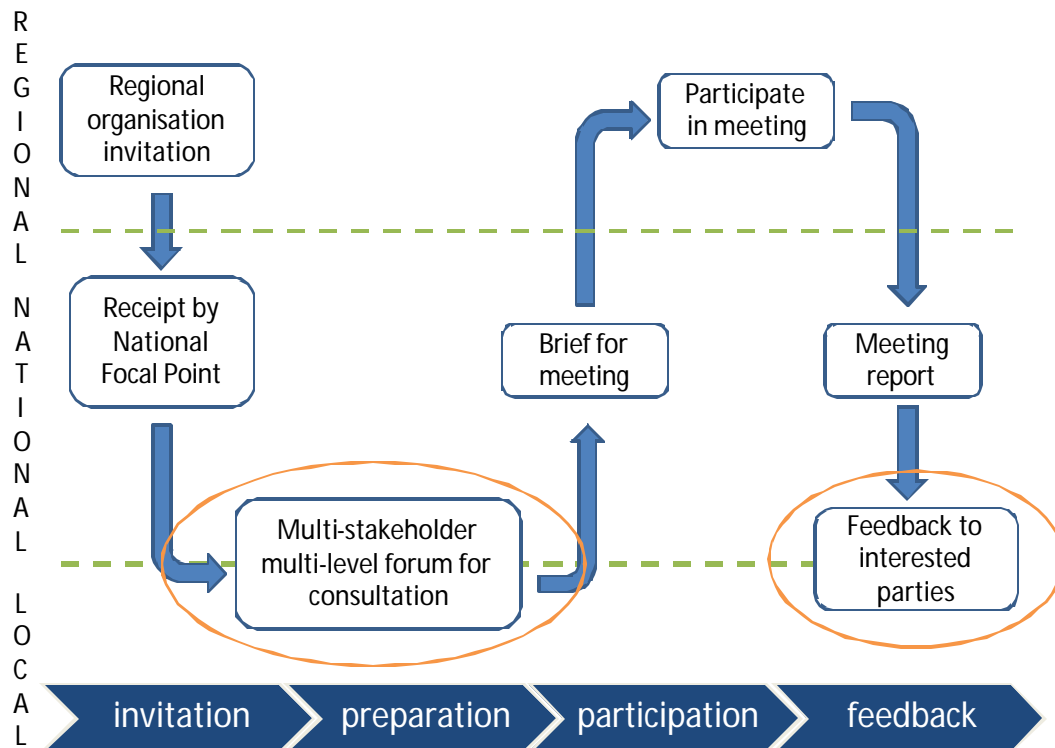


CERMES Technical Report No 40

# Ocean governance in the Wider Caribbean Region: Communication and coordination mechanisms by which states interact with regional organisations and projects

## *The Caribbean Ocean Governance Linkages (COGLinks) Project*



## *The Caribbean Ocean Governance Linkages (COGLinks) Project*

### **Ocean governance in the Wider Caribbean Region: Communication and coordination mechanisms by which states interact with regional organisations and projects**

Mahon, R.<sup>1</sup>, P. McConney<sup>1</sup>, K. Parsram<sup>1</sup>, B. Simmons<sup>1</sup>, M. Didier<sup>2</sup>, L. Fanning<sup>3</sup>, P. Goff<sup>4</sup>, B. Haywood<sup>2</sup> and T. M. Shaw<sup>5</sup>

<sup>1</sup>Centre for Resource Management and Environmental Studies (CERMES), University of the West Indies, Cave Hill Campus, Barbados

<sup>2</sup>One Earth Future, Louisville, Colorado, USA

<sup>3</sup>Marine Affairs Program, Dalhousie University, Halifax, Nova Scotia, Canada

<sup>4</sup>Department of Political Science, Wilfrid Laurier University, Waterloo, Ontario, Canada

<sup>5</sup>Institute of International Relations, University of the West Indies, St Augustine, Trinidad and Tobago

### **Acknowledgements**

The authors wish to thank all those individuals and organizations that participated in the assessment.

The funding for this project was provided by the Arsenault Family Foundation.

The project was conducted under the auspices of the UN Academic Council of the United Nations System (ACUNS).

### **Citation**

Mahon, R., P. McConney, K. Parsram, B. Simmons, M. Didier, L. Fanning, P. Goff, B. Haywood and T. Shaw. 2010. Ocean governance in the Wider Caribbean Region: Communication and coordination mechanisms by which states interact with regional organisations and projects CERMES Technical Report No. 40. 84p.

### **Disclaimer**

This report was prepared as an output of the project ‘Sustainable Governance of the Caribbean Sea: exploring vertical and horizontal linkages for effective governance’ being implemented by a partnership between One Earth Future, CERMES, ACUNS, IIR, and Dalhousie with financial assistance of the Arsenault Family Foundation. The views expressed herein are those of the authors and do not necessarily represent those of the partners implementing the project or the Arsenault Family Foundation.

## Contents

Executive Summary .....	iii
Acronyms .....	vi
1 Introduction.....	1
1.1 Project background.....	1
1.2 Conceptual basis.....	2
1.3 The project approach.....	3
2 Methodology.....	4
2.1 The regional survey (Phase 1).....	4
2.2 Case studies (Phase 2).....	5
3 Region-wide survey of national mechanisms .....	7
3.1 State profiles and insights .....	8
3.2 Analysis of regional survey.....	22
3.3 Key finding of the region-wide survey (Phase I) .....	27
4 Case studies of state level mechanisms for communication and coordination.....	29
4.1 Belize.....	29
4.2 British Virgin Islands .....	35
4.3 Colombia .....	38
4.4 Dominican Republic.....	43
4.5 Grenada .....	47
4.6 Guatemala.....	53
4.7 Jamaica.....	56
4.8 St. Lucia .....	61
4.9 Synthesis of key findings from the state case studies (Phase 2) .....	67
5 Conclusions .....	69
6 References.....	71
Appendix 1: Caribbean Sea Survey – Phase 1 .....	73
Appendix 2: Interview Guides - Phase 2 .....	75
Appendix 3: Communication Flows Relating to the CLME Steering Committee .....	78
Introduction.....	78
Methodology .....	78
Results .....	78
Discussion.....	81
Conclusion.....	82

## **Executive Summary**

The large number of states in the Wider Caribbean Region (WCR) results in most ocean governance issues being transboundary and thus requiring regional cooperation. This project examines one aspect of transboundary ocean governance. It explores how the states in the Wider Caribbean Region relate to regional organizations and projects that deal with transboundary ocean governance issues, specifically regarding participation of states in their meetings. The term 'state' is used for both independent states and the many semiautonomous dependencies in the region. The nature of national level arrangements determines the extent of consultation at the national level as a basis for genuine representation of the full range of stakeholders (government, private sector and civil society) at regional meetings, and also whether information from such meetings is in turn communicated back to these stakeholders. The national level processes underlying interaction with regional initiatives are important if there is to be effective, efficient, accountable, transparent governance of transboundary matters in the region.

The research project was conducted in two phases. Phase 1 was a telephone survey of 39 states of the WCR to determine if they have mechanisms for national level consultation and coordination among private and public sector stakeholders that are used to inform national level participation in regional organizations and projects and to distribute feedback from them. The phase 1 telephone survey was conducted in English and Spanish using a pretested questionnaire comprising eight questions. This sought information from three experts per state on communication before (preparatory) and after (feedback) national delegates attended meetings of intergovernmental agencies and/or regional projects dealing with marine matters. Information on the timing, level, pathway, frequency and documentation of the communication was obtained.

One hundred and four respondents completed the survey and the resulting main findings indicated that informal and formal arrangements for communication were equally prevalent. The former were more typical of preparation and the latter more typical of feedback. There was always communication among national state agencies, but not always with relevant regional bodies or with national or local non-state actors. Communication pathways varied considerably, but both preparation and feedback were regular, and with good documentation of processes.

Phase 2 was a more detailed evaluation of the effectiveness of the arrangements in eight states: Belize, the British Virgin Islands, Colombia, Dominican Republic, Grenada, Guatemala, Jamaica, and St. Lucia, selected based on the results of the phase 1 survey. The assessment was conducted through face-to-face interviews with persons from government, NGO, and private sector agencies in each of the eight states. The assessment was based on the two most recent meetings of the Intergovernmental Meeting on the Action Plan for the Caribbean Environment Programme and the Meeting of the Contracting Parties to the Cartagena Convention (UNEP IGM), and the Caribbean Large Marine Ecosystems Project. The interview questions covered the following themes regarding these meetings: prior knowledge of the meeting, receipt of invitations, decision to attend, selection of representatives, pre-meeting preparation, attendance, post-meeting reporting and follow-up, and respondents' general perception of good governance.

The case studies for the eight states confirm the overall picture provided by the Phase 1 survey and reveal substantial further information about the reasons for the findings. States view regional meetings as important. In addition to the typical stated purposes of decision-making, formal collaboration or coordination, they believe regular national participation in regional and international meetings allows for networking and information sharing opportunities. This, they

say, increases and improves institutional and project linkages across states and regions. The key points emerging from the Phase 2 study are summarized below.

### **Meeting preparation and feedback processes**

- Knowledge of meetings was largely limited to government personnel, and even then only to those directly involved in the activities of the specific organization or project. Non-governmental stakeholders are seldom made aware of such meetings and when they do know it is by virtue of their own linkages and seeking of information on the web (although Colombia has a mechanism for alerting stakeholders about meetings).
- Invitations to attend meetings often go to a central ministry, which can result in the responsible government agency receiving late notification. Other times the invitation goes directly to the focal point for that activity in which case wider distribution within government may not take place. It was suggested that governments request invitations be sent to a central agency and the individual focal point simultaneously.
- The decision to attend a meeting is based primarily upon the perceived relevance of the meeting (organization or project) to the country's needs. The provision of travel funding by the meeting's host is also a major factor in determining attendance and delegation size.
- Low human resource capacity in most government agencies resulting in an excessive meeting burden for individuals is considered a primary contributing factor to poor and ineffective national/institutional inputs to regional meetings and to follow-up and implementation of meeting outputs.
- Few countries have a structured process for selecting representatives to attend meetings. In most cases this is left to the head of the responsible agency. Inappropriate representations can lead to low returns or even errors that affect the country. Selection of appropriate representatives is considered essential for ensuring effective representation of national policies and interests, especially when meeting preparation is left to the initiative of this individual, as is often the case. Continuity of representation was flagged as a problem.
- Informal personal level communications across government allows for timely, specific responses to requests for information. Informal personal relations and rapport are vital to sharing information at all levels of society, but do not provide the accountability and transparency that would be expected of good governance.
- In all states a post-meeting report is required. In most cases these are not widely shared even within government and post-meeting feedback and communication to NGOs and private sector is virtually nonexistent.

### **Cross-sectoral integration**

- The sectoral and fragmented approach to ocean and environmental management that appears to prevail among many of the states of the Wider Caribbean Region reduces the overall effectiveness of communication and coordination regarding regional and international organizations and projects.
- Committees and other mechanisms established with the express purpose of promoting cross-sectoral participation for coordinating input and linkages to regional meetings and projects appear to be somewhat successful in achieving improved communication and information

sharing. This varied among countries with regard to the extent to which the mechanism was fully used (e.g. Colombia) or partially used (e.g. Jamaica).

- Even where mechanisms are not in place, there is wide recognition among the individuals interviewed that multi-stakeholder arrangements or mechanisms are needed and have the potential to add value to national level interactions in preparation for and following regional meetings for MEAs and projects.
- Several multi-stakeholder coordinating committees already exist that can provide some guidance in the establishment and operation of these mechanisms.
- It was said to be important to utilize existing committees or arrangements for national level communication rather than establish separate arrangements for individual meetings.

### **Civil society and private sector engagement**

- The majority of existing coordinating committees for sustainable development do not have adequate representation from civil society or the private sector.
- The agendas of several of these committees do not appear to be sufficiently broad to provide an adequate forum for the range of topics that should be considered for ocean governance and hence to facilitate effective linkages to regional institutions and projects.
- Although there has been some progress and several attempts at multi-stakeholder consultations and communications in most of these states, civil society and private sector participation has not been adequately advanced.
- Improved access to information through the internet is enabling civil society and private sector stakeholders to become more aware and interested in actions and commitment to marine resources governance at the regional and international levels. Thus they are less dependent on information coming from government and more conscious of the activities in which they should be included but are not.
- Institutional capacity, weakness, and lack of leadership characterize most NGOs and CBOs, which makes it difficult for governments to maintain contact and ensure regular communication.

The study revealed a wide diversity of national level mechanisms for engagement with regional organizations and projects in ocean and coastal governance. Across the WCR the processes range from all informal to informal prep but formal feedback to all formal mechanisms.

In all but a few countries the mechanism was not well geared towards engaging civil society and private sector stakeholders. The need for attention to this aspect of governance is prominent in most regional and international multilateral agreements.

In an effort to determine whether the findings of the study were consistent with feedback from representatives actually attending the Regional Steering Committee of the Caribbean Large Marine Ecosystem Project, a short, in situ survey was conducted with representatives attending the first Steering Committee meeting of Phase One of the project in Cartagena, Colombia on 29-30 September, 2009. The findings of this targeted component of the project on Communication Flows Relating to the CLME Regional Steering Committee are appended to this study and support the responses obtained from the broader representation of respondents.

## Acronyms

ACS	Association of Caribbean States
ACUNS	Academic Council on the United Nations System
BVI	British Virgin Islands
CARICAD	Caribbean Centre for Development Administration
CBD	Convention on Biological Diversity
CBO	Community based organizations
CCO	Colombian Oceans Commission
CEO	Chief Executive Officer
CEP	Caribbean Environment Programme
CERMES	Centre for Resource Management and Environmental Studies
CFMC	Caribbean Fisheries Management Council
CITES	Convention on International Trade in Endangered Species
CLME	Caribbean Large Marine Ecosystems
CODOPESCA	Comisión Dominicana de Pesca/Dominican Fisheries Commission
COFI	Committee of Fisheries
CONAP	Consejo Nacional de Areas Protegidas/National Council for Protected Areas
COP	Conference of Parties
CRFM	Caribbean Regional Fisheries Mechanism
CZM	Coastal Zone Management
CZMAC	Coastal Zone Management Advisory Committee
CZMU	Coastal Zone Management Unit
DEFRA	Department of Food and Environmental Affairs
DR	Dominican Republic
DRNA	Dirección de Recursos Naturales y Ambiente/Natural Resources and Environment Department
ESDU	Environment and Sustainable Development Unit
FA EAD	Foreign Affairs Economic Affairs Department
FCO	Foreign Commonwealth Office
FD	Fisheries Department
FFO	Fisher Folk Organizations
FUNDEMAR	Fundación Nacional de Estudios Marinos/National Fund for Marine Studies
GEF	Global Environmental Facility
HOD	Head of Department
IAC	International Advisory Board
ICCAT	International Commission for the Conservation of Atlantic Tunas
ICRAN MAR	International Coral reef Action Network – Mesoamerican Reef Alliance
IEC	Inter-sectoral Environmental Committee
IGM	Intergovernmental Meeting
IIR	Institute of International Relations

IMO	International Maritime Organization
KN	Kingdom of Netherlands
LBS	Land Based Sources of Pollution
LMR	Living Marine Resources
MALFF	Ministry of Agriculture, Lands, Forestry and Fisheries
MARPOL	International Convention for the Prevention of Pollution from Ships
MEA	Multilateral Environmental Agreement
MFA	Ministry of Foreign Affairs
NCM	National Coordinating Mechanism
NCOCZM	National Council on Oceans and Coastal Zone Management
NEMO	National Emergency Management Organization
NPT	National Parks Trust
NREPS	Natural Resource and Environmental Policy Sub-Committee
OECS	Organization of Eastern Caribbean States
OLDEPESCA	Organización Latinoamericana de Desarrollo Pesquero/Latin American Fisheries Development Organization
OSPESCA	Organización del Sector Pesquero y Acuícola del Istmo Centroamericano/ Organization of Fisheries and Aquaculture for the Central American Isthmus
OT	Overseas Territories
PS	Permanent Secretary
RFMO	Regional Fisheries Management Organizations
SD	Sustainable Development
SDC	Sustainable Development Councils
SEMARENA	Secretaria del Medio Ambiente y Recursos Naturales/ Environment and Natural Resource Secretariat
SLASPA	St. Lucia Air and Seaport Authority
SMMA	Soufriere Marine Management Area
SPAW	Specially Protected Areas and Wildlife
TAC	Technical Advisory Committee
TNC	The Nature Conservancy
UK	United Kingdom
UNCLOS	United Nations Convention on the Law of the Sea
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNIPESCA	Unión Nacional de Pescadores Conservacionistas/National Union of Conservationist fishers
UNPHU	Universidad Nacional Pedro Henríquez Ureña/ Pedro Henríquez Ureña National University
USA	United States of America
UWI	University of the West Indies
WASCO	Water and Sewerage Company Inc.
WCR	Wider Caribbean Region
WECAFC	Western Central Atlantic Fisheries Commission
WSSD	World Summit on Sustainable Development



# 1 Introduction

This document presents the approach and results of a research project implemented through a partnership among One Earth Future, CERMES, ACUNS, IIR, and Dalhousie University to explore the prospects for sustainable, integrated, coordinated regional governance of the Caribbean Sea. The purpose of this research was to evaluate the mechanisms by which state governments (and their domestic stakeholders, including private sector and civil society actors) in the Wider Caribbean Region (WCR) interact with regional organizations and projects with a mandate for ocean governance. The term state is used to cover both independent nations and semiautonomous dependencies in the region. The project sought to support the work of the Caribbean Sea Commission in its efforts to marshal expertise and to formulate recommendations on regional cooperation and management of the Caribbean Sea, in conformity with international law and in recognition of the interests of the range of private and public sector constituencies in the region.

## 1.1 Project background

The sustainable development of the Caribbean Sea is a founding principle of the Association of Caribbean States (ACS). ACS documents indicate that the "Caribbean Sea Large Marine Ecosystem is a distinct ecological region" of great economic, social, and environmental importance to the more than 20 states of the WCR. Special mention is given in these documents to the unique governance challenges to be faced in ensuring the sustainability of coastal and marine ecosystem goods and services.

All states, including those of the WCR, have a variety of linkages with regional and international organizations and processes. These arise from the need to:

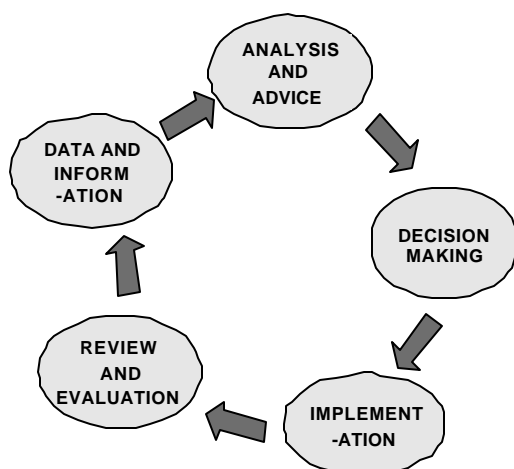
- Service commitments under Multilateral Environmental Agreements (MEA);
- Derive technical and financial benefits from funding agencies; and
- Participate in regional/international activities of mutual benefit.

These interactions also have real and transaction costs for: consultation at the national level, gathering and processing of data and information, reporting and participating in meetings, and providing feedback to stakeholders. When multiplied by the number of MEAs and intergovernmental processes that each state must engage in to be a full partner in regional development, these costs can be extremely burdensome, especially for small states. Consequently, the engagement with these processes may not be as effective as needed for states to obtain the full benefits of the relationships. Conversely, weak engagement may result in regional processes not getting the quality of involvement that is needed for effective action at the regional level.

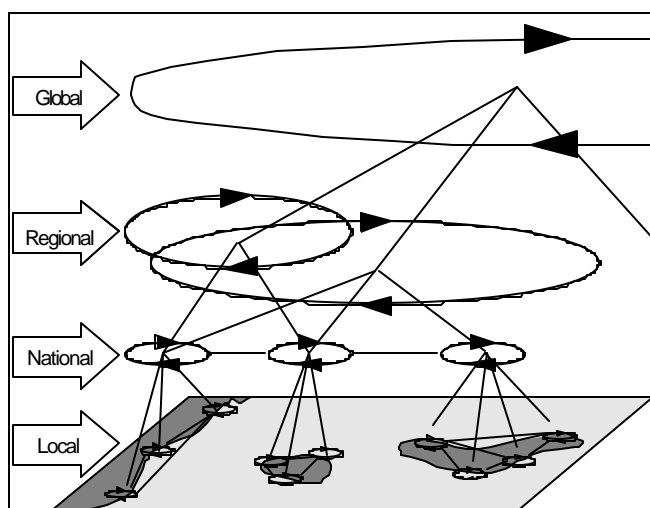
The linkage mechanisms that currently exist in Caribbean states appear to suffer from a variety of problems relating to: the principles upon which they are established, how they are organized, and the capacity of those who are responsible for implementing them. Informal discussions at regional meetings indicate that different Caribbean states have different arrangements for these linkages and that these may have various strengths and weaknesses.

## 1.2 Conceptual basis

In the context of ocean governance for living marine resources, the states of the Wider Caribbean Region have, through the Caribbean Large Marine Ecosystem Project, adopted an approach based on the Large Marine Ecosystem (LME) Governance Framework (Fanning et al 2007, 2009). The framework is policy cycle-based (Figure 1) and multilevel (local to international) (Figure 2). It places emphasis on the completeness and functionality of policy cycles at all levels and on the linkages among them. This research focuses on the part of the framework where national governments link to subnational and subregional actors, institutions and processes below them and regional levels above them and on the national level policy cycles that underlie these linkages.

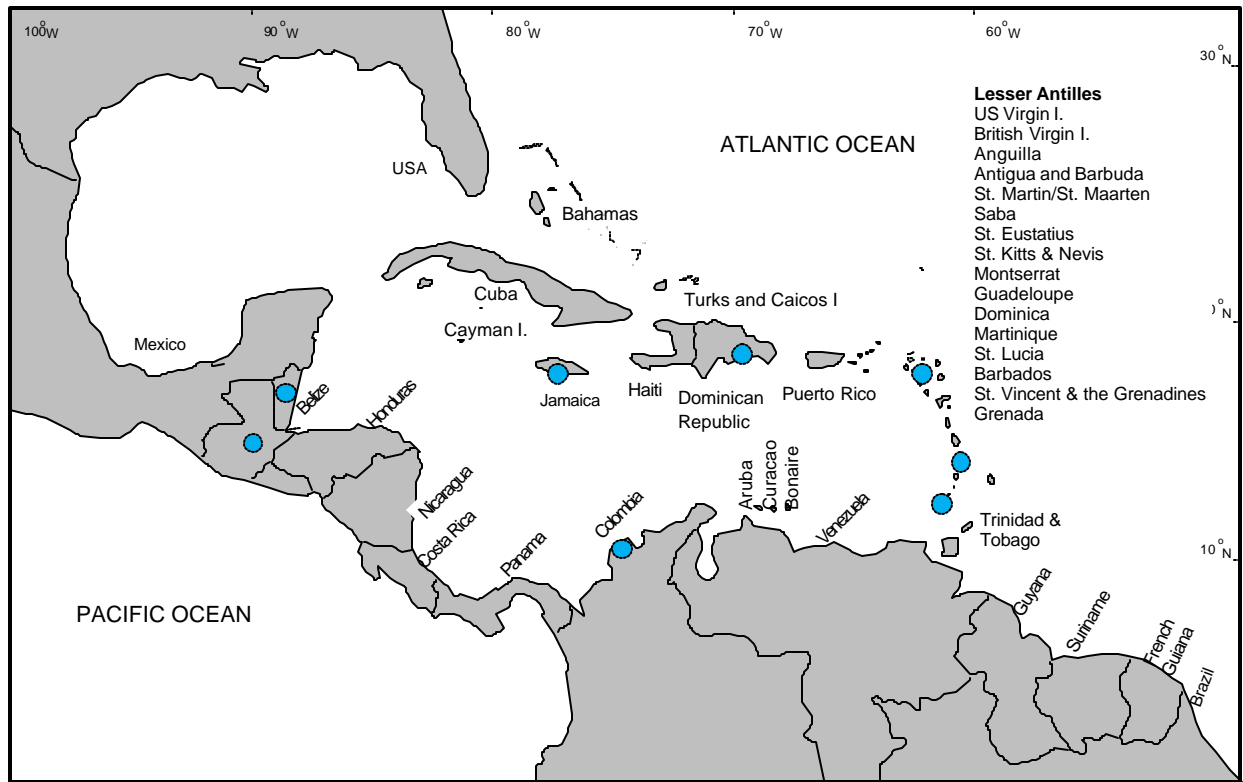


*Figure 1: The complete policy cycle with linkages between each stage to ensure an effective decision-making*



*Figure 2: The multi-level component of the LME governance framework with vertical and horizontal linkages among the different policy cycles at multiple levels*

The LME Governance Framework was developed in response to the observation that as a region, the Wider Caribbean is one of the most geopolitically complex in the world (Figure 3). This has been supported by subsequent research (Mahon et al 2010). Consequently, the LME governance framework was designed in such a way as to promote governance flexibility by accommodating a wide range of governance modes, from government-led through fully-delegated to competent partners (Pomeroy et al 2004, McConney et al 2007). It is also consistent with emerging global perspectives on governance that place emphasis on the related ideas of flexibility, adaptive capacity, responsiveness and resilience as desirable attributes for a governance system (Berkes in press a, in press b). The present study has been developed with these ideas in mind. Consequently, there is attention to inclusivity at the national level, of partners within government and also outside, in the private sector and NGOs. Linked with these ideas are related ones associated with the concept of Principled Ocean Governance (Rothwell and VanderZwaag 2006), which place emphasis on transparency, accountability, effectiveness, efficiency and sustainability as essential characteristics of governance mechanisms. These are also explored.



*Figure 3: The Wider Caribbean Region highlighting Phase 2 case study sites*

The emphasis on the ecosystem approach to ocean governance that can be found in many international agreements, such as the Code of Conduct for Responsible Fisheries, the Convention on Biological Diversity, and the UN Fish Stocks Agreement, underscores the need for greater attention to the above approaches and principles. The ecosystem approach calls for increased integration of disciplines and increased use of the diversity of inputs that inclusion of all stakeholders can bring to governance (FAO 2003, CBD 2004, Fanning et al 2010). The ecosystem approach is increasingly being reflected in regional instruments and practice, for example the Cartagena Convention and the St Georges Declaration. It is therefore appropriate to explore the extent to which some of these principles are reflected in national level processes and practices for interacting with regional organizations in relation to MEAs and projects for which they are responsible.

### **1.3 The project approach**

This research project examined both the linkages and the underlying policy cycles relating to integrated governance of the Caribbean Sea. It proceeded in two Phases. The first Phase was a survey of all states of the Wider Caribbean Region, which subsume the members of the Association of Caribbean States, to determine if they had mechanisms for coordinating the linkages between private and public sector stakeholders horizontally across the region and within states; and vertically to regional institutions and processes.

