere to if said recommendations result in the creation of



protected areas. Similarly, the studies could also recommend construction of infrastructure Projects in the form of roads, airports, Development Incentive Zones (construction of marinas, ports, tourism infrastructure, research facilities, commercial areas and housing communities, among others). These civil works, if implemented by other projects, could likely involve the acquisition of land and produce potential adverse social impacts. An Involuntary Resettlement Policy Framework will be prepared as an output of the Project to serve as guidance should any recommendation derived from a study result in civil works or the acquisition of land.

Safety of Dams OP/BP 4.37

No

This policy is not triggered as the project will neither support the construction or rehabilitation of dams nor will it support other investments which rely on services of existing dams.

Projects on International Waterways OP/BP 7.50

No

This policy is not triggered, as none of the activities will involve the "use" or potential "pollution" of international waterways in any of the beneficiary countries. Given that the nature of the project is aimed primarily at providing technical assistance and training, none of the activities have implications on international waterways in the manner envisioned in OP 7.50.

Projects in Disputed Areas OP/BP 7.60

No

This project will not finance activities in disputed areas as defined by the policy.

## KEY SAFEGUARD POLICY ISSUES AND THEIR MANAGEMENT

### A. Summary of Key Safeguard Issues

1. Describe any safeguard issues and impacts associated with the proposed project. Identify and describe any potential large scale, significant and/or irreversible impacts:

The Project aims at enhancing the environment and will not have any civil works undertaken. The Marine Spatial Plans to be developed will ensure sustainable management of the ocean resources. The impacts would be positive in nature and no negative large scale, significant or irreversible impacts may occur. In terms of Social Safeguards, no direct impacts as a result of project implementation are foreseen, since it was determined that the operation would be limited to Technical Assistance.

2. Describe any potential indirect and/or long term impacts due to anticipated future activities in the project area:

The potential impacts anticipated are the sustainable management of the Project area. The anticipated future activities are expected to ensure the sustainable management of the ocean. As far as Social Safeguards, the individual



country plans that will be produced by the Project may recommend the establishment of Protected Areas (both coastal and marine) which if implemented, could result in involuntary restriction of access to Indigenous Peoples and other Project Affected People (PAPs). Similarly, the studies could propose civil works in the form of roads, airports, Development Incentive Zones (construction of marinas, ports, tourism infrastructure, research facilities, commercial areas and housing communities, among others). These works, if implemented, would likely require the acquisition of land and create potential adverse social impacts. For these reasons, OP 4.10 and OP 4.12 are being triggered as a precaution and the Safeguards Instruments outlined in section 4 are required to be developed as a guide to the management plans during the implementation phase of the project.

3. Describe any project alternatives (if relevant) considered to help avoid or minimize adverse impacts.

Marine Spatial Plans are used to help avoid or minimize adverse impacts and enhance the management of the ocean resources. In that light alternatives are not relevant to the current purpose.

4. Describe measures taken by the borrower to address safeguard policy issues. Provide an assessment of borrower capacity to plan and implement the measures described.

The client has been consulted during a mission in November 2016 and specific meetings on the application of safeguards was held. The client's team consisted of skilled personnel that have been assigned and are responsible for the management of safeguards. During discussions with the client the policies triggered were discussed and the sound management of the potential issues within the context of the Project were thoroughly communicated. As such, it was agreed that the Safeguards Instruments to be prepared during the implementation of the project are: 1. Strategic Environmental and Social Assessment (SESA); 2. Indigenous Peoples Policy Framework (IPPF); 3. Process Framework and 4. Involuntary Resettlement Policy Framework. Based on the client's experience and core competencies, the grant recipient has strong capacities to monitor and report Safeguards compliance.

5. Identify the key stakeholders and describe the mechanisms for consultation and disclosure on safeguard policies, with an emphasis on potentially affected people.

The project involves a range of beneficiaries at the national and community levels, given the large scale of the countries' marine environment. In particular, direct beneficiaries include ministries from various sectors, nongovernmental organizations (NGOs), and academia. Project activities will be targeted to these staff to enhance their capacity and provide the analytical tools needed to drive the blue economy agenda in the Eastern Caribbean. Through the increased knowledge and awareness of ocean-related issues and the blue economy, professionals in Government agencies would be empowered to actively engage and influence policy trajectories (and decision making) based on primary facts and data. As key stakeholders, they would receive targeted training to carry forward ocean governance in their country long after the close of the project.

