

**Blue Planet Fund: Ocean Country Partnership Programme (OCPP)**

An Official Development Assistance Business Case

Department of Environment, Food and Rural Affairs

COVER SHEET

|  |  |
| --- | --- |
| **PROGRAMME SUMMARY** | The Department of Environment, Food, and Rural Affairs (Defra) is seeking approval to invest £55m of Official Development Assistance (ODA) to deliver a Blue Planet Fund (BPF) technical assistance programme - the Ocean Country Partnership Programme (OCPP). The programme will run for five years from June 2021-March 2026. Under the OCPP, the UK will partner with ODA eligible countries to build local and regional long-term capabilities in marine science to improve policy making addressing marine environmental challenges across three key themes: marine pollution, marine biodiversity, and sustainable seafood. Through the OCPP, collaborations will be developed with country governments, local universities, regional organisations and civil society organisations to improve applied science.  The programme will be demand led by partner countries and delivered through three core pathways: science and research, education and outreach, and policy and governance. Indicative activities that will be delivered over the course of the OCPP have already been scoped and identified, building off existing ODA programmes – the Commonwealth Litter Programme (CLiP) and One Health Aquaculture (OHA).  Over the five-year programme the OCPP will support up to 15 countries towards the below impact:  *Partner countries possess the skills and expertise to a) effectively access, develop and harness relevant scientific knowledge and practise; and b) develop and implement evidence-informed, locally relevant policy. In doing so, countries can effectively tackle the challenges that threaten marine environments and the livelihoods that depend on them*. |
| **COUNTRY / REGION** | Multiple - Countries will be ODA eligible and mainly located within the regions of Sub-Saharan Africa and the Indo-Pacific. We will target countries with greatest dependency on the marine environment; where the identified themes of pollution, biodiversity or sustainable fisheries are a high priority; where there is a need and demand for technical assistance through the pathways described above; and where the partnerships will be most likely to be successful, with impacts maintained over the long term.  Year one countries regions will include: Sri Lanka, India, the Pacific, Belize and Bangladesh. |
| **PROGRAMME VALUE** | £55,000,000 |
| **START DATE** | June 2021 |
| **END DATE** | March 2026 |
| **OVERALL RISK RATING** | Medium |

CONTENTS

[figures and tables 5](#_Toc120881518)

[GLOSSARY 6](#_Toc120881519)

[1. INTERVENTION SUMMARY 8](#_Toc120881520)

[1.1 WHAT SUPPORT WILL THE uk PROVIDE? 8](#_Toc120881521)

[1.2 why is uk support required and why now? 8](#_Toc120881522)

[1.3 what are the main project activities and how will they be delivered? 8](#_Toc120881523)

[1.4 strategic alignment 9](#_Toc120881524)

[1.5 What are the expected results? 9](#_Toc120881525)

[2. Strategic Case 10](#_Toc120881526)

[2.1 Global context 10](#_Toc120881527)

[2.2 UK context 11](#_Toc120881528)

[2.3 The need for science based technical assistance interventions 12](#_Toc120881529)

[2.4 Programme overview 14](#_Toc120881530)

[Box ONE: The Commonwealth litter programme (CliP) 16](file:///C:\Users\m995015\Downloads\210513%20OCPP%20BC%20FINAL%20proposed%20redactions.docx#_Toc120881531)

[(Cont.) 17](file:///C:\Users\m995015\Downloads\210513%20OCPP%20BC%20FINAL%20proposed%20redactions.docx#_Toc120881532)

[2.5 Strategic fit 20](#_Toc120881533)

[BOX TWO: A GREEN RECOVERY FROM COVID-19 22](file:///C:\Users\m995015\Downloads\210513%20OCPP%20BC%20FINAL%20proposed%20redactions.docx#_Toc120881534)

[2.6 Impact, outcomes, activities 22](#_Toc120881535)

[2.7 Theory of change 25](#_Toc120881536)

[BOX Three: how have we delivered poverty reduction through existing programmes- Commonwealth Marine Economies Programme case study 26](file:///C:\Users\m995015\Downloads\210513%20OCPP%20BC%20FINAL%20proposed%20redactions.docx#_Toc120881537)

[Box four: lessons learnt delivering through a pandemic 30](file:///C:\Users\m995015\Downloads\210513%20OCPP%20BC%20FINAL%20proposed%20redactions.docx#_Toc120881538)

[2.8 Risks 31](#_Toc120881539)

[2.9 GENDER AND EQUALITY 31](#_Toc120881540)

[2.9.1 Country prioritisation 32](#_Toc120881541)

[3. APPRAISAL CASE 35](#_Toc120881542)

[3.1 Long List of OptioNs 35](#_Toc120881543)

[3.2 Shortlisted options and appraisal design 38](#_Toc120881544)

[3.3 Appraisal of shortlisted options 40](#_Toc120881545)

[3.4 Conclusion and preferred option 51](#_Toc120881546)

[3.5 Approach for achieving VfM 53](#_Toc120881547)

[4. Commercial Case 55](#_Toc120881548)

[4.1 Commercial Approach 55](#_Toc120881549)

[4.2 Grant Management 60](#_Toc120881550)

[4.3 Safeguarding and equality 63](#_Toc120881551)

[4.4 Compliance with gender sections of 2002 international development act 63](#_Toc120881552)

[4.5 world trade organisation subsidy commitments 63](#_Toc120881553)

[5. Financial Case 64](#_Toc120881554)

[5.1 Nature and value of the expected costs 64](#_Toc120881555)

[5.2 Accounting Officer Tests 64](#_Toc120881556)

[5.3 Schedule of funding 65](#_Toc120881557)

[5.4 Financial Accounting Considerations for Defra 67](#_Toc120881558)

[5.5 Monitoring, reporting and accounting for expenditure 67](#_Toc120881559)

[5.6 Financial management 68](#_Toc120881560)

[5.7 Financial and fraud risk assessment 68](#_Toc120881561)

[5.8 Provisions for DEFRA to withdraw funding 68](#_Toc120881562)

[5.9 Powers for spending 68](#_Toc120881563)

[6. MANAGEMENT CASE 69](#_Toc120881564)

[6.1 What are the management and governance arrangements for implementing? 69](#_Toc120881565)

[6.2 Monitoring, EValuation and Learning (MEL) 71](#_Toc120881566)

[6.3 Communications and stakeholder engagment 74](#_Toc120881567)

[6.4 What are the key risks and how will they be managed? 75](#_Toc120881568)

[6.5 Avoiding fraud and corruption 78](#_Toc120881569)

[6.6 TRANSPARENCY 78](#_Toc120881570)

[6.7 Safeguarding 78](#_Toc120881571)

# figures and tables

[Figure 1: OCPP framework document, with indicative year one activities PAGEREF \_Toc68182925 \h 6](https://defra.sharepoint.com/teams/Team2210/International_Blue_Finance/BPF%20Programme/Projects/Year%201%20projects/OCPP/Business%20case/Final/210212%20OCPP%20BC.docx##_Toc68182925)

[Figure 2: Indicative outline of OCPP activity over five years (sub-themes after year two subject to change based on partner country priorities) PAGEREF \_Toc68182926 \h 16](https://defra.sharepoint.com/teams/Team2210/International_Blue_Finance/BPF%20Programme/Projects/Year%201%20projects/OCPP/Business%20case/Final/210212%20OCPP%20BC.docx##_Toc68182926)

[Figure 3: Possible scale up of OCPP partnerships from year one, starting with existing CLiP/OHA countries PAGEREF \_Toc68182927 \h 20](https://defra.sharepoint.com/teams/Team2210/International_Blue_Finance/BPF%20Programme/Projects/Year%201%20projects/OCPP/Business%20case/Final/210212%20OCPP%20BC.docx##_Toc68182927)

[Figure 4: OCPP framework document with example activities for year one PAGEREF \_Toc68182928 \h 23](https://defra.sharepoint.com/teams/Team2210/International_Blue_Finance/BPF%20Programme/Projects/Year%201%20projects/OCPP/Business%20case/Final/210212%20OCPP%20BC.docx##_Toc68182928)

[Figure 5: Links between sub-themes to address overarching BPF underpinning outcomes PAGEREF \_Toc68182929 \h 29](https://defra.sharepoint.com/teams/Team2210/International_Blue_Finance/BPF%20Programme/Projects/Year%201%20projects/OCPP/Business%20case/Final/210212%20OCPP%20BC.docx##_Toc68182929)

Table 1: Indicative activities offered under the marine pollution subtheme in year 1 with corresponding output and outcomes……………………………………………………………………………………………… 29

Table 2: Indicative activities offered under the sustainable seafood subtheme in year 1 with corresponding output and outcomes……………………………………………………………………………………………… 31

Table 3: Indicative activities offered under the MPA subtheme in year 1 with corresponding output and outcomes…………………………………………………………………………………………………………………………………. 34

Table 4: How VfM criteria relate to the BPF investment criteria………………………………………………………. 45

Table 5: Summary of short list options……………………………………………………………………………………………. 65

Table 6: indicative overall cost over five years – split by theme and delivery partner……………………….71

Table 7: indicative spend and payments schedule in year one…………………………………………………………. 71

Table 8: Internal HMG staff dedication……………………………………………………………………………………………. 72

Table 9: Provisions for Defra to withdraw funding………………………………………………………………………….. 74

Table 10: summary of high-level risk for OCPP……………………………………………………………………………….. 80

Box 1: The Commonwealth Litter Programme (CLiP)………………………………………………………………………. 15

Box 2: A Green Recovery from COVID…………………………………………………………………............................. 22

Box 3: How have we delivered poverty reduction through existing programmes- Commonwealth Marine Economies Programme case study …………………………………………………………………………………….. 27

Box 4: [Lessons learnt delivering through a pandemic PAGEREF \_Toc70006603 \h 30](https://defra.sharepoint.com/teams/Team2210/International_Blue_Finance/BPF%20Programme/Projects/Year%201%20projects/OCPP/Business%20case/Final/210421%20OCPP%20BC%20V2.docx##_Toc70006603)

Box 5: Evaluations of past UK marine litter programmes…………………………….…………………………………..43

# GLOSSARY

|  |  |
| --- | --- |
| ACRONYM |  |
| BPF | Blue Planet Fund |
| CBD | Convention on Biological Diversity |
| CCOA | Commonwealth Clean Ocean Alliance |
| Cefas | Centre for Environment, Fisheries and Aquaculture Science |
| CLiP | Commonwealth Litter Programme |
| FAO | Food and Agriculture Organisation |
| GOA | Global Ocean Alliance |
| HAC | High Ambition Coalition |
| IUU | Illegal Unreported and Unregulated fishing |
| JNCC | Joint Nature Conservancy Council |
| MMO | Marine Management Organisation |
| MPA | Marine Protected Areas |
| NBS | Nature Based Solutions |
| OCPP | Ocean Country Partnership Programme |
| ODA | Official Development Assistance |
| OECMs | Other Effective area-based Conservation Measures |
| OHA | One Health Aquaculture |
| OSPAR | Convention for the Protection of the marine Environment of the North-East Atlantic |
| SDGs | Sustainable Development Goals |
| TA | Technical Assistance |

# 1. INTERVENTION SUMMARY

## WHAT SUPPORT WILL THE uk PROVIDE?

The Department of Environment, Food, and Rural Affairs (Defra) is seeking approval to invest £55m of Official Development Assistance (ODA) into a technical assistance programme - the Ocean Country Partnership Programme (OCPP) delivered under the Blue Planet Fund (BPF). The programme will run for five years from June 2021-March 2026. Under the OCPP, the UK will establish partnerships with up to 15 ODA eligible country governments to improve the sustainable management of their ocean resources, for example tackling marine pollution or management of marine protected areas (to support implementation of post-CBD framework).