In the second Phase the study described and evaluated the effectiveness of the arrangements in a cross section of Caribbean states selected from the information acquired in the first phase. The focus was on a variety of horizontal and vertical linkages, including inter-ministerial and inter-

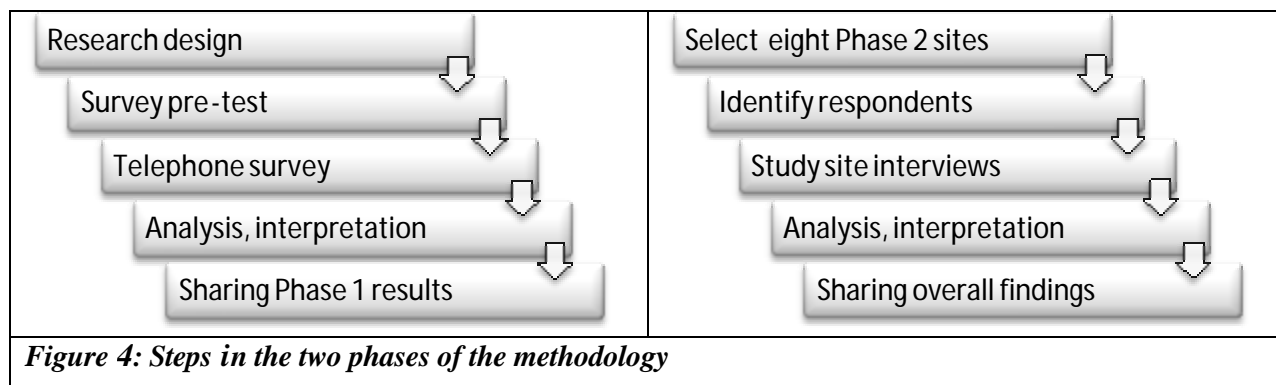
sectoral linkages within national contexts; transnational and domestic network linkages between sectoral stakeholders; and civil society linkages within national contexts. It assessed the arrangements against criteria such as efficiency, effectiveness, transparency, inclusivity and accountability. It also examined what is considered to be working well in these mechanisms. Ultimately, the project sought to identify best practices with reference to state size and capacity and to present options for establishing and operating mechanisms that reflect these practices. Case selection considered the cultural, political, and economic diversity of Caribbean states to ensure a sample of states that transcends linguistic and other regional boundaries.

In an effort to determine whether the findings of the study were consistent with feedback from representatives actually attending the Regional Steering Committee of the Caribbean Large Marine Ecosystem Project, a short, *in situ* survey was conducted with representatives attending the Steering Committee meeting of the project held in Cartagena, Colombia on 29-30 September, 2009. The results of this analysis are presented in Appendix 7.4.

To the degree that our findings can be generalized beyond the Caribbean region to suggest general best practices for integrated and coordinated regional governance based on effective linkage mechanisms, we encourage that.

## 2 Methodology

Figure 4 summarises the two phases of the methodology described in more detail in the sections below.



### 2.1 The regional survey (Phase 1)

The survey was conducted using a pretested questionnaire (Appendix 1) comprising eight questions to solicit information on the arrangement for communication before and after meetings of intergovernmental agencies and/or regional projects dealing with marine matters. Information on the timing, level, pathway, frequency and documentation of the communication were also solicited. Attribute data was collected on the type of agencies represented in the sample. The survey was conducted via telephone interviews in English and Spanish for the respective states of the wider Caribbean that participated in the survey. Interviews were on average 10-15 minutes in duration.

In each of the states surveyed three government agencies associated with Ministries of Foreign Affairs, Environment, Agriculture/Fisheries and/or Coastal Zone Management were selected as the original sample agencies. A call list was generated from several existing marine related directories of stakeholders, websites, and the Global Environmental Facility (GEF) National Focal Points database available online from the GEF website. Respondents were identified at the Permanent Secretary (PS) and/or Chief Officer/Head of Department (HOD) level in each of these agencies. In some cases when the PS or HOD was not available alternate respondents representing division heads or chief technical officers were solicited and/or suggested by the original respondent to participate. Also, where the original government agency was not available, could not be reached, or refused to participate, the Ministry of Tourism and/or the national maritime authorities were targeted/sampled.

A call log spreadsheet with states sampled, respondents, contact information, and call attempts and associated responses was set up using Microsoft Excel 2007 (Call Log Sheet of Appendix 2). All calls and the responses were logged using the spreadsheet. The data from the questionnaires were entered into a spreadsheet (mega results sheet in Appendix 2) and analyzed using Microsoft Excel 2007. The mega result spreadsheet comprised each individual response by respective state. These individual responses were then aggregated in order to arrive at a state level response. Aggregation was possible by using a combination of (i) the most common occurring response for each variable/question, and (ii) key insights (Table 3) that were derived from respondents regarding their choice of answer(s) for the respective questions.

## 2.2 Case studies (Phase 2)

Phase two described and evaluated the effectiveness of the arrangements in eight states expanding upon the information acquired in phase 1. The eight case study states were selected based upon six guiding criteria as in Table 1 below.

*Table 1: Case study states and selection criteria*

States	Participation in recent CLME/UNEP meetings	Example of formal or informal arrangement from Phase 1	Size and category	Language	Logistics/ access	Representative of membership in Regional Organizations
<b>British Virgin Islands</b>	UNEP	Informal	SIDS	English	Feasible	OECS, OAS, CARICOM, ACS, CC
<b>Grenada</b>	Both	Informal	SIDS	English	Feasible	OECS, OAS, CARICOM, ACS, CC
<b>Jamaica</b>	Both	Formal	SIDS	English	Feasible	OAS, CARICOM, ACS, CC, OLDEPESCA
<b>St. Lucia</b>	Both	Informal	SIDS	English	Feasible	OECS, OAS, CARICOM, ACS, CC
<b>Belize</b>	CLME	Formal	SIDS on mainland	English	Feasible	CARICOM, SICA, ACS, CC, OAS, OLDEPESCA

<b>Colombia</b>	CLME	Formal	Large on mainland	Spanish	Feasible	SICA, ACS, OAS
<b>Dominican Republic</b>	UNEP	Formal	SIDS	Spanish	Feasible	ACS, OAS, OLDEPESCA
<b>Guatemala</b>	CLME	Formal	Large on mainland	Spanish	Feasible	ACS, OAS, SICA

There are several marine related conventions and projects which are of relevance to these states and the wider Caribbean region in general. The following are unique to the region including the case study states.

1. *The Cartagena Convention on the Protection and Development of the Marine Environment in the Wider Caribbean and its three protocols: Protocol Concerning Specially Protected Areas and Wildlife in the Wider Caribbean Region (SPAW), Protocol Concerning Cooperation in Combating Oil Spills in the Wider Caribbean Region (Oil Spills), and Protocol Concerning Pollution from Land based Sources and Activities (LBS).*

The Cartagena convention constitutes the first regional framework for the protection of the marine and coastal resources (UNEP-CEP 2004). The Convention was adopted in Cartagena, Colombia, in March 1983 and entered into force in October 1986. All of the case study states have ratified this convention, its oil spills, and the SPAW protocols. The LBS Protocol is yet to be accepted, signed and ratified by all. The flagship meeting under this convention is the Intergovernmental Meeting on the Action Plan for the Caribbean Environment Programme and Meeting of the Contracting Parties to the Convention for the Protection and Development of the Marine Environment of the Wider Caribbean Region, more popularly known as the IGM. It includes all states and territories of the WCR, both members of the Action Plan and Parties to the Cartagena Convention. The IGM is held every two years to agree on the priority actions and projects to be implemented over the next 2 years. Representatives at these meetings from each participating state and territory have to be nominated by the respective government focal point. In addition to the state delegates, participation is also invited from the international, United Nations, donor and NGO communities who participate as observers. The IGM is preceded by the Conference of Parties to the SPAW Protocol (COP). Meeting documents are prepared and posted on the website of the secretariat (United Nations Environment Programme Caribbean Regional Coordinating Unit (UNEP-CAR/RCU), based in Kingston Jamaica) six (6) weeks prior to the start of the meeting for the perusal of the participants.

2. *The Caribbean Large Marine Ecosystem (CLME) Project*

An opportunity is provided by the CLME project for Caribbean states to fully address the World Summit on Sustainable Development (WSSD) goals regarding fisheries, particularly those pertaining to restoration of stocks to levels that can produce maximum sustainable yield by 2015 and introducing an ecosystem-based approach to the assessment and management of marine resources by 2010. The project thus enables the region to participate more fully in moving towards WSSD objectives. The CLME project aims to strengthen regional cooperation to reverse degradation of shared living marine resources. The lessons learned regarding cooperation in management of transboundary resources by the numerous and diverse states of the Caribbean will be of value to those addressing similar management issues in other parts of the world, particularly those where small island developing states (SIDS) are common.

The CLME project builds on and complements existing projects and initiatives that emphasize technical and institutional aspects of sustainable living marine resource (LMR) use by focusing on governance, knowledge, and institutional issues in a transboundary marine context. The regional scope of the CLME project will serve as a platform for governments and other stakeholders to collectively pursue the goals of economic and environmental sustainability. With the CLME project, there is the opportunity for implementation of management reforms that will permit sustainable development and management of the shared LMRs of the Caribbean Large Marine Ecosystem and adjacent regions. Since most LMRs are shared in some way, these reforms can be expected to lead to improved food security and enhanced livelihoods in coastal communities that rely on fisheries and tourism.

The Phase 2 assessment was hinged on the two most recent meetings of the UNEP IGM, and the CLME Project. If any of these were not attended in recent times, then respondents were invited to name any other relevant marine related meetings in which they had attended in the last two years. The case studies provide an assessment of current mechanisms, linkages, best practices, and challenges regarding communication and coordination when preparing for, attending and reporting on these meetings at the respective national and sub-national levels.

The project steering committee recommended specific themes and general questions covering pre-meeting preparation, attendance and post-meeting feedback relevant for the assessment related to these meetings. Two interview guides covering the themes and general questions recommended by the steering committee were prepared and administered to suit government and civil society/private sector organizations respectively (Appendix 3). The sampling approach involved visits to each of the states for 2-3 days to obtain 6-8 interviews. Prior to state visits, consultants prepared a list of potential contacts for interviews. This list included two Phase 1 government contacts who had attended the UNEP IGM, CLME or any other relevant marine related meeting, two other government agencies, two NGOs/private sector, and/or two organizations who should have been involved or historically have been involved, but were not currently named as being part of the process (government, NGOs, private sector) based upon Phase 1 results.

The first two interviews targeted the two government agencies who participated in the UNEP IGM or CLME meetings, respectively. These were then prompted to name other government, NGO or private sector organizations that they communicated with in either pre-meetings or post-meetings. Two NGO/private sector organizations and two other government organizations were randomly selected from these named organizations. Where respondents did not name a contact for any of the focal categories, the respective organizations were selected from the consultant's list as potential respondents. The selected potential respondents were then contacted in state via telephone, informed of the project and provided with Phase 1 executive summary 2-pager. They were then asked for an interview, and once they agreed, a time and place was established. All interviews were recorded, and conducted in either English or Spanish based on the respective state case study.

### **3 Region-wide survey of national mechanisms**

This section contains the results from Phase 1 of the study consisting of the survey of 39 states in the Wider Caribbean Region



## 3.1 State profiles and insights

This section of the report presents a brief profile of respondents, distribution of agencies that completed the survey (Table 2) and the key insights (Table 3) used in the aggregation mentioned above.

### 3.1.1 Respondents profile

A total of 104 interviews were completed from a possible 117 from among the 39 states targeted. This represented an 89% response rate, with 56% of the respondents being Directors, Chief Fisheries Officer or HODs, 34% Deputy Directors and/or Chief Technical Officers, and 10% Permanent Secretaries.

### 3.1.2 Agency distribution

Among the states sampled the majority of agencies that completed the survey comprised foreign affairs (25%), environment (24%), fisheries (28%), CZM (16%). Others made up 5% and included tourism, maritime authorities and ministries of labour and culture and/or education that had some responsibilities for marine affairs.

*Table 2: Distribution of agencies represented in each of the states sampled (? = one interview)*

State	Foreign Affairs	Environment	Fisheries	Coastal Zone Management	Tourism	Maritime	Other relevant ministry
Anguilla	?	? ?	?				
Antigua	?	?	?				
Aruba		?					?
Bahamas	?		?				
Barbados	?	?	?				
Belize	?	?	?				
Bonaire		?	?				
Brazil	?		?				
British Virgin Islands	?		?				
Cayman Islands	?	?					
Colombia		?	?			?	
Costa Rica	?	?	?				
Cuba		?	?				
Curacao	?	?	?				
Dominica	?		?		?		
Dominican Republic		?	?				
French Guiana	?						
Grenada	?	?	?				
Guatemala		?	?				
Guyana	?	?	?				
Haiti	?	?	?	?			
Honduras	?	?	?				



State	Foreign Affairs	Environment	Fisheries	Coastal Zone Management	Tourism	Maritime	Other relevant ministry
Jamaica	?	?	?				
Martinique	?						?
Mexico	?	? ?	?				
Montserrat	?	?	?				
Nicaragua	?	?	?				
Panama	?	?	?				
Puerto Rico			? ? ?				
St. Eustatius		?	?				?
St. Kitts and Nevis	?	?	?				
St. Lucia	?	?	?				
St. Vincent and the Grenadines	?		?				
Suriname	?	?	?	?		?	
Trinidad and Tobago	?		?	?			
Turks and Caicos Islands		?					
United States of America	?		?				
United States Virgin Islands		?	?				
Venezuela	?	?	?				

### 3.1.3 Key insights

Table 3 presents some key insights about the communication process in each of the states sorted under the relevant thematic areas. This information was gathered through further probes of the interviewee's responses to the respective questions.

*Table 3: Key insights derived from individual responses to telephone survey*

State	Themes	Insights/comments
Antigua and Barbuda	Arrangement	Antigua has a national coordinating mechanism (NCM) that meets on a quarterly basis. This mechanism is used often to share and review information and issues of concern including participation and outcomes of key meetings.
	Level of communication	The mechanism comprises mainly govt. agencies. Civil society participation is limited. If inputs are required from or there is information to be shared with local level e.g. NGOs and/or private sector then they are brought into the process.
Anguilla	Arrangement	A UK representative selected from either FCO or DEFRA will attend large international meetings e.g. CITES COP, He/she will usually ask for inputs prior to meetings. If the meeting is a high level one, a more formal process involving pre and post meetings is adopted.
	Documentation	Documentation in terms of storage and retrieval is being improved to ensure availability of reports etc.
	Level of communication	Communications are mainly with national governmental agencies. The process is not strong with the local civil society and private sector levels. Depending on the issue other levels e.g. NGOs, private sector agencies and some regional agencies are brought

State	Themes	Insights/comments
		into the process on an as needs basis.
	Pathway/means	Email and phone are used pre-dominantly, however, a combination of face-to-face and/or email/phone communication are used depending upon the issue at hand. Post meeting feedback is usually face-to-face. Electronic means of communication allows for easy distribution, storing etc. The weak communication technological capacity is a limiting factor at times in the communication process. However email has been most effective.
	Timing	Pre-meeting preparation and post meeting debriefing seldom occurs.
Aruba	Arrangement	There is no policy specifying procedures, the process changes each time the government changes.
	Documentation	No established repository or database for documents, often need to refer back to organizations' websites. Information usually goes with individuals when they depart the organization. There is limited human capacity.
	Frequency	At a Netherlands (KN) level there is a monthly meeting in Holland and representatives discuss and approved decisions to be taken at a KN level. Local government participating as member of the KN cannot commit at any international meeting if theme was not discuss previously at the monthly meeting, not so if they are participating as Aruba.
	Level of communication	Communications are mainly with national governmental agencies. Depending on the issue (if it is a sticky point or requires information) other agencies at other levels are involved in the communication. NGOs, private sector agencies and some regional agencies are brought into the process on an as needs basis.
	Pathway/means	Email and phone are used pre-dominantly, however, face-to-face and/or email/phone communication are used based upon the issue at hand. Post meeting feedback is mainly a submitted written report. Electronic means of communication allows for easy distribution. The limited human capacity is viewed as a limiting factor at times in the communication process.
	Timing	Briefings and pre-meeting preparation seldom occurs. Follow-up of recommendations brought back by meeting participant is usually at the discretion of the head of relevant department.
Bahamas	Arrangement	Standing committees exist e.g. for CITES which meet and prepares state positions and seeks Cabinet approval.
	Level of communication	Despite close relationship between national government departments, communication process can be improved in terms of wider consultations/dialogue on regional matters
	Pathway	Combination of face-to-face and email/phone communication is often used. However, depending on the nature or importance of the meeting then face-to-face communication will be used.
Barbados	Arrangement	Every year all agency/dept heads meet to set the programme and budget related to various MEAs including attending respective meetings. Within ministries, monthly meetings of all heads are held with minister to report on performance. Prior to travel to meetings a cabinet paper is required for submission to the cabinet sub-committee on travel. Formal reporting is required after meetings to the PS. However, this is not always the case or enforced. Usually no follow-up occurs, only if there is a need. In Barbados it is typical to have a fixed focal representative responsible for specific meetings.
	Documentation	There is a need to improve data management in the public sector especially storage, retrieval and dissemination of documentation. It takes too much time to track down documentation from other ministries.

State	Themes	Insights/comments
	Frequency	The level of importance of the issue or meeting determines the frequency of communication.
	Level of communication	Inter-ministry communication seems to be not well integrated. Most keep information within themselves. This needs improving. There is no direct communication regarding meetings with civil society and private sector, unless needed.
	Pathway	Combination of face-to-face meetings and emails. Face-to-face is more common especially depending on nature of the issue and is reinforced by email. Govt. using information technology for communication, but still mostly archaic, using paper and post. Conference calls still not being utilized fully.
Belize	Arrangement	Requires ministerial approval for duty leave explaining benefits of meeting and upon return need to submit a report. If state is financing participation, Ministry of Finance also needs to approve participation. Post-meeting report must be sent to head of ministry and CEO of parent ministry.
	Documentation	A written report is expected to be submitted after assisting to meetings however this is not always followed
	Frequency	NREPS holds quarterly meetings
	Level of communication	NREPS is a policy and planning coordinating mechanism regarding issues such as state position. It consists of heads of departments and focal points and makes recommendations to the PS who in turn forward these to the cabinet.
	Pathway/means	They rely mostly on email on telephone calls for meetings arrangements
	Timing	Briefings and pre-meetings seldom occur. Post-meeting report is expected to be presented within two weeks of returning to state. Participants discuss with CEO whether recommendation can be implemented and what actions can be taken.
Bonaire	Arrangement	Each department has a budget which includes travel and training, once budget is approved HOD decides which conference they will attend. Executive Council approved selected candidate however finance department also need to approve depending on existing budget if the territory is financing their participation. When the meeting requires state position then it is usually a person from Curacao that attends. Civil Servant is not in a negotiating position; if matters involve setting the tone of policy then the commissioner of the island goes along.
	Documentation	Information, when received, is distributed and filed both as hard and digital copies by each department which makes it readily available.
	Level of communication	Draft document to be presented at a meeting is submitted for an internal discussion by the Executive Council. Commissioner needs to also to be informed about the trip
	Pathway/means	There is an initial Executive Council meeting to decide upon attendance and attendee, followed by email of documents for submissions for comments.
	Timing	Next year Netherland Antilles will change constitutional person and along with the other islands of the Netherland Antilles will become a special municipality of Netherland, therefore whatever process now exists may also change.
Brazil	Arrangement	Ministry selects candidate and follow-up is at the discretion of the HOD.
	Documentation	All major reports can be found on their website
	Level of communication	When participant is from the ministry of foreign affairs there is basically only interdepartmental communication. Other ministries tend to consult with civil society depending on the issue.
	Pathway/means	Main mean of communication pre and post meeting is done via email.
British Virgin Islands	Arrangement	Meetings of marine nature forward to PS min. of nat. resources. FA will often follow-up on action with respective ministry.
	Documentation	Documents from most meetings are filed per subject matter and respective file goes with cabinet paper.

State	Themes	Insights/comments
	Level of communication	Local civil society and private sector are communicated with for some meetings. Still very much depends on the issues. Inter-ministry communication/consultation needs improving.
	Pathway	Mainly internal Govt. mailing system used. Face-to-face only when necessary.
Cayman Islands	Arrangement	No written process to follow, the regular practice is that a meeting will be held with some depts/ministries to determine benefits of attending in light of budget. Inputs are solicited from participants. The decision on who will attend is usually of the meeting. UK OT Rep e.g. FCO or DEFRA will attend some meetings e.g. CBD COPs, but usually seeks inputs through formal request via the Chief Minister's Office.
	Documentation	There is usually good documentation but at times some docs are hard to find.
	Frequency	Some of the government departments have occasional teleconference with DEFRA or FCO to discuss priorities and issues. This happens once a month and is evolving.
	Level of communication	The views of other dept/stakeholders, etc. are usually known beforehand for most of the meetings that Cayman is interested in and usually attends.
	Pathway/means	Cayman is a small state that depends heavily on face-to-face meetings, but more important for meetings that are of priority and the issue/situation. There is increasing use of information technology, e.g. teleconferences, to maximize on cost effectiveness. Radio and talk show media are used for communication and sharing info to local level/general public, and have been effective.
Colombia	Arrangement	Pre-meeting preparation is considered to be an established practice. For meetings dealing with international conventions and presenting state positions one always meets with foreign affairs previously and develops a document to take to the meeting. This type of meeting is usually attended by a politician and technical person. When attending technical meetings, participant informs but does not meet with foreign affair and upon return may present a report to the Ministry of Foreign Affairs. However a report is always expected to be deliver upon return, copies are given to interested parties. If follow-up is necessary this is done by foreign affairs with respective ministry.
	Documentation	An information network has been established within the state. Several governmental institutions working on marine resources put their information in a digital database to which everyone with a code has access. This is a substitute for meetings, emails, and letters. It is however a work in progress as inter-institutional jealousy needs to be overcome.
	Level of communication	Depends on type of meeting. If there is not much information on a topic or for specific themes then consultation goes beyond governmental institutions. If not then consultation is contain within ministries.
	Pathway/means	E mail is mostly used given the distances between institutions.
	Timing	Communication process occurs frequently among governmental institutions. With civil society mostly occurs when one needs to consolidate state position and requires their perspective.
Costa Rica	Arrangement	There are policies detailing procedures to be taken prior to meetings; ministry is required to meet with foreign affairs if the meeting requires a state position. At regional level they try to get consensus through OSPESCA on issues such as artisanal fisheries and governance. With/through OSPESCA they try to maintain a permanent open relation for the definition of regional policies. Civil society input is requested for large international meetings i.e. Marine Biological Corridor. After a meeting it is a requirement that a written report be submitted with a copy to foreign affairs and another that stays within the ministry but t is available to any of the other ministries. If it is a technical meeting the ministry is the one to make any pertinent decisions. A post-meeting report is requested, however the reps does not always comply with this.
	Documentation	Easily available when in hard copy form, less so when in digital form

State	Themes	Insights/comments
	Level of communication	Communication is mainly with national governmental agencies. Depending on the issue other agencies at other levels are involved in the communication. NGOs, private sector agencies and some regional agencies are brought into the process mainly when the meeting relates to regional projects/conventions.
	Pathway/means	Email and phone are used pre-dominantly, however, face-to-face and/or email/phone communication are used regularly when the meeting requires state position, otherwise this process seldom occurs. Post meeting feedback is mainly a submitted written report. Electronic means of communication allows for easy distribution.
	Timing	Follow-up from meeting is mostly by the person who attended the meeting. There is continuous communication with fisher folk orgs if they are stakeholders in the agreement.
Cuba	Arrangement	The department of foreign affairs within the ministry is the entity that drafts an initial meeting document then there is a meeting with the relevant ministries in order to get their inputs. After the meeting a report is expected followed by a meeting with the ministry to discuss if follow-up need to be done and by who
	Documentation	All reports are filed in hard copies and easily available to the ministries.
	Level of communication	Communication occurs only within governmental agencies.
	Pathway/means	There is an initial face-to-face communication to discuss the upcoming meeting followed by email and phone calls.
Curacao	Arrangement	Established practice where all govt. officials adhere to protocol for attending and reporting on meetings. Require permission from Govt. to attend meetings. Representatives are selected by competency and education. After meetings a formal report is prepared and sent to relevant depts. Written govt. legal framework (LLM - National decree on materials and civil matters) sets out all obligations and rights of civil servants including information disclosure. Foreign relations office select relevant departments, these are responsible to consult with sister isles and other agencies. Pre-meeting consultations are held if there are specific issues or questions to answer. A report is required after meetings. For international meetings such as those related to MEAs they are required to consult the Netherlands Government. However in terms of a state position, Netherlands does not decide for everyone. They can decide to participate as set of islands making up the Netherlands Antilles (St. Maarten, Saba, Bonaire, Curacao, Aruba, St. Eustatius) or choose to go with the position of the Netherlands.
	Documentation	There is good documentation but it is only made available to govt. agencies. There is a national decree on public information, however very little info is actually shared with public. All govt. depts. have a PR officer. Dept of Information and Communication has to get approval from minister for press communiqué to be published in media. Very bureaucratic system but seems to work.
	Level of communication	A network of 150 persons/agencies (nanciweb@yahoogroups) are used for pre- and post-meeting consultations, comprising individuals, govt. agencies and counterpart NGOs etc.
	Pathway/means	Both face-to-face and email/phone communication used. Face-to-face meetings are more occasional and depends on the issue
Dominica	Arrangement	There is a long standing practice where invitations via communiqué are circulated to relevant agencies for them to indicate participation and select rep. If inputs are required from other agencies these are sought. There is an ongoing process where a designated focal point participates in specific meetings for continuity. Issues, size and number of players will drive type of communication/consultation. Dominica is a very close knit society so communication is more at a personal level.

State	Themes	Insights/comments
	Frequency	Certain meetings require regular communication especially depending on issues with far reaching implications. e.g. monthly meetings to discuss development on the coastal zone. Frequency depends on time-frame of receiving invitations and the type of issues. The frequency of using the process is again determined by the issue.
	Level of communication	Communicate is mainly with national governmental agencies. If there is an issue(s) relevant to other levels then it will be shared and discussed. The nature of the issue determines involvement of other level stakeholders.
	Pathway/means	Email/telephone communication is used unless pre-meetings require a state position, when face-to-face meetings will be used. Email has been effective for pre-meeting. Some face-to-face depending on issue. People are very busy.
	Timing	It is required that a meeting be held with PS to debrief after attending a meeting and a written report must be submitted. However, due to busy schedules reporting is done on an as needs basis. Post-meeting feedback is mandated, but is not strictly enforced. Pre-meeting communication is done depending on whether the issue requires inputs and information is gathered from others especially when a particular project is starting and there is the need to develop a state position.
	Documentation	Email makes for faster and easier communication and storage, backed up by hard copies. However technology often breaks down due to capacity and infrastructural issues. Govt. public sector reform has improved it generally in recent times. Centralized documentation tends to be lacking, there is more interpersonal sharing.
Dominican Republic	Arrangement	Within the directors attributions it is stated that participants are to submit report after every international meeting. Nothing is stated about pre meeting preparations, this basically follows establish practice. No preparation is needed or required for technical meetings. If it is large international convention/treaty meeting then needs to be approved by foreign affairs, and a small meeting can be held with the focal point should there be one to agree upon position. However this approval can sometimes be a lengthy process resulting in the DR not assisting to meetings. Post meeting reports, which are a must, goes to all relevant ministries.
	Documentation	There is a digital data base archive and a hard copy archive for reports
	Level of communication	This depends mainly on the nature of the meeting and the representative. There is nothing to indicate it needs be. However most of the times other national ministries and/or local organizations are consulted previous to the meetings, especially meetings regarding conventions/treaties
	Pathway/means	Pathway is mostly a review of existing documents and previous reports. Ministry of environment and/or ministry of fisheries may assist Foreign affairs with technical information that will help define state position. The process is done mainly by email or mail sent by ministerial courier.
	Timing	Quarterly and annual reports
French Guiana	Arrangement	Pre meeting is more an established practice and post meeting is formal where a report is expected to be submitted to the President of the Regional Council as well as other partners outside of the Council. When it is a meeting for discussion of a convention/treaty then a French representative would assist. However prior to meeting he also meets with heads from Fr. Guyana in order to have similar positions.
	Documentation	Reports are stored as hard copy and easily available.
	Level of communication	Interdepartmental communication is used to prepare for and report on meetings.
	Pathway/means	Main pathway is considered to be the internet with occasional meetings depending on the topic

State	Themes	Insights/comments
Guatemala	Arrangement	There is nothing established for pre meeting preparations. Permission is needed from the ministry in order to attend meetings and need to present report upon return. The government also has a project entitled "governing with the people" so there is frequent meetings with the civil society.
	Documentation	Documentation is not readily available
	Level of communication	Representatives may personally choose whether or not to meet with other persons within the ministries or civil society. Communication usually takes place among other ministries and at times sectors of the civil society depending on the topic to be discussed. If civil society is involved in pre meeting discussions, the outcome of the meeting is also shared with them.
	Pathway/means	Occasional face-to-face discussion within the ministry. Teleconference involving the other ministries, this is due to the size of state and dispersion of ministries, also reading of existing documentation from previous meetings.
Grenada	Arrangement	No protocol established. Hardly have any feedback and post-meetings. Depending on individual preference participant may call and brief via telephone. Cabinet paper on meeting background with recommendations required for submission for sign-off and approval by minister. Ministry of Foreign Affairs communication process is good. However marine issues are generally detached from their work and are only given attention when there is a need. Networking system on marine matters is only activated when dealing with specific key issues that require their or other agencies' inputs.
	Documentation	Documentation poor; meeting reports are scattered and are mainly with the representative to the meeting.
	Level of communication	Local level communication is highly dependent on issues and if they have local or community relevance then the respective NGOs or Private Sector stakeholders are brought in. There is a lack of inter-agency communication. It depends on an agency or individual champion who is involved in a particular issue to drive a process for communication and documentation. Environment and fisheries are not cohesive. Primarily national governmental level communication occurs, but depending on issue and if it is necessary to seek inputs from other levels, then relevant NGOs or private sector will be consulted.
	Pathway/means	Typical means of communication is via a memorandum followed by phone call and if required, a face-to-face meeting.
	Timing	Mainly pre-meeting preparation, but if it is a major issue(s) it will require a cabinet paper, and associated public relations activities from the respective ministry.
Guyana	Arrangement	Nothing written to follow. The usual administrative procedure has been to have preparation and briefing which is sometimes subjected to advisory board review and discussion. For lower priority meetings and those meetings related to training courses there is no process of advisory board review. Usually Minister of respective ministry has final decision on selecting representative and sometimes cabinet depending on the issue. Formal written communications required by Office of the President on all major issues/meetings. Respective ministries and representatives are expected to prepare a cabinet paper prior to attending key international meetings Including a written report after the meeting, which must be sent to PS and cabinet. It is problematic to get timely responses and inputs from other ministries or stakeholders due to very limited capacity in national departments/ministries.
	Documentation	Many meetings share documents late. Storage and retrieval of documents could be improved. Ministry of Agriculture is working to ensure good documentation and distribution. System is paper driven and shared with sister agencies so it can be reconstructed after a fire for example. Paper storage and retrieval still plays an important role.