Coastal communities and resource users throughout Caribbean are key stakeholders in the project's outcomes and indirect beneficiaries of strengthened and integrated governance for a blue economy. Artisanal fishing communities and similar small-scale resource users (including women), as integral contributors to local and informal economies often lack the recognition and/or capacity to participate in the policy processes designed to address their concerns. Through an emphasis on a participatory approach to strengthening stakeholder relations and citizen engagement, the indirect beneficiaries will be empowered to take an active role in advocating for their needs and ensuring that their vulnerabilities and concerns are addressed. As stakeholders of CROP, their views and the importance of their livelihoods were part of the consultations initiated in the preparation of the project and will continue in the development of the coastal and marine spatial plans. This will also be the case for other coastal communities exposed to similar pressures (particularly climate change) as well as other underrepresented vulnerable citizens of society including the elderly, youth, the disabled, indigenous communities, and women, among others.



Members of industry in the private sector ranging from tourism to shipping will also be indirect beneficiaries of CROP’s resulting spatial planning designs. Relevant industries and business at all levels will participate in the geospatial planning process, thereby ensuring their continued contribution to local, national, and regional economies. Furthermore, engaging these stakeholders as partners in development will pave the way for future collaboration and private investment for the implementation, enforcement, and constant update of the resulting geospatial plans—coastal and marine. In this way, the private sector plays an important dual role as potential partners and indirect beneficiaries of CROP.

Women make up a large proportion of the formal tourism workforce worldwide and in the Caribbean were estimated in 2010 to account for over 55 percent of all hotel/restaurant employees according to the Global Report on Women in Tourism. Enhancing sustainable tourism has the potential to be a vehicle for empowering women, particularly in countries such as Grenada where the sector constitutes such a large proportion of the GDP. Additionally, women accounted for over 15 percent of direct employment in the world’s primary fisheries sector, and this is far higher in the post-harvest activities such as processing and retailing. Women, as indispensable contributors to the Caribbean economy and as players in key sectors linked to the health of the Caribbean Sea, such as tourism and fisheries, are most directly affected by changes and deterioration in ecosystem function. As such, the project will (a) foster women’s participation in engagement activities to bring a powerful voice and visibility to their contribution to Caribbean economies, and (b) through this dialogue, encourage the formulation of gender-sensitive policies (reflected in the geospatial designs) for the benefit of the Caribbean’s blue economy, particularly pertaining to the region’s ocean-based tourism and fisheries.

**B. Disclosure Requirements**

**Environmental Assessment/Audit/Management Plan/Other**

Date of receipt by the Bank  01-Oct-2021	Date of submission to InfoShop  01-Nov-2021	For category A projects, date of distributing the Executive Summary of the EA to the Executive Directors
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**"In country" Disclosure**

**Resettlement Action Plan/Framework/Policy Process**

Date of receipt by the Bank  01-Oct-2021	Date of submission to InfoShop  01-Nov-2021
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**"In country" Disclosure**



**Indigenous Peoples Development Plan/Framework**

Date of receipt by the Bank

01-Oct-2021

Date of submission to InfoShop

01-Nov-2021

**"In country" Disclosure**

**C. Compliance Monitoring Indicators at the Corporate Level (to be filled in when the ISDS is finalized by the project decision meeting)**

**OP/BP/GP 4.01 - Environment Assessment**

Does the project require a stand-alone EA (including EMP) report?

No

**OP/BP 4.04 - Natural Habitats**

Would the project result in any significant conversion or degradation of critical natural habitats?

No

If the project would result in significant conversion or degradation of other (non-critical) natural habitats, does the project include mitigation measures acceptable to the Bank?

NA

**OP/BP 4.10 - Indigenous Peoples**

Has a separate Indigenous Peoples Plan/Planning Framework (as appropriate) been prepared in consultation with affected Indigenous Peoples?

No

**OP/BP 4.12 - Involuntary Resettlement**

Has a resettlement plan/abbreviated plan/policy framework/process framework (as appropriate) been prepared?

No

If yes, then did the Regional unit responsible for safeguards or Practice Manager review the plan?

NA



**OP/BP 4.36 - Forests**

Has the sector-wide analysis of policy and institutional issues and constraints been carried out?

No

Does the project design include satisfactory measures to overcome these constraints?

NA

Does the project finance commercial harvesting, and if so, does it include provisions for certification system?

NA

**The World Bank Policy on Disclosure of Information**

Have relevant safeguard policies documents been sent to the World Bank's Infoshop?

NA

Have relevant documents been disclosed in-country in a public place in a form and language that are understandable and accessible to project-affected groups and local NGOs?

NA

**All Safeguard Policies**

Have satisfactory calendar, budget and clear institutional responsibilities been prepared for the implementation of measures related to safeguard policies?

Yes

Have costs related to safeguard policy measures been included in the project cost?

Yes

Does the Monitoring and Evaluation system of the project include the monitoring of safeguard impacts and measures related to safeguard policies?

Yes

Have satisfactory implementation arrangements been agreed with the borrower and the same been adequately reflected in the project legal documents?

Yes

**CONTACT POINT**

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**APPROVAL**

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**Approved By**

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Country Director:	Sabine Hader	15-Jun-2017

**Note to Task Teams:** End of system generated content, document is editable from here.