To achieve this we will strengthen expertise in partner countries to support inclusive and evidence-led policy making, through exporting the UK’s world leading marine science, research and development expertise. This programme will be demand-led, responding to the needs of partner countries.

## why is uk support required and why now?

We are running out of time to avoid a decline in ocean health that will have dramatic repercussions on the ability of the ocean to keep providing the support humans need to survive. To achieve global sustainability and adequate stewardship of the ocean, as called for in the United Nations 2030 Agenda for Sustainable Development, ocean science is crucial in order to understand and monitor the ocean, predict its health status and support sustainable, equitable and inclusive marine decision-making[[1]](#footnote-2).

The UK Government has **developed marine scientific expertise over several years** and the UK is now **internationally recognised as a world leader in marine science**. The UK government is expertly poised to provide support the improvement of scientific capacity and capabilities on marine conservation to ODA-eligible countries to improve policy-making. For example, the Centre for Environment, Fisheries and Aquaculture Science (Cefas), Joint Nature Conservation Committee (JNCC) and Marine Management Organisation (MMO) are world-leaders in marine science, management and governance expertise, and have all amassed extensive experience in successfully delivering internationally across key themes such as marine pollution, marine protected areas (MPAs), climate, aquatic health and illegal, unreported, and unregulated (IUU) fishing.

**The UK government has described 2021 as a ‘super year’ for the ocean, with UK leadership bringing marine protection to the fore as chair of both the G7 and COP26, while other key events take place including the Convention for Biological Diversity (CBD) COP and the launch of the UN Decade of Ocean Science for Sustainable Development (UN Decade).** Against this backdrop, the UK has committed to establishing a £500 million Blue Planet Fund (BPF) to protect the marine environment and reduce poverty, which we expect to strengthen commitment and push engagement.

## 1.3 what are the main project activities and how will they be delivered?

**The OCPP will seek to improve marine science capacity and capabilities across the three themes: biodiversity, seafood and pollution. The programme will be demand led by partner countries shaping the focus and method of delivery within themes and pathways.** Indicative activities that will be delivered over the course of the OCPP have already been scoped and identified, building on **existing ODA programmes – the Commonwealth Litter Programme (CLiP) and One Health Aquaculture (OHA)**. This is an indicative list and not exhaustive. Activities will be developed in partnership with country governments and stakeholders, therefore different activities might be identified based on need and desired impact. OCPP activities include, but are not limited to:

* Direct funding into regional bodies/institutions to build local capacity on marine science
* Collection and analysis of data relating to marine litter but also other possible marine pollution sub-themes such as water quality and noise to inform improved policy making
* Development and dissemination of education content relating to marine litter and other pollutants
* Technical assistance to develop existing or new marine litter action plans, but also to support, monitor, and evaluate existing plans
* Development and dissemination of a seafood production and capacity questionnaire (SPCQ) (or already developed in-country tools) to scope country needs relating to sustainable seafood
* Delivery of workshops introducing OHA and its application to potential partner countries
* Publish a new Seafood Risk Tool that will help countries to identify pathogens and related risks
* Development and delivery of Marine Protected Area (MPA) training programmes
* Delivery of MPA implementation plan including building capacity and providing support in country

Additional activities across the lifetime of OCPP are likely to relate to water quality, vulnerable marine species, and sustainable fisheries management activities, among others. We expect to partner with 10-15 countries throughout the life of the programme, and partner needs and priorities will help to shape future programming. Countries will be ODA eligible and mainly located within the regions of Sub-Saharan Africa and the Indo-Pacific. A full country prioritisation exercise to determine which countries are approached for full partnerships will be undertaken as detailed in section 2.9.1.

## 1.4 strategic alignment

The OCPP will illustrate UK ambition to demonstrate global leadership on the sustainable use of marine resources and so supports HMGs Presidency of COP26 and the G7, and our leadership of the Global Ocean Alliance. The ocean focus of the UK’s G7 Presidency is ocean science to support policy, specifically the outcomes of the UN Decade of Ocean Science (UN Decade) for Sustainable Development 2021-2030 which aims to develop ocean science and knowledge generation to reverse ocean environmental degradation and biodiversity loss. The OCPP’s objective – to export UK government science, research, and development expertise that address such issues – is directly aligned with this vision.

The policy team will also ensure that the OCPP aligns with and supports wider Blue Planet Fund investments, including by regularly reviewing and where necessary adjusting the OCPP as new programmes come on-stream from Defra and FCDO. This will include a review after one year focusing on alignment of the OCPP with FCDO programming.

## What are the expected results?

Results will vary from country to country, depending on national contexts, interests, and baseline analyses, but at a high level, countries will be equipped with the skills and expertise that they need to tackle marine environmental challenges across the themes of marine pollution, biodiversity and sustainable seafood:

**Outcomes:**

1. **Marine Pollution à** Countries are equipped with the skills and expertise needed to tackle marine pollution through development of science-led policy. Communities are better equipped to both prevent and manage marine pollution, improving health and livelihoods.
2. **Marine Biodiversity à** Countries are equipped with the skills and expertise needed to establish designated, well managed and enforced Marine Protected Areas and to support healthy ecosystems with thriving biodiversity and fisheries that communities rely on for food and livelihoods.
3. **Sustainable Seafood à** Countries are equipped with the skills and expertise needed to support adoption of a sustainable seafood practices, reducing the risk of negative impacts from unsustainable activities (e.g. spread of zoonotic disease), for example through employment of ‘One Health’ principles.

### **1.6 risk**

A full risk assessment is carried out in section 6.4. The Risk Potential Assessment (RPA) score for this programme is medium, as verified by the Department Assurance Coordinator (DAC). This is to be expected as a high-profile investment into an environmental issue of high political and public interest. OCPP programme-level risks range from green to amber and will be monitored throughout the course of the investment.

# 2. Strategic Case

## Global context

**The ocean supports the global population’s economic, social, and environmental needs,** with over three billion people depending on marine and coastal biodiversity for their livelihoods[[2]](#footnote-3). Careful management of the ocean is therefore a key feature of a sustainable future[[3]](#footnote-4). However, marine and coastal ecosystems are being rapidly degraded due to pollution, overfishing, climate change, and habitat destruction.[[4]](#footnote-5) As a result, many of the benefits and opportunities that depend on a healthy ocean are being missed or lost.

Degraded coastal ecosystems have a direct impact on poverty and livelihoods:

* **Biodiversity** is declining faster than at any time in human history. One third of marine mammals are currently threatened with extinction, and over 99% of coral reefs will be lost with 2 degrees of warming[[5]](#footnote-6),[[6]](#footnote-7). The loss of marine biodiversity is weakening the ocean and its ability to withstand pressures[[7]](#footnote-8). With the majority of human settlements located on or near the coast worldwide[[8]](#footnote-9), this has a direct impact on poverty reduction and sustainable development, particularly for developing countries. It is estimated that 40%[[9]](#footnote-10) of the global population live within coastal communities and coastal population growth is expected to continue to increase, leading to more people becoming directly vulnerable to changes to marine and coastal ecosystems. Protecting and managing the ocean sustainably is crucial for food security, tackling biodiversity loss and strengthening climate resilience, and there is well-established scientific evidence backing this up (e.g. effective protection of at least 30% of the global ocean will help to reverse adverse ecological impacts, preserve fish populations, increase resilience and adaptation to climate change, and sustain long-term ocean health[[10]](#footnote-11)).
* **Marine pollution** is threatening key species in and the health of the ocean, and in turn the health and livelihoods of those living in coastal regions. Marine litter, sewage and wastewater, chemicals and other pollutants have detrimental impacts on the marine environment and act as barriers to development. About 11 million tonnes of plastic waste enter the ocean every year, which is predicted to almost treble by 2040 to 29 million tonnes if no action is taken[[11]](#footnote-12). Poor sanitation and waste management have large impacts on human health as untreated wastewater, while nutrient-rich sewage, agricultural run-off, and other chemicals such as persistent organic pollutants (POPs) can cause eutrophication, oxygen depletion and severe physiological impacts[[12]](#footnote-13).
* **Fish stocks** and social-ecological systems are collapsing in many parts of the world and it is estimated that 13% of global fisheries have now completely collapsed. While large-scale fisheries and global seafood trade are dominated by a small number of mostly developed countries, over 90% of fishers are found in developing countries, the majority of whom are small-scale and artisanal, with millions of people dependent on their catch for subsistence and income. With the number of people suffering from hunger increasing since 2015, and the dependence on fish protein in many countries, the overfished state of the ocean (and contributors such as illegal, unreported, and unregulated (IUU) fishing) is a serious concern for food security and livelihoods. Aquaculture production accounts for approximately 46% of total fisheries production, valued at USD 250 billion in 2018 and provides 52% of fish for human consumption.[[13]](#footnote-14) In the context of wild fish declines, the sustainable expansion of aquaculture will play an important role in addressing the growing gap between fish demand and supply whilst minimising the impacts on marine biodiversity[[14]](#footnote-15).

**Covid-19 has brutally demonstrated both our reliance on the natural world,** and how it can harm us if we allow the fine balance between nature and human activity to be broken. The pandemic, borne from a zoonotic disease likely linked to the wildlife trade and ecosystem degradation will have long-lasting economic and social impacts. The economic fallout is likely to push more people further into poverty, reducing their options to increasing the unsustainable exploitation of their environments, thus exacerbating the onward march of biodiversity loss and climate change. We therefore need to ensure that action to protect and restore the world’s oceans, that so many rely on, is at the heart of the global green recovery effort.

## 2.2 UK context

**The UK is leading the way in tackling challenges faced by the ocean and those who depend on it.** For example, in 2018 the Prime Minister launched the Commonwealth Clean Ocean Alliance (CCOA), now a 34-member state group all pledging to reduce plastic entering the ocean. The Global Ocean Alliance (GOA) brings together 41 countries, led by the UK, working to protect at least 30% of the global ocean in Marine Protected Areas (MPAs) and Other Effective area-based Conservation Measures (OECMs) by 2030. Through GOA and other projects, we are harnessing the power of nature-based solutions (NBS) to protect the global ocean, while, most recently the UK has taken leadership, co-chaired with France, of the Ocean strand of the High Ambition coalition (HAC) for Nature and People[[15]](#footnote-16).

**The UK government has described 2021 as a ‘Super Year’ for the ocean,** with UK leadership bringing marine protection to the fore as chair of both the G7 and COP26, while other key events take place including the Convention for Biological Diversity (CBD) COP and the launch of the UN Decade of Ocean Science for Sustainable Development (UN Decade).

**To further cement global leadership in marine conservation and management, the UK has committed to establishing a £500 million Blue Planet Fund (BPF)** to protect the marine environment and reduce poverty, which we expect to strengthen commitment and push engagement. Financed from the UK ODA budget, the Blue Planet Fund will help eligible countries reduce poverty through protection and sustainable management of marine resources and addressing human-generated threats across four key themes: biodiversity loss, climate change, marine pollution, and sustainable seafood[[16]](#footnote-17).