State	Themes	Insights/comments
	Level of communication	The government agencies are moving more and more to semi-autonomous agencies and hence looking to be more consultative and have wide communications in their approach. Currently, communications at various levels depend on issues and existing governance structure. Local and regional level agencies are communicated with on an as-needs basis.
	Pathway/means	Having both pre and post-meetings depends on the issues. For urgent issues/meetings inter-agency meetings are held face-to-face but on an as-needs basis. Most meetings phone and emails are used to initiate communications and face-to face for main meetings and follow-up as needed.
	Timing	Timing of communication hinges on issues.
Haiti	Arrangement	Requires authorization from Director General and sometimes also from Minister. If state position is required then a discussion prior to the meeting takes place between the director of the department and the Director General. Post meeting report is presented to the Director General and attendee also needs to make an oral presentation. Follow-up is usually by Fisheries And Aquaculture Department.
	Documentation	Reports are labeled and filed at Fisheries and Aquaculture Department and also by ministry represented at the meeting.
	Level of communication	Most meetings preparation involves only governmental departments
	Pathway/means	For pre and post meeting there is face-to-face communication coupled with email exchanges.
	Timing	Oral presentation on meeting results at monthly meetings.
Honduras	Arrangement	Pre meeting arrangements are informal and follow no standard procedure, unless state position is required. Ministry of foreign affairs sends invitation to relevant ministry. If state position is required they get together and assign representative. Meeting with other organizations is dependent on theme to be discussed at meeting. After meeting, written report to minister and foreign affairs is required. However at times a person is selected to go that does not even know what he/she is truly going too or someone may decide to go depending on meeting location.
	Documentation	It is not easy to access documents. It is unclear whether or not they are all filed away.
	Level of communication	Mostly takes place within governmental ministries. After meeting report follow-up is mainly by relevant ministry. At times there is a failure in the sense that two different ministries may send people to the same meeting and the representatives find themselves there without a consensus opinion; this situation can happen even within the same ministry.
	Pathway/means	Preparation takes place mainly via internet and/or document consultation. A network known as "Cadena Pesquera y Acuifera" is been set up to try to address existing communication challenges.
	Timing	Nothing is planned and within the current situation to speak about planning is complicated.
Jamaica	Arrangement	Invitations come through Government hierarchy. Essentially it is up to the respective agency to determine the level of pre-meeting preparation and post-meeting feedback to be followed, if at all. Most often the selected representative prepares him/her self based upon their personal knowledge and experience. Internally to fisheries there is a cabinet approval process. When the officer returns a verbal and written report is required by the PS. Since 1998 there is the NCOCZM a cabinet decision-making interagency committee set up to deal with marine and CZM. Meets regularly face-to-face to discuss meetings, receive reports from meetings, and issues, state positions etc. Housed in FA EAD. There are several sub-committees that meet monthly. Seems to be a good two-way process of communication. Work gets done; responses on issues are usually prompt. Participation not always good in national council



State	Themes	Insights/comments
	Documentation	If a state position was required and there were pre-meetings there may be some documentation. Reports are well documented, but not always easily found. Jamaica lacks process to provide easy access to info among its agencies. Technology exists but resources and capacity to implement is a limiting factor. Generally a poor culture for information management. Need dedicated staff to set-up and man the system for user-friendly access.
	Level of communication	Mainly national governmental level communication, at times regional and local levels will be communicated with.
	Pathway/means	If there are pre-meetings communication a combination of phone and face-to-face. Post-meeting is very impersonal. Most dominant means of communications is phone/email usually to initiate and consolidate position. Face-to-face depends on the issue. Personal touch works well and is significant in facilitating mechanism/forum for discussing issues.
	Timing	Depending on issue and need for decision-making may have pre-meetings otherwise only required to prepare a post-meeting report. At times pre-and post-meeting communication depends on issues.
Martinique	Arrangement	The head of the department proposes a representative to the meeting who is then validated by the executive council. At times they respond to demands from territorial council depending on topic. A report is expected once the person returns from the meeting. However when meeting requires decision-making this must be done by or in consultation with France
	Documentation	Hard copy of reports are filed in the archive
	Level of communication	Mostly done with governmental organizations, however if meeting is considered very vital then civil society feedback is solicited.
	Pathway/means	If the meeting is seen as very important then they would be face-to-face communication, failing that they rely on phone, email and the internet.
Mexico	Arrangement	All meetings dealing with international conventions/treaties that require state position are coordinated by the ministry of foreign affairs along with the department of foreign affairs of the relevant ministry. They select the representative and create a draft document. Foreign affairs consider that definition of state position on whatever issue requires discussion only with relevant ministries. If follow-up is required this is done by the department of foreign affairs of the respective ministry along with the ministry of foreign affairs
	Documentation	Documentation is easily available; the department of foreign affairs within the ministries is where information is concentrated. There is the "Agenda de Transversalidad" which is a network which permits the institutions to share information and themes of common interest, also permits them to work jointly towards objectives and goals. Information is updated monthly.
	Frequency	They are 2 - 3 meetings before assisting to a CITES meeting. There is 1 meeting prior to a CIAT meeting. This is to define state position and to discuss any problems that can emerge during the meetings. These meetings along with FAO meetings usually includes civil society inputs
	Level of communication	Draft document is circulated among all relevant ministries in order to ensure they are no contradictions among them. Inputs are also requested from civil society. The initial meeting is followed up by emails to complete the final document.
	Pathway/means	There is an initial face-to-face communication which is then followed up by email and a workshop in the case of large international meetings, in the case of technical meetings all of this is not required and communication is mainly via emails and official ministry mail.
	Timing	Briefings and pre meeting preparation always occurs. When NGO's are involved there is also a copy of the post meeting report sent to them.

State	Themes	Insights/comments
Montserrat	Arrangement	Depends on the subject matter e.g. LBS department of environment in the responsible agency. There is some consistent consultation with various departments depending on issues. Now drafting new legislation that establishes an Environmental Management Authority to include interdepartmental directors.
	Documentation	Filing of documents system difficult. Working on a computerized environmental database. National environmental management strategy to include improving access to info for decision-making. Email system weak, technology not installed. Difficulty with being prepared for meetings lies with not being able to receive meeting information packages beforehand.
	Level of communication	The levels at which communication takes place depends on issue at hand. Local FFO and other levels will be communicated with/consulted if their inputs are required.
	Pathway/means	Means of communication usually face-to-face and email/phone. Use of this process of communication depends on the issues and who will be involved. Developing an improved communication system to get departments connected through the Chief Ministers office - "getting wired" Mainly face-to-face and/or sharing of docs via the post.
Nicaragua	Arrangement	The formal process for communication is contained in the ministry procedure manuals. If foreign affairs received an invitation, they define importance of meeting, decide who is to assist and contact the relevant ministry. The person is then given official state position. Once the person comes back from the meeting they are to submit a report to their head and to the ministry of foreign affairs. Follow-up by the representatives' ministry.
	Documentation	The information this is shared with other ministries and other peer groups and available to all ministries.
	Level of communication	International organizations such as OSPESCA and OLDEPESCA and local civil society may be contacted on an as-need to basis. It is a regular practice, not a requirement, to request inputs from other ministries as well as from the municipal government for almost all meetings.
	Pathway/means	The state size and ministry physical distribution makes it easier for email communication
Panama	Arrangement	They are existing policies detailing procedures to be taken after meeting. Person is selected by the head of the institution based on expertise. Approval of person and follow-up is done by institution that assisted to the meeting and also by foreign affairs. Post meeting report is required to be submitted. Follow-up is done by ministry that assisted to the meeting
	Documentation	In order to access documentation one needs to go to the ministry represented at the meeting, not easily accessible.
	Level of communication	Inter ministry coordination exists. When the meeting is on a specific resource, i.e. whaling, NGOs inputs and expertise are requested. Post-meeting verbal report is presented to them.
	Pathway/means	Email is the regular form of communication utilized.
Puerto Rico	Arrangement	Permission for participation is required from the HOD; this is established in a travel protocol. Depending on type of meeting they will notify the governor and get authorization also if the state where the meeting is held is outside the US then the State Dept must also to be notified. Upon return, a verbal report is given to immediate boss. Should there be any required commitment from the state, the request is sent to the secretary/head of ministry or the governor but does not need to be accompanied by a meeting report. If follow-up is necessary then it is by the departmental head. Meetings dealing with international treaties/conventions are represented by persons from the US
	Documentation	Files can be found in the archives of the HOD and the DRNA library.
	Level of	The communication involves only governmental institutions

State	Themes	Insights/comments
	communication	
	Pathway/means	Mostly common mean used is the internet and email.
St. Kitts and Nevis	Arrangement	No formal mechanism. Selection of reps and participation based on expertise and/or host request. However an official report is required after meetings. Only formal requirement is a report to PS after travel.
	Documentation	Documentation is good and easy access due to electronic format and technology for storage.
	Frequency	Many of these meetings strain capacity of departments and difficult to participate effectively in all.
	Level of communication	The level of agencies depends on the nature of issue. There could be better interagency communication and coordination.
	Timing	Pre-meeting prep is done if time allows and the nature of issue. Post-meetings if issue is important, otherwise information and reporting will be done informally to other depts. Pre-meetings are really standard meetings for selecting reps and briefing with PS. Higher level issues meeting require greater inputs from others.
St. Lucia	Arrangement	Formal request for participation in meetings via email or letter from Ministry of Foreign Affairs or other agency. A one-page summary report is required after meeting. A national committee for oceans governance has been set up/reenergized comprising Attorney General's office, Fisheries, SLASPA, SD unit, etc., to meet monthly to discuss these types of issues/meetings etc. There is some level of formality in that a mission report is required. But no prescribed requirement for pre-meeting preparation. The process followed varies depending on the agency and meeting. Usually both pre and post meetings, but doing both is heavily dependent on the level of meeting and issue.
	Documentation	Difficulty finding past reports and studies. Currently the paper is filed according to the SD and FA individually. Working on consolidating this. Electronic network system in-house at FD. Ministry launched website to place docs and info for public ("e-governance"). Challenge is the degree that individuals and dept are open to various innovative forms of communication. The approach taken by a respective department regarding communications for preparation and feedback about meetings is mainly determined by the personal preference of the HOD. Need a more formal approach in govt. depts.
	Level of communication	Ministries have PR depts. that inform public and local level. Regular communication regarding marine issues is mainly with government ministries and relevant divisions/departments. For other issues/meetings done on an as needs basis. Local level and other levels are involved depending on the issue.
	Pathway/means	Face-to-face meetings used for important issues. Technology and central network for communication are problematic in SLU and especially environmental department.
	Timing	Face-to-face meetings are held only if urgent and depending on issue.
St. Eustatius	Arrangement	Depending on type of meeting i.e. requiring state position, then they need to contact the office in Curacao. Otherwise HOD decides who going and upon return a written report is requested however many times this is not submitted. Pre meeting preparations are not required
	Documentation	There is little in writing and what is there is not easily accessible
	Frequency	There is "no organized session" to discuss meeting arrangements.
	Level of communication	Communication takes place mostly within the executive council members and at times may include the entity in charge of Marine Parks within the island.
	Pathway/means	Main means of communication pre and post-meeting is via email with occasional face-to-face interaction depending on importance of meeting.

State	Themes	Insights/comments
Suriname	Arrangement	Procedures are written within the laws therefore presenting ministers and PSs with guidelines for participation in international meetings. There is an internal discussion within the ministry to prepare the document, define why it is necessary to attend and what the expected outcomes are. It is compulsory to submit a report with recommendations to the supervisory board and all interested parties. Sometimes this is accompanied by a verbal report. Ministry then decides what the next step is.
	Documentation	There is a digital data base archive and a hard copy archive for reports. The information is distributed to all relevant departments for easy accessibility.
	Frequency	Once a week (Wednesday) ministerial meeting where the minister and his five presidents approve meeting documents
	Level of communication	Meeting participant does not necessarily meet with anyone. They may receive a document (dossier) from the ministry. Most of the communication occurs among governmental offices; the university and other agencies are approach if necessary.
	Pathway/means	Information is gathered from other departments as well as internal archives and/or NGOs and the university mostly via email or visiting the archives.
	Timing	10 days prior to meeting agreement from the minister is required in order to prepare for the meeting.
St. Vincent and the Grenadines	Arrangement	The general practice is that Ministry of Foreign Affairs will notify respective national agency on the respective meeting and issue(s) being dealt with. The standard requirement for public servants is to submit meeting reports upon returning from meeting. Dept of Maritime Affairs will circulate written communication to agencies. There is no regular follow-up after this; if there is it is usually driven by the nature of the meeting/issue.
	Documentation	Manpower challenges sometimes make documentation difficult. However no particular difficulties with other agencies regarding documentation. There is documentation but not always easily especially in light of so many meetings. Limited resources strains depts. participation in all these various meetings especially the required reporting and implementation obligations. Documentation needs to be better organized especially past information that requires archiving.
	Level of communication	Government is working to ensure receiving regular inputs from various agencies with interest in Maritime Affairs. Inter-agency committees formed if required depending on issues e.g. ICCAT, CITES. There is a public education unit that sends info and press releases through media to FFOs etc. Face-to-face meeting with PS depends on issue.
	Pathway/means	Face-to face meetings are held depending on issue or if its policy related. Email/phone allows for quick contact and efficient communication.
Trinidad and Tobago	Arrangement	Depends on issues. Inter-ministerial committees to discuss MEAs, UNCLOS, issues etc. Formal report is required after meetings.
	Level of communication	Communications with NGOs and other organizations are occasional or on an as-needs basis.
	Pathway/means	Face-to-face meetings dependent on the issues. There is constant flow of communication and information between various depts. and agencies. In Trinidad the personal touch is very important in communication; it is relied upon very much. It makes communication on issues faster and better sharing and getting inputs.

State	Themes	Insights/comments
Turks and Caicos Islands	Arrangement	Selection of representative dependent upon expertise and cabinet decision. No written process to be followed. Meet with ministries at least for a position. Usually there is a state position for most if not all meetings. Inter-dept discussion and outputs tabled at cabinet. A formal trip report to PS and, depending on issues, a press release. Slow in getting inputs into fisheries issues from other depts. Smallness of the island allows for close communications; do not have the level of bureaucracy of larger states. PS/Minister and other department heads seen almost every day, hence it is easy to discuss position and share info. Large meetings at International level UK FCO or DEFRA plays lead role. Get inputs from us at national level.
	Documentation	Time consuming to get hand on reports etc from other depts.
	Level of communication	Depending on issue, certain stakeholders at various levels will be informed. Some more than others. General press release to public.
	Pathway/means	Again depending on the issue face-to-face meetings will be used.
	Timing	Depending on issue will seek inputs and feedback to other agencies.
United States of America	Arrangement	No formal mechanism. Depends on meeting or issue and how much attention is required, e.g. WECAFC will require considerable attention. Smaller activities are handled by CFMC. Very few Caribbean issues rise to high level in US. There is no regional management mechanism hence USA not forced to pay attention to certain issues.
	Documentation	Documentation from the regional meetings contains too long and elaborate description of background and very little attention to results.
	Frequency	Frequency depends on level of attention to certain issues, e.g. US active in CITES related to the queen conch
	Level of communication	Federal register of stakeholders will be the usual agencies with which there is communication.
	Pathway/means	Email and written communication which must be cleared by state department. Face-to-face meetings when needed
	Timing	Only issues/meetings of national significance will get both pre- and post-meeting communications.
United States Virgin Islands	Arrangement	Inputs solicited from other depts. and agencies on CZM. Dept sit on several committees where marine issues are discussed and decide on policy and way forward and positions for meetings, e.g. LBS. No institutionalized mechanism. However mandated by Government of the VI for trip reports. A network of funding agencies and depts. communicates regarding a particular meeting and representative mandated to do a trip report. Only post-meeting feedback mandated.
	Documentation	Department of Fish and Wildlife has strict guidelines for documentation. Library established. Interisland communication difficult. It is a US based agency, but has interest in many of the activities and programmes of the CARICOM states. However, do not usually participate or is involved in meetings of these nature in the Caribbean e.g. CRFM and FAO meetings.
	Frequency	Frequency depends on issues, public hearings if requested.
	Pathway/means	Conference calls and emails are used to coordinate action. Use a combination of face-to-face and email/phone.
	Timing	Timing of communications depends on particular issue where inputs from stakeholders at various levels are received and feedback is only through public notices.

State	Themes	Insights/comments
Venezuela	Arrangement	The entire process is official; there is an existing generic protocol that covers all ministries. Invitation goes to the head of the ministry who decides who is going to attend based on expertise, needs also approval from foreign affairs ministry. Prior to attending a meeting, meetings are held with the institution(s) directly involved where a draft of the document to be taken to the meeting is presented. If it is a political meeting then pre-meetings are held only within the department. If it is a meeting that requires presentation of state position then technical experts from the Permanent Scientific Committee draft a document with agreements and recommendations and pass it on to foreign affairs. A post-meeting report must be submitted to the director general and to the administrative office and relevant ministries. Follow-up is by the pertinent departments within the ministries or a technical commission follow-up.
	Documentation	Digital and hard copy data-base is kept at the ministry and officially at the ministry of foreign affairs. It is easily accessible to all ministries.
	Frequency	They are "Juntas Regionales Comunes", these are integrated by organized group of town people who would give their recommendations when they are regional project or intergovernmental meetings as well as for bilateral agreements.
	Level of communication	Most communication is through official ministry mail complemented by email. Interdepartmental communication is an ongoing process and makes it possible for everyone to know who is assisting where.
	Pathway/means	Face-to- face meeting involving ministries attending the meeting followed up by email consultations

### 3.2 Analysis of regional survey

All of the states sampled indicated that there was a mechanism in place for communicating either before or after meetings of intergovernmental agencies and/or regional projects related to marine matters. Table 4 below shows the aggregated responses to each of the variables by state. The data are sorted by response for ease of reference.

The specific aspects of the arrangement, in terms of level of formality, timing of communication, levels of communication, means of communication, frequency in use of the process, and quality of documentation on the process are analyzed and discussed below.

*Table 4: Regional analysis: aggregated responses of the assessment variables by state (for explanations see Appendix 1)*

Is the main arrangement used for meeting communication, if any, formal or informal? 1 = formal, 2 = informal, 3 = none		When does/did/will this communication usually take place? 1= formal, 2 = informal		With what types of other agencies does/did/will the communication mainly take place? 1 = yes, 0 = no, 2 = sometimes				How would you describe the main/most used means of communication? 1= personal direct, 2 = personal indirect, 3 = both, 4 = impersonal, 5 = all			How frequent, typically is the use of the communication process? 1 = regular, 2 = occasional, 3 = seldom			Quality of documentation on the process? 1 = good, 2 = some, 3 = none	
State		Pre	Post	State	R/I	National	CS/PS	State	Pre	Post	State	Pre	Post	State	
GUY	1	1	1	GUY	0	1	0	TCI	1	1	GUY	1	1	GUY	1
ANT	1	1	1	T and T	0	1	0	ANT	1	1	TCI	1	1	JAM	1
BAR	1	1	1	CAY	0	1	0	MEX	1	2	JAM	1	1	USA	1
SUR	1	1	1	MAR	0	1	0	USA	2	2	USA	1	1	BAH	1
HAI	1	1	1	FRG	0	1	0	GRD	2	2	BVI	1	1	SKN	1
CUB	1	1	1	CUB	0	1	0	BVI	2	2	BAH	1	1	ANT	1
MEX	1	1	1	PTO	0	1	0	SKN	2	2	MON	1	1	DOM	1
VEN	1	1	1	BEL	0	1	1	BAR	2	2	SLU	1	1	BAR	1
BEL	1	2	1	STA	0	1	1	CUR	2	2	CUR	1	1	CUR	1
BON	1	2	1	GUAT	0	1	1	ARU	2	2	SUR	1	1	USVI	1
MAR	1	2	1	TCI	0	1	2	BEL	2	2	COL	1	1	BEL	1
CRica	1	2	1	ARU	0	1	2	STA	2	2	CRica	1	1	BON	1
DR	1	2	1	VEN	0	1	2	BRA	2	2	CUB	1	1	SUR	1
GUAT	1	2	1	BRA	0	1	2	GUY	2	3	MEX	1	1	HAI	1
NIC	1	2	1	BON	0	1	3	ANU	2	3	NIC	1	1	FRG	1
PAN	1	2	1	JAM	1	1	0	DOM	2	3	VEN	1	1	COL	1
BRA	1	2	1	USA	1	1	0	BAH	3	1	GRD	1	9	CUB	1
PTO	1	2	1	GRD	1	1	0	BON	3	2	SVG	1	9	MEX	1
CUR	2	1	1	PAN	1	1	0	SUR	3	2	ANT	2	1	NIC	1
Tand T	2	2	1	CRica	1	1	1	MAR	3	2	BAR	2	1	VEN	1
TCI	2	2	1	NIC	1	1	1	COL	3	2	MAR	2	1	PTO	1
JAM	2	2	1	BVI	1	1	9	CRica	3	2	FRG	2	1	TCI	2
ANU	2	2	1	BAH	1	1	9	CUB	3	2	DR	2	1	GRD	2
SKN	2	2	1	ANU	2	1	0	DR	3	2	PAN	2	1	ANU	2

Is the main arrangement used for meeting communication, if any, formal or informal? 1 = formal, 2 = informal, 3 = none		When does/did/will this communication usually take place? 1= formal, 2 = informal		With what types of other agencies does/did/will the communication mainly take place? 1 = yes, 0 = no, 2 = sometimes				How would you describe the main/most used means of communication? 1= personal direct, 2 = personal indirect, 3 = both, 4 = impersonal, 5 = all			How frequent, typically is the use of the communication process? 1 = regular, 2 = occasional, 3 = seldom			Quality of documentation on the process? 1 = good, 2 = some, 3 = none	
State		Pre	Post	State	R/I	National	CS/PS	State	Pre	Post	State	Pre	Post	State	
SLU	2	2	1	SKN	2	1	1	GUAT	3	2	PTO	2	1	MON	2
HON	2	2	1	MEX	2	1	1	HON	3	2	SKN	2	2	SLU	2
USA	2	2	2	ANT	2	1	2	NIC	3	2	DOM	2	2	CRica	2
DOM	2	2	2	DOM	2	1	2	PAN	3	2	STA	2	2	GUAT	2
MON	2	2	2	MON	2	1	2	PTO	3	2	BON	2	9	HON	2
ARU	2	2	2	SLU	2	1	9	T and T	3	3	ANU	3	1	PAN	2
STA	2	2	2	SUR	2	1	9	JAM	3	3	HON	3	2	ARU	3
FRG	2	2	2	HAI	0	1	0	MON	3	3	ARU	3	3	STA	3
COL	2	2	2	HON	0	1	0	SLU	3	3	HAI	9	1	T and T	9
GRD	2	2	9	COL	0	1	1	USVI	3	3	GUAT	9	1	CAY	9
USVI	2	2	9	DR	9	1	1	SVG	3	3	BEL	9	2	BVI	9
CAY	2	9	2	BAR	9	1	0	HAI	3	3	T and T	9	9	SVG	9
SVG	9	9	1	CUR	9	1	2	VEN	3	3	CAY	9	9	MAR	9
BVI	9	9	2	USVI	9	1	9	FRG	4	2	USVI	9	9	DR	9
BAH	9	9	9	SVG	9	1	9	CAY	9	9	BRA	9	9	BRA	9



### 3.2.1 Arrangement

The number of states with formal arrangements (46%) was equal to those with informal arrangements (46%). A decision on formality could not be reached for the remaining 8% due to insufficient data. Figure 5 shows the frequency distribution of formal, informal and for the undecided among the states sampled.

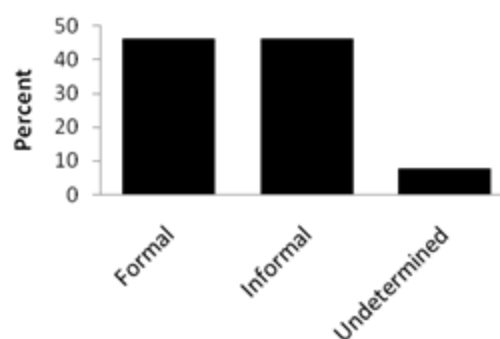
### 3.2.2 Timing of communication

All of the states engage in both pre-meeting and post-meeting communications. However there are variations in the level of used formality for the pre-meeting or post-meeting arrangement.

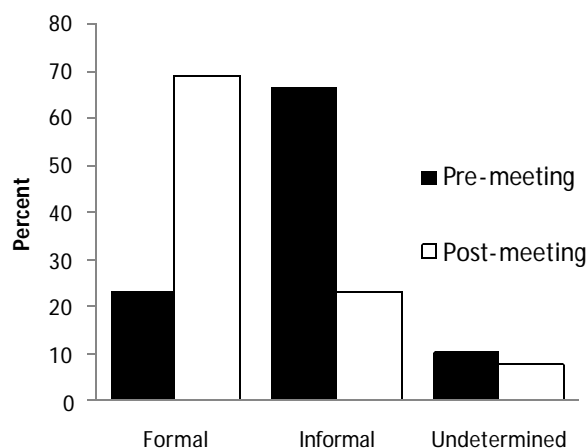
The frequency distribution of formal or informal processes in pre-meeting and post-meeting communications is shown in Figure 6. In terms of pre-meeting communications, only 23% of states indicated that their communications were through a formal process, while 67% indicated that they were mainly informal. In terms of the post-meeting communications 69% of states indicated a formal process, while 23% indicated informal communications. For pre-meeting and post-meetings, 10% and 8% respectively could not be decided upon due to insufficient data.

### 3.2.3 Levels of communication

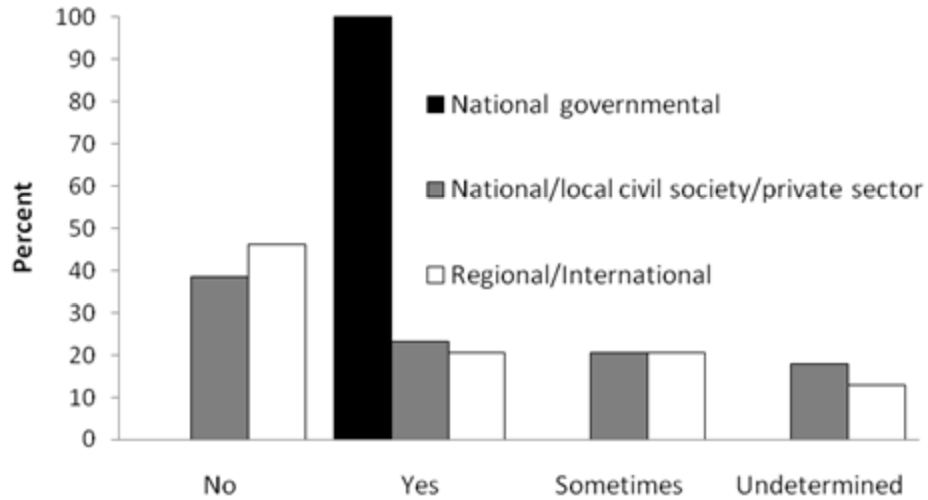
All states indicated that communication regarding regional meetings is mainly at the national level among government agencies (Figure 7). Agencies communicated with include, but are not limited to, Ministries of Finance, Foreign Affairs, Fisheries, Environment. Forty-six percent of states indicated no communication at the regional and international level, while 20% indicated that there was always communication and a further 20% indicated that there was sometimes communication (Figure 4). The agencies with which there was communication include but were not limited to FAO/WECAFC, CRFM, ICCAT, other RFMOs, OECS/ESDU and NGOs such as TNC.



*Figure 5: Frequency distribution of formal and informal arrangements*



*Figure 6: Frequency distribution of formal or informal communication for pre-meeting and post-meeting*

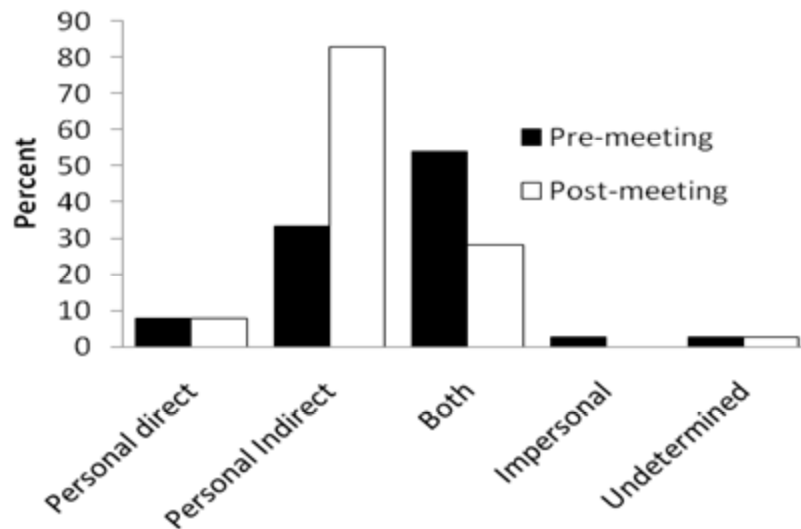


*Figure 7: Frequency of communication with various categories of agencies for regional meetings.*

Communication with the national local civil society and private sector levels was similar to that of the regional/international level: 38% of states indicated that there is no communication at that level, 23% indicated that there is always communication and 23% indicated occasional communication (Figure 7).

### 3.2.4 Pathway/means of communication

In response to the main means of communication used for pre-meeting interactions 54% of states indicated that they used both (personal direct and indirect means), 33% use only personal indirect means and 8% use personal direct means (Figure 8). Only one state indicated using

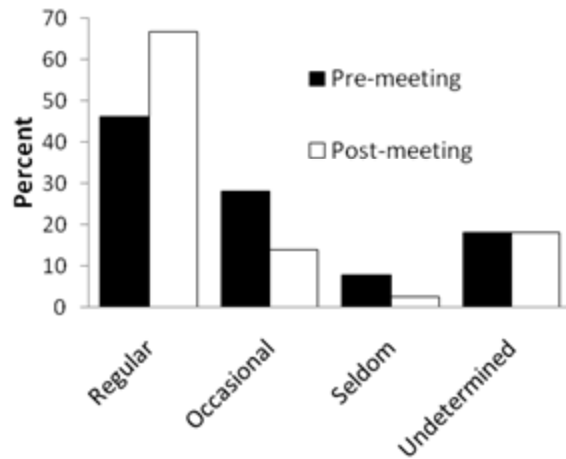


*Figure 8: Frequency of use of different modes for pre and post-meeting interactions for regional meetings.*

impersonal means of communication. With regards to post-meeting communications, 62% of states used only personal indirect as the main means of communication, while 28% used both personal direct and indirect means. Only 8% used personal direct means only (Figure 8).

### 3.2.5 Frequency of use

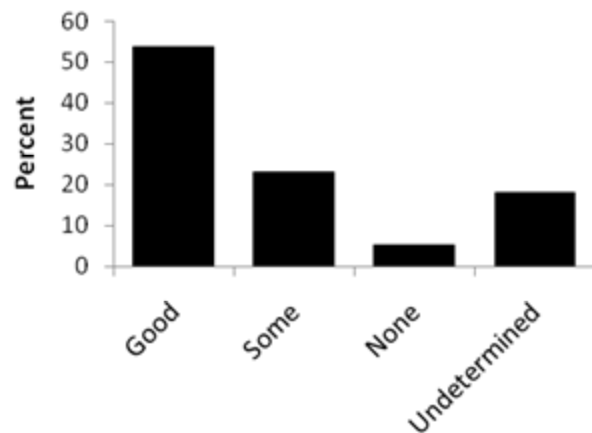
With regards to the typical frequency the pre-meeting and post-meeting communication process for meetings related to marine matters, the majority of the states indicated that for all or most meetings (regular) both pre-meeting (46%) and post-meeting (67%) communication are used (Figure 9). Eleven states (28%) indicated that the pre-meeting process was used for only some meetings (occasional), while only 5 states (13%) indicated that the post-meeting process is used for some meetings. Three states indicated that the pre-meeting communication is used for very few meetings (seldom), while 1 state indicated that the post-meeting process is seldom used (Figure 9).



**Figure 9: Frequency of communication for pre and post-meeting interactions for regional meetings.**

### 3.2.6 Quality of documentation

When asked about the quality of documentation for the communication process used, 54% of the states indicated that reports are well documented and are easily accessible (good documentation) (Figure 10). Twenty-three percent of states indicated partial documentation or reports not easily found (some), while only 4% indicated that people know about the information from the meetings but that nothing was in writing (none). Seven states had insufficient data hence no decision could be made when the data was aggregated.



**Figure 10: Quality of documentation of preparation for and feedback from regional meetings**

## 3.3 Key finding of the region-wide survey (Phase I)

The majority of states have a mechanism in place for communication both before and after meetings. The level of formality of the mechanism varies between the pre-meeting or post-meeting stages of the process. The post-meeting stage is where an established administrative

procedure appears to be most common. Most meeting representatives or delegates are required to prepare and submit a written report to their line ministry upon returning from a meeting. Then, depending on the importance of the meeting to other stakeholders at various levels, this information is communicated formally. The pre-meeting preparations are largely informal with communication being on an as-needed basis, depending upon the nature of the meetings, requirements of the meeting organiser, and the initiative of representatives. Thus the preparation process that is followed and with whom there is communication is largely ad hoc.

There is always some level of communication among government agencies at the national level. Some states have inter-ministerial or national committees/networks with membership representing most of the national agencies, and these are used to plan, formulate and guide actions for particular meetings, MEAs, COPs, etc. States such as Colombia, Mexico and Honduras report having established some sort of communication/information digital network for information sharing between governmental institutions to address challenges of communication (a code is required to access the network). Venezuela (Juntas Regionales Comunales) and Guatemala (“gobernando con el pueblo” programme) have established programmes that permit their people to give suggestions to the ministries regarding regional projects and participation in large international meetings.

Communication with regional/international agencies and also with the national and local civil society and private sector are much less common. This communication may either be absent altogether or only take place occasionally on an as-needed basis.

The main means of communication for states is personal-indirect by email and telephone. This is especially so for large mainland states due to the size of the state and physical dispersion of their ministries or departments. Some of the small island states e.g. the overseas territories, reported that due to small size most of the agencies’ heads have a personal rapport with each other and can hence pick up the phone or email an individual for inputs or guidance or share any important outcomes of any meetings. The observation that post meeting communication is most often by personal-indirect means is consistent with the reported use of more formal arrangements in the post meeting situation.

Again for frequency of communication, post-meeting communication was more the norm than pre-meeting communication. It appears that in a number of situations persons are attending meetings without any prior consultation in their states.

The majority of the states report having good documentation of their communication process; as exemplified by proper filing of both electronic and hard copies. The availability of information technology in most of these states allows for effective storage and retrieval. Some states have a centralized filing system, while others have websites where they place reports, etc. For those states that indicated some documentation, it was revealed that documents may be hard to track down due to reports remaining with a meeting representative, or PS who may have moved on or have it sitting in a personal computer or file.

Overall, there was no discernible pattern related to country size. Less structured mechanisms might have been expected in smaller countries, for reasons of capacity and also ease of communication among a smaller number of stakeholders. This does not appear to be the case.

## 4 Case studies of state level mechanisms for communication and coordination

In this section the national level case studies are presented for the eight states selected for in-depth study of the communication mechanisms in these processes (Figure 11).

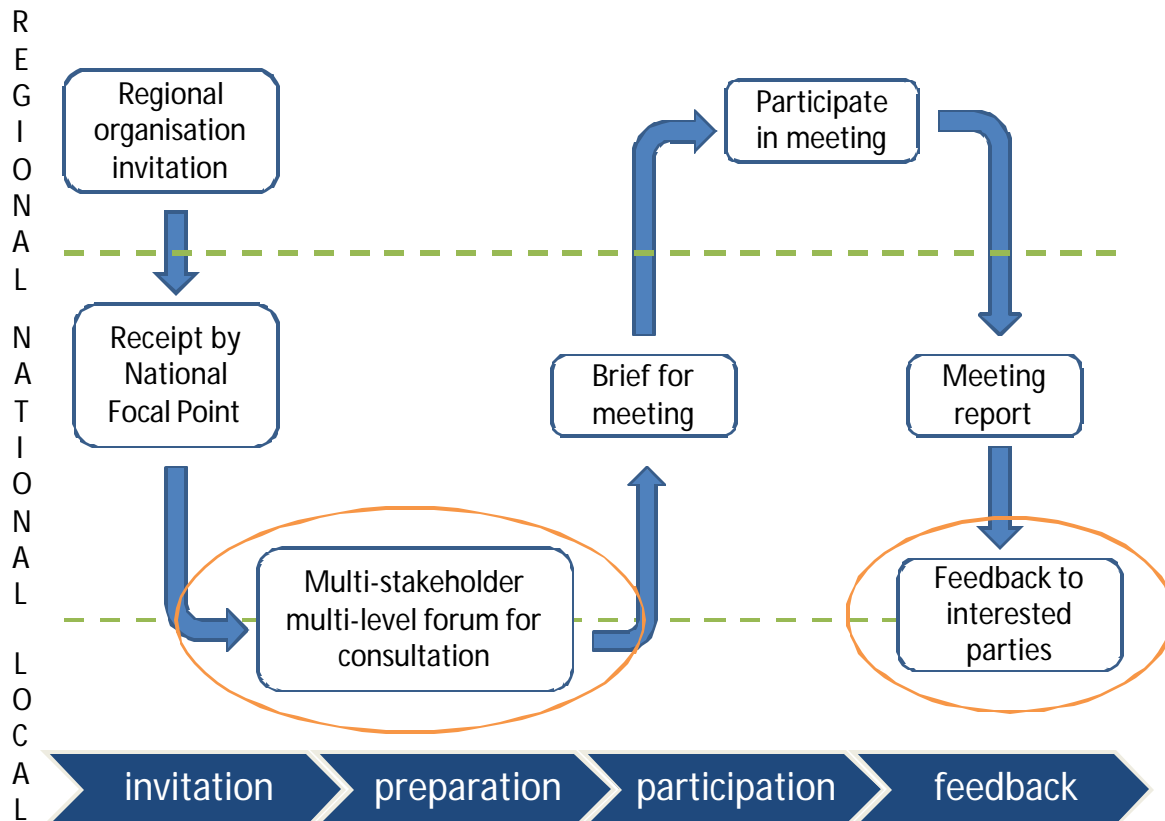


Figure 11: Processes of state level communication and coordination

### 4.1 Belize

#### 4.1.1 Organizations/respondents

Ten organizations were targeted for the assessment in Belize (Table 5); however it was not possible to get an interview with most of the fisher folk/private sector organizations. The NGOs targeted and interviewed were currently active and involved in marine/coastal/environmental related activities and issues in Belize. The UNEP IGM, and the CLME related meetings in the region were selected as the focus meetings by the two primary government agencies that were targeted (Table 5). The responses from NGOs and academia were generally not specific to any one meeting, but were based solely on their interaction with government before and after they attended regional and international meetings.

*Table 5: Organizations identified for the assessment in Belize*

Category	Target Organizations	Interview	Selected meeting
Government	Ministry of Natural Resources, Dept of Land and Survey	Yes	General
	Ministry of Natural Resources, Dept of Environment	Yes	UNEP IGM
	Ministry of Foreign Affairs	Yes	General
	Coastal Zone Management Institute	Yes	General
	Ministry of Agriculture and Fisheries, Dept of Fisheries	Yes	CLME
NGO	Southern Environmental Association	Yes	General
	Belize Audobon Society	Yes	General
	Protected Areas Conservation Trust	No	-
Academia	University of Belize	Yes	General
Fisher folk/Private Sector	Belize Northern Cooperative	No	-
	Belize National Cooperative	No	-
	Belize Fisherman Cooperative Association	Yes	General
Multi stakeholder	Belize Fishery Advisory Board	Yes	General

#### **4.1.2 Prior Knowledge**

The government institutions generally have prior knowledge of the meetings that are specific to their overall mission/mandate. Such is the case with the Department of Environment of the Ministry of Natural Resources which has responsibility for the Cartagena Convention, hence the UNEP IGM meeting being of interest. The Department of Fisheries, Ministry of Agriculture and Fisheries has direct responsibility for the CLME meetings.

Their yearly budget, under item “foreign travel” reflects the meetings they have planned as well as obligations and actions to be honored given the agreements and conventions signed. The budget, which has to be approved by the Ministry of Finance, allows for attending two or three meetings per year. The HODs propose the meetings to attend but the Minister decides. The tentative location and date of the next UNEP IGM meeting is usually known almost as soon as the last meeting is concluded. States attending get working documents in advance. Therefore, they have time to prepare for the meeting. The government knows beforehand what is going to be discussed and has ample time to define its position and include stakeholders in any necessary pre-meeting consultations. Most times however, civil society or private sector stakeholders are only brought in when government requires their specific inputs.

Respondents agree that there is usually no consultation with civil society or other partners prior to attending meetings. If consultation happens at all it is at a personal level with a specific individual e.g. someone from the fisheries department may consult informally with someone outside the department. There is no process or mechanism in place for a clear line of communication; as a result, the state is not making use of its existing, experienced and available human resources. The process as it stands is flawed, making it difficult for civil society organizations to be familiar with the conventions and agreements to which Belize is signature. As a result, they are not aware of the state’s obligations.

### **4.1.3 Receipt of Invitation**

Invitations are usually sent directly to the national focal points and sometimes copied to the alternate. The Ministry of Natural Resources and the Environment through its six departments (Forestry, Environment, Lands and Survey, Geology and Petroleum, Meteorology and Hydrology and Solid Waste Management Authority) serves as focal point for most of the MEAs and conventions such as Climate Change, MARPOL, Rotterdam, Basel, CITES, CBD. The UNEP IGM invitation came directly to the Chief Environmental Officer, who serves as focal point and he in turn directed the invitation to his Minister. Within this ministry there is a committee established to look at various conventions and formulate national strategies and policies relating to natural resource management, commitment under conventions, etc. The committee meets on an as-needed-basis. In the case where there is no focal point the invitation would normally be addressed to the Prime Minister or an appropriate Ministry, who then at their discretion will consider the most appropriate ministry/department to take the lead.

Invitations are usually not shared outside of the receiving/lead institution. If information regarding the meeting is shared, it is primarily with another government entity mainly to request supporting information prior to the meeting.

### **4.1.4 Decision to attend**

Meetings are attended based on importance and benefits to the state and/or the national agency. Funding plays a key role when deciding what meetings to attend, more so in recent times due to the global economic crisis. This does not mean that all fully funded meetings are attended. Once more, it depends on priority of the state, and whether or not it conflicts with Belize's policy.

The UNEP IGM is given priority as the state benefits from several initiatives and projects for Latin America and the Caribbean such as the sewage needs assessment, ICRAN MAR project, and the LBS Protocol. The opportunity is also used to advocate for project proposals. The CLME project is also prioritized given that it is considered an ambitious project that looks to address common problems at a regional level and that it complements national and regional commitments of the state. On the other hand while the state may be interested in certain meetings it may not be able to attend due to budget restraints. One such meeting is the annual COFI meeting, where decisions are made that may affect the fisheries sector.

### **4.1.5 Selection of representation**

There is no protocol for selecting representatives. Most meetings are attended by a representative of the ministry of the focal point. This is usually the individual with the primary responsibility, or if unavailable he/she may recommend someone else from within the ministry. Usually the state sends one representative per meeting as has been the case for UNEP IGM and CLME. Once the person is identified, the focal point sends a letter to the organizers informing them who will be the state representative.

If there is no focal point, the person is selected by the HOD or Minister of the ministry that receives the invitation. The person is usually selected based on expertise and seniority. Another aspect to consider is whether the meeting is technical or policy. When meetings are technical some departments may rotate representatives so their technical personnel get an opportunity to represent the department in regional/international meetings. When it is a policy meeting then protocol dictates that the Minister or CEO attends.

Most respondents pointed out the situation in which the Prime Minister selected a private entity to represent the state at a MARPOL conference as characteristic of how the process or lack of it can go awry. It is their opinion that the person was neither knowledgeable nor properly briefed, and as a result all annexes were signed. This put Belize in a difficult position as the state does not have the capacity for implementation. Both civil society and governmental agencies are suggesting that the government needs to go back over the agreements and rescue itself from selected ones.

With regards to the CLME project the initial invitation was directed to the Department of Environment, as the focal point for all environmental related projects. However Environment considered that the project was more in line with the Fisheries Department mission, therefore the invitation was forwarded and a letter was sent informing the organizers that the Fisheries CEO would be their focal point and the Deputy CEO would be the alternate. Protocol directs that the director of a department be the focal point except in the case of IACs where a scientist is nominated as focal point.

#### **4.1.6 Preparation**

In preparing to attend a meeting there is no protocol in place for inclusion of civil society inputs into the state's position. Representatives tend to meet with the head of their departments or, should they require further inputs, contact other government agencies for assistance. The only mechanism for participation in international meetings entails getting approval for duty leave through the CEO. HODs require approval from the Prime Minister to leave the state and represent Belize at any international forum. This process is required regardless of who is financing the participation. A form needs to be filled out and submitted along with an official invitation. When filling out the form, one is required to include traveling dates, objective of the meeting, priority ranking, benefit that can be derived from the meeting, importance of meeting, etc. The Ministry usually requests that the form be submitted at least two weeks prior to the proposed travel date. In some rare cases, permission has been granted in one day depending on the circumstances surrounding a late request and the importance of the meeting.

Prior to attending the UNEP IGM meeting, the representative met with the Chief Environmental Officer, who is also the focal point, to discuss and define the state position. Once this position is defined the Chief Environmental Officer presents it to the Chief Executive Officer (CEO) for his approval. Part of the instruction for this meeting included the fact that Belize was in no position to increase its contributions or to follow-up on the Sewage Needs Project. The UNEP IGM representative would also be attending the SPAW meeting held at the same time. His selection for this meeting responds to a request from the organizers as a way to minimize cost, as both meetings were held at the same place. In preparation for this meeting he met with officers from the Forestry and Fisheries Departments to define a state position for the SPAW meeting.

CEOs, typically directly appointed by the Prime Minister, are seen as a bridge between the overall government policy and technical department. Customary practice indicates that state position is endorsed by this person unless the issue under discussion requires the definition of a political position, then he would present it to Cabinet for endorsement. Stakeholder involvement in this phase is neither required nor normally requested.



#### **4.1.7 Attendance**

The state delegation may vary between one to three persons. For the UNEP IGM and the CLME meetings there is one delegate. Most state representatives are senior managers with decision making power. Middle managers selected as representatives are said to have no decision making power. When the delegation is composed of more than one person, delegates commonly define a state position together. The leader, usually a CEO, is the spokesperson while the others are supporters/advisers.

If a substantial change in the agenda occurs during a meeting, senior representatives can make decisions on the spot, but middle managers must say they are not prepared to endorse until further consultation with their department. However, respondents state that this is not always the situation and they recall the government sending a consultant to a COP meeting and a private entity to another COP meeting; both of them without instructions and with decision making power. Such situation has proven detrimental to Belize who does not have the necessary resources to comply with all that was signed.

The Networking opportunities provided by the meeting are embraced by most representatives as opportunities to address Belize's needs. This can be in the form of technical and/or financial assistance, training workshops, sharing information and experiences, etc. At times delegates go with specific instructions; other times are more ad hoc. The UNEP IGM delegate was instructed to take the opportunity to discuss the implementation of the LBS protocol with persons from UNEP and other representatives from funding agencies. He also presented project proposals seeking to secure funds from the agencies represented at the meeting. During the last CLME meeting the representative decided to meet with the OLDEPESCA and with the Bahamas representative to share information regarding ongoing projects.

#### **4.1.8 Reporting and follow-up**

Submission of reports no later than two weeks after returning from the meeting is required from the representatives. When writing up the report they rely both on notes taken during the meeting as well as documents issued to participants. The representative to the IGM said that he relies most on documents, whereas the CLME representative considers that notes are more important when writing up the report. The report is expected to contain, among other things, participants list, what went on during the meeting, what decisions were made and what sort of follow-up is expected from Belize.

The UNEP IGM report is submitted to the CEO, who forwards a copy to the Deputy Minister, who in turn delivers a copy to the Prime Minister. The CLME report is sent to the director and a hard copy is filed using a system which permits easy access. Sometimes a copy is sent to the Ministry of Environment to keep them informed on the CLME Project. The department issues an end of year report that serves to update the ministries and other agencies such as Fisheries Advisory Board and other organizations within the fishery sector regarding what the fishery department has been involved in and what activities they were/are pursuing.

Any required follow-up is spearheaded by the national focal point. Where there is no focal point this phase is assumed by the ministry/s or department/s that attended the meeting in coordination with the technical staff. In some cases activities related to the follow-up phase are included in monthly work plans which are periodically evaluated to ensure compliance.

Information sharing or communication post-meeting when it occurs is mainly at the implementation stage of a convention or agreement that the state is party to, at the point where they are trying to align themselves with partners. Such practice is independent of whatever government is in charge. Respondents recall the government inviting them to participate in a workshop after they had signed on to the Dubai Protocol on sound chemical management and required their assistance during the implementation phase. Another such meeting occurred with a Fisheries Department meeting with fisher folk to present agreements regarding lobster size for exportation to which the state was now a signature and was now requesting their cooperation in order meet the goal. Fisher folk agreed that government departments are very much unilateral; they are taken into account mainly post meetings when the government needs to critically address an issue.

Civil society questions the existing communication gap between them and the government. A respondent recalls attending a CBD meeting while working with the government and submitting a report that was never shared with the NGOs. Even though the government does not include them in pre consultation they usually attend meetings convened by the government to support it in complying with acquired international agreements. One such meeting was held in October 2009, when they were informed of the signing of the Dubai Protocol on Chemical Waste Management and another meeting held to introduce a regional tool that required adjustments to fit in with the state's reality. They see these as "brain picking" meetings where they are called upon to assist with the process of planning and developing an action plan as it relates to the signed conventions or agreements. Should the government not require their inputs then they are ignored. As it is they are willing to cooperate with the government.

#### **4.1.9 Perception of good governance**

Respondents thought the existing process was not transparent or efficient therefore they were dissatisfied with it. The lack of any formal mechanism of communication with or inclusion of relevant stakeholders in the preparatory phase makes it difficult first for partners' interests to be represented and second for partners to be aware of their expected role in state conventions or projects. Both government and civil society question how representatives are selected and given decision power. They offered the following suggestions:

- Before attending meetings the representatives should be well informed and given clear instructions.
- Government needs to be aware of what they are signing, find out if it violates national legislation or if there are existing overlaps with national legislation.

#### **4.1.10 Key findings**

- Too much authority for decision-making and an ill-prepared state representative can lead to committing state to tasks for which it is not equipped.
- Communication and feedback mechanisms for regional/international meetings remain practically non-existent outside of governmental institutions; this in turn results in under utilization of valuable civil society and private sector experiences and resources.

## 4.2 British Virgin Islands

### 4.2.1 Organizations/respondents

In the BVI the Ministry of Natural Resources and Labour has overall responsibility for marine and environmental matters. Within this ministry there are two agencies that execute specific responsibility for marine and coastal related issues. These are the Department of Conservation and Fisheries (CFD), and a statutory body the National Parks Trust (NPT), with responsibility for protected areas. The Premier’s Office coordinates international affairs, including MEAs, and the shipping registry among its other responsibilities. The NGO sector in the BVI has not been particularly vibrant or long lasting. Not many that address marine related matters are in existence and functioning currently. The few that do exist include the Virgin Gorda Green Team, the Green V.I, the Jost Van Dykes (BVI) Preservation Society, and the Island Resources Foundation. Numerous dive shops, boat charters and marinas representative of the private sector are spread across all of the islands in the BVI.

The above referenced organizations and a selection of private sector organizations and academia were targeted in the assessment; only five from those targeted participated, as indicated in Table 6. Majority of the respondents were not able to provide their responses specific to the UNEP IGM or the CLME meetings, but meetings in general (see Table 6). The Conservation and Fisheries Department spoke mainly to the UNEP IGM meetings and also referenced the CRFM Fisheries Forum and Organization of Eastern Caribbean States Technical Advisory Committee (OECS TAC) meetings.

*Table 6: Organizations identified for the assessment in the BVI*

Category	Target Organizations	Interview	Meeting selected
Government	Conservation and Fisheries Department	Yes	UNEP IGM, OECS TAC
	Premier’s Office	Yes	General
	BVI National Parks Trust	Yes	General
NGO	Association of Reef Keepers	No	-
	Island Resources Foundation	Yes	General
	Jost Van Dykes Preservation Society	No	-
Academia	H. Lavity Stoute Community College	Yes	General
Private Sector	BVI Dive Operators Association	No	-

### 4.2.2 Prior Knowledge

Prior knowledge of the UNEP IGM meetings varies among respondents. The BVI is included in the United Kingdom’s ratification of the Cartagena Convention and the Ministry of Natural Resources and Labour is the authority for the convention in the BVI. The commitments towards this convention and associated meetings are discharged among the ministry itself and one of its main departments, the Conservation and Fisheries Department (CFD). The CFD indicated that it was aware and possessed prior knowledge of the UNEP IGM meetings. This knowledge includes the purpose, agenda and national commitments/ responsibilities, among others regarding the convention itself and associated meetings. These meetings are on calendar for attendance, but are not budgeted for. The Premier’s Office and the National Parks Trust indicated being generally

aware of the UNEP IGM meetings being convened in the region, and that the BVI participates through the Ministry of Natural Resources and Labour. However, they do not claim to possess detail knowledge of agendas, purpose etc. regarding these meetings. The CFD was the only government department that expressed that they were generally aware of the CLME project, but indicated that their knowledge of the CLME meetings is limited.