**The UK is already working effectively to deliver technical assistance (TA) programming that aims to increase knowledge and capacity to tackle marine challenges through science-based policy and education.** Through the Commonwealth Litter Programme, for example, UK Government has supported seven ODA eligible countries over three years to develop locally relevant marine litter science (through provision of microplastic laboratories, training to use specialist equipment and complete monitoring surveys), and improve awareness of marine litter (through provision of school and community education packs, beach cleaning kits, public awareness campaigns and events), ultimately leading to governments agreeing country specific marine litter action plans, **which have already effected legislation change** in two countries (Belize and Vanuatu) that have, based on evidence generated through CLiP, banned the use of various single use plastic items.

## The need for science based technical assistance interventions

### 2.3.1 what’s the problem?

To achieve global sustainability and adequate stewardship of the ocean, as called for in the United Nations 2030 Agenda for Sustainable Development, ocean science is crucial to understand and monitor the ocean, predict its health status and support sustainable and equitable marine decision-making[[17]](#footnote-18). **Currently, however, the potential of ocean science remains critically underutilised.** The findings of ocean science often have direct implications for sustainable development policies, from those that ensure food security to those that protect against natural disasters and are applied in the management strategies and action plans of multiple societal sectors.[[18]](#footnote-19) **Ocean science has been identified as needing urgent focus on a global scale;** the knowledge we have needs to be “better used, coordinated and integrated into the decision-making process to support management actions… science-informed mitigation and adaption policies to global change are urgently needed”[[19]](#footnote-20).

### 2.3.2 Why?

There are various reasons why ocean science is not reaching its potential. The two key reasons are:

1. **Funding for ocean science is inadequate.** This lack of support undermines the ability of ocean science to support the sustainable provision of ocean ecosystem services[[20]](#footnote-21).
2. **The technical capacity of ocean science is unequally distributed among countries and regions.** This balance is further accentuated by short-term or ad-hoc funding for ocean science[[21]](#footnote-22).

These two key reasons have resulted in a series of other barriers towards the application and use of ocean science:

* **A lack of national strategies, roadmaps, or plans** to ensure sustainable ocean economies, including relating to ocean pollution and biodiversity loss[[22]](#footnote-23).
* **A lack of accessible data relating to the ocean**. Availability and access to data and information are essential for describing the current state, variability and change of the ocean which can then be combined to form newly acquired understanding and provide the foundation for tailored and responsible decision-making for societal and sustainable economic benefit[[23]](#footnote-24).
* **A lack of skilled and trained personnel** who can provide science-based knowledge as a basis for decision-making, as well as personnel able to develop new technologies, methodologies and products through research and innovation[[24]](#footnote-25).

In turn, these barriers directly contribute to:

* **Insufficient public and private investment-** A lack of evidence to show the value of natural capital and benefits of effective environmental management can disincentivise governments and investors from supporting action to address marine environmental issues. For example, well designed, governed, and managed MPAs can enable sustainable livelihoods, improve food security, provide jobs and positively impact income, health and well-being. However, without understanding of these benefits, the initial costs of developing and managing MPAs can act as a barrier to their establishment. In addition, a lack of robust data and stable policy environment means that private investors do not have the confidence required for long term investments. Without local capacity[[25]](#footnote-26) to design evidence-based targets to tackle marine challenges, there is increased risk for investors in financing marine environment initiatives.
* **Reduced incentive for government intervention and reduced local support for change-** Governments (especially those more risk averse) can require strong proof of the positive impacts of intervention to make change. The development of accessible and locally relevant evidence and expertise helps countries to make these changes. Furthermore, if local communities do not understand the benefits of these changes, they are less likely to support or comply with new management methods.
* **Disjointed and mismanaged development and implementation of environmental policy-**

Sustainable management of marine biodiversity requires not only reliable scientific data and evidence, but also well-informed decision-makers, effectively trained experts/practitioners, and a wider public understanding of environmental challenges and solutions. For example, in waste management systems[[26]](#footnote-27), there are numerous actors: from the private companies who produce the plastic, through to the individuals and consumers who use the items and take disposal decisions, local and national government making waste collection decisions, and researchers assessing where the need is greatest. Each of these actors alone will not solve the issue. In many cases, there is a lack of coordination: researchers are not matched up with investors, who may not be aligned with the governments that create the policies and conditions to support effective investments.

* **Exclusion of local stakeholders-** Without local capacity to understand and develop locally relevant marine science, communities are disempowered, lacking access to decision-making that impacts basic needs and livelihoods, nor are they able to contribute to solutions.
* **Reduced voice on a global scale -** The distribution of marine scientific capacity between the global north and global south is highly skewed[[27]](#footnote-28), creating a reliance in ODA eligible countries on those countries who have access to relevant skills and resources. Capacity building to strengthen domestic ability to develop locally relevant science empowers those countries often most impacted by environmental challenges to evidence need for national and global environmental policy.

### 2.3.3 what can be done about it?

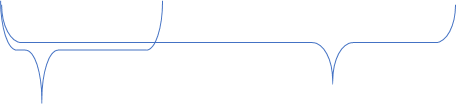
**The UN Decade of Ocean Science for Sustainable Development** highlights capacity building as a key method for strengthening ocean science action globally. The aim is to ensure that those regions and groups with limited capacity and capability are supported to develop their own bases of scientific knowledge and feed into international marine environment cooperation and decision making.

**To build capacity, technical assistance (TA) is crucial due to its potential to catalyse change on a wider scale.** TA focuses on improving individuals’ knowledge and skills, usually through training or technical consultation, whilst capacity building seeks to enhance multiple capabilities at the individual, organisational and system levels[[28]](#footnote-29). TA has been a successful tool used by governments across the world to reduce poverty, deforestation, biodiversity loss and improve livelihoods. In-country contacts and partners are in direct contact with multiple other actors. By building capacity through the delivery of TA, these contacts and partners can influence the behaviour of multiple other actors. As a result, the delivery of TA offers the prospect of achieving substantial impact for relatively modest initial investment. During year one of the OCPP we will draw on expertise and experience, learning lessons from integrated and holistic capacity building programmes. This learning will be applied to the design of the OCPP and delivery of capacity building activities. We will continue to ensure best practice is considered and any limitations are managed.

## Programme overview

**Under the Blue Planet Fund, The OCPP will deliver £55m Technical Assistance partnerships across 10-15 countries over five years.**

The OCPP will expand on proven Technical Assistance methodology delivered through the Commonwealth Litter Programme (CLiP- see Box 1), continuing transformative work on marine litter, as well as bringing in activities to tackle other forms of marine pollution, as well as biodiversity and sustainable seafood challenges. **The OCPP will enable the UK to support countries in applied science through the strengthening of marine science expertise and developing science-based policy and education initiatives, which will ultimately deliver tangible and positive impact on the livelihoods of coastal communities that depend on healthy marine ecosystems.**

From FY2021, we recommend transitioning existing CLiP and One Health partnerships into the OCPP. This will allow us to build on successful work and country relationships to date, while scoping for new country partnerships to pursue in future years. Existing countries (below) will be included in scoping exercises to determine benefits of continuing partnerships for duration of the OCPP. In some cases (e.g. South Africa), it is likely that activities will wind down towards FY2022 due to suitability and alignment with OCPP outcomes and country prioritisation exercises (see section 2.9.1).

*Depending on nature of individual country partnerships, some may begin to close from year three/four onwards, where others could last for the full five plus years.*

*We hope to introduce new countries as early in the programme as possible to ensure maximum delivery time. Year 3 will be the latest that new countries are expected to be introduced.*

|  |  |
| --- | --- |
| Region | Existing CLiP and OHA countries |
| Pacific | Solomon Islands, Vanuatu, Kiribati |
| South Asia | Sri Lanka, India, Maldives, Bangladesh |
| Mesoamerica | Belize |
| Sub-Saharan Africa | South Africa |

As per Figure 1, new country partnerships will be built into the OCPP incrementally until the third year of delivery. This approach allows for a smooth transition from existing activities, avoiding possible reputational damage from an immediate withdrawal of aid and supporting the narrative of upscaled UK support as we move to bring individual marine ODA programmes underneath a well aligned and cohesive Blue Planet Fund.

Figure 1: Proposed approach to develop partnerships and upscale to new countries

Partnerships established under the OCPP are expected to be long-term (at least 3 years in most cases) to ensure adherence with our principles of partnership working, in particular that they be

## Box ONE: The Commonwealth litter programme (CliP)

### Investment

£8m ODA over three years (2018-2021)

### What is CLiP

Delivered by Cefas, CLiP has successfully worked in partnership with 7 countries across the Commonwealth to identify real world solutions - through knowledge sharing and capacity building - to environmental and socio-economic challenges created by marine litter.

### How does it deliver

The presence of marine litter, and in particular plastics, in the ocean not only impacts the environment, but also human economies and health. The CLiP model engages with in-country cross-sector partners (from local authorities and NGOs, to universities, to national and regional governments), providing them with the skills they need to effectively identify, prevent and mitigate against sources of marine litter from a **country specific** perspective.

At its core, CLiP works through the idea that if local stakeholders are empowered to directly shape, contribute to and own actions that address marine litter, they are more likely to facilitate effective adoption of locally relevant science based marine policy. The programme focusses on capacity building to support a virtuous circle- home-grown experts are trained to carry out long-term monitoring of marine litter policies, which in turn provides further scientifically robust evidence and data to inform and drive further locally driven marine policy change.

### Activities

Over three years, CLiP has:

* Supported publication of numerous locally generated scientific papers and hosted international stakeholder events. ***Result*-** *Local scientists gain international exposure, governments are provided with globally acknowledged scientific evidence to inform policy change, countries are supported to become regional hubs of expertise (for example Belize is working to offer support across Caribbean countries on marine litter science).*
* Created nine marine litter laboratories in-country, as well as provision of specialist marine litter monitoring equipment. ***Result-*** *Countries are no longer prevented from developing locally relevant marine litter science due to a lack of essential equipment*
* Delivered bespoke educational materials (primary, secondary and teachers’ packs, as well as beach cleaning kits for local NGOs), rolling out in all seven countries. ***Result-*** *Local communities understand the impact of plastic pollution and are empowered to take action to reduce pollution and the connected economic and health impacts.*
* Delivered expert training sessions to embed expertise in use of equipment, monitoring techniques (e.g. training sessions for surveying beach litter using OSPAR protocol), and funding of local studentships to develop skills. ***Result-****Local people are upskilled to identify sources of marine litter and advise governments on implementation of locally relevant solutions.*
* Convened cross-stakeholder workshops with key industries (fishing, port authorities, waste and recycling sectors*).* ***Result-*** *effectively convening local stakeholders to pool knowledge and present recommendations to local governments to effect change.*
* Designed multimedia campaigns to raise awareness of new legislation in Sri Lanka banning single use plastics. ***Result-*** *Directly responding to country need, in this case ensuring Government was equipped with necessary tools to publicise new plastic reduction legislation and ensure its success.*

transformational and sustainable beyond exit.