Respondents from NGOs and academia were generally aware of the UNEP IGM and other regional meetings such as the OECS TAC mainly due to personal interest of marine related activities in the region and not necessarily through information coming directly from government. Prior knowledge of these meetings among the private sector could not be assessed.

### **4.2.3 Receipt of Invitation**

Invitations to attend the UNEP IGM meetings are usually received by the Permanent Secretary (PS) Ministry of Natural Resources and Labour, who may then deal with it internally in the Ministry or pass it on to Director of the CFD. Invitations for the OECS TAC and CRFM meetings would usually be addressed to CFD.

### **4.2.4 Decision to attend**

A decision to attend hinges mainly on the BVI's obligation under the Cartagena Convention and the associated protocols. Interest in networking, potential projects, information sharing, and learning from other states for implementation of activities related to the various protocols are primary deciding factors for attending. Importantly, BVI's participation at these meetings must be fully funded before a final decision to attend is confirmed.

### **4.2.5 Selection of representation**

Selection of representatives to the UNEP IGM is usually at the discretion of the PS Ministry of Natural Resources and Labour. Representatives are usually selected based upon their primary portfolio/responsibility for related programmes, and their qualifications.

### **4.2.6 Preparation**

There is no formal mechanism for preparation to attend meetings in general. This has been the case with regards to recent meetings of the UNEP IGM and the CLME meetings. Government respondents indicated that there was no need for any significant preparation that involved communications with other departments or other stakeholders. Prior to attendance there are internal discussions between the PS and/or Director of CFD and the selected representative. Further preparation rests solely with the selected representative and their personal preferences. He/she may choose to contact other departments or stakeholders if necessary dependent upon the nature of the meeting/issue and if inputs of other stakeholders are required. If required, an *ad hoc* interagency meeting may be convened. There seem to be very good working relations and communications (both formally and informally as needed) among various government departments on issues related to BVI's marine affairs (though not necessarily related to regional meetings).

The Ministry of Natural Resources and Labour and the CFD have called upon other departments (such as the National Parks Trust, the Department for Disaster Management (DDM), Shipping Registry, Port Authority, Tourist Board, H. Lavity Stoute Community College (HLSCC), and the Green V.I.), to share information on activities of mutual interest. Respondents have stressed that

most of this sharing occurs at an individual level. Personal relations among Heads of Departments or other senior officers keep the communication active. In addition, Cabinet papers have been prepared in the past on various issues (which may include issues of relevance to regional meetings) through formal cross ministry consultations. With the exception of a single NGO, participation or involvement of civil society and the private sector in these *ad hoc* interagency meetings have been lacking.

#### **4.2.7 Attendance**

Respondents indicated that with the exception of participating in discussions and providing information from a BVI perspective, there were usually no other major or specific contributions at these meetings. There are usually opportunities for networking, mainly related to sharing lessons learnt and approaches to implementing activities or actions on issues such as pollution prevention, oil spill responses etc. Representatives are usually allowed authority for making decisions on technical issues. This is the case even more so when they were briefed by the PS or the CFD prior to attending and given instructions on BVI's position on a particular agenda item. Decisions on projects, financing and policy related matters need to be referred for decision by the Ministry of Natural Resources and Labour and/or the Premier's Office.

#### **4.2.8 Reporting and follow-up**

Attendees are required by the Ministry of Natural Resources and Labour and respective departments to prepare written trip/meeting reports upon returning. This has not been done recently due to lack of enforcing the requirement and following up with representatives. Most often an oral briefing with the PS and/or the Director CFD will occur immediately upon returning, but the written report is given lower priority and sometimes is not done. Respondents indicated that in recent times there was no sharing of any information about these meetings with civil society or the private sector stakeholders. Sharing information with or reporting to other agencies, ministries, or departments is not often done either, except on an informal individual basis (through emails or telephone), and if necessary at some of the inter-agency meetings.

#### **4.2.9 Perception of good Governance**

Respondents indicated that the current mechanisms for communication and coordination are not marred by ineffectiveness or a lack of transparency, but suggested that there is need for improvements. These include but not limited to:

- Improve and build adequate human resource capacity in government agencies to reduce the overburden of responsibilities for several meetings being placed on one or two officers.
- Establish a national repository (e.g. website) where governments can place documents and reports for public access and information sharing.
- Establish a broad national multi-stakeholder committee where stakeholders can share information on various responsibilities, activities etc. and which allows for preparation and feedback regarding BVI's inputs into regional and international meetings and implementation of MEAs.

#### **4.2.10 Key findings**

From the above assessment the following are the key lessons learnt regarding the existing mechanism for communication and coordination for regional marine related meetings in the BVI.

- Prior knowledge of specific regional marine related meetings resides solely with government agencies; however, globalization and the internet have enabled civil society and other stakeholders to become at least more aware if not better informed of what happens at the regional and international levels.
- There is no formal mechanism for selecting representatives and ensuring their preparation prior to attending meetings. Preparation is mainly at the representatives' personal discretion or preference. However, informal personal relations among officers of government agencies allows for quick seeking and acquiring of information when needed. This however occurs mainly across government agencies and does not necessarily include civil society and the private sector. Government agencies seeking the advice of and involving civil society in decision-making regarding marine related meetings has been limited and at times lacking in the BVI.
- Participation of government agencies in various ad hoc committees opens lines for better communication and coordination, but the frequency of meetings and breadth of agendas are inadequate to craft needed integrated and holistic policies, and do not allow for any long-term effective inputs into regional and international marine related meetings.
- Post-meeting feed-back and communication across all stakeholders is virtually nonexistent.
- Despite a declining presence of NGO agencies in the BVI, citizens and residents are claiming a 'passion' for the preservation of the environment, and are therefore demanding more accountability from government and the private sector, and calling for their involvement in decision-making. They must be better organized and broader-based in their agenda/scope to better engage government and participate in decision-making.

## 4.3 Colombia

### 4.3.1 Organizations/respondents

Nine organizations covering government, NGOs, academia, fisher folk and private sector were targeted for the assessment in Colombia (Table 7). Eight were interviewed, three of them (Ministry of Foreign Affairs; Ministry of Environment, and Maritime Authority) are located in Bogota and the other six in Cartagena. No interview was possible from the private sector due their unavailability at time of state visit.

The IMO and the CLME related meetings were selected as meetings of choice for specific respondents for the assessment (Table 7). The UNEP IGM representative was unavailable during the state visit. The other responses were generally not specific to any one meeting and in the case of the private sector and academia their responses were based solely on their interaction with the government before and after the latter had attended international meetings.

*Table 7: Organizations identified for the assessment in Colombia*

Category	Target Organizations	Interview	Meeting selected
Government	Ministry of Foreign Affairs	Yes	General
	Maritime Authority	Yes	IMO
	Ministry of Environment, Housing and Territorial Development	Yes	CLME



	Colombian Ocean Commission	Yes	IMO
NGO	Fundacion Pais Marino	Yes	General
	Fundacion Tortugas Marinas	Yes	General
Academia	Guajira University	Yes	General
Private Sector	C.I. Oceanos SA	No	-
	C. I. COFAMARU Ltda.	No	-

### 4.3.2 Prior knowledge

Government Ministries and other stakeholders are informed of regional and international meetings via inter-institutional committees or ‘mesas’ convened by the Ministry of Foreign Affairs (MFA). These mesas are convened to discuss any upcoming meetings, Colombia’s position or role, and to select a representative. More information on the mesas is provided under section 4.3.6 below. Due to the mesa system, respondents generally had prior knowledge of the UNEP IGM, CLME and IMO related meetings. Through the mesas and a yearly planning process, meetings are discussed and prioritized for attendance. Priority meetings are identified with assistance from the National Development Plan and Colombia’s foreign policy. Each institution has its priorities which are directed by the Plan.

### 4.3.3 Receipt of invitation

The MFA is the political focal point for all conventions to which Colombia is signatory. There is also a technical focal point, assigned according to the nature of the convention. All invitations regarding these conventions are addressed to the MFA, which then informs the respective technical focal point. In the case of the CLME Project, the invitation is received directly by the GEF focal point, which is the Ministry of Environment. The invitation is forwarded to the Ecosystem Department to nominate a representative.

### 4.3.4 Decision to attend

Colombia’s decision to attend regional marine related meetings such as the IMO or the CLME is based on two main factors, i.e. whether participation is funded, and whether the agenda and/or convention is considered a priority by Colombia. In some cases such as for the Maritime Authority, the decision to attend may be influenced by whether the meetings are directly related to the functions of this institution. If it is considered priority the institution may cover the cost of participation. Their remit includes national security and land-based sources of pollution but they will also co-ordinate with the MFA, Ministry of Environment and Ministry of Transport to ensure that attendance is appropriate. Where the meeting overlaps with foreign policy issues the decision to attend depends on the endorsement of the MFA. In the case of the CLME, Colombia has a vested interest in two of the pilot projects (Lobster and Coral Reefs), so they make an extra effort to send a representative even if the state has to pay their participation.

### 4.3.5 Selection of representation

Generally, for convention COP meetings representatives are selected by the inter-institutional committee (mesa); usually a MFA representative is selected along with a technical expert or advisor. When selecting a representative for a technical meeting or training workshop, the government tries to find the most appropriate person within its departments to ensure that Colombia gets the most out of the meeting. Where an appropriate government representative cannot be found, representatives are sought from other organizations. Representatives must be

aware that at these meetings they represent the state, not their organization. The person selected must be knowledgeable regarding the issues/agenda of the meeting. He/she has the authority to communicate with and request information from other ministries.

In the case of the CLME Project, the Director of the Ecosystem Department of the Ministry of Environment nominates the person she considers competent. The representative recently selected was chosen due to his expertise as a marine biologist who has managed fisheries projects. He is the representative for CIAT and had the requisite expertise. Although the selection of representative is at her discretion, the director consults with a group of advisors. Once the selection is made, the director notifies the Office of International Affairs of the Ministry of Environment.

#### **4.3.6 Preparation**

The ‘mesas’ mentioned above are the primary mechanism for informing stakeholders of meetings and preparing selected representatives. Institutions interested in the issue to be discussed in the upcoming meetings are invited to participate. The institutional committees usually comprise government agencies, research institutes, bilateral institutions, and members of civil society. The university is always invited to participate, represented by a professor who is well-versed in the topic to be discussed. Civil society participants are mainly NGOs with an established role regarding the particular issue or particular stakeholder community, as in the case of sea turtle conservation and the fisher folk community. For the past 2-3 years the government has deepened its relationship with the fisher folk community and invited these stakeholders to discuss fisheries issues e.g. protection of sea turtles. Government usually takes into account NGOs information/advice when defining environmental policy.

Preparation to attend high-level decision-making meetings/conferences customarily involves a negotiation committee of representatives from various sectors such as academia, private institutions, NGOs, etc. This committee holds meetings with different sectors of the society seeking to define a state position. The views contribute to the state position document, which provides guidance for the representatives and enhances participation. The document reflects the perspectives of the different sectors and is endorsed by the MFA. This preparatory process takes 4 – 6 weeks, with the multi-sectoral meetings held in the final weeks.

For CLME, no state position is required. The representative is responsible for his own preparation for the meeting. He forms a working commission, which is responsible for accessing and organizing travel and obtaining permissions to participate. This includes submitting the meeting agenda and summary of reasons for attending the meeting as well as a duty leave form to the head of the Office of International Affairs of the Ministry of Environment.

The CLME Representative, located in Bogota, prepares himself by interviewing former representatives and those involved in related activities such as those of CORALINA. The location of most stakeholders in the CLME project from whom the representative gathers information - San Andres and Santa Marta – means that this activity is conducted via email and telephone. As some of these stakeholders also form part of the delegation, the representative then meets with them at the meeting to finalize details.

The pre-meeting preparation process is enhanced by “consultas populares” or popular consultations which the ministries undertake with their relevant sectors. The civil society finds the process to be very participative as they are represented and their ideas are taken into consideration. It is viewed as a transparent and effective process and has been functioning for the



past six or seven years. Committees are invaluable in the construction of a state position and every sector is empowered by the feeling that they are represented. Some ministries have specific departments to spearhead these consultations. This has a positive impact as people feel represented and the state can take a holistic position on the issues.

#### **4.3.7 Attendance**

The size of the delegation depends on the particular meeting, e.g. the Copenhagen climate change delegation was larger than average with seven persons, given the high profile of this meeting, but generally delegations to regional meetings are one to three persons: one paid by for the organizer, one that the MFA funds and another that may be the ambassador located in or near the host state. Institutions that can cover their costs are welcomed to be part of the delegation.

Representatives carry written instructions from which the state position should not deviate. Where an issue is raised in the meeting that is not covered by the state position the representative is required to consult with the MFA which in turn consults with the committee or ministerial advisors. This rule does not apply where an ambassador, president or vice-president is a member of the delegation.

Networking opportunities may also be considered in the pre-meeting discussions. The committee may decide to encourage specific contacts with other representatives at the meeting in order to seek alliances and/or assistance. This is considered permissible and may be expressly stated in the instructions, although formal instructions are not necessary with regards to this activity which can also occur spontaneously.

#### **4.3.8 Reporting and follow-up**

The meeting report format is flexible. The usual requirement is for a summary report of about three pages containing the most important points to be submitted immediately following the meeting to the National Committee and/or head of institution. The reports are based mostly on received documents and note-taking. The latter is very important, to capture points of interest, state reactions to proposals and negotiations that transpire. Although not mandatory, the report may be communicated via a PowerPoint presentation to the inter-institutional Committee. Each ministry is expected to present a report to their sector on the outcomes and commitments. They are free to choose the means of communication. It is unclear whether the inter-institutional committee or the ministries disseminates this information to the sector it represents. Although, there are institutions that post on their webpage a summary of the reports of all meetings attended after submission to the MFA. Reports on follow-up are only prepared when required by the convention or prior to an international follow-up meeting. This report is the committee's responsibility.

In the case of CLME, a written report must be presented within two weeks of returning from the meeting. The key contents of the report include date and location of meeting, a list of participants, benefits to the state, pending commitments, and potential areas for cooperation. The report is submitted to the director who in turn sends a copy to the international affairs office and relevant institutions that either participated in the pre-meeting process or will benefit from its contents.

Documents collected at the meetings are handed over to the Office of International Affairs of the representative's institution who in turn distributes them to the relevant Ministries or departments.

In the case of CLME, these reports remain within the Ministry of Environment as they have no political relevance.

Post-meeting feedback is emphasized in the “Derecho de Peticion” procedure which recognizes the right of every citizen to request post-meeting information from the government; and the relevant institution(s) is given a timeframe in which to respond. The process is seen as transparent and effective as everyone has the opportunity to access the information and participate. However, an attempt made at establishing a National Environmental Information System, where information from various institutions could be shared and accessed by all interested institutions and the public, failed due to the reluctance of some organizations to share information. Feedback is strengthened by the use of the internet to publish government documents with a deadline for people to comment or give suggestions.

Follow-up related to a technical activity is the responsibility of the representative and his/her institution. Political commitments are the responsibility of the MFA. Where these areas overlap both institutions will provide follow-up; for example, commitments acquired at an IMO meeting will require joint follow-up by both the Maritime Authority (technical) and MFA (political). In the case of CLME, the tasks require inter-institutional co-operation, as such each institution is apprised of their responsibilities and implements them accordingly. It was indicated however, that the follow-up process needs to be strengthened.

#### **4.3.9 Perception of good governance**

While respondents generally agree that the current mechanism is transparent and effective there are still areas for improvement. The following comments were made in this regard:

- There is concern that while there is transparency the lack of clear procedures to serve as a guide for cross-sectoral consultations may undermine the long-term efficiency of the process. Currently the state is trying to address this issue through developing guidelines that are expected to direct public consultations and define roles and responsibilities for those leading consultations, thence ensuring greater transparency and effectiveness.
- Colombia’s delegation to meetings should always include more than one representative, one of which should be a fixed representative to ensure continuity in the process.
- The guidelines ought to ensure institutional memory by developing a well-documented process and access to this information. The CLME example may be followed, where the CLME representative has created a CLME folder so that should he leave, the information remains for his successor and facilitates continuity.

#### **4.3.10 Key findings**

- Colombia is working under the principle of shared responsibility. The process is characterized by inter-sectoral consensus..
- When Colombia receives an invitation to participate in a regional/international meeting, it uses a centralized process, through the MFA, to facilitate a coordinated approach for a timely and appropriate selection of multi-stakeholders to participate in an inter-institutional committee (mesa) to discuss the respective meeting issue(s) define the state’s position, and select an appropriate representative.
- There is adequate participation of wide stakeholders and their inputs in pre-meeting preparation (mesas), but this is not replicated in the post-meeting phase where feedback is provided in response to requests. Anyone requiring post-meeting information would need to

use the “Derecho de Peticion’. Colombia’s “Derecho de Peticion” policy allows every citizen to request information from any governmental institution, which is required to respond within a set timeframe. This policy is seen as an example of a transparent and participatory information network.

- Some representatives have enhanced decision-making power that allows them to sign agreements and legal documents; however, these are subject to referendum at a later date.

## 4.4 Dominican Republic

### 4.4.1 Organizations/respondents

Nine organizations comprising government, NGOs, fisher folk, academia and the private sector were targeted for the assessment in the Dominican Republic. However, only seven institutions were interviewed, as it was not possible to interview the NGOs (Table 8). The targeted institutions were currently involved in marine/coastal/environmental related activities and issues in the Dominican Republic. Government institutions pertaining to SEMARENA were mostly targeted as these dealt directly with marine and environmental resources as well as serving as the focal points for several of the conventions such as CBD, Basil, Rotterdam, MARPOL, and CITES.

The UNEP IGM, and the CLME related meetings in the region were selected as meetings of choice for specific respondents for the assessment (Table 8). Most of the responses were generally not specific to any one meeting and in the case of the private sector and academia their responses were based solely on their interaction with the government before and after the latter had attended international meetings.

*Table 8: Organizations identified for the assessment in the Dominican Republic*

Category	Organizations	Interviewed	Meeting selected
Government	Dominican Fishery Council (CODOPESCA)	Yes	CLME
	National Aquarium	Yes	General
	Sub secretariat for the Environment/Environment and Natural Resources Secretariat (SEMARENA)	Yes	UNEP-IGM
	Fishery and Marine Resources Sub secretariat/Environment and Natural Resources Secretariat (SEMARENA)	Yes	COP 9 CDB
	International Cooperation Department/ Environment and Natural Resources Secretariat (SEMARENA)	Yes	General
Academia	National University Pedro Henriquez Ureña (UNPHU)	Yes	General
Private Sector	Fishery Association	Yes	General
NGO	Grupo Jaragua	No	-
	Dominican Fund for Marine Studies (FUNDEMAR)	No	-

#### **4.4.2 Prior knowledge**

There is no formal mechanism by which the NGO and private sectors acquire prior knowledge or even awareness of these meetings. Most of the time, the Secretary of Foreign Affairs (SFA) and relevant department involved in selection of representative are usually the only agencies with prior knowledge of the meeting.

#### **4.4.3 Receipt of Invitation**

Invitations may be received by one of two pathways: they may be communicated directly to the SFA or to the government agency that is the national focal point for that convention. For example, CODOPESCA served as the Dominican Republic's scientific authority for CITES and SPAW, so invitations go directly to them. Direct invitations to the focal point must be official, and are then submitted to the immediate boss for approval. Invitations received by the SFA are sent to the relevant department, as defined by the Secretary. Delays in forwarding invitations to relevant departments are common. The majority of respondents prefer to be contacted directly via email or telephone as a representative is often selected only after a substantial delay in awaiting department responses to the circulated invitation.

#### **4.4.4 Decision to attend**

Priority is given to international conventions. As a signatory to these conventions the state has assumed binding commitments which generate a state obligation to participate. The state is interested in the protection and conservation of the environment and it is their understanding that global problems such as these require global solutions. The state also feels the need to participate in decision-making processes as they will likely be impacted by the decisions. In the case of the UNEP meeting, one of the agenda items was resource planning. The state felt they could contribute to the discussion and also benefit in terms of projects to be developed to protect the environment.

For other meetings, the decision to attend is usually based on whether participation can be funded. This view was expressed by one of the respondents who indicated that the institution was not able to finance foreign travel due to financial constraints. Another factor weighing on the decision is the relevance of the meeting for the institution and the possibility of joint projects between the organizers and the DR participants. The CLME project fit the latter criteria and has consequently been embraced by the state.

#### **4.4.5 Selection of representation**

In order to maintain continuity with respect to a specific meeting the institution tries to send the same person as their representative to successive meetings. This is not always possible as people may move jobs or departments with a change of government.

There is no protocol for selecting representatives. Most meetings are attended by the respective focal point. The nature of the meeting (technical or political) also indicates the type of representative selected. A state representative at a diplomatic or political meeting e.g. International Labour Organization, Copenhagen, is someone at the level of president, vice president, secretary or sub secretary.

When there is a technical meeting and there is no focal point, the invitation is directed to a relevant department. The sub secretary of the department names a representative, based on expertise and seniority as was the case for the UNEP IGM representative. The organizers are

then notified of the name and contact information of the selected person and their duty leave is authorized. Copy of this notification is sent to the interested party (representative) and to his/her immediate boss. Usually the state sends one representative per meeting as has been the case for UNEP IGM and CLME.

#### **4.4.6 Preparation**

Preparations are primarily informal. For the UNEP IGM they are done six months in advance. As part of this process the representative reviews documents, agreements signed by the state, financial information, etc. A briefing document is created and submitted to him/her detailing the state position which includes what the state has done and what they can commit to. In preparation for the meeting the representative also meets with his/her immediate boss who authorizes duty leave and with the previous focal point that provides all the reports as well as tips on how the meetings are managed.

If the representative has advance knowledge of the meeting, preparations can be initiated from the beginning of the year depending on the type of meeting. If there is no prior knowledge of the technical meeting, a minimum of one month is required to prepare for it. Should the meeting be convened in a state where a visa is required, there is a two-month notice requirement. Public servants such as ministers and vice ministers also require a presidential decree which can take from one to two weeks to get; or longer if the president is abroad. Late arrival of a plane ticket can also negatively influence the decision to attend a meeting.

There is no protocol to guide preparation for meetings. The primary requirement is submission of a duty leave letter. Each person is then responsible for their preparation. If assistance is needed with the preparation of reports, collection of information, etc., they get this from institution personnel. Should the meeting require a state position then other departments, civil society or private sector institutions may be asked to attend preparatory meetings to give inputs.

The Secretary of an institution has the discretion to include NGOs and private sector should s/he considered that their input is necessary. If institutions are invited to a meeting to discuss themes with which they are not familiar or are not part of their mission then their participation is also at the discretion of the secretary of the institution.

#### **4.4.7 Attendance**

Delegation size may vary depending on the invitation but is usually one or two persons. For the UNEP IGM and CLME meetings only one person with limited decision making power attends. If there is anything outside the state position he/she needs to consult via email or telephone in order to proceed, and must let it be known that they require further state discussion prior to committing themselves. The representative seldom, if ever, makes any type of financial commitment.

At meetings, representatives are expected to take notes and collect documents from which they will write their report. All documents received by the UNEP IGM representatives are submitted to the sub-secretariat of projects and international conventions. Representatives at technical meetings file the documents they receive in their own agencies, and may not share them.

Networking is also part of the representative's role. This could be spontaneous or following advice received prior to attending. In the case of the CLME meeting, networking was viewed positively as it gave the state an opportunity to reconnect with Haiti on a project both states had been trying to establish. When attending international COPs state representatives tend to meet

with representatives from other Latin American and Caribbean states in order to define a regional position or establish levels of coordination.

#### **4.4.8 Reporting and follow-up**

There is no protocol or established format for preparing reports. They are mainly based on notes taken and documents received and are expected to contain among other things the objectives of the meeting, any relevant aspect, constraints, and acquired commitments if any and, at times, recommendations. Basic administrative and logistical information is also included, such as a list of participants.

Customary practice also indicates that the report be submitted no later than one week after returning from the meeting. It is submitted to the HOD who in turn sends a copy to the Secretary of the institution and in some instances to the sub secretary of cooperation. Only a written report is required, but in the case of the CLME representative, there is also a verbal briefing on the most relevant aspects of the meeting, to the HOD.

If there is any action to be taken, this follows what is written in the report. Follow-up responsibility takes into account the type of commitment acquired and is done then by the department that deals with the issue. A copy of the report is then sent to the relevant department. The response is monitored by the planning department and/or International Cooperation. As part of the monitoring process there are management meetings and inclusion of the activities in the quarterly and yearly workplans which are revisited every three months.

In the Dominican Republic stakeholder consultation seems to be practically none existent. Therefore the reports are not circulated outside the ministries that were consulted prior to the meeting or that are part of the follow-up and monitoring process. A deviation from this practice may occurred mainly when the state attends a COP and requires inputs from the civil society or when they are an integral part of the activities resulting from a meeting.

#### **4.4.9 Perception of good Governance**

Respondents suggested that the current mechanism still requires some specific improvements, as follows.

Invitations or notice of meetings from host(s) should be sent to the state well in advance to allow for adequate preparation in terms of logistics (e.g. visas) to ensure that someone represents the Dominican Republic at these fora.

There are no formal mechanisms for communication and feedback between government, civil society and private sector. Communication seems to occur only when the latter two are requested to provide inputs. The current process needs to include more and regular participation of civil society and private sector.

There is the need for a legally established protocol for guiding the communication process in the Dominican Republic.

#### **4.4.10 Key findings**

- The lack of an established and legislated protocol for communication and coordination in the Dominican Republic results in different governments, upon election, applying their own approach to the process.



- Selection of representatives to attend meetings is mainly at the discretion of high level officers (PS, CEO, Ministers). This situation does not always allow for transparency, since the most appropriate individual is not necessarily selected.
- Prior knowledge of when meetings will be convened and their agendas would allow the state to prepare for these meetings in advance and therefore participate and contribute more effectively.

## 4.5 Grenada

### 4.5.1 Organizations/respondents

In Grenada, the Ministries of Environment, Foreign Trade and Export Development and Agriculture, Forestry and Fisheries and their associated departments have primary responsibility for marine resources management, conservation, and development activities. There are also several NGOs currently active and involved mainly in rural development and community-based initiatives related to marine/coastal resources. Prominent among these are the Grenada Community Development Agency (GRENCODA), the Agency for Rural Transformation (ART), and Ocean Spirits. The private sector agencies are numerous and include fisher cooperatives and associations, fish processing and export businesses, dive and yachting charters among others.

A selection of nine organizations from those mentioned above, covering a mix of government, NGOs, fisher folk and the private sector were targeted for the assessment in Grenada. Only seven were interviewed as indicated in Table 9. The UNEP IGM, the CLME, and the IMO related meetings in the region were the meetings selected by the respective respondents for the assessment (Table 9). The NGOs and private sector agencies' responses were general to meetings that government was involved in and not specific to any one of the UNEP IGM or CLME meetings.

*Table 9: Organizations identified for the assessment in Grenada*

Category	Target Organizations	Interviewed	Meeting selected
Government	The Ministry of Environment, Foreign Trade and Export Development	Yes	UNEP-IGM
	The Department of Fisheries, Ministry of Agriculture, Forestry and Fisheries	Yes	CLME
	Grenada Ports Authority	Yes	IMO
NGO	GRENCODA	Yes	General
	ART	No	-
	Ocean Spirits	Yes	General
Private Sector	Spice Isle Fish House	Yes	General
	Nordom Seafoods Ltd.	No	-
	Southern Fishermen Association	Yes	General

### 4.5.2 Prior knowledge

The respondents from the government agencies reported having prior knowledge of their selected meetings (Table 9). Prior knowledge included the meeting objectives, the issues discussed and outcomes of past meetings. The national focal points are those government ministries with

primary responsibility for implementation, communication and coordinating activities such as reporting on and recommending activities and projects at the national level regarding these meetings. Government respondents were aware of the other meetings that were not their responsibility, but did not claim to have any significant interest or prior knowledge of such meetings (e.g. dates, purpose or objectives).

Marine resource and environmental management in Grenada is largely sectoral and fragmented with several different agencies responsible for specific components of MEAs, and the environment in general. In some cases, the responsibility for national action on a single regional or international marine related issue or convention is held by different agencies. This has been the case with the UNEP IGM meetings which have been attended by a representative of the Environment Unit previously under the Ministry of Health, Social Security, Environment and Ecclesiastic Relations, now under the Ministry of Environment, Foreign Trade and Export Development. However, the primary authority for the Cartagena Convention and the Land Based Sources of Marine Pollution (LBS) Protocol is the Ministry of Agriculture, Forestry and Fisheries. This ministry is also interested in the CLME meetings. The Grenada Ports Authority is responsible for the IMO convention, and to some extent the Oil Spills Protocol of the Cartagena Convention. These responsibilities are still to be finalized by the Government of Grenada.

Knowledge of the UNEP IGM, the CLME and IMO meetings varied among the NGOs and the private sector. NGOs such as GRENCODA and ART with relatively strong institutional capacity and which have been working in the environment and development field for quite some time now, are aware of marine related conventions and meetings in the region. Knowledge of the UNEP and IMO related meetings are due mainly to information via the internet, past meetings they have attended, and project funding they had received, etc. One caveat is that this knowledge may reside with only the leader of the organization and not necessarily the organization's membership. Fisher folk were not aware of these meetings except where they have been directly involved e.g. CRFM's initiative for a Regional Fisher folk network. Knowledge of the CLME was non-existent among both NGOs and private sector respondents. NGOs and private sector respondents enthusiastically expressed interest in being involved and getting more information and communications regarding these meetings, since issues and activities discussed at these meetings are relevant to their work and activities.

#### **4.5.3 Receipt of invitation**

Ministries which are national focal points for the UNEP IGM, CLME and the IMO receive invitations directly, addressed to the PS and copied to the respective heads of department with operational responsibilities. In the case of IMO meetings, invitations are addressed to the Director of Maritime Affairs, the Grenada Ports Authority. The CLME invitations have been received directly by the responsible Fisheries Officer. Generally, information on when and why these meetings are being convened is only discussed internally within the respective focal ministry or agency. This is usually done between the PS, the HOD/Chief Fisheries Officer and the selected representative. Information about these meetings is shared only when it was necessary to seek the inputs of other stakeholders on a particular issue.

#### **4.5.4 Decision to attend**

Each of the UNEP IGM, CLME, and IMO meetings is of significant interest to the respective focal point/national authority and is therefore given priority for attendance. All of these meetings provide a range of benefits and opportunities towards the achievement of the specific mandate of



the respective national focal points and ultimately the sustainable development goals of Grenada from local to international levels in relation to its marine affairs. Some of these benefits/opportunities include but are not limited to funding and other resources such as training and technical assistance for implementing work programmes/projects, information sharing, and guidance on developing national legislation for conservation and development of marine and coastal resources. Importantly, attendance depends on permission from Cabinet for travel. These meetings are not budgeted for by the respective Ministries/national focal points. The cost of one representative attending is usually covered by the respective meeting host(s). Except in extreme circumstances, attendance at these meetings is heavily dependent upon the host institution fully sponsoring the state's participation.

#### **4.5.5 Selection of representation**

There is no rigorous process followed for selecting a representative to attend meetings. Usually the responsible officer within the respective Ministry will attend. The PS or Minister will attend only if required e.g. to deal with policy matters. There have been concerns regarding late notices or receipt of invitations, which often results in selection of representative based on availability. Sometime the individual available may not be the most appropriate representative.

#### **4.5.6 Preparation**

There is no formal preparation process for attending any of these meetings. The representatives will usually familiarize themselves with the respective meeting objectives and any specific requirements of the meeting, and then seek any inputs from within their respective Ministry or Department. Depending on the issue, if official input is required from other relevant Ministries, NGOs, or the private sector then this will be done on an as needed basis via formal written requests or face-to-face meetings/consultations. Apart from this there have been instances of informal personal communication among officers of the respective government agencies. This seems to be the current dominant mechanism used to seek inputs from other government Ministries and departments in preparation for any meeting. This mechanism allows for quick, timely, specific responses, avoiding the bureaucracies that are typically associated with formal written requests to other government agencies.

This approach does not extend to civil society/NGOs or the private sector. Generally the NGO and private sector respondents did not recall any communication seeking inputs for UNEP related meetings that government attended. They are willing to be more involved and want to contribute their knowledge, share issues affecting them, etc. The case of fisheries related meetings (other than CLME) is a slight exception. There is indication of regular informal rapport and communication on various issues between officers of the Fisheries Department and fisher folk organizations, individual fishers and the private sector. This allows for sharing of information or discussing issues pertinent to regional fisheries meetings, if necessary.

Several respondents commented that in the absence of a formal mechanism for ensuring preparation, limited or inappropriate consultation on the issues before attending meetings has often resulted in irrational decision-making on environmental issues, and inappropriate representation at local, regional and international meetings. This has at times resulted in Grenada losing out on opportunities to benefit from resources that are available through these regional and international fora. The Government of Grenada recognizes the inadequacies of current mechanisms for sharing and coordination of the values and inputs of a broad range of agencies, public and other interests when conceiving, designing and implementing policies, programs or

projects. As a result, there have been efforts at ensuring more effective and efficient communication and decision-making at the national level. Several institutional arrangements have been proposed to address this. These include the following mechanisms:

- The strengthening of the Sustainable Development Council (SDC) to enhance and expand its current advisory role in policy analysis and formulation. The SDC was established in 1996 through assistance from CARICAD and UNDP under Capacity 21 national consultations following the Rio Declaration and Agenda 21. This council comprised a mix of government, civil society and private sector interests. It functioned up until late 2007 prior to national elections, but was plagued with various issues such as poor participation, inadequate financial and administrative support, low political will, and weak leadership, which resulted in its currently being dormant.
- The establishment of an Inter-Sectoral Environmental Committee (IEC) whose primary functions would be to guide, integrate, and coordinate policies and programmes in all areas of environmental management.
- The establishment of a MEAs Committee, responsible for advising the ministry with responsibility for the environment on all matters pertaining to ratification, implementation, monitoring and compliance for MEAs to which Grenada is a party.

There has been limited progress towards achieving these, except meetings to discuss the way forward e.g. recent meetings to discuss the re-launch of the SDC. Nevertheless, they provide some indication of the direction Grenada wants to take to improve coordination, communication and governance in general for its marine and environmental resources. Whether these proposed mechanisms will be used to prepare information and feedback remains to be seen. Some of the responsibilities of these committees relevant to improving communication and coordination regarding regional marine related meetings include:

- Report on activities undertaken by members, with the view to charting progress, identifying issues, challenges and gaps, and informing national responses;
- Influence effective communication and the flow of information within the sector and to other stakeholders;
- Disseminate information related to the respective instruments and reports from multilateral meetings to line ministries and other organizations as appropriate;
- Take initiatives and steps regarding research, education, training, awareness raising and capacity-building; facilitating public awareness, education and participation;
- Facilitate synergies among the conventions and other matters necessary to give effect to instruments the ratification, implementation, monitoring and compliance with MEAs by Grenada;
- Recommend ratification, implementation, monitoring and compliance for MEAs by Grenada;
- Recommend projects, programmes or other activities that may be instituted to facilitate compliance with MEAs to which Grenada is a party; and
- Recommend policy positions that should be taken at international negotiations.

The proposed membership of these committees is not clear at the moment. They seem to be drawn mainly from leadership positions in government agencies and some civil society and

private sector organizations, through a mixture of invitation and self-selection. The mix of representation may lend itself to indirect representation of grassroots NGOs/CBOs. However, some interested sectors of society may be left out based on selectivity or desire to keep the committees to manageable sizes. Whether these mechanisms will be established and perform successfully remains to be seen. There is no doubt in the minds of the various respondents, especially government, that this formalized/institutionalized approach offers the best option to ensuring any improvement to communication and coordination in Grenada.

#### **4.5.7 Attendance**

Respondents reported limited participation at these meetings. Reported contributions mainly included participation in plenary and group discussions, and receiving information. In terms of decision-making, representatives generally do not have authority to sign on policy decisions or financial commitments. Only the Minister or PS has this authority, but these decisions are usually deferred until there have been discussions at Cabinet or with the Ministry of Finance. Technical representatives can only agree in principle and refer back to the state. The request is then discussed at cabinet and a final decision communicated in writing. Representatives have authority for technical decisions, but it is still the practice to defer decisions until consultation with the HOD or PS.

These meetings are said to provide networking opportunities that include sharing information and lessons learnt, developing projects, lending technical assistance, providing training, etc. in areas of common interest. These networking opportunities are usually forged with other state representatives, the meeting host, or regional and international agencies present at the meetings. At the last UNEP IGM meeting held in Antigua, September 2008 for example, Grenada's representative and representative of the Government of Antigua discussed collaboration to address waste oil and solid waste. Respondents confirmed that they collect meeting documents and take personal notes of the proceedings.

#### **4.5.8 Reporting and follow-up**

Mission reports are officially required by all government agencies. This is usually within two to five days of returning from the meeting. These reports are to be prepared in hard copy by the representative and submitted to HOD and/or the PS of the respective ministry. However, this is seldom practiced, with oral briefing with the HOD or PS being most common. Meeting reports are not shared directly with other ministries or civil society/NGO and private sector stakeholders. There is some informal sharing of meeting outcomes on a personal level among the officers of the various government ministries/departments, similar to that discussed under preparation above. This is usually done via email, telephone, or face-to-face at some event or meeting. If there is a need to share specific outcomes relevant to other stakeholders with them, this will be done directly with the specific stakeholder via a letter or briefing document. However, NGOs and private sector persons interviewed indicated that nothing is shared with them. Again the exception might be fisheries related, since there is the strong informal rapport between fisheries officers and fishers and processors and the former would from time to time share and discuss mention specific outcomes and recommendations of meetings.

The terms of reference for the proposed MEAs Committee state that "where any person attends regional and multilateral environmental meetings, workshops and training on behalf of the Government of Grenada such person shall, within seven (7) days after such attendance submit a report containing particulars of the proceedings at the meeting, workshop or seminar and

recommendations, including follow-up activities that may be appropriate to the interests of Grenada, to the Secretariat of the Committee, for dissemination, consideration and action by the Committee for onward submission to the Minister and Cabinet”.

#### **4.5.9 Perception of good governance**

The consensus among respondents is that the current informal mechanism for communication and coordination is working but still needs improvements. Suggestions include:

- To improve transparency and effectiveness, create a better, more structured process that allows for regular multi-stakeholder participation, collaboration and information sharing;
- Improve communication across all sectors via the use of the internet and e-technology in general;
- Government should improve access by the wider public and other stakeholders to documentation/reports coming from regional and international meetings.
- Public relations should be improved possibly by a PR arm for each department or increased use of Government Information Services (GIS) to ensure that information get to the local community level.

#### **4.5.10 Key findings**

- The availability of general information (not directly from the government) on the internet allows for civil society and other stakeholders to be better informed of regional and international level actions for sustainable development.
- The absence of a formal, structured mechanism for communication and coordination, compounded by limited or inappropriate cross-sectoral consultation, often results in irrational decision-making on environmental issues, and sometimes poor representation at regional and international meetings.
- Regular national participation in regional and international meetings allows for networking and information sharing opportunities, increasing and improving institutional and project linkages across states and regions.
- Selection of appropriate representatives is paramount to ensuring effective representation of national policies and interest at regional and international fora.
- The sectoral and fragmented approach to implementation of MEAs and general environmental management reduces the overall effectiveness of communication and coordination.
- Informal personal level communications across government allows for quick, timely and specific responses to requests for information; however, this needs to be extended to civil society and the private sector. Informal personal relations and rapport are vital to getting things done and sharing information at all levels of society.
- Ad hoc and even some formalized committees do not always allow for broad and effective stakeholder participation. In fact there is no guarantee that all stakeholders will be represented. Some interests or interested sectors of society may be left out based on selectivity or desire to keep committees to manageable sizes.

## 4.6 Guatemala

### 4.6.1 Organizations/respondents

Ten organizations covering Government, NGOs, academia, fisher folk and private sector organizations were targeted for the assessment in Guatemala; only seven were interviewed upon visiting the state (Table 10). The NGOs targeted were currently active and involved in marine/environmental related activities and issues in Guatemala. The private sector organizations were primarily fisheries related. The UNEP IGM, the CLME and the then upcoming Copenhagen climate change related meetings in the region were selected as meetings by the respective respondents for the assessment (Table 10). The NGO responses were generally not specific to any one meeting. The private sector organization responses were based solely on their interaction with the government prior and after attending international meetings.

*Table 10: Organizations identified for the assessment in Guatemala*

Category	Target Organizations	Interview	Meeting selected
Government	Ministry of Environment and Natural Resources	Yes	CLME
	Ministry of Environment and Natural Resources	Yes	UNEP IGM
	Ministry of Foreign Affairs (MFA)	Yes	General
	Fisheries & Aquaculture Management Unit (UNIPESCA)	Yes	General
	National Protected Areas Council (CONAP)	Yes	CLME/Copenhagen
NGO	National Federation of Fishery	No	
	Environmental Rights Institute	Yes	General
Academia	Rafael Landivar University	No	
Private Sector	Fisher folk Association	No	
	Association of Exportation of Marine Products	Yes	General

### 4.6.2 Prior knowledge

No formal mechanism exists for NGO and private sector agencies to acquire knowledge of these meetings. The private sector does acquire access via face-to-face, telephone and email communication should UNIPESCA require their input or should they require information from UNIPESCA. The MFA and the relevant department involved in the selection of representatives are the only agencies with prior knowledge. Where there is a national focal point for the meeting in question, this person will be involved in internal discussions with the MFA.

### 4.6.3 Receipt of invitation

Invitations may be received by one of three pathways: they may be communicated directly to the MFA, to the embassy in the meeting host state, or to the government agency that is the national focal point for that convention e.g. CONAP is the focal point for a number of international conventions. However the MFA is responsible for endorsing representatives and the state's position. If the meeting has a political agenda to be discussed, the MFA needs to be informed of any such upcoming meeting. Meetings that are purely technical do not require the intervention of the MFA. At the inter-ministerial level, communication is not formalized and it is common to have delays occur in forwarding the invitation to relevant departments. While there is a

department within the MFA to facilitate the selection of a representative, lack of transparency reduces its effectiveness, as a representative is selected only after a substantial delay in awaiting departmental responses to the circulated invitation.

#### **4.6.4 Decision to attend**

Priority of attendance is given to international conventions. For other meetings, the decision to attend is usually based on whether participation can be funded. In fact, this was expressed as ministerial policy for the Ministry of Environment and Natural Resources (MARN).

#### **4.6.5 Selection of representation**

Notwithstanding the exceptional factors concerning focal points and the priority related to attendance mentioned above, a number of criteria determine the selection of representatives, including the nature of the meeting (political or technical), past experience representing Guatemala at such meetings, the extent of knowledge, and so forth. It is the practice in Guatemala, as is typical of Latin American states, for the MFA to endorse nominated representatives in order for their signature to be valid. This procedure is not always adhered to, especially regarding technical meetings. Without MFA endorsement, representatives may not sign documents for the state.

The MFA has a department for international cooperation that liaises with the ministries to forward invitations. When the relevant ministry does not provide a representative, the MFA may make the selection. With high-level meetings such as a COP, the representative may be assisted by the Guatemalan ambassador in the meeting host state, or similar representative with diplomatic credentials authorizing decision making on behalf of Guatemala. On invitation from government, NGOs have the option to select a representative to be included in the delegation. The NGO must assume the cost of participation.

#### **4.6.6 Preparation**

Preparation runs the gamut from formal to informal depending on the ministry. For the UNEP IGM it is three months in advance. A briefing document is created, with instructions, state positions, reasons for these positions and areas that are open to negotiation. The team preparing this document comprises ministers, deputy ministers, general managers and technical personnel. If the topic is mainly political the document is prepared by both the embassy located in the meeting host state and MFA personnel from the international cooperation department.

For CONAP, which is semi-autonomous, there is coordination with the Ministry of Environment, usually through a series of preparatory meetings prior to the briefing meeting in order to define the state's position. This preparation process may on occasion be formalized into an inter-institutional committee depending on the nature of the meeting; an example is a committee including the focal point, relevant governmental institutions and a representative from civil society convened for the Copenhagen Climate Change conference. It should be noted that this entity is the only one that indicated having including stakeholder participation in a pre-consultation meeting.

Other governmental representatives that were interviewed declared that usually one week prior to technical/regional projects meetings they are notified via email or telephone that they are to attend. This short notice does not permit them to be well prepared, particularly if they did not attend the previous regional meeting or are not well instructed on how to proceed. There is no



protocol and the process is considered highly informal. A governmental representative who attended a regional project meeting indicated having been briefed over the phone and gathered inputs from relevant sources on his own. The representative determines state position on his own initiative, through informal discussions within the meetings with other Central American ministers, or teleconferencing.

Where deemed necessary, NGOs and private sector may be asked to attend preparatory meetings to give input e.g. CONAP invites NGOs to preparatory meetings with the Cartagena Convention focal points. The private sector has established though informal channels of communication (calls, e-mails, face-to-face meetings) with the UNIPESCA to provide and solicit information. However, the private sector stated that this participation was highly influenced by the economic power their sector holds.

#### **4.6.7 Attendance**

At meetings representatives are expected to take notes and collect documents. Only those representatives endorsed by the MFA may sign off on policy or financial commitments. There may also be assistance from Guatemala's embassy in the state hosting the meeting. Delegation size varies but is on average two to three persons. Decision-making power usually lies with whoever the MFA has endorsed, who has the discretion to deviate from the state's position. If the representative does not have MFA endorsement or is unsure of how to proceed he/she either contacts the respective minister or the MFA via email or phone for instructions or lets it be known that further state discussion is required prior to making a commitment.

#### **4.6.8 Reporting and follow-up**

Formal reporting is compulsory but practice varies by ministry. There is no protocol or established format for preparing reports. It is mainly based on notes taken and documents received. It is expected that reports contain background information, developments at the meeting, conclusions, suggestions, any other important points raised, and the type of follow-up that is required from Guatemala. Basic administrative and logistical information should also be included, such as the location of the meeting and a list of participants. The length and deadline for submission of the report is flexible, depending on the ministry. The ministries usually require a precise and succinct report of approximately three pages, which permits easy reading and comprehension. Submission time varies from 5 to 10 working days following the return of the representative. The report is then submitted to the Director General who reviews it in consultation with the Deputy Minister to determine follow-up measures.

In Guatemala, broad stakeholder consultation is practically non-existent. The reports are not circulated beyond those involved in pre-meeting preparation. In the case of CONAP, this can include civil and private actors, but that is rare. Where there is no continuity with representatives and therefore no institutional memory, the reporting requirement may not be observed. Follow-up actions are the responsibility of the relevant ministry or focal point as in the case of UNEP-IGM; however the MFA is the responsible institution for follow-up on all political issues. In certain governmental institutions follow-up is informal to non-existent. Should the Minister require information he simply requests it. Otherwise follow-up meetings are not held.

#### **4.6.9 Perception of good governance**

There were common trends noted amongst the ministries and their interaction with private sector and civil society. There are no formal mechanisms for communication and feedback amongst the three sectors and indeed NGO and private sector involvement only occurs when they are requested to provide input. The process is therefore not participatory.

Respondents noted that there are communication gaps, especially in terms of forwarding invitations, selection of representatives and follow-up post-meeting. Institutional mechanisms for international meetings are well-developed in contrast to those for regional meetings, which appear to be of lower priority and are addressed only on an as-needs basis.

#### **4.6.10 Key findings**

- The sectoral and fragmented approach to general environmental management reduces the overall effectiveness of communication and coordination regarding regional and international organizations and projects.
- Although there has been some progress and attempts at multi-stakeholder consultations and communications, civil society and private sector participation has not been adequately advanced.

### **4.7 Jamaica**

#### **4.7.1 Organizations/respondents**

The Office of the Prime Minister has the portfolio to govern Jamaica's natural resources and environment. This mandate is discharged via the National Environment and Planning Agency (NEPA). In addition, the Ministry of Foreign Affairs and Foreign Trade has as one of its responsibilities the provision of a comprehensive framework for the management and development of oceans and coastal resources in Jamaica. The Maritime Authority of Jamaica (MAJ) a statutory arm of the government of Jamaica has maritime responsibilities including marine pollution prevention. The Department of Fisheries of the Ministry of Agriculture, Forestry and Fisheries has responsibility for fishery resources conservation and development. Several NGOs and the Centre for Marine Sciences, UWI Mona Campus is also involved in marine related research and lends related advice to the Government of Jamaica. Private sector agencies related to fisheries, the dive industry, and the yachting industry are numerous.

Table 11 indicates the agencies targeted and interviewed for the assessment from among those mentioned above. The UNEP IGM, the CLME, and the IMO related meetings in the region were the meetings selected by the respondents (Table 11). In addition the NEPA and the Department of Fisheries respondents made reference to other meetings (RAMSAR and CRFM respectively) when answering some of the questions and could not give a specific response based only on the UNEP IGM or CLME meetings. The NGO responses were general to meetings attended by government agencies and not specific to any one of the meetings. None of the targeted private sector agencies were available for an interview.



*Table 11: Organizations identified for the assessment in Jamaica*

Category	Targeted Organizations	Interview	Meeting selected
Government	National Environment and Planning Agency (NEPA)	Yes	UNEP-IGM/RAMSAR
	Department of Fisheries, Ministry of Agriculture and Fisheries	Yes	CLME/CRFM
	Maritime Authority (MAJ)	Yes	IMO-Globallast
	Ministry of Foreign Affairs and Foreign Trade (MFA)	Yes	General
NGO	National Council on Oceans and Coastal Zone Management	Yes	General
	Environmental Foundation of Jamaica	Yes	General
	Jamaica Environmental Trust	No	-
	Negril Coral Reef Preservation Society	No	-
Private Sector	Jamaica Exporters Association	No	-
	Newport Fish and Meats Ltd	No	-
	Jamaica Fishermen's Cooperative Union	No	-

#### **4.7.2 Prior knowledge**

The three government agencies confirmed prior knowledge of their respective meeting of choice as indicated in Table 11 above. The Environmental Management Division under the Office of the Prime Minister is the focal point or authority for the Cartagena Convention, hence interest in the UNEP IGM. NEPA has operational responsibility for two of the associated protocols (SPAW and LBS). The Ramsar regional and international meetings are also the responsibility of NEPA. Jamaica is the regional representative on the Standing Committee of Ramsar and is represented by NEPA. The MAJ administers responsibility for Jamaica's interest in the Oil Spills Protocol. It is also the focal point for IMO treaties and associated meetings e.g. the GEF/UNDP/IMO Global Ballast Water Management Programme (Globallast). The Ministry of Agriculture and Fisheries through its Department of Fisheries has responsibility for the CLME Project.

Each of these agencies will normally give priority to, plan for, ensure participation in and represent the government of Jamaica's interest in the respective meetings. They are usually aware of when and where these meetings are to be convened, the agenda, and any actions to be implemented and/or to be reported on at these meetings. There is no budget requirement from the respective Ministries or agencies for attending these meetings as they are usually sponsored by the respective host(s).

NGOs are aware of these meetings, but not necessarily through official information coming from the respective government agencies. Instead information is acquired through informal personal contacts (with government officers or regional organizations/hosts), the World Wide Web, list serves and their involvement in marine related activities.

The awareness and prior knowledge among the private sector agencies could not be determine, but anecdotal evidence suggests that they do not have any prior knowledge specific to these meetings. The exception may be some fishermen cooperatives, since these have had some level of formal and informal contacts with regional projects (e.g. Regional Fisher Folk Network) through organizations such as the CRFM. Regarding the CLME, information may have been divulged in passing from informal conversations with Fisheries Officers or meetings they were involved in with the Department of Fisheries.

### **4.7.3 Receipt of invitation**

Invitations regarding UNEP meetings (e.g. UNEP IGM) usually go to the respective national authority (NEPA) through the MFA. Generally, invitations are usually addressed to the PS of respective government agencies regarding other meetings. In the case of the GLOBALLAST meetings invitations are addressed to the Director of MAJ. Invitations are discussed mainly in-house. No sharing occurs generally except in cases where it was necessary, for example, to inform cabinet through a parent Ministry so that permission to travel could be secured.

### **4.7.4 Decision to attend**

The decision to attend these regional meetings lies with the respective national authority/focal point based upon any agenda items which may have direct implications for Jamaica's interest and its marine affairs. Other factors include availability of appropriate representative(s), whether funding is provided by meeting host(s), and specific contributions required of Jamaica at these meetings such as chairing the meeting or sub-committees, etc. The UNEP IGM, Ramsar and GLOBALLAST meetings are seen as important for Jamaica and are thus given priority for attendance.

### **4.7.5 Selection of representation**

Selection of representatives usually lies with the PS of the various Ministries with regard to their respective meetings of interest. Representatives for UNEP IGM, Ramsar and GLOBALLAST meetings are selected by the Director of NEPA and MAJ respectively. This is based upon availability and expertise. IMO meetings usually require legal expertise; hence the legal officer is usually selected for IMO meetings, including GLOBALLAST. The Director of NEPA usually attends UNEP IGM meetings and a senior officer will attend Ramsar Standing Committee meetings. If for any reason these persons are not available, other senior officers or other agencies may be asked to send a representative. One of the challenges faced by the government of Jamaica is ensuring the appropriate individual(s) are selected for meetings. This is especially the case regarding IMO meetings, where maritime legal expertise is required but is somewhat limited in government; hence, the need for the MAJ to ensure their participation through representation by its Legal Officer.

### **4.7.6 Preparation**

There is no formal mechanism used in preparing for UNEP IGM meetings. NEPA is familiar with the issues and has adequately represented the Government of Jamaica's position and interest at such meetings. There is usually a briefing between the Director of Environment, Office of the Prime Minister and Director of NEPA prior to attending such meetings. This does not preclude formal communications with other agencies or ministries if specific inputs are required. Inputs from these other agencies and ministries are usually prompt because official communications go out from the Office of the Prime Minister. On the other hand, the common practice is for representatives to engage in direct informal personal contact with other HODs or officers if necessary to get any specific inputs. This again is mainly at the government level and does not necessarily include NGOs or the private sector.

Specific to the GLOBALLAST and Ramsar meetings there is some level of formality and structured approach in preparing for attendance at respective regional meetings. There is a National Task Force (NTF) for the GLOBALLAST Project, and an interagency National

Committee for Ramsar activities in Jamaica, set up through the respective projects. The NTF comprises representatives from NEPA, Ministry of Health, Coast Guard, Ministry of Transport, the Centre for Marine Sciences at UWI, and the Shipping Association. There are no NGOs represented. The National Ramsar Committee comprises representatives such as the Centre for Marine Science at UWI, Department of Forestry, Department of Fisheries, Urban Development Corporation, Environmental Management Division, and Office of the Prime Minister. The NTF and Ramsar Committee meet on a regular basis to discuss work plans and implementation of projects in Jamaica. Respondents indicated that the NTF and Ramsar committee meetings provide them and other selected representatives with adequate briefings on respective issues and Jamaica's official positions.