*We hope to introduce new countries as early in the programme as possible to ensure maximum delivery time. Year 3 will be the latest that new countries are expected to be introduced.*

*Depending on nature of individual country partnerships, some may begin to close from year three/four onwards, where others could last for the full five plus years.*

### 2.4.1 Sequence of Actions

## (Cont.)

### Overall Results

CLiP has delivered impressive results over three years through capacity building activities. Examples include:

* Development of **three Marine Litter Action Plans** in Belize, Solomon Islands and Vanuatu.
* Generation of evidence has **directly contributed to** **change in legislation** in Belize and Vanuatu, both countries banning commonly used single use plastic items to reduce leakage into the ocean.
* CLiP evaluations have attributed programme activities to have **changed behaviour of individuals in country.** For example, in Belize, over five months, 44 outreach activities took place including workshops, media campaigns, exhibitions and beach clean-ups to raise awareness amongst thousands of Belizeans. **Fishermen interviewed as part of independent evaluation credit CLiP engagement activities as changing their behaviour**, no longer throwing litter into the ocean from their boats.
* CLiP has been credited by FCDO posts across all partner countries as **an essential channel for effective soft diplomacy.** Through CLiP, **the UK has signed MoUs or equivalent in five countries (with a further two pending) agreeing cooperation** to work together on tackling plastic pollution. **In India, CLiP has provided an essential catalyst** to encourage stronger cooperation on environmental issues, and supported FCDO diplomacy encouraging CCOA and GOA sign up.
* In the first two years of programming, **CLiP has received double A outcome score at annual review**, highlighting success and value. Final scoring is not currently released for 2020-21, but **during the 2020 Covid-19 pandemic, CLiP has successfully set up partnerships with two new countries (Sri Lanka and Maldives) remotely, meeting all programme indicators to deliver £2m support over a halved timeframe** (6 months instead of 12).
* Independent evaluations of CLiP demonstrate **good value for money**: for example, in Belize, there is strong evidence that CLiP has made a substantial contribution to the Belize national Marine Litter Action Plan (MLAP), and in Vanuatu, the steps taken as a result of the CLiP work have been estimated to reduce marine litter by 22-45%(more detail in economic case), based on the waste surveys carried out and the change in legislation and policy directly attributed to the work of CLiP.

### WHy should we continue to invest in Marine litter TA under the OCPP?

* To ensure benefits are captured, the **UK must support longer term partnerships** with countries to ensure effective and embedded results, with support to access financing for further delivery and legacy building.
* Developing new partnerships during the pandemic in 2020 was a slow process due to the remote nature of engagement. As a result, this engagement peaked only at the end of the programme, and excellent **opportunities to build on work in countries enthusiastic to continue should be capitalised on.**
* **Stopping or delaying further activities with partner countries would frustrate the excellent relationship built with host governments** and with the local stakeholders, potentially creating a reputational damage for UK Government.
* Bringing marine litter TA into the OCPP provides an **excellent opportunity to build on and improve the CLiP model**, acting on recommendations from independent evaluation to develop a long-term, collaborative capacity building programme, supported by in-country project managers to provide certainty to countries, more effectively tackling marine environmental challenges.

At a technical level**, a partnership means that the UK and partner country will sign a Memorandum of Understanding (MoU) agreement setting out the desired outcomes, how we will work together and the activities that will be delivered through the OCPP.** The development of the MoU will be led by Defra and FCDO Posts.

Country prioritisation (section 2.9.1), and collaboration with FCDO posts will identify priority countries and we will agree with FCDO Posts the best approach and engagement prospective partner countries. With those countries who wish to move forward, under an agreed MoU, the UK will work in collaboration with the partner country to create a bespoke delivery plan to deliver technical assistance tailored to need, including deliverables against specific milestones. The partnerships will always follow guiding principles in line with existing UK Government partnership programmes[[29]](#footnote-30).

In developing bespoke plans with partner countries for delivery, **we will work from a high level OCPP framework** to ensure that chosen activities fit within core themes and work towards the intended outcomes and impact. Figure 2 details the framework of example activities in FY2021, which will build directly off existing **Commonwealth Litter Programme** (Box 1) and **One Health Aquaculture** programming while building in a new element of work to support sustainable development and management of Marine Protected Areas.

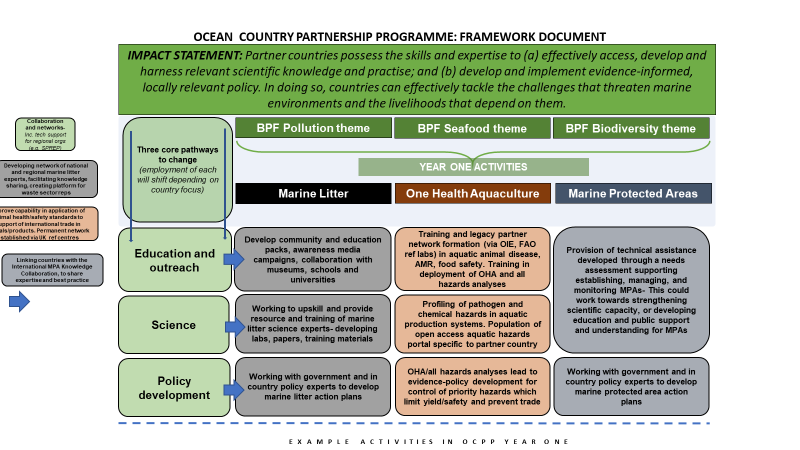
Annex I describes principles of partnership working further. Impact, activities and outcomes are described in section 2.6.

Figure 2: OCPP Framework for FY2021

**We will also work to align with programmes external to OCPP and related programming across other donors.** This includes the **Commonwealth Marine Economies Programme** (CME), which provides Commonwealth Small Island Developing States (SIDS) with accurate hydrographic and scientific data relating to their marine environment, as well as training and capacity building for national bodies involved in the research and management of marine resources. This enables them to use the data to promote sustainable economic development and alleviate poverty. CME will continue to operate through FY2021. Cefas as an OCPP and CME delivery partner will be well placed to ensure that any overlaps or complementarity between programmes are identified and addressed. We will consider suitability to combine aspects of programming at OCPP annual review points.

Links with other donor programmes will be considered throughout OCPP delivery. Defra is well engaged with various donors including Australia through their Pacific Ocean Litter Programme and others including USAid and Norad.

**Technical assistance will be initially delivered through Defra’s arm’s length bodies** as we transition in FY2021 from existing CLiP and One Health Aquaculture programmes into the OCPP. Defra Arm’s Length Bodies will be funded through direct grant. Alongside ALBs, we will work with selected specialist organisations, NGOs, and academics. We anticipate working with local organisations and Government bodies where partners agree that this is preferable and effective. Taking this holistic approach to utilise experts across sectors will ensure that the highest quality technical support is available for partner countries. Funding of specialist and local organisations will be through sub-contract by ALBs and other delivery partners or through competitive tender by Defra, depending on existing relationships and type or extent of activity.

**We will upscale delivery each year** to broaden the OCPP offer to deliver more diverse scientific capacity building and technical assistance under marine pollution, biodiversity and sustainable seafood themes.

Each delivery partner will appoint a **programme manager** with clear responsibility to oversee their OCPP spend. This applies to ALBs and any external partners. Together, along with the central Defra team overseeing the OCPP, these will form a dedicated programme management team, with oversight of all OCPP spend. The central Defra team overseeing the OCPP will be ultimately responsible for delivery, with support from the wider programme management team. The central Defra team will consist of the UK-based policy team as well **as in-region OCPP advisors** (see financial case), locally-engaged staff (in-country leads) funded by Defra and appointed in key regions to support coordination and delivery of OCPP activities. Defra will work closely with FCDO to identify the most appropriate location for staff and they will report directly to Heads of Mission as well as Defra, as the counter-signing manager. The **Senior Officer Responsible (SOR)** will be the Defra Marine and Fisheries Director, and will be responsible for overall oversight of the programme (in line with UK Government Guidance[[30]](#footnote-31)). More detail on roles and responsibilities can be found in the Management Case.

**At the end of each year of delivery** we will assess based on country need and priorities where we can bring in other delivery partners (such as academic institutions) to lead and provide specific expertise on a demand-driven basis. We will also assess overall TA activities across the BPF as a whole. As part of the Annual Review process, we will also consider how the OCCP retains complementarity across the BPF and works with other programmes, particularly FCDO TA plans as they begin to deliver under BPF.

**There are several characteristics of TA that illustrate why it is the best delivery method for the OCPP**:

* **There is no single form of TA.** TA best practice depends on the nature of a programmes objectives.[[31]](#footnote-32) By working in partnership with countries to identify their TA needs, the OCPP will be flexible and adaptable, and able to deliver various forms of TA from developing education packs, to developing tools to risk assess seafood produced aquaculturally, in order to have maximum impact.
* **Local ownership or support for TA programmes is essential.** Where the recipient country is the active party in identifying and selecting TA, the prospects of success are much higher[[32]](#footnote-33)The OCPP will work in partnership with countries to deliver activities that are agreed and desired by the country.
* **Successful TA programmes identify and solve problems**[[33]](#footnote-34)**.** By working with partner countries to conduct needs assessments and scoping activities, the OCPP will be able to provide tailored TA to assist with specific issues.

**Agreement through this business case of a multi-year programme provides certainty for delivery partners in planning, and** **more importantly for partner countries**. A recurring critique of previous activity through the Commonwealth Litter Programme has been around the limitations of a single year approach. “Attempting to compress delivery of an inherently complex delivery chain to a single year is likely to undermine effectiveness”[[34]](#footnote-35)- countries are less confident in working with the UK if it is unable to commit to long term programming, and impacts are less significant. A multi-year approach allows us to address this, and to action recommendations made in independent evaluations to enable a longer period of in-country planning and implementation.

## Strategic fit

The OCPP will help support UK ambition to continue demonstrating global leadership on environmental and ocean issues, particularly in light of our Presidency of COP26, G7 Presidency and our leadership of the GOA. It provides opportunity for the UK to establish itself as a scientific superpower by sharing and collaborating on world class marine science, research and development expertise through technical assistance.

The UK’s G7 Presidency includes a focus on ocean science to support policy, specifically the outcomes of the UN Decade of Ocean Science for Sustainable Development 2021-2030 (‘UN Ocean Decade’). The aim of the UN Ocean Decade is to “stimulate ocean science and knowledge generation with the review to reversing declines in the state of the ocean system while catalysing new opportunities for sustainable ocean uses”.

As emphasised through the UN Decade, it is essential that we strengthen dialogue and develop capacity building and partnerships in harnessing ocean science to see positive societal outcomes for the Ocean[[35]](#footnote-36). This £55m investment will be a direct UK contribution towards the ambitions of the Decade, and as such, a core underpinning programme for Defra-led BPF delivery. As per the Decade, the OCPP will **develop partnerships** that aim to **strengthen dialogue** between different communities working across the ocean-science policy interface and **develop capacity** in countrieswhere there is currently limited capability. A key principle of each partnership will be that they are sustainable beyond exit. We will therefore support and upskill partner countries in **identifying and leveraging funds** for ongoing delivery beyond the lifetime of the OCPP.

The UN has announced ten Ocean Decade Challenges, several of which are addressed in part by the OCPP:

* **Ocean challenge 1**: Understand and beat marine pollution
  + The marine litter strand of the OCPP will contribute towards understanding and mapping land and sea-based sources of ocean pollutants and contaminants, developing solutions to mitigate or remove them.
* **Ocean challenge 2:** Protect and restore ecosystems and biodiversity
  + The development, management, and enforcement of MPAs that will be delivered by the OCPP directly aligns with this challenge.
* **Ocean challenge 3:** Sustainably feed the global population
  + The One Health strand will generate knowledge and develop solutions to support the production of sustainable seafood.