A much broader mechanism is the National Council for Oceans and Coastal Zone Management (NCOCZM). Established in 1998, NCOCZM is an advisory body to Cabinet and its Committees on ocean and coastal zone affairs. The Economic Affairs Department of the MFA is the secretariat to the NCOCZM. The Council is comprised of high-level representatives from the following Ministries, agencies, NGO, private sector, and academia:

- Office of the Prime Minister - Environmental Management Division
- Ministry of Foreign Affairs and Foreign Trade
- Attorney General's Chambers
- Ministry of Energy and Mining - Mines and Geology Division
- Ministry of Agriculture and Fisheries
- Ministry of Tourism
- Ministry of National Security - Jamaica Defence Force Coast Guard
- Jamaica National Heritage Trust
- Maritime Authority of Jamaica
- Planning Institute of Jamaica
- Port Authority of Jamaica
- Shipping Association of Jamaica
- National Land Agency - Survey and Mapping Division
- National Environment and Planning Agency
- National Commission on Science and Technology
- University of the West Indies, Mona - Centre for Marine Sciences
- University of the West Indies, Mona - Marine Geology Unit
- Caribbean Maritime Institute
- Northern Jamaica Conservation Association

In addition to the above, several individuals serve in their personal capacities. These include former directors and representatives of the following: Jamaica Commission on the Limits of the Continental Shelf; Port Authority of Jamaica; National Environment and Planning Agency; Representation of Jamaica to the United Nations (New York), and the Caribbean Coastal Area Management Foundation.

Respondents indicated that regional marine related meetings are noted and some information provided at the meetings of this council. Currently the council is fully occupied with mainly domestic level issues, and these tend to override discussions specific to regional meetings such as the UNEP IGM or the IMO related meetings. In essence, 'people are just made aware' of the meetings that may have any direct bearing on the agenda/issue being discussed. It has been

suggested that this council has the potential to be used as a mechanism to discuss regional meetings both to ensure that representatives are adequately prepared and to facilitate feedback of information from these meetings. To fulfill this potential, broader representation and regular participation of civil society and the private sector would be needed. As it stands the membership is largely of government agencies and there is minimal participation of NGOs and the private sector.

#### **4.7.7 Attendance**

Contributions by representatives at the UNEP IGM, GLOBALLAST, and Ramsar meetings include assuming the role of chair, leading working groups, state presentations, and raising issues from the floor. Representatives have authority for making mainly technical decisions. Policy or financial decisions must be approved by Cabinet. Respondents indicated that these meetings offer several opportunities for networking and that this is perhaps one of the most important reasons for attending them. Networking opportunities from recent meetings included securing funds for projects from funding institutions (e.g. US Fish and Wildlife Service committed funds for hosting of a national Ramsar meeting), seeking and sharing advice and information with other states regarding shipping vessels infringements, and ballast water issues.

#### **4.7.8 Reporting and follow-up**

Written reports are required for all meetings and travel by the various Ministries and agencies. These reports are usually required within two to three days and not later than one month of returning. These reports are audited from time to time as part of the government of Jamaica's efforts at transparency and public sector reform. Reports are mainly submitted to respective HODs and the PS of the respective parent Ministries. Oral reports are provided at the NTF, the Ramsar Committee and sometimes at the NCOCZM meetings. If there are specific activities to be implemented, a letter outlining the actions required is sent to respective stakeholders, directly from the agency and if necessary through the parent Ministry or the Office of the Prime Minister.

Reports are not always prepared on time, since representatives are often required to deal with urgent issues and activities upon returning. Furthermore, associated actions and follow-up may remain undone and the responsible officer(s) or representative(s) have to scramble at the last moment to complete them before they must report at the next meeting. This points to inadequate human resource capacity within some departments/agencies and meeting over-burden for some of the officers.

#### **4.7.9 Perception of good governance**

Respondents agree that the current mechanisms for communication and coordination are transparent but not quite effective, and can be improved. Some of the recommendations suggested include:

- The need for a broad enough institution or mechanism to coordinate regional meetings and MEAs to lessen the confusion and overlapping responsibilities that currently exist among various Ministries.
- The need for more regular and effective means of getting information to and from local level civil society and the private sectors.
- The need to use e-technology (websites etc) to make reports and other relevant documentation accessible by the public.

#### **4.7.10 Key findings**

- The availability of information via the internet allows for civil society and other stakeholders to be better informed of regional and international level actions for sustainable development. The fact that the secretariat of the UNEP IGM and Cartagena convention (UNEP CAR/RCU) is in Jamaica allows for direct interaction and sharing info with NGOs.
- Regular national participation in regional and international meetings allows for networking and information sharing opportunities, which increases and improves institutional and project linkages across states and regions.
- The selection of appropriate representatives is paramount to ensuring effective representation of national policies and interest at regional and international fora.
- Informal personal level communications across government allows for quick, timely and specific responses to requests for information; however, this needs to be extended to civil society and the private sector. Informal personal relations and rapport are vital to getting things done and sharing information at all levels of society.
- The National Task Force set up for specific MEAs and associated meetings e.g. Ramsar and GLOBALLAST, adequately briefs representatives on various issues of concern to the stakeholders that comprise its membership (government, civil society and the private sector) and hence they can be adequately prepared for informed participation and to represent the state's position at regional level meetings.
- A mechanism like NCOCZM, which has the potential for wide stakeholder participation, meets frequently, and is championed by a Minister, may be a strategic forum for various government agencies to inform a wide cross-section of national stakeholders, seek information for and provide feedback from key outcomes of regional and international meetings.
- Inadequate human resource capacity in most government departments/agencies ('meetings overburden' on one or two officers) is a contributing factor to poor and ineffective national/institutional responses, follow-up and implementation of meeting actions.

### **4.8 St. Lucia**

#### **4.8.1 Organizations/respondents**

In St. Lucia, responsibility and the legal mandate for the environment, oceans and coastal resources lie with the several line Ministries, associated departments or units, and statutory bodies. These include the Ministry for Physical Development and the Environment, and its Sustainable Development and Environment Unit; the Ministry of Agriculture, Land, Fisheries and Forestry; the St. Lucia Air and Seaports Authority (SLASPA); the St. Lucia National Trust (SLNT), the Soufriere Marine Management Authority (SMMA). NGOs dealing with marine related matters are limited. However, there are several fisher folk organizations/associations and private sector agencies relevant to the use and management of St. Lucia's marine resources.

Nine organizations covering government, fisher folk and the private sector were targeted for the assessment in St. Lucia. Eight of these were interviewed during the state visit and follow-up telephone calls (Table 12).

The Fisher Folk Association is an umbrella entity representing several fisher cooperatives and associations from across the island. The private sector organizations were selected from the fisheries and dive industries. The UNEP IGM, the CRFM, and the IMO related meetings in the region were selected as meetings of choice by the respective respondents for the assessment (Table 12). The NGO and private sector responses were generally not specific to any one meeting.

*Table 12: Organizations identified for the assessment in St. Lucia*

Category	Target Organizations	Interview	Meeting selected
Government	Sustainable Development and Environment Unit, the Ministry of Physical Development and Environment	Yes	UNEP-IGM
	Department of Fisheries, Ministry of Agriculture, Lands, Fisheries and Forestry (MALFF)	Yes	CRFM
	Maritime Authority, St. Lucia Air and Seaports Authority (SLASPA)	Yes	IMO-GLOBALLAST
	Department of Cooperatives	Yes	CRFM/General
	St. Lucia National Trust (SLNT)	Yes	General
	Soufriere Marine Management Authority (SMMA)	No	-
Fisher folk/NGO	St. Lucia National FisherFolk Association	Yes	CRFM
Private Sector	St. Lucia Game Fish Association	Yes	General
	Tikai /St. Lucia Dive Association	Yes	General

#### **4.8.2 Prior knowledge**

The government respondents generally reported that they are aware of the various marine related meetings that are convened in the region. Prior knowledge regarding the UNEP IGM, the CRFM Fisheries Forum, and the IMO/GLOBALLAST meeting lays specifically with the respective focal point ministries/departments as in Table 12. The UNEP IGM meetings were the responsibility of the Ministry of Physical Development and the Environment through its Sustainable Development Unit. This was the case since the Ministry has responsibility for the Land Based Sources of Marine Pollution (LBS) Protocol under the Cartagena Convention. The Ministry of Agriculture, Lands, Forestry and Fisheries (MALFF) is responsible for SPAW protocol. The Department of Fisheries under the MALFF had obvious responsibility for fisheries related regional meetings and projects hence the meetings of the CRFM being of interest. The Department has prior knowledge of the CLME, but the respondent preferred to speak to the CRFM meetings. The Maritime Authority under the St. Lucia Air and Seaport Authority (SLASPA) has direct responsibility the IMO convention, and the Oil Spills Protocol of the Cartagena Convention.

In terms of meetings that were not a direct responsibility of a particular Ministry or agency, knowledge of the objectives and issues were limited to very brief information that was provided by the respective national focal point. This information is usually received through their participation in the Coastal Zone Management Advisory Committee (CZMAC). The CZMAC is a government led national level committee with representation from several government



agencies responsible for coastal zone management and development (more information about this committee as a mechanism for communication will be provided later). Knowledge of these meetings was also significantly attributed to personal rapport/contact with respective responsible officers of the national focal points, personal reading and information via the internet and email list-serves.

The St. Lucia National Trust, a statutory body/quasi NGO, was aware of these meetings, particularly those related to UNEP, due to fact that their work is relevant to these meetings and they have had interactions directly with the UNEP CAR/RCU which is the secretariat to the UNEP IGM and associated regional projects. From time to time, issues of national concern relevant to these meetings are discussed at meetings convened by various government agencies with responsibility for marine affairs. On the other hand, the majority of the private sector respondents indicated no knowledge of these meetings. Fisher folk organizations were aware of CRFM meetings e.g. the Ministerial meeting and the Fisheries Forum, due to recent efforts of the CRFM secretariat at strengthening fisher folk involvement in fisheries related decision-making and projects at the national and regional levels e.g. the Caribbean Network of Fisher Folk Organizations.

NGOs and private sector respondents enthusiastically expressed interest in being more involved by receiving and sharing information with government regarding these meetings, since issues and activities discussed at these meetings are relevant to their work and activities.

#### **4.8.3 Receipt of invitation**

Government agencies which are national focal points for the UNEP IGM, CLME/CRFM and the IMO receive direct communications e.g. invitations to these meetings. Invitations are addressed directly to the Ministers or Permanent Secretaries of the national focal point Ministries and copied to HOD/Chief Fisheries Officer with operational responsibilities. In the case of IMO meetings, invitations are addressed to the General Manager of SLASPA. Information that these meetings are being convened, their purpose and other information are usually only discussed internally within the respective focal ministry or agency. It is not the usual practice to share with other agencies, NGOs or the private sector, except in cases when it is necessary to seek their inputs on a particular issue or for participation as part of a national delegation, etc.

#### **4.8.4 Decision to attend**

Each of the UNEP IGM, CRFM, and IMO meetings are of significant interest and are therefore given priority for attendance by the national focal points. All of these meetings provide a range of benefits and opportunities for achieving the mandate of the national focal points and ultimately the sustainable development goals of St. Lucia. Some of these benefits/opportunities include but are not limited to funds and other resources such as training and technical assistance for implementing work programmes/projects, information sharing, guidance on developing national legislation for conservation and development of marine and coastal resources. These meetings are not budgeted for by the respective Ministries/national focal points. The cost of one representative attending is usually covered by organization holding the meeting.

#### **4.8.5 Selection of representatives**

There is no rigorous process followed for selecting a representative to attend meetings. With reference to the UNEP IGM meetings, one representative from the Ministry/national focal point

usually attends. This would either be the PS or HOD. If funding is provided for additional attendees then a technical officer may also attend. However, if the PS or HOD is not available or the meeting is mainly technical, it has been the practice to select an officer who has responsibility for the respective programmatic area, the knowledge of the issues being addressed at the meeting and the ability to adequately represent the views of the Ministry. Regarding CRFM meetings, the Chief Fisheries Officer or a senior officer will usually attend the Fisheries Forum. The Minister or PS will attend high level meetings such as the Ministerial meeting of the CRFM. IMO meetings are attended by the Officer in Charge Maritime Authority or the General Manager SLASPA.

#### **4.8.6 Preparation**

There is no formal preparation process for attending any of the meetings. The representatives will usually familiarize themselves with the meeting objectives and any specific requirements of the meeting, and then seek inputs from within their Ministry or Department. Depending on the issue, if official input is required from other relevant Ministries, NGOs, or the private sector then this will be obtained as needed via formal written requests or face-to-face meetings. Such has been the approach of the Department of Fisheries through its extension officers, who usually engage fisher folk on issues and projects relevant to the CRFM agenda.

Apart from the internal *ad hoc* process for preparation mentioned above, it is evident that there is informal personal communication existing among officers of various government agencies. This seems to be the dominant mechanism used to seek inputs from other government Ministries and departments in preparation for any meeting. Regarding the UNEP IGM meeting the responsible officer within the Sustainable Development Unit, Ministry of Physical Development, Environment and Housing indicated that a telephone call or email to her counterpart within the Department of Forestry, the National Emergency Management Organization (NEMO), and/or the Maritime Authority would be used to get updates on status of implementation of the SPAW and Oil Spills protocols, respectively before attending the UNEP IGM meeting and that they would do the same for meeting that they were attending. The Head of the Maritime Authority also indicated that direct communication took place with the Biodiversity/Biosafety Coordinator in the Ministry of Agriculture, Forestry and Fisheries to get input and advice on the impact of invasive species in St. Lucia before attending the IMO-GLOBALLAST meeting. This mechanism allows for quick, timely, specific responses avoiding the bureaucracies that are typically associated with formal written requests to other government agencies.

The private sector respondents indicated that they could not recall any communication or contact made with them seeking inputs for any regional marine related meetings that government attended. They are willing to be more involved and want to contribute their knowledge, share issues affecting them, etc. The Sustainable Development and Environment Unit indicated that it had tried to promote inter-sectoral collaboration and information flows, and effective coordination of activities, but that lack of institutional resources and capacity has hindered any real progress.

Some of the better organized private sector stakeholders such as the Tourism Association have been consulted at times on policies that affect their interests, but these contacts have been intermittent, policy-specific and limited to organized groups that had established relationships with Ministries and state agencies. Attempts have also been made to consult and involve NGOs and CBOs directly in the process. However, one of the problems cited by government and even



NGOs themselves is the low capacity of the NGOs and CBOs which often makes regular contact/communication and information sharing difficult. The exception to this has been the St. Lucia National Trust which has stable leadership and strong institutional support from the government. The National Trust has been consulted and communicated with by the Ministries of Agriculture, Forestry and Fisheries; Tourism and Civil Aviation; and Physical Development, Environment and Housing to seek inputs/updates on activities relevant to some of the MEAs and conventions. At times they have assisted in coordinating national consultations with NGOs and CBOs.

#### **4.8.7 Attendance**

Respondents reported active participation at the selected meetings. Reported contributions generally include participating in plenary discussions, providing state presentations and sometimes chairing/facilitating special sub-committee meetings or closed caucuses. These contributions vary depending upon the meeting agenda.

In terms of decision-making at these meetings, representatives generally do not have authority to sign on decisions regarding policy or financial commitments. Only the Minister or PS has authority for these types of decisions. However, they are usually deferred until there have been discussions at Cabinet level or with the Ministry of Finance. Technical representatives would need to agree in principle at the meeting and refer the question back for discussion at the national level. The final decision is then communicated in writing. Representatives have authority for technical decisions, but it is still the practice to defer decisions until after consulting with HOD or PS.

These meetings are said to provide various networking opportunities. These may range from sharing of information and lessons learnt, developing projects, lending technical assistance, providing training etc. in areas of similar interest. These networking opportunities are usually forged with other state representatives, the meeting host, or regional and international agencies present at these meetings. At the last UNEP IGM meeting held in Antigua, September 2008 for example, St. Lucia's representative and representative of the Government of France discussed collaboration between the two governments on the implementation of the LBS protocol. The representative of St. Vincent asked assistance from St. Lucia for preparation of a justification paper to be used to advance the ratification of the LBS protocol in St. Vincent and the Grenadines.

Respondents confirmed that they do collect meeting documents and take personal notes of the proceedings.

#### **4.8.8 Reporting and follow-up**

Mission reports are officially required by all government agencies. They are usually expected within two to five days of returning from the meeting. Hard copies are submitted to HOD and/or the PS of the Ministry. In addition an oral briefing with the PS and HOD is usual. Each of the Ministries/Departments has their own report structure/content. However, these reports generally include: title, venue and sponsors of the meeting, objectives, summary of discussions and outcomes of meeting agenda items, recommendations and follow-up actions, and appendices. All respondents demonstrated that they had prepared their reports for the last meeting they attended, in a timely fashion. Copies of these reports were provided. However, they indicated that reports

are not always prepared on time. There is no strict monitoring of reporting and representatives will sometimes return, get caught-up in routine activities and forget about meeting reports.

Reports prepared following these meetings are not shared directly with other Ministries or civil society/NGO and private sector stakeholders. If there is a need to share specific outcomes relevant to other stakeholders then this is done via information through the Government Information Service (GIS), the Public Education and Awareness arm of the respective Ministries, or a letter or briefing document to specific stakeholders. There is also some informal sharing of meeting outcomes on a personal level among the various government Ministries/departments similar to that discussed under preparation above. This is usually done via email or telephone.

In St. Lucia the CZMAC is often used as a venue to share meeting outcomes with other government ministries/departments. This is limited to a brief oral or written summary presented by the representative of the Ministry. The CZMAC comprises one representative of each of the main public sector agencies directly responsible for coastal zone management and development (Ministries responsible for Physical Planning, Environment, Fisheries, Forestry, Agriculture, Works, Environmental Health and Tourism, the National Emergency Management Office, SLASPA, National Conservation Authority, Crown Lands Development, WASCO, SMMA). Representation on this committee is at the decision-making level with representation from other agencies co-opted as required. CZMAC meets quarterly to review and discuss national matters related to CZM in St. Lucia. The current membership of the committee does not include NGO or private sector representation. The representative from the Sustainable Development and Environment Unit who attended the last UNEP IGM meeting indicated that a quarterly report, which includes a section on meetings and workshops attended, is provided to this committee.

Reporting to civil society and the private sector on the selected meetings does not currently take place in St. Lucia. This was confirmed by the fisher folk and private sector respondents. There is interest among NGO and private sector agencies to receive information on meeting outcomes. However, they acknowledge that they have in turn not been proactive in requesting information from government regarding these matters.

From time to time there are specific recommendations and activities to be implemented and followed-up on. This is usually done before the next meeting since a report on achievements is required.

#### **4.8.9 Perception of good governance**

Respondents were generally satisfied in terms of the effectiveness, and transparency with the current mechanism for communication and coordination among private and public sector stakeholders. They suggested areas that require improvements:

- Improve and utilize communication technologies and tools for information sharing e.g. websites for placing reports of meetings.
- Build man-power capacity of some government departments, since staff is limited and reporting on meetings is therefore not a priority.
- Communication with NGOs and private sector by government needs to improved and regular.

#### **4.8.10 Key findings**

- The CZMAC is a useful forum through which government agencies can receive inputs and provide feedback regarding regional marine meetings with other government agencies. Current representation of NGOs and the private sector is nonexistent. .
- Direct communication of invitation from meeting host/secretariat to national focal points allows adequate time for selecting and preparing appropriate representation. If meeting invitations go through another Ministry e.g. Ministry of Foreign Affairs, delays may be experienced since information may not always get to the appropriate department in time to allow for selection of representatives and preparation. Sometimes this may result in St. Lucia not attending the meeting at all.
- Informal personal communication among officers of government agencies is the dominant and preferred mechanism for seeking out inputs and providing information to their peers regarding regional/international meetings.
- Civil society and private sector are not usually included in the process of preparation for or feedback from regional marine related meetings that the government of St. Lucia has attended. Low institutional capacity and lack of leadership characterizes most NGOs and CBOs in St. Lucia, resulting in government finding it difficult to maintain contact and ensure regular communication.

### **4.9 Synthesis of key findings from the state case studies (Phase 2)**

The case studies for the eight states confirm the overall picture provided by the Phase 1 survey and reveal substantial further information about the reasons for the findings. The findings for the eight states are also consistent with the information provided on these states in the Phase 1 survey. This increases confidence in the overall findings from the Phase 1 survey. However, the case studies reveal that there is diversity within the response categories for the Phase 1 survey. For example, while it may be correct that a formal process exists for post-meeting reporting in a state, the extent to which this is followed varies among states and even within states depending on the meeting and other circumstances.

States view regional meetings as important and are of the view that regular national participation in regional and international meetings allows for networking and information sharing opportunities which helps in increasing and improving institutional and project linkages across states and regions. The key points from Phase 2 are summarized below.

#### **4.9.1 Meeting preparation and feedback processes**

- Knowledge of meetings that countries would be attending was largely limited to government personnel, and even then only to those directly involved in the activities of the specific organization or project. Non-governmental stakeholders are seldom made aware of such meetings and when they do know it is by virtue of their own linkages and seeking of information on the web. Only in Colombia was there a mechanism for informing other stakeholders of meetings.
- Invitations to attend meetings often go to a central ministry. At times this results in the responsible focal point receiving late notification. Conversely, when the invitation goes

directly to the focal point, wider distribution within government may not take place. It was suggested that governments request that invitations be sent to a central agency with responsibility for coordinating international relations in ocean affairs and also copied to the individual focal point.

- In all cases the decision to attend a meeting is based upon the perceived relevance of the meeting (organization or project) to the country's needs. In most cases the provision of travel funding by the organization holding the meeting is also a major factor in attendance and delegation size.
- Low human resource capacity in most government departments/agencies results in an excessive meeting burden for individuals and is considered a primary contributing factor to poor and ineffective national/institutional inputs to regional meetings and to follow-up and implementation of meeting outputs.
- Few countries have a structured process for selecting representatives to attend meetings. In most cases this is left to the head of the responsible agency. Inappropriate representations can lead to low returns from participation or even errors that affect the country. Selection of appropriate representatives is considered essential for ensuring effective representation of national policies and interests at regional and international fora. This is especially the case when much of the pre-meeting process is left to the initiative of this individual. Continuity of representation was flagged as a problem.
- In several states, preparation is mainly at the representatives' personal discretion or preference.
- Informal personal level communications across government allows for quick, timely and specific responses to request for information. Informal personal relations and rapport are vital to getting things done and sharing information at all levels of society, but do not provide the accountability and transparency that would be expected of good governance.
- In all states the preparation of a report is required upon return from a meeting. In most cases these are not widely shared even within government. Post-meeting feed-back and communication to NGOs and private sector is virtually nonexistent.

#### **4.9.2 Cross-sectoral integration**

- The sectoral and fragmented approach to ocean and environmental management that prevails among many of the states of the Wider Caribbean Region reduces the overall effectiveness of communication and coordination regarding regional and international organizations and projects.
- Committees and other mechanisms established with the express purpose of promoting cross-sectoral participation for coordinating input and linkages to regional meetings/projects appear to be somewhat successful in achieving improved communication and information sharing. The success depends upon the extent to which the mechanisms are used (Colombia vs Jamaica).
- Even where mechanisms are not in place, there is wide recognition that multi-stakeholder arrangements or mechanisms are needed and have the potential to add value to national level interactions in preparation for and following regional meetings for MEAs and projects.

- Several multi-stakeholder coordinating committees already exist in the case study states that can provide some guidance in the establishment and operation of these mechanisms.
- It is important to utilize existing committees or arrangements for national level communication rather than establishing separate arrangements for individual meetings.

#### **4.9.3 Civil society and private sector engagement**

- The majority of existing coordinating committees do not have adequate representation from civil society or the private sector.
- The agendas of several of these committees do not appear to be sufficiently broad to provide an adequate forum for the range of topics that should be considered for ocean governance and hence to facilitate effective linkages to regional institutions and projects.
- Although there has been some progress and several attempts at multi-stakeholder consultations and communications in most of these states, civil society and private sector participation has not been adequately advanced.
- Improved access to information through the internet is enabling civil society and private sector stakeholders to become more aware, better informed and interested in actions and commitment to marine resources governance at the regional and international levels. Thus they are less dependent on information coming from government and also more conscious of the activities in which they should be included.
- Institutional capacity, weakness, and lack of leadership characterize most NGOs and CBOs in most of the states, resulting in government finding it difficult to maintain contact and ensuring regular communication.

## **5 Conclusions**

The study revealed a wide diversity in the development of national level mechanisms for engagement with regional organizations and projects in ocean and coastal governance. In some countries the process is entirely informal depending on personal communication among relevant partners. In others, the feedback mechanisms were formal but the preparation for engagement was informal. In a few countries, there were fully fledged mechanisms for engagement. The study shows that states view regional meetings as important, but do not necessarily prepare for them properly. In order for states to fully benefit from the regional activities in general and the meetings in particular, better preparation and better follow-up communication is needed.

The mechanisms observed may be fit to the LME governance framework and multilevel policy cycles at several different positions. Good fits to the ideal model suggest well developed vertical and lateral linkages between levels and complete policy cycles in the areas receiving attention. It is not feasible with this body of evidence to fully investigate the latter. Regional meetings may be called to address one or more parts of a policy cycle, but seldom an entire cycle at one sitting, or the topic may not have matured sufficiently to complete a full cycle. For example, the CLME Project is now in its early stages. The snapshots shared with the researchers may be incomplete. However, the evidence collected is sufficient to comment more comprehensively on multilevel linkages, and in this respect many of the actual arrangements are deficient, especially in their limited vertical extension to engage local level actors.

In all but a few countries the mechanism was not well geared towards engaging civil society and private sector stakeholders. The need for attention to this aspect of governance is prominent in most regional and international multilateral agreements. Current thinking is that effective governance requires stakeholders to be knowledgeable and actively engaged, especially if adaptive capacity is to be developed or sustained. The self-organisation that is key to adaptive capacity is not enabled by policy that largely excludes civil society from communication and coordination mechanisms.

While the study shows that the need for more linkages is clear and recognized by most stakeholders, more research is needed to investigate potential costs of increased participation. For example, to what extent does more participation help over-stretched governments use the resources (local groups) they have at hand, and to what extent is it a cost? There needs to be a more in-depth discussion about the transaction and other costs versus the benefits of engaging non-governmental stakeholders. This includes examining situations to determine the optimal mix of formal and informal processes. Effective formal processes often incur higher transaction costs than informal ones, but leave a trail “for the record” that may assist institutional memory and learning. Informal processes and social networks may seem to “cut through the red tape” but at the expense of establishing and testing systems in any rigorous way that can be reported upon.

Where national focal points or other key actors communicate regularly with their constituents or stakeholders there may be no need for much investment in formal processes. An exception could be where there is conflict amongst stakeholders such that effective communication (for preparation or feedback) amongst all parties on an equitable basis is best done within a more formal context of conflict management.

Issues of commercial private sector or civil society capacity, representativeness and representation may still arise even when these stakeholders are engaged (e.g. Suarez de Vivero et al 2008). The paradox of participation suggests that as processes become more participatory the voices of weaker groups become drowned out by the stronger and more strident, essentially defeating the main aim of participation unless arrangements are put in place to address this scale problem (Suarez de Vivero et al 2008). In the WCR, large power disparities amongst stakeholders (e.g. fishermen versus hoteliers) are likely to exacerbate this problem.

Learning facilitates adaptive capacity and relies upon institutional memory. The poor national and local linkages revealed by this study suggest that these may all be constrained by limited information exchanges. Increased attention to the network approach to governance (Pahl-Wostl et al 2008), and how enhancing this aspect of governance with regard to ocean governance in the WCR will require increased attention to structured communication, accountability and transparency as engendered by the interactive governance approach (Kooiman et al 2005). Attention to enhancing networks and even formalizing interactions can contribute greatly to interactive learning and adaptiveness.

There may be other advantages to increased interaction among government agencies. For example, since international meetings often cover many topics increased interaction would allow meeting delegates to better understand/represent varied and nuanced interests and project a less fragmented national approach.

Academia does not seem to have been engaged as a regular partner, although this was not explicitly pursued. The scarcity of academic “think tanks” in the WCR, especially the insular Caribbean, may be one factor that causes government agencies not to engage universities to the



extent expected in coastal and ocean governance matters. This aspect of network enhancement could add to the learning capacity and also encourage academia in the WCR to focus its limited resources on problem solving research.