Beyond G7 and the UN decade, the OCPP will support and address other existing UK priorities:

* The BPF’s impact is designed to be consistent with and support the wider context of international and national frameworks: **United Nations 2030 Sustainable Development Goals**, particularly SDG1 (No Poverty) and **SDG14** (Life Below Water), the **Commonwealth Blue Charte**r, and the **HMG 25 Year Environment Plan**. The OCPP will align across these agendas.
* The current **Convention on Biological Diversity (CBD)** targets (Aichi Targets) failed primarily due to lack of implementation. The OCPP MPA programme will help us to deliver on an ambitious and transformational Post-2020 Global Biodiversity Framework under CBD, in particular the 30by30 campaign and related targets on ecosystem restoration, reducing species extinction and sustainable use of the ocean.
* HMG’s 2021 **International Nature Strategy** will use the UK presidencies of COP26 and G7, alongside other critical 2021 events, to set the trajectory to halt biodiversity loss by 2030. The UK will galvanise global action to deliver on three core objectives, one of which is to protect and restore nature. The OCPP will support achieving this objective through its work on MPAs, which support the attainment of global agreement to protect 30% of the ocean by 2030.
* The **Commonwealth Blue Charter including the Commonwealth Clean Ocean Alliance** **(CCOA)** was launched by the Prime Minister in 2018 as part of the Commonwealth Blue Charter. Co-chaired with Vanuatu, the CCOA works across 34 Commonwealth member states to tackle ocean plastic pollution. The UK has already pledged up to £70m to address plastic pollution, and the OCPP under the BPF will further UK commitments to lead the way on this agenda.
* As the UK prepares to host **COP26** in 2021, it is essential that we lead the way in tackling and addressing challenges that the ocean faces because of climate change. OCPP will work to integrate climate across OCPP themes, from enhancing resilience in MPAs and protection of nature based solutions (including blue carbon) to support climate change adaptation and mitigation, to supporting coastal livelihoods who are severely challenged by climate change through supporting sustainable aquaculture.
* **One Health** “is a collaborative, multisectoral, and trans-disciplinary approach - working at local, regional, national, and global levels - to achieve optimal health and well-being outcomes recognizing the interconnections between people, animals, plants and their shared environment.”[[36]](#footnote-37) Cefas has developed a high-level One Health Aquaculture approach to support development of sustainable aquaculture that the OCPP will support development of.

The OCPP is designed to be flexible and applicable across BPF themes, and in so doing will deliver directly against several **UK Government ODA strategic objectives** –

*Climate and biodiversity:* Projects under the programme will upskill local people and build in-country capacity in ODA-eligible countries to develop robust, science-based marine policy that addresses environmental degradation, climate change and biodiversity loss in the ocean. Climate and biodiversity are intrinsically linked; for example “coastal ecosystems such as mangroves, tidal marshes and seagrass meadows sequester and store more carbon per unit area than terrestrial forests and are now being recognised for their role in mitigating climate change”[[37]](#footnote-38), and further “MPAs are one mechanism to manage human activities and ultimately reduce the associated pressures on the environment… [this] will contribute to the maintenance or increased resilience of ecosystems”[[38]](#footnote-39). supporting development and management of MPAs directly contributes to building climate adaption and resilience in coastal communities.

*Covid and Global Health Security:* The OCPP will work with countries to develop safer, more sustainable aquaculture, driving improved aquatic health and food safety to help prevent future global health crises. Further, news reports and anecdotal evidence is emerging of increasing use and unsafe disposal of medical or Personal Protective Equipment (masks, gloves) waste[[39]](#footnote-40), halted waste collection recycling services, and increased risk to informal sector waste workers[[40]](#footnote-41). Waste that is not properly disposed of can become a public health risk and vector for disease, which the marine pollution strand under OCPP could help to understand and address in partner countries.

*Science, research, and technology*: The OCPP will work in collaboration with countries to develop research-led solutions. Projects will build in-country science partnerships and expertise to enable effective climate mitigation, adaptation, and resilience. There will be scope to work with partner countries to identify innovative solutions to regional and local problems, for example application of One Health Aquaculture methodologies to support sustainable aquaculture and subsequently, livelihoods, environments, and economies.

## BOX TWO: A GREEN RECOVERY FROM COVID-19

The Prime Minister has committed to “build back better and build back greener” from COVID-19, establishing a Green Recovery Challenge Fund that will support countries to design green and resilient recovery packages. Alongside this, the UK through its leadership of COP26, is calling for global support in improving communities’ adaptability and resilience to climate change, addressing biodiversity loss, and increasing funding to address climate and environment issues.

The OCPP illustrates the Government’s commitment in this area, by partnering with some of the least developed countries to offer demand-led support on protecting marine environments through MPAs, reducing pollution, and ensuring that aquaculture production is sustainable and safe from hazards. Through investing in such support, it is also expected that finance will be leveraged globally, increasing the likelihood of a truly green recovery.

## Impact, outcomes, activities

**Impact:**

Partner countries possessthe skills and expertise to a) effectively access, develop and harness relevant scientific knowledge and practise; and b) develop and implement evidence-informed, locally relevant policy. In doing so, countries can effectively tackle the challenges that threaten marine environments and the livelihoods that depend on them.

**Outcomes:**

1. **Marine Pollution à** Countries are equipped with the skills and expertise needed to tackle marine pollution through development of science led policy. Communities are better equipped to both prevent and manage marine pollution, improving health and livelihoods.
2. **Marine Biodiversity à** Countries are equipped with the skills and expertise needed to establish designated, well managed and enforced Marine Protected Areas and to support healthy ecosystems with thriving biodiversity and fisheries that communities rely on for food and livelihoods.
3. **Sustainable Seafood à** Countries are equipped with the skills and expertise needed to support adoption of a sustainable seafood practices, reducing the risk of negative impacts from unsustainable activities (e.g. spread of zoonotic disease), for example through employment of ‘One Health’ principles.

### what would success look like and how will it be measured?

Interventions in each partner country and across high level outcomes will be assessed against a selection of indicators aligned to the OCPP Theory of Change, and BPF objective to help eligible countries reduce poverty through protection and sustainable management of marine resources. The impact of the OCPP will be monitored against a range of **indicative poverty and marine environment BPF KPIs**:

**Number of people with improved outcomes in:**

* Income of local communities dependent on marine sectors;
* Ability to cope with the effects of climate change;
* Improved food security and nutrition through improved water quality, aquaculture and losses avoided in marine-related value chains.

**Marine environment improvement:**

* Amount of waste averted from entering the marine environment;
* Reduction in aquatic diseases;
* Improvement in local marine biodiversity.

We will aim to achieve these through the three OCPP pathways, with the following indicators of success:

* **Science and research-** improved science capacity provides robust evidence to support changes to local policy, governance, and management in support of environmental and poverty reduction outcomes:
  + Number of in-country scientists trained to deliver specialist marine science, monitoring and research activities.
  + Number of countries equipped with physical resources they need to develop independent marine science and research.
  + Changes in partner countries’ marine environmental policies to tackle marine environment and associated livelihood issues because of evidence from OCPP-enabled science.
* **Education and Outreach-** local communities empowered through education to make changes to reduce pollution and implement sustainable practices for increased wellbeing and livelihoods:
  + Number of individuals who understand the benefits of supporting a healthy ocean for wellbeing and sustainable livelihoods and take individual and community level action to protect the marine environment.
  + Number of projects and governance processes with increased inclusion of local people in decision making for positive sustainability and livelihood outcomes.
* **Policy and governance:** Stakeholders enabled to work inclusively and collaboratively to implement strengthened marine policy with real impact on community resilience and livelihoods.
  + Number of government, industry NGO and community stakeholders engaged to support effective collaboration across sectors and enabled to share expertise in order to implement effective legislation, management and governance that support local communities.
  + Number of new or strengthened policies, strategies or regulations related to improving or managing the marine environment.
  + Effective implementation of new marine policy and management structures that actively reduce marine pollution, improve sustainability of aquaculture practices, and protect marine biodiversity.
  + Changes in community resilience and livelihoods as a result of OCPP enabled policy change.

These indicators are indicative. As the OCPP is a demand-led programme, further partner-country level outcomes may emerge. These will be agreed by Defra and programme managers across relevant delivery partners.

**Monitoring, Evaluation and Learning (MEL)** will be core to delivery, and essential for measuring success of interventions. In the case of CLiP, completed independent evaluations provide useful recommendations to enhance results which will be acted on in the OCPP and will provide a basis for further regular evaluation through the lifetime of this programme. Independent mid and end of programme evaluations will be commissioned to understand the programme’s long-term impact, value for money, and effectiveness. MEL is detailed further in section 6.2.

### 2.6.2 activities

Activities will be selected to work towards outcomes and impact, and thus all will be directed towards capacity building in local institutions, organisations, and communities. They will be agreed with partner countries and tailored to address specific need. Indicative activities that will be delivered over the course of the OCPP have already been scoped and identified, building off previous years’ work. Detailed plans for FY2021 detailed in annex VIII. These are not limited to, but include:

**Marine Pollution**

* Collection and analysis of data relating to marine litter but also other possible sub-themes like water quality and noise
* Development of remote sensing and satellite monitoring for marine litter work
* Development and dissemination of education content relating to marine litter and additional sub-themes
* Technical assistance to develop marine litter action plans, but also to support, monitor, and evaluate existing plans

**Sustainable Seafood**

* Development and dissemination of a Seafood Production and Capacity Questionnaire (SPCQ) or use existing data/methods to scope country needs relating to sustainable seafood
* Delivery of workshops introducing OHA and its application to potential partner countries
* Publish a new Seafood Risk Tool that will help countries to identify pathogens and related risks
* Development and application of an aquatic hazards GIS portal (AQUAZ) that will be used to compile and analyse datasets relating to discrete seafood hazard groups.

**Biodiversity**

* Scoping and needs assessments in potential partner countries
* Development and delivery of Marine Protected Area (MPA) training programmes
* Delivery of MPA implementation plan including building capacity and providing support in country

## 2.7 Theory of change

The OCPP theory of change diagram is detailed at figure 3 (page 26).

**The programme will work to deliver up to 15 partnerships over five years**. The programme will partner with countries in ODA priority regions (Asia, Pacific, Sub-Saharan Africa), and consider individual country need, willingness to address marine environmental issues, political analysis, existing relationships and specific OCPP relevant indicators (e.g. size and regulation of aquaculture industries, contribution to litter or other forms of pollution entering the ocean). Country prioritisation is explored further in 2.9.1.

**The overarching need for intervention** is that countries often do not have access to science and technical expertise needed to inform robust policy making in support of addressing ocean pollution/fisheries/biodiversity and climate issues.

At a granular level, **specific drivers contributing to a lack of capacity to support effective marine environment policy and management include**; lack of funding to undertake research that seeks to address gaps in knowledge; low science, technical and governance capacity; lack of physical resources (e.g. labs) and limited access to training; lack of ability to upskill and develop core in-country expertise (and therefore reliance on external expertise); and low awareness and understanding amongst populations of the importance of healthy ocean ecosystems.

**The basis of the theory of change is therefore that** we provide technical assistance to address individual country need and tackle the drivers that contribute to lack of science and technical expertise needed to inform robust marine policy. Technical assistance activities will always be geared towards the OCPP impact statement (detailed in the ToC in figure 3) which ultimately aims to deliver poverty reduction outcomes through sustainable management of the marine environment (Box 3).

Technical Assistance interventions will be directed through three core delivery pathways:

1. **Science and research:** Countries will have strengthened their base of locally relevant science and research, and local scientists and stakeholders will be upskilled and resourced to complete and access marine science research independently.
2. **Policy and governance:** Countries will be equipped with tools to be able to harness this science to improve and inform policy and governance to support protection of the marine environment and realise connected benefits of food security, sustainable incomes and climate resilience in coastal communities.
3. **Education and outreach:** Countries will have been supported to deliver education and outreach activities that empower local communities to identify and act on the marine environment issues that impact them.

## BOX Three: how have we delivered poverty reduction through existing programmes- Commonwealth Marine Economies Programme case study

The OPCC willcontribute to an **increase in incomes** through improvements to the quality of aquaculture/fish which can be sold at a higher price (aquaculture strand); through opportunities for sustainable tourism (MPA strand) and through opportunities for increases in the waste value chain (marine pollution). Based on previous marine TA programmes, we can already see evidence of reducing poverty through capacity building activities).

The OCPP will also have important **health, wellbeing and nutritional benefits** for local communities, through a reduction in aquaculture affected by pollution and animal diseases (aquaculture, marine pollution), the reduction of mis-managed solid and liquid waste with associated health consequences (marine pollution) and the protection of habitats which provide important provisioning, regulating and cultural services (MPAs).

We have successfully harnessed TA to support poverty reduction outcomes in existing similar marine programming:

**The Commonwealth Marine Economies Programme** was launched in 2016 and supports 17 Caribbean and Pacific SIDS. Its primary objective is to provide SIDS with accurate hydrographic and scientific data relating to their marine environment, as well as training and capacity building for national bodies involved in the research and management of marine resources. This enables SIDS to use the data to promote sustainable economic development and alleviate poverty.

For example, work in Grenada to assess coastal risk was used by the Government to choose a location for a new school, and to identify existing infrastructure (such as airports and power plants) that needed additional protection due to the risk of storm inundation. In St. Lucia, the project developed spiny lobster mariculture. It then utilised lessons learned by develop Caribbean wide guidelines that considered socio-economic aspects, environmental opportunities and constraints, relevant national plans and policies, and the regulatory landscape.

**The three pathways are designed with UN Decade societal outcomes in mind.** Through activities we will facilitate partner countries to develop two UN Decade Societal Outcomes: (6) A transparent ocean with open access to data, information, and technologies, and (7) An inspiring and engaging ocean where society understands and values the ocean.

**Embedded throughout the pathways will be support to facilitate knowledge sharing through networks.** The OCPP will facilitate networks for effective and inclusive use and sharing of science and information at multiple levels - Internationally (e.g. as part of FAO reference centres to support application of aquatic animal health and safety) and regionally (e.g. marine litter regional colloquiums and cooperation), but also at country level (e.g. networks of industry representatives), and for local community empowerment (e.g. local communities organising beach litter surveys).

**£55m ODA** funding over a five-year programme lifetime.

**UK expertise** inmarine science, monitoring, governance and management.

**UK commitment,** global leadership and action to protect and preserve the ocean, including to protect 30% of the ocean by 2030 and ambitious action on marine litter and climate.

**Political will** from partner countries.

**Understanding of local needs** and priorities from partner countries, local partners, regional organisations.

**Experience** **of delivering successful ODA**, incorporating programmes such as the Commonwealth Litter Programme and existing activities to address aquaculture One Health

The above is part attributable to:

**Lack of funding** to undertake research that seeks to address gaps in knowledge, resulting in governments not having evidence required to support new policy that protects the marine environment.

**Low science, technical and governance capacity**, lack of physical resources (e.g. labs) and limited access to training, means that scientists, policy makers and other stakeholders **lack ability to** **upskill and develop core in-country expertise,** remaining reliant on outside experts and funding.

**Low awareness and understanding** amongst populations of the importance of healthy ocean ecosystems, and therefore limited ability for individuals to address issues or for governments to improve marine related policy making.

**INPUTS**

**INPUTS**

**INPUTS**

**INPUTS**

Countries often do not have access to science and technical expertise needed to inform robust policy making in support of addressing ocean pollution/fisheries/biodiversity and climate issues.

Countries often do not have access to science and technical expertise needed to inform robust policy making in support of addressing ocean pollution/fisheries/biodiversity and climate issues.

Countries often do not have access to science and technical expertise needed to inform robust policy making in support of addressing ocean pollution/fisheries/biodiversity and climate issues.

Countries often do not have access to science and technical expertise needed to inform robust policy making in support of addressing ocean pollution/fisheries/biodiversity and climate issues.

**CORE PROBLEM**

**CORE PROBLEM**

**CORE PROBLEM**

**CORE PROBLEM**

**OUTCOMES**

**OUTCOMES (yr1\*)**

**OUTCOMES (yr1\*)**

**OUTCOMES (yr1\*)**

**(1)** Countries are equipped with the skills and expertise needed to tackle marine pollution through development of science led policy. Communities are better equipped to both prevent and manage marine pollution, improving health and livelihoods.

**(3)** Countries are equipped with the skills and expertise needed to support adoption of a sustainable seafood practices, reducing the risk of negative impacts from unsustainable activities (e.g. spread of zoonotic disease), for example through employment of ‘One Health’ principles.

Partner countries possessthe skills and expertise to a) effectively access, develop and harness relevant scientific knowledge and practise; and b) develop and implement evidence-informed, locally relevant policy. In doing so, countries can effectively tackle the challenges that threaten marine environments and the livelihoods that depend on them.

**(2)** Countries are equipped with the skills and expertise needed to establish designated, well managed and enforced Marine Protected Areas and to support healthy ecosystems with thriving biodiversity and fisheries that communities rely on for food and livelihoods.

**IMPACT**

**IMPACT**

**IMPACT**

**IMPACT**

**PATHWAYS**

**PATHWAYS**

**PATHWAYS**

**PATHWAYS**

Figure 3: Theory of Change

Defra ALBs have a proven track record of working collaboratively in partnership with host governments, bringing them together with key local stakeholders. For example, through existing partnerships in CLiP, Cefas is already effectively bringing together posts, governments, NGOs an industry groups to deliver innovation in partnership with host governments, for example to bring Sri Lankan waste industry together to develop recommendations for action to inform government. We will seek to embed this integrated approach across OCPP delivery, exploring innovative opportunities to engage as they develop.

As a result of interventions, the OCPP will work towards three high level outcomes that directly support the four overarching BPF themes: climate change, sustainable seafood, pollution, and biodiversity. OCPP outcomes map directly to the BPF ToC (see annex III).

**Outcome 1:** *Countries are equipped with the skills and expertise needed to tackle marine pollution through development of science led policy. Communities are better equipped to both prevent and manage marine pollution, improving health and livelihoods.*

Up to 90% of marine litter is made up of plastics, originating from both land and sea-based sources. Land-based sources are considered the dominant source of plastic litter in the marine environment, accounting for 80% of plastic leaked into the ocean by mass. This totals 4.8 to 12.7 million metric tonnes of plastic annually, making marine litter one of the most widespread pollution problems facing ocean and waterways today. **From FY2021 the OCPP will build off activities delivered by the existing Commonwealth Litter Programme (CLiP),** developing science and monitoring to understand the sources of marine litter in partner countries, to inform effective marine litter policies and empower communities to manage marine litter on the ground. This will work towards UN Decade societal outcome (1) A clean ocean where sources of pollution are identified and removed.

**Outcome 2:** *Countries are equipped with the skills and expertise needed to establish designated, well managed and enforced Marine Protected Areas and to support healthy ecosystems with thriving biodiversity and fisheries that communities rely on for food and livelihoods.*

Protecting and managing the ocean sustainably is crucial for food security, tackling biodiversity loss and strengthening climate resilience. Marine protected areas (MPAs) are a good example of a nature-based solution (NbS) to these challenges. There is strong scientific evidence to suggest that effective protection of at least 30% of the global ocean will help to reverse adverse ecological impacts, preserve fish populations, increase resilience and adaptation to climate change, and sustain long-term ocean health. **From FY2021 the OCPP will begin to develop technical assistance activities that support countries to develop effective MPAs in support the global drive to adopt 30x30 at the CBD.** We will work with partner countries to understand challenges impacting ability to designate and manage MPAs and develop pilot projects to inform future years activities under the OCPP. This will work towards UN Decade societal outcome (2) A healthy and resilient ocean where marine ecosystems are mapped and protected, and (4) A safe ocean where people are protected from ocean hazards.

**Outcome 3:** *Countries are equipped with the skills and expertise needed to support adoption of a sustainable seafood practices, reducing the risk of negative impacts from unsustainable activities (e.g. spread of zoonotic disease), for example through employment of ‘One Health’ principles.*

Aquaculture is the fastest growing global food sector – currently providing around 1/5 of all animal protein consumed on the planet. Over 90% of production occurs in the waters of Low Middle Income Countries (LMICs) where capacity to control wide-ranging hazards relating to production, trade and consumption may be lacking[[41]](#footnote-42). Disease, which can significantly limit yield from production, and accumulation of pathogenic and chemical hazards which make seafood unsafe to eat, are the most significant barriers to sustainable food production from this sector. **From FY2021, the OCPP will build off activities delivered by the existing One Health Aquaculture (OHA)[[42]](#footnote-43) programme,** working with countries to understand aquaculture industries and associated risks that inform bespoke plans for safer and more sustainable aquaculture. This will work towards UN Decade societal outcome (5) A sustainably harvested ocean ensuring the provision of food supply.

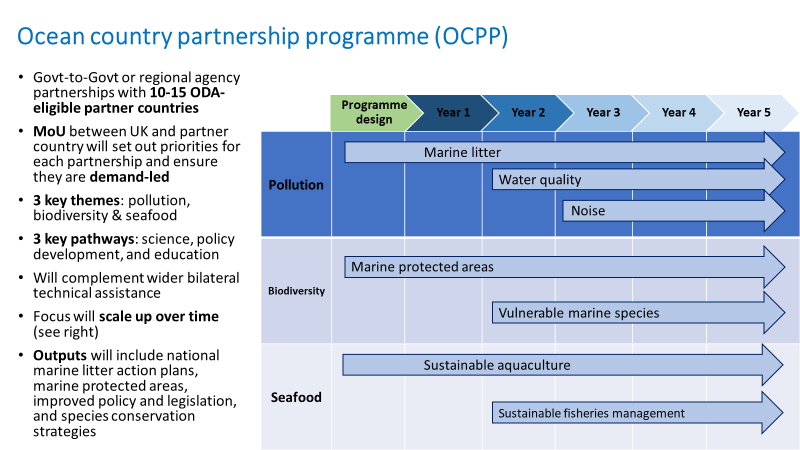
**From FY2022,** programme activities will broaden to expand the types of pollution, seafood and biodiversity challenges that the OCPP can help partner countries to tackle. **Expansion of activities will be flexible and adaptable**, led by partner country need, but based on where UK expertise can add value, and within the parameters of the three themes and associated outcomes. Figure 4 provides an **indicative view** of potential OCPP expansion across the programme’s lifetime. These are subject to change based on partnership priorities and UK expertise, and as such will be revisited, tailored and developed.