The need for national level, multi-stakeholder, mechanisms for integration and engagement identified by respondents is highly consistent with emerging ecosystem approaches to ocean governance, both globally and for the WCR (Fanning et al 2010). There are, however, many questions remaining regarding how best to structure these. Should they focus on marine affairs or ocean governance only, or be broad, encompassing all aspects of sustainable development? Given the differences in size and capacity among countries different approaches are likely to be appropriate for different states. Therefore, this report is not prescriptive, but rather seeks to identify weaknesses and strengths of the various approaches examined as a guide to developing appropriate processes.

It is clear from this study that promotion of good regional ocean governance in the WCR will require greater attention to national level arrangements for engagement in regional matters. In particular there is a need for integrating mechanisms at the national level. The types of national level arrangements and interactions that have been considered in this study are important for adaptive responses to unpredictable stresses and impacts.

## 6 References

- Berkes, F. in press. Restoring unity: the concept of marine social-ecological systems. In: R. Ommer, K. Cochrane, P. Cury and I. Perry, eds. *World Fisheries: A Social-Ecological Analysis*. Wiley-Blackwell, Oxford
- Berkes, F. in press. Shifting perspectives on resource management: resilience and redefinition of 'natural resources' and 'management'. *Maritime Studies (MAST)* in press
- Chakalall, B., Mahon, R., McConney, P., Nurse, L., Oderson, D. 2007. Governance of fisheries and other living marine resources in the wider Caribbean. *Fisheries Research*, 87: 92-99.
- CBD. 2004. *The Ecosystem Approach (CBD Guidelines)*. Montreal: Secretariat of the Convention on Biological Diversity 50 p.
- EF National Focal points website. Accessed September 2009.  
[http://www.gefweb.org/participants/focal\\_points/Focal\\_1/focal\\_1.html](http://www.gefweb.org/participants/focal_points/Focal_1/focal_1.html)
- Fanning, L., R. Mahon, P. McConney, J. Angulo, F. Burrows, B. Chakalall, D. Gil, M. Haughton, S. Heileman, S. Martinez, L. Ostine, A. Oviedo, S. Parsons, T. Phillips, C. Santizo Arroya, B. Simmons, C. Toro. 2007. A large marine ecosystem governance framework. *Marine Policy* 31: 434-443.
- Fanning, L., R. Mahon and P. McConney. 2009. Focusing on living marine resource governance: the Caribbean Large Marine Ecosystem and Adjacent Areas Project. *Coastal Management* 37: 219 – 234.
- Fanning L., R. Mahon and P. McConney. 2009. *Marine Ecosystem-Based Management in the Caribbean: an essential component of Principled Ocean Governance*. Report of Caribbean Regional Symposium, University of the West Indies, Cave Hill Campus, Barbados, December 10-12, 2008. CERMES Technical Report No. 17, 44 pp

- Fanning L., R. Mahon and P. McConney. 2010. *Towards Marine Ecosystem-Based Management in the Caribbean*. Amsterdam: University of Amsterdam Press (in press).
- FAO Fisheries Department. 2003. *The ecosystem approach to fisheries. FAO Technical Guidelines for Responsible Fisheries. No. 4, Suppl. 2*. Rome, FAO. 112 p.
- Houghton M. O., R. Mahon, P. McConney, G. A. Kong and A. Mills. 2004. Establishment of the Caribbean Regional Fisheries Mechanism. *Marine Policy*, 28: 351-359.
- Kooiman J, Bavinck M, Jentoft S, Pullin R, editors 2005. *Fish for life: interactive governance for fisheries*. Amsterdam: University of Amsterdam Press
- Mahon, R., L. Fanning, P. McConney and R. Pollnac. 2010. Governance characteristics of large marine ecosystems. *Marine Policy* 34: 919–927.
- Mahon, R. and P. McConney. 2004. Managing the managers: improving the structure and operation of small fisheries departments, especially in SIDS. *Ocean and Coastal Management*, 47: 529-535.
- McConney, P., R. Mahon and R. Pomeroy. 2007. Challenges facing coastal resources co-management in the Caribbean. Pp 105-124. In: D. Armitage, F. Berkes and N. Doubleday [eds]. *Adaptive co-management: collaboration, learning and multilevel governance*. UBCPress, Vancouver.
- McConney, P., R. Pomeroy and R. Mahon. 2003. Guidelines for coastal resource co-management in the Caribbean: Communicating the concepts and conditions that favour success. Caribbean Conservation Association. 56 pp.
- Pahl-Wostl, C., J. Gupta and D. Petry. 2008. Governance and the global water system: a theoretical exploration. *Global Governance* 14: 419–435
- Parsram, K. and P. McConney. 2007. *Directory of Fisheries Stakeholders in the Caribbean*. Caribbean Regional Fisheries Mechanism (CRFM) Secretariat. Belize City, Belize. 54 pp.
- Pomeroy, R., P. McConney and R. Mahon. 2004. Comparative analysis of coastal resource co-management in the Caribbean. *Ocean and Coastal Management*, 47: 429-444.
- Rothwell, D. R. and D. L. VanderZwaag 2006. *Towards Principled Oceans Governance: Australian and Canadian Approaches and Challenges*. Routledge, New York, 400 p.
- Singh-Renton, S., R. Mahon and P. McConney. 2003. Small Caribbean (CARICOM) states get involved in management of shared large pelagic species. *Marine Policy* 27 (1): 39-46.
- Suarez de Vivero, J. L., J. C. Rodriguez Mateos and D. Florido del Corral 2008. The paradox of public participation in fisheries governance. The rising number of actors and the devolution process *Marine Policy* 32: 319–325
- The White House Council on Environmental Quality. 2010. *Final recommendations of the interagency ocean policy task force*. Executive Office of the President of the United States of America, Washington, DC. 89 p.



# Appendix 1: Caribbean Sea Survey – Phase 1

Introductory script (read out loud to respondent)

If respondent is unavailable, follow protocol for call-back or alternate respondent selection. Log all calls.

Good morning/afternoon Mr. /Ms \_\_\_\_\_

The University of the West Indies and some partner organizations are carrying out a study on governance of marine resources in the Wider Caribbean. The study is in support of the efforts of the Association of Caribbean States and other regional organizations to improve regional ocean governance. The study asks questions about arrangements for communicating before and after meetings of intergovernmental agencies and/or regional projects dealing with marine matters.

The interview may take about 10-15 minutes. Interview data will be kept confidential, and results will not be identified with specific individuals. I would like to interview you right now ... or later if you indicate a more convenient time when I can call back. In either case, I will send you a brief (two-page) description of the study by email or fax (whichever you prefer). You will be provided with all of the research findings. Benefits of the study to you may be the opportunity to (1) enhance decision-making processes in which you are involved and (2) to improve marine governance in the Wider Caribbean.

Respondent identity (complete spread sheet)

Interviewer

State called

Respondent ID#

Respondent sex

Circle the response closest to the reply received. Write in any additional information and research notes.

Call	Result of call or call-back
1	[ ] Kemraj [ ] Bertha _/_/_/_ state code / / interview number
2	[ ] male [ ] female
3	

- 1) In which category is your agency?
  - a) Foreign affairs
  - b) Environment
  - c) Fisheries/coastal
  - d) Other marine \_\_\_\_\_
- 2) Is there an arrangement used for communicating before and after meetings of intergovernmental agencies and/or regional projects dealing with marine matters, if any, is it formal or informal?
  - a) Formal
  - b) Informal
  - c) None used
    - i) If there is no process used at all now,
      - (1) Why not? \_\_\_\_\_
    - (2) Do you see the need for one? [ ] Yes [ ] No
  - ii) Was there one in the past, or is one planned?
    - (1) Past – was in place when? \_\_\_\_\_
    - (2) Planned – starting when? \_\_\_\_\_

iii) Can you provide more information on the current/past/planned process?

(1) Yes – *Continue with interview*

(2) No – *End the interview gently*

3) When does (did/will) meeting communication **usually** take place?

- a) Pre-meeting preparation
- b) Post-meeting feedback
- c) Both pre- and post-meeting

4) With what level of other agencies does (did/will) communication **mainly** take place?

- a) regional and international
  - i) Examples \_\_\_\_\_
- b) only national governmental
  - i) Examples \_\_\_\_\_
- c) national and local civil society, private sector
  - i) Examples \_\_\_\_\_
- d) all of the above
  - i) Examples ...*Write in examples next to the appropriate level above*

5) How would you describe the **main/most used** means of communication?

- a) personal direct (e.g. face-to-face meeting)
- b) personal indirect (e.g. phone, fax, email)
- c) impersonal (reading documents, web site)

6) How frequent, **typically**, is (was/will be) the use of the communication process?

- a) Regular (for all or most meetings)
- b) Occasional (for some meetings)
- c) Seldom (for very few meetings)

7) How would you describe the quality of documentation on the process?

- a) Good (well documented, easily available)
- b) Some (partly documented, not easily found)
- c) None (people know, but nothing in writing)

8) Thank you very much for taking the time to talk to me. Those were all of my questions, but is there anything else that you would briefly like to tell me about the communication process we discussed?

---

---

---

---

## Appendix 2: Interview Guides - Phase 2

### Interview GUIDE Civil society/Private Sector

#### Prior knowledge of meetings

1. Are you aware of any of the following regional marine related meetings? [UNEP CEP IGM/ CLME or OTHER NAMED MEETING]?
2. Were you aware of any existing national communication process that takes place prior to these meetings?
3. Who are responsible/leads the national level communication process?
4. Are these meetings of interest to you/organization? Why? How?

#### Receipt of Invitation

5. Was any information regarding these meetings communicated/shared with you by the responsible organization?
6. Were you invited to participate in a pre -meeting preparation process?
7. From whom? What process/meeting? When?
8. What was the purpose of the meeting

#### Decision to attend

9. Was the meeting a priority for you/organization and how important to your work or the state in your opinion?
10. What criteria guided/determined your participation? (issue, mandate, other)
11. Did you attend any previous such process/meetings? Which meeting and when did you participate?

#### Selection of Rep

12. Who represented your organization at these meetings?
13. Do you have a selection process? Do you consult with your membership? Who?
14. What level of influence does your organization have within the process? Explain
15. Who else do you consider important or should be part of the process? Why?

#### Preparation

16. How did you participate?
17. What was the extent of your participation/your contributions?
18. What? Why/ How?
19. Do you collect documentation from these meetings
20. What documentation (helps with ground truth whether government disseminates reports docs etc to stakeholders)

#### Follow-up

21. Was there any follow-up with you after the delegates or rep returned from the meeting?
22. Were you informed of the outcome(s) of the meeting?
23. Who? What did they inform you about? How was this done? When?
24. Were reports or other documentation provided to you and by whom? What docs?
25. Can you provide any of these? If you didn't receive, did you seek information? From Whom? When? How?
26. Were you successful?
27. Did you monitor and evaluate the implementation of recommendations etc?

#### General good governance questions

28. What's your opinion of the process we discussed?
29. Benefit/importance of having such a process?
30. Is it a useful/effective process?
31. Do you consider the process transparent?

32. How can it be improved?
33. Who should be responsible? Why?

#### INTERVIEW GUIDE (Government/para-statal)

##### Prior knowledge of meeting

34. Is the UNEP CEP IGM or CLME meeting of interest to your organization and/or state?
35. Can you identify another regional marine related meeting that may be of Interest?
36. Why are they of interest? How is it decided when or what meeting to attend/is of interest?
37. Are these meetings planned for and/or on calendar for attendance?
38. Are these meetings budgeted for?

##### Receipt of Invitation

39. To who usually are the invitations for these meetings addressed?
40. Is your organization responsible/point of contact/focal point for these meetings? Who is? If you are do you share the invitation or inform other organizations about the meeting? If so who?

##### Decision to attend

41. Is the meeting a priority? Why?
42. What criteria are used to determine a decision to attend? (budget, capacity, funding, networking, benefits, etc)
43. What's the main purpose for attending?
44. Have you attended at least the last two meetings in the past?

##### Selection of Rep

45. How are representatives selected?
46. What level of expertise, knowledge or what other factor determines selection of representation?
47. What is usual size and composition of delegation to these meetings?
48. What level of decision making does the rep or delegation has?

##### Preparation

49. Are you or any other agency responsible for ensuring representatives were adequately prepared for these meetings?
50. Was there any established formal or informal guideline(s) to follow in pre-meeting preparation? No/Why Yes/describe
51. Who/what other agencies/stakeholders if any participated in the preparation process?
52. When, where and how did this happen?
53. How is this process linked to any previous meetings?
54. Were any special instructions given? Who? What? Why?

##### Attendance

55. What was the level of contributions at last meeting attended?
56. Were you allowed authority for executing instructions/making decisions etc?
57. Did you at any time need to refer back to anyone not at the meeting for further consultation/instructions during the meeting?
58. Was there opportunity for networking? How were you engaged and with whom?
59. Did collect relevant meeting documents/reports?
60. Do you take personal notes and/or dependent upon host for proceedings etc?

##### Reporting

61. Are you expected to prepare and present a report? To whom?
62. What type of report is requested?

63. Urgency of the report?
64. Were documents or self generated notes useful in preparing report?
65. Where are these documents? Can you provide copies?
66. What were the basic content of the report?
67. Can you provide a copy?
68. What actions are taken after reporting?
69. Is there any use for this report in the future? Please explain
70. Is the report disseminated? If yes in what way, to whom, where and why?
71. Is communication pathways relevant to respective audience considered?

#### Follow-up

72. Any guideline for follow-up process?
73. Is it linked to reporting?
74. Who is responsible?
75. What monitoring and evaluation methodology is used to measure the follow-up process?
76. When and how do preparations for the next meeting take place?

#### General questions on good governance

- Are you satisfied with the process discussed above? - Transparency, effectiveness, efficiency etc.
- Any improvements?
- What is the impact or outcome to the state or Goal? refer back to their purpose and interest in the meeting.

## **Appendix 3: Communication Flows Relating to the CLME Steering Committee**

### **Introduction**

The holding of the first Regional Steering Committee of Phase One of the CLME Project presented the opportunity to complement the research to better understand national communication and coordination mechanisms for interaction with regional organisations and projects in the Wider Caribbean Region, with an actual case study. To that end, a short in situ survey was conducted with members of the CLME Steering Committee while they were attending the meeting in Cartagena, Colombia on 29-30 September, 2009.

The purpose of the survey was to assess the degree of communication flows and mechanisms utilized by members of the CLME Project Regional Steering Committee, who were comprised of both national level representatives and regional level representatives. It also allowed for assessing the consistency between the findings obtained from the broader suite of national level respondents who participated in the effort to understand national level communication and coordinating mechanisms with those provided by actual CLME Project Steering Committee members. It was expected that consistency would give credence to the findings and recommendations arising from the broader study while any inconsistencies would provide for a more in-depth interpretation and understanding of the differences in the responses that were obtained.

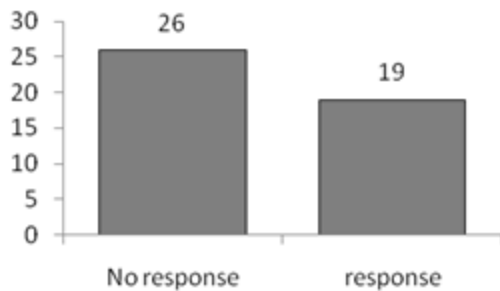
### **Methodology**

All participants attending the Regional Steering Committee meeting were provided with paper copies of the survey in either English or Spanish. A copy of the survey in English is provided in Annex 1. A time for an in-person interview was then agreed to with each respondent who was willing to participate in the survey. In the interest of time, two researchers were available to conduct interviews and as well, respondents could choose to fill out the survey by themselves and return them to the researchers prior to the close of the meeting. Of the forty-five potential respondents, nineteen agreed to complete the survey.

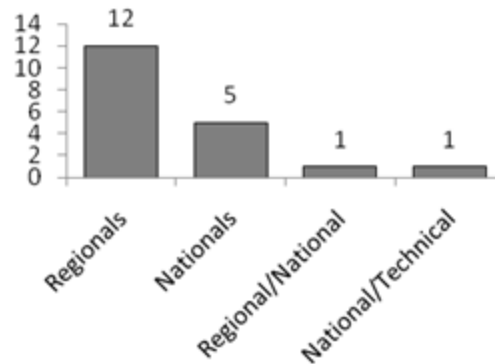
### **Results**

- Of the forty-five potential respondents, data was obtained from 42% (Figure 1).
- Of the 19 participants who did respond, it is important to note that 63% were from regional organizations while only 24% were national representatives (Figure 2). Curiously, two national representatives chose to have either a regional organization submit a response on their behalf (Mexico) or to have a national technical organization do so (Colombia). In both cases, this was explained as due to the relative lack of familiarity of the national representative with the CLME project and the familiarity of the regional and technical representatives.

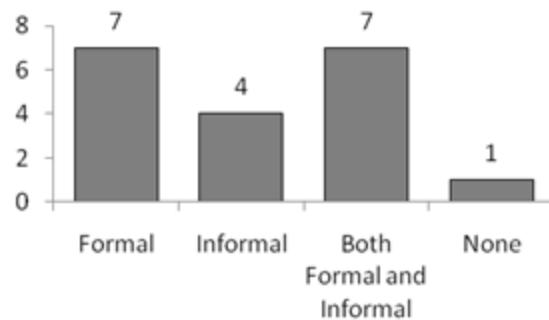
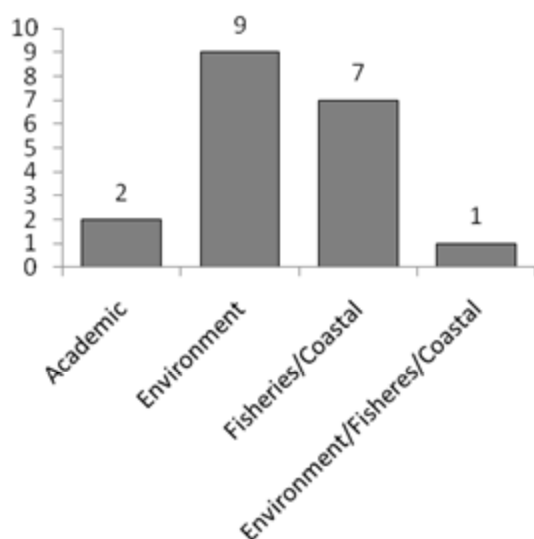
- Almost half of the respondents identified their primary area of interest as the environment, 36% identified their area of interest as fisheries and coastal concerns, with one respondent identifying all three areas of interest as part of their mandate (Figure 3).
- In terms of modes of communication, the majority of respondents used formal methods with some 37% using only formal methods, while a similar percentage used both informal and formal means of communication (Figure 4). In terms of using only informal methods, 21% chose this means of communication. This response is not surprising given the number of respondents who were regional in their mandates and generally use a formal means of communication as part of their organization’s process.
- Of particular interest to this study is that 90% of the members of the CLME Steering Committee who responded identified that they communicated both pre- and post meeting, with 10% communicating before the meeting but not after (Table 1).
- Forty-two percent of respondents communicated with stakeholders at the regional, nation and civil society (Table 1). 21% communicated at only the national level and a similar number at both regional and national levels. A small 5% (or 1 respondent) only communicated at the regional level.
- Methods of communication were shared roughly equally between personal direct or personal indirect at 31% each while 21% used both forms (Table 1). Only 10% used all three forms of communication methods, with the impersonal form being the least used at 5%.
- In terms of frequency, 42% communicated regularly with their constituents, 42% some and 16% had no response Table 1).
- In terms of quality of the documentation of the communication process, half of the respondents indicated it was good, while 25% had none and 25% some degree of documentation (Table 1).



**Figure 1: Level of response**



**Figure 2: Breakdown of respondents by jurisdictional authority**



**Figure 1: Breakdown of respondents by category**

**Figure 2: Breakdown of modes of communication**

**Table 1. Responses to questions regarding communication and documentation**

Question	Options	Responses	
		Number	Percent
<b>Timing of Communication</b>	Pre-meeting only	2	11
	Post meeting only	0	0
	Pre and post meeting	17	89
<b>Communication Flows</b>	Regional level only	1	5
	National level only	4	21
	Regional and national level	4	21
	Regional/national/civil society	8	42
	None	2	11
<b>Methods of Communication</b>	Personal direct only	5	26
	Personal indirect only	6	32
	Personal direct and indirect	4	21
	Impersonal only	1	5
	Personal direct and indirect and impersonal	1	5
	None	2	11
<b>Frequency of Communication</b>	Regular	8	42
	Occasional	8	42
	No response	3	16
<b>Quality of Documentation on Process</b>	Good	5	26
	Some	10	53
	None	4	21



## Discussion

Specific to the membership of the CLME Regional Steering Committee, the overwhelming majority of respondents (95%) stated that their organization or government had a mechanism in place for communication both before and after meetings (Figure 4). One national member stated they did not have a mechanism in place. It is worth noting that in the broader national survey, respondents for this country indicated only informal mechanisms were present and it is likely that the CLME representative, who was a new member to the Committee, was not aware of these informal mechanisms within their country. Equally valuable insight from the analysis both formal and informal modes of communication were used by regional and national level CLME governmental respondents, while academia and non-governmental representatives indicated only using informal modes.

Unlike the broader national survey which indicated all countries had pre and post meeting communication, 10% of the CLME meeting respondents indicated that only pre-meeting communication was undertaken (Figure 5). Of those, the responses were obtained from academia and one national government participant. While the finding is not surprising for the academic respondent, it is difficult to explain for the national level respondent, given the general expectation of some follow-up report by government representatives following travel. One explanation may be the lack of a requirement to follow-up with those who were communicated with for the purposes of gaining information and knowledge to prepare for the meeting prior to attending it. This may have been seen by the respondent as being significantly different from filing a post meeting travel report and be worth investigating further.

In the case of the CLME Meeting respondents, no distinction was able to be identified between the mode of communication (formal and informal) and the timing (pre or post meeting). This was noticeably different for the broader national survey in which informal modes were preferred for pre-meeting communication and formal modes for post-meeting.

The most inconsistent finding between the CLME Steering Committee members and the broader national survey was on the issue of who the members shared communication with about the meeting and its outputs. Based on the responses from CLME Committee members, 42% shared information with regional, national and civil society, while 21% shared information only with regional and national level governmental organizations and an equal percentage with only national level government agencies. Only 5% of the respondents stated they only shared information at the regional governmental level while 10% of respondents did not share information with anyone at any level (Figure 6). It is important to note that all of the national representatives of the CLME Steering Committee who responded to the survey indicated that they communicated with civil society about the CLME Project. This finding is at odds with the broader national level survey, where, while there is always some level of communication among government agencies at the national level, communication with regional/international agencies and also with the national and local civil society and private sector are much less common. This communication may either be absent altogether or only take place occasionally on an as-needed basis.

More consistent with the broader national survey trend is the findings from the CLME Steering Committee members on the main means of communication (Figure 7). The main means of communication cited was personal indirect by email and telephone at 32%. This was followed by personal direct at 26% in which members had a personal rapport with each other and can hence

pick up the phone or email an individual for inputs or guidance or share any important outcomes of any meetings. Members stating they use both personal direct and indirect accounted for some 21% of the survey respondents. This suggests that personal communication is by far the greater means used by CLME Committee members in sharing information about the project. Only 5% of the respondents claimed that they use an impersonal means of communication.

In terms of the frequency of using a communication process, CLME Steering Committee members indicated this was quite high with only 16% of the respondents indicating little to no communication process being used for the CLME Project (Figure 8). In terms of frequent communication, 42% indicated this was occurring while an equal number indicated it was occasional, likely in response to the level of communication being received from the CLME Project Coordinating Unit. It is to be expected that as the level of project activity increases, members will increase their frequency of communication about the project. In terms of the broader national survey, the trend was similar with the responses obtained for the CLME Project. However, the broader survey provided more discrimination between the use of the process pre- and post meeting, indicating post-meeting communication was more the norm than pre-meeting communication. This raised some concern that, in general, persons are attending meetings without any prior consultation in their states.

As with the broader national survey, the majority of the respondents reported having some degree of documentation of their communication process but the quality of the process in place was reversed between the two surveys. In the case of the CLME membership survey, 26% of respondents believed the process to be good as compared to 54% in the national survey; while 53% of the CLME members stated there was some process for documentation as compared to 23% in the broader national survey. This discrepancy in the assessment of the quality of the documentation process may be due to the newness of the CLME Project relative to other types of meetings and events being documented.

## **Conclusion**

The case study focusing on the CLME Regional Steering Committee provided an opportunity for similarities in the responses of Committee members with the broader national survey to be identified and for inconsistencies to be explained and/or examined further. Overall, the general trend in interpreting the results from both surveys was one of consistency. However, one important area of discrepancy worth of additional research and interpretation is in the area of sharing information with a broader suite of stakeholders. While national respondents in the broader study identified little to no sharing with civil society and with regional level organizations, this was not the case for the CLME Committee members' survey. Lessons on why and how this sharing of information of the CLME Project was deemed to be a role or responsibility for members of the Committee could help to inform a more generalized understanding on the barriers and opportunities for sharing information with civil society. Part of the explanation may lie with the recognition by the CLME Project participants that success in achieving the project goals requires connectivity across all levels and sectors.

## **Annex 1. Caribbean Sea Survey – CLME Steering Committee Sub-Project**

### **Introductory script (read out loud to respondent)**

Good morning/afternoon. Dalhousie University, the University of the West Indies and some partner organizations are carrying out a study on governance of marine resources in the Wider Caribbean. The study is in support of the efforts of the Association of Caribbean States and other regional organizations to improve regional ocean governance. The study asks questions about arrangements for communicating before and after meetings of intergovernmental agencies and/or regional projects dealing with marine matters. It also explores the CLME Steering Committee decision-making process. The interview may take about 30 minutes. Interview data will be kept confidential, and results will not be identified with specific individuals. You will be provided with all of the research findings. Benefits of the study to you may be the opportunity to (1) enhance decision-making processes in which you are involved and (2) to improve marine governance in the Wider Caribbean.

---

### **Respondent identity**

Respondent ID# \_\_\_\_\_ / \_\_\_\_ / \_\_\_\_ / interview number (Researcher to complete)

---

### ***Part A: Preliminary Communications Data***

- 1) In which category is your agency or organization?
  - a) Foreign affairs
  - b) Environment
  - c) Fisheries/coastal
  - d) Other \_\_\_\_\_
- 2) How do you communicate within your organization about external meetings such as this one?
  - a) Formal
  - b) Informal
  - c) None used
    - i) If there is no process used at all now,
      - (1) Why not?  
\_\_\_\_\_
      - (2) Do you see the need for one? [ ] Yes [ ] No
    - ii) Was there one in the past,
      - (1) Past – was in place when? \_\_\_\_\_
      - Or, is there one planned
      - (2) Planned – starting when? \_\_\_\_\_
- 3) Can you provide more information on the past/planned process?

(1) Yes – please continue to the next question.

(2) No – please proceed to Part B below

- 4) When does (did/will) internal communication **usually** take place?
- a) Pre-meeting preparation
  - b) Post-meeting feedback
  - c) Both pre- and post-meeting
- 5) How would you describe the quality of documentation on the process?
- a) Good (well documented, easily available)
  - b) Some (partly documented, not easily found)
  - c) None (people know, but nothing in writing)
- 6) Do/did/will you communicate with any other organizations about these meetings? At what level?
- a) regional and international
    - i) Examples \_\_\_\_\_
  - b) national governmental
    - i) Examples \_\_\_\_\_
  - c) national and local civil society, private sector
    - i) Examples \_\_\_\_\_
  - d) all of the above
    - i) Examples ...*Write in examples next to the appropriate level above*
- 7) How would you describe the **main** means of sharing information with these organizations?
- a) personal direct (e.g. face-to-face meeting)
  - b) personal indirect (e.g. phone, fax, email)
  - c) impersonal (reading documents, web site)
- 8) Typically, how frequent is (was/will be) do you communicate with them, to these meetings?
- a) Regular (for all or most meetings)
  - b) Occasional (for some meetings)
  - c) Seldom (for very few meetings)
- 9) How would you describe the quality of documentation on the process?
- a) Good (well documented, easily available)
  - b) Some (partly documented, not easily found)
  - c) None (people know, but nothing in writing)
  - d) Not a process, it was ad hoc on meeting related issues