Figure 4: Possible additional sub-themes of OCPP

Recognising HMG’s guidance laid out in the ODA Framework and Integrated Review that FCDO should have oversight of ODA programmes delivered by other departments, Defra will work in close conjunction with FCDO posts throughout the lifetime of the OCPP. Across outcomes and individual country level activities, programme managers and delivery partners, and alongside FCDO posts and in-region OCPP advisors, we will ensure clear coordination:

* *Delivery countries and country prioritisation:* We will select and agree partner countries on the basis of need across all 3 themes (as well as wider strategic considerations, as detailed in section 2.9.1). This will ensure a streamlined approach in terms of selecting countries and in engaging FCDO Posts and country governments with initial proposals for partnering under the programme.
* *Agreeing activities:* We will work across all themes and outcomes to ensure that all proposed activities are complementary. We will introduce these as a whole to countries as part of OCPP communications coordinated by Defra. This helps develop a co-designed (across themes and in partnership with country) delivery model from the very start of the process.
* *Scoping and needs assessment:* When countries are selected, initial scoping and needs assessments will be joined up to avoid repeated questions, analysis, stakeholder engagement. Questionnaires, discussions, interviews and initial training (where possible) will be coordinated across themes.
* *Implementation and delivery of activities:* Throughout implementation, if a country is undertaking programming in two or three of the OCPP themes, there will be regular meetings and checkpoints to ensure that any cross-over in delivery is noted and capitalised on. If an activity has benefit across more than one theme, delivery partners across those themes will collaborate to deliver.
* *Post-OCPP and exit planning:* If a partner country is going through programming working towards more than one OCPP outcome, we will work to ensure a clear path for next stages to implementation that is joined up across themes. This could, for example, mean identifying routes for sustainable financing that will support actions to tackle marine pollution *and* support implementation of OHA principles.
* *Overall monitoring and evaluation:* OCPP monitoring and evaluation will look at individual country successes *and* overarching outputs and outcomes to ensure a holistic view of overall impact of the programme across themes in addressing marine environmental challenges.

## Box four: lessons learnt delivering through a pandemic

Throughout 2020, the Commonwealth Litter Programme dealt with various challenges to ensure positive outcomes:

1. **Significant delays to confirmation of funding meant that the programme lost six months out of 12 to deliver**. The team ensured regular communication with FCDO Posts and country government to manage expectations and work to adapt programme deliverables in collaboration.
2. **The delivery team were unable to travel to any country throughout the duration of the programme.** This meant that all relationship building needed to be channelled through email and video call. The team ensured regular video calls were scheduled to check in on progress and worked extensively with FCDO Post as colleagues on the ground to push activities forward. Sub-contracting to NGOs helped to
3. **Covid lockdowns** meant need to constantly review and alter programme activities. The team worked in partnership with stakeholders to identify alternative activities that would achieve similar results. For example, pivoting from community exhibitions to media campaigns highlighting impact of marine plastic to local communities.

Despite challenges the programme hit all its targets to deliver a well-received programme in two new partner countries. The programme managed to deliver in half the planned time £1.9m of its total £2.1m budget. Partner countries have enthusiastically highlighted their interest to continue working with the UK.

**The following assumptions have been made:**

1. Host governments are supportive of the proposed interventions over the life of the programme. Local stakeholders are motivated to adopt and apply policies that address marine pollution, biodiversity and sustainable seafood challenges and tackle local poverty.
2. Opportunities to improve livelihoods/reduce poverty consistent with marine conservation and management goals exist within partner countries.
3. Local people see the benefits from interventions, are motivated to participate and change their behaviours and that viable livelihood/development opportunities exist.
4. It is likely that Covid 19 will remain a core risk and challenge for delivery. In programme design for FY2021 (and possibly beyond) we will assume that no travel to country will be possible, and plan activities accordingly (risks explored in management case).

## 2.8 Risks

Risks are detailed in the management case. A Risk Potential Assessment (RPA) and a Fraud Risk Assessment (FRA) have been carried out and will be found in accompanying documents. The Risk Potential Assessment (RPA) score for this programme is Medium, as verified by the Department Assurance Coordinator (DAC). This is to be expected as a high-profile investment into an environmental issue of high political and public interest. OCPP programme-level risks range from green to amber and will be monitored throughout the course of the investment (see management case).

## 2.9 GENDER AND EQUALITY

The BPF is committed to considering and incorporating equality and the inclusion of gender throughout our programming. All programmes funded through the BPF will be required to deliver in line with relevant UK legislation, such as the UK International Development (Gender Equality) Act 2014.

Incorporating gender into the OCPP is crucial for two key reasons:

* The inclusion of women in ocean science is fundamental to creating inclusive, sustainable marine economies.

Without gender equal representation gender-based biases flourish and are reflected in the development of science and technology which then inform both the development of marine environments, but also the very strategies that can be used to overcome gender inequities in science[[43]](#footnote-44). The importance of gender equality can be illustrated by the inclusion of women and girls in education and capacity building opportunities for the blue economy which has led to the involvement of more women in blue growth sectors such as shipping, mining and research[[44]](#footnote-45). Gender equality in ocean science is far from having been achieved but the challenge to reach it is realistic. The Global Ocean Science Report 2020 details how important it is to move towards ocean science capacity development that ensures equal participation of all countries, gender, and ages, embracing local and indigenous knowledge.

* Women’s influence in communities and their links to other disadvantaged groups will make support for interventions particularly binding.[[45]](#footnote-46) By making gender-specific considerations when developing and delivering OCPP activities, the programme will have increased impact in supporting ocean-dependent livelihoods.

Science, innovation, and technology are needed to support ocean and coastal restoration and protection, and these are often community-led. For example, in aquaculture often men are making decisions and women’s contribution is overlooked or undervalued. Women play a key role in ensuring a reliable supply of food from the ocean, which 3 billion people depend on[[46]](#footnote-47).

The design and delivery of the OCPP will be underpinned by their commitment to advancing gender equity, inclusion, and the livelihoods of traditionally marginalised people. OCPP delivery partners will be mandated to encourage country partners to consider gender equality when designing activities, and delivery partners will need to ensure they consider the needs of, and benefit, women and girls at least equally to men and boys. We will ensure that this is accounted for in programme outputs and indicators and monitoring to track success in ensuring that all groups are engaged in the programme. We will ensure that any external body contracted to support delivery of the OCPP have taken due consideration of gender and equality and consider official statements of inclusivity.

## 2.9.1 Country prioritisation

The OCPP will identify high-potential partners, **where the work described above can achieve greatest impact for poverty and the marine environment**. For this, we are aiming to identify ODA-eligible countries with greatest dependency on the marine environment; where the identified themes of pollution, biodiversity or sustainable fisheries are a high priority; where there is a need and demand for technical assistance through the pathways described above; and where the partnerships will be most likely to be successful, with impacts maintained over the long term.

**During FY2021**, country prioritisation is based on one of two factors:

1. Continuing to work with countries with existing CLiP or One health programmes. It takes a period of sequential years of working in country to create sustainable capacity building, whereby in country knowledge is transformed and can be sustained after the end of the programme. Therefore, it is a priority to continue build on existing programmes and actively phase out programmes once they are considered sustainable, to assure value for money.
2. Which developing countries demonstrate the greatest need – reflecting potential for poverty reduction and environmental impact, based on the methodology below.

**For new OCCP partnerships,** country prioritisation will be informed by available data[[47]](#footnote-48) on poverty and environmental need and potential. Indicators are shown in italics:

**Poverty and vulnerability:**

* ODA eligibility and income status *(DAC List of ODA Recipients- Effective for reporting on 2021 flows)*
* Dependency on the marine ecosystem for livelihoods, nutrition and coastal protection *(Marine dependency scores –Selig et al (2018))*

**Scale of marine environmental issues:**

Alongside poverty indicators above, the assessment is made separately for each of the three strands, using peer-reviewed data[[48]](#footnote-49):

|  |  |
| --- | --- |
| **Marine Pollution** | |
| We tried to identify … | Therefore, the indicators used … |
| Volumes of marine plastic waste | *Country contribution to global marine plastic waste[[49]](#footnote-50)* |
| Mismanaged waste volumes, with implications for livelihoods, poverty and (marine) pollution | *Environmental performance index: Controlled solid waste[[50]](#footnote-51)* |
| High levels of ocean pollution including e.g. chemical, nutrient, pathogen etc[[51]](#footnote-52) | *Ocean Health Index: Clean water index[[52]](#footnote-53)* |

|  |  |
| --- | --- |
| **Marine protected areas** | |
| We tried to identify … | Therefore, the indicator used … |
| Where habitats and species are the most vulnerable | *Ocean Health Index: Biodiversity index[[53]](#footnote-54)* |
| Marine biodiversity hotspots | *Sala et al (2021[[54]](#footnote-55)): Data on, priority areas to achieve 90% of the maximum benefits for biodiversity conservation, carbon stocks and food provisioning.* |

|  |  |
| --- | --- |
| **One health** |  |
| We tried to identify … | Therefore, the indicators used … |
| The main drivers that might hinder sustainable aquaculture production | *Last date reported of aquatic diseases (Cefas)[[55]](#footnote-56); Ocean Health Index: Clean water index[[56]](#footnote-57)* |
| Countries where aquaculture is important for domestic consumption (current and forecasted) | *Forecast of aquaculture production (FAO)[[57]](#footnote-58)* |

A list of priority countries has been developed to shape early engagement (full list at ANNEX V). This list of countries is indicative, there are still various factors that need to be considered such as:

* Existing engagements through UK Gov programmes such as 30 by 30, Commonwealth Clean Ocean Alliance (CCOA) and other BPF programmes, as well as FCDO priority regions.
* Country interest in technical assistance for marine pollution, aquaculture or MPAs, and alignment with UK priorities, and also general consideration in each country’s landscape of activity and engagement on marine environmental issues (for example, considering issues such as Bangladesh ban on sea fishing[[58]](#footnote-59)), including engagement and advice from posts.
* Whether, given OCPP budget and timeframes, significant change can be achieved in a country.
* Political analysis of countries will also be undertaken by the OCPP policy team in consultation with FCDO. This will consider a variety of factors including political instability (or the potential for it), levels of corruption, and whilst the pandemic lasts, the situation in-country regarding COVID-19. Where possible, we will also look at evidence of success of other technical assistance and capacity building programmes in country.

In year one, we will develop a comprehensive prioritisation exercise, considering all the above to create a short list of countries to approach for partnership.

# 3. APPRAISAL CASE

## 3.1 Long List of OptioNs

Several options have been considered to address the challenge and barriers described above in the strategic case (section ‘Rationale for Intervention’). This includes a range of different approaches and scopes, delivery partners and funding options:

Options for type of solution

0. Do nothing

1. Support through data and scientific equipment, no capacity building
2. Capacity building **(preferred type of solution)**

Options for delivery

1. Support only through ALBs – Cefas, JNCC and MMO **(incorporated in do minimum)**
2. Support through ALBs alongside local and other delivery partners **(preferred delivery option)**
3. Competitive tender

Options for scope

1. Support on marine litter only **(incorporated in do minimum)**
2. Support on marine pollution, MPAs and sustainable aquaculture, with the potential to expand within these themes **(preferred scope)**
3. Support for all themes and issues in the marine environment, not limited to Technical assistance

Options for implementation

1. Support all ODA eligible countries through a bidding process
2. Support priority countries identified through needs, interest and UK priority assessment **(preferred method of implementation)**

fOptions for implementation - timescale

1. Deliver OCPP over 5 years, re-evaluating, re-prioritising and adapting delivery every year **(preferred timescale)**
2. Deliver OCPP over 3 years, developing a new programme after 3 years for the remaining years of the BPF
3. Deliver OCPP over 1 year **(incorporated in do minimum)**

Options for funding

1. Support of £5.5m – only continuing existing work on marine litter and aquaculture **(do minimum)**
2. Support of £30m – including all three strands with the potential for expansion within these themes
3. Support of £55m - including all three strands with the potential for expansion within these themes
4. Support only where co-financing / matching with partner country is available
5. Variable support depending on country need, drawing on co-funding / match from partner country where relevant **(preferred funding option)**

Value for money (VfM) considerations are central to any assessment and appraisal and are about maximising the impact of each pound spent. This is analysed through the lens of the ‘four E’s’:

* **Economy** - buying inputs of the appropriate quality at the right price
* **Efficiency** - how well we convert inputs into outputs
* **Effectiveness** - how well the outputs from an intervention achieve the desired outcome on poverty reduction
* **Equity** - how well the spend benefits those who need it most

As a first assessment, all long-list options were assessed against the Blue Planet Fund Investment Criteria – the key criteria for the Blue Planet Fund, designed to guide initial decisions towards greater value for money. The Investment Criteria map against the ‘four Es’, as shown in Table 4.

***Table 4:*** *How VfM criteria relate to the BPF investment criteria.*

|  |  |
| --- | --- |
| **VfM principle** | **Key BPF Investment Criteria** |
| **Economy** (are we buying at the right price?) | Financial Soundness |
| **Efficiency** (‘spending well’) | Delivery and implementation potential; UK government priorities; Additionality |
| **Effectiveness** (‘spending wisely’): | Environmental benefit potential; In-country engagement and fit; Maximising synergies; Mobilising potential – finance; Mobilising potential – stakeholder action |
| **Equity** (‘spending fairly’): | Poverty reduction; Do no harm |

In addition to the BPF Investment Criteria, options were considered for their timeliness of delivery. As described above, the UK has an existing technical assistance programme for marine plastic pollution. Enabling the foundations of this work to be continued in existing partnership countries and the benefits to be realised requires continuing work by summer 2021.

The conclusion for each option is below, with a more detailed description of each option and their scoring against the Investment criteria in ANNEX II. This should be read for further detail.

**Options for type of assistance:** As described above, options have been considered for the type of assistance the OCPP should provide. Full assessment of these options can be found in ANNEX II.

***Preferred solution*: Option 2: Technical assistance – capacity building:** alternative types of support were considered to address the challenges raised in the strategic case: e.g. providing data and equipment, without capacity building. However, the preferred option would provide partners with demand-led support, prioritised expertise and support for equipment alongside capacity building, to empower those in-country to effectively respond to the challenges. As a result, we can expect a more direct link to improvements in the marine environment and poverty – and a longer-term time horizon for continued action and positive impacts. **This is incorporated across all shortlist options.**

**Options for delivery:** Options have been considered for the delivery of technical assistance, considering the likelihood of successful delivery, UK expertise and timeliness.

**Preferred solution: Option 4: Support through ALBs (Cefas, JNCC, MMO) alongside other organisations, tendered in part through open competition:** ALBs have world-leading experience; experience successfully working with DEFRA and international partners (e.g. see box 3) and positive feedback from annual independent evaluations on their work on Commonwealth litter programme[[59]](#footnote-60) (CLiP, see Box 5). CLiP and the One Health aquaculture partnerships will be continued under the OCPP, which would benefit from continuing with existing ALBs as delivery partners at least during year 1. Changing the delivery partner for existing programmes would disrupt progress, require new relationship building and ultimately affect the final outcomes of the programmes. This means we have discounted the option of using competitive tender across the whole programme, and from year 1. However, for new country partners, ALBs may not have appropriate in-country or technical expertise to facilitate expansion of the OCPP from FY2022. Therefore, this option considers using competitive tender to support in these areas that are cost-effective and can meet the outcomes of the OCPP. For new partners, DEFRA will manage procurement processes, budget, scope and partners to ensure value for money – a process which has been successfully followed in the past. **This is the preferred delivery option and is incorporated in the shortlist under option A and B.** The option for delivery purely through ALBs has been explored in **option C.**

**Options for scope:** As described above, various options have been considered on the scope.

**Preferred solution: Option 7: Support on marine pollution, MPAs and sustainable aquaculture, with the potential to expand within these themes:** This option recognises and aims to address the potential common drivers causing marine pollution, biodiversity loss and unsustainable aquaculture. In this option the OCPP would expand CLiP to deliver across marine pollution more broadly (e.g. water quality); provide support to countries to set up, enforce and monitor MPAs; and support the development of a sustainable aquaculture industry through aquaculture assessments, developing capacity for risk profiling, evidence gathering and policy/legislation development. By incorporating more than one theme of the BPF in the OCPP, this programme will be able to tackle the overlapping factors that makes success in each theme possible. For example, tackling marine pollution will reduce threats to marine habitats that MPAs are trying to protect and aquaculture that One health is trying to make a sustainable industry. MPAs and One health could together protect marine biodiversity from different aspects through sustainable practices and conversation. We have discounted the option of supporting all themes and issues covered by the BPF, since spreading funding more thinly across an array of smaller projects may not result in enough progress in meeting objectives. In addition, it would be more time consuming (and arguably less value for money) to coordinate with many experts to deliver the programme.[[60]](#footnote-61) **Varying options for scope are explored across Options A B and C in the shortlist.**

**Options for implementation:** As described above, options have been considered for how to implement the OCPP, focusing on the process of selecting and welcoming interest from countries.

**Preferred solution: Option 10: Support priority countries identified through needs, interest and UK priority assessment:** This option would select a small number of priority countries, based on the available evidence of need, fit with the aims of the OCPP, country interest and engagement, wider UK foreign policy interests and the strategic framework for ODA (see section 2.9.1 Country prioritisation). This will enable a focused approach on priority countries, with the potential for greatest impacts. We have discounted the option of providing support to ODA eligible countries through an open bidding process, as countries that need support the most might not have the expertise and resource to make the most successful bids into the fund.

**Options for length of time:** Options considered for the timescales for OCPP delivery include one, three and five years.

**Preferred solution: Option 11: Deliver OCPP over 5 years, re-evaluating, re-prioritising and adapting delivery every year**: As described in the strategic case, the first year of this option would continue existing, effective partnerships for marine litter and aquaculture, expanding where they are identified as priority; alongside detailed scoping for the MPA programme. Each year would involve a formal review, where the processes and outcomes are assessed in order to inform the following years. This option would be responsive to new information, but also provide funding certainty, enabling effective, long term and sustainable partnership to be formed: a lack of long term funding has been identified as the key barrier to fully effective partnership and delivery in a recent evaluation of the UK’s technical assistance programme for marine litter. Although all outputs and outcomes would not be possible to identify at the beginning of the programme, processes would be put in place to ensure VfM, as described below and in the management case. **Varying options for length of time are explored across Options A B and C in the shortlist.**

**Options for funding: scale of funding**

**Preferred solution: Option 16: Support across marine pollution, biodiversity and sustainable fisheries / aquaculture of £55m:** This option would support all three priority themes. This amount has been based on the funding amounts for the highly successful Commonwealth Litter Programme (CLiP). Previous years’ funding for CLiP was around £3m p.a. Where CLiP addressed one theme across seven countries, the OCPP will address three across up to 15 countries. £55m will allow for, on average, funding up to £4m per theme per year under the OCPP. This aligns well with an upscaled CLiP budget. **Varying options for length of time are explored across Options A B and C in the shortlist.**

**Options for funding: match funding from partner countries:** Options have been considered for the requirement for match or co-funding from partner countries.

**Preferred solution: Option 18: Variable support depending on country need, drawing on co-funding / match from partner country where relevant:** This option would involve a country-specific approach, supporting LDCs with grant funding and with the expectation of seeking match funding / co-financing from UMICs. LMICs may require a mixed approach, depending on country need. This would enable best value for money while still enabling a focus on the greatest need. We have discounted the option of working only where match funding is available, since the BPF seeks to assist countries that are the most vulnerable and dependent on their marine environment: these countries may not necessarily to have the capital to match proposed ODA.

## 3.2 Shortlisted options and appraisal design

The above long list assessment[[61]](#footnote-62) has discounted a number of alternative options to identify:

* the **preferred option for type of support** (capacity building),
* the **preferred option for implementation** (selecting priority partner countries),
* the **preferred option for match funding** (seeking match funding where this may be relevant).

There is remaining variability around **scope, scale of funding, timescale and delivery options:** options from the above which **are combined** to form three credible, short-listed options:

* Option 0: Do nothing
* Option A: Support across marine pollution, MPAs and sustainable aquaculture over 5 years with effective learning, adaptation and the potential to expand within these themes, delivered by ALBs alongside other organisations: £55m (preferred option)
* Option B: Support across marine pollution and sustainable aquaculture over 3 years, scoping for a future programme, delivered mainly by ALBs, especially in first year, with input from other organisations: £30m
* Option C: Continue existing support (CLiP and One Health) in marine litter and aquaculture for one year, delivered by ALBs: £5.5m (do minimum)

**Table 5: Summary of options and variability in short-listed options**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | **Scope** | **Countries** | **Delivery** | **Timescales** | **Funding** |
| **Do Nothing** | **N/A** | **N/A** | **N/A** | **N/A** | **N/A** |
| **Option A** | Support across Marine pollution, Sustainable aquaculture and Marine protected areas | Based on country prioritisation exercise and country interest (**Total: 10- 15 countries**) | ALBS and competitive tender | 5 years | £55m |
| **Option B** | Support across Marine pollution, Sustainable aquaculture and **scoping** exercise for Marine protected areas | Based on country prioritisation exercise and country interest (Total: **Max 10** countries) | ALBs and competitive tender | 3 years | £30m |
| **Option C** | Marine Litter and One Health | **Existing partners** under CLip and One health \* | **Only ALBs** | 1 year | £5.5m |

\*CLip: India, Maldives, Sri Lanka, Solomon Islands, Belize, South Africa and Vanuatu, One health: Bangladesh

These options are appraised in the short list below.

Approach for appraisal

Overall, there are many challenges and uncertainties in the appraisal, and assessment of Value for Money, due to:

* Evidence gaps in the ‘business as usual’ situation: i.e. we don’t have 100% knowledge of what would happen without action from UK Government. This includes uncertainties in the scale of pressures, trends and action of others
* Limited evidence on the applicability and effectiveness in other countries, a common challenge in ODA programmes
* Lack of full evaluations for newer programmes, meaning it is challenging to assess their likely benefits
* Uncertainties in the attribution of benefits to the programme. Technical assistance primarily rests upon effective partnerships, co-ownership and enabling others, making it challenging to separate the outcomes which are solely due to the programme and the outcomes which are due to the partners and other (enabled) actors
* Inherent challenges in appraising a portfolio that isn’t yet decided, such as uncertainties of the countries the OCPP will operate in and uncertainties in the split of funds between issues and sub-themes, which are key determinants of the expected results.

Ensuring value for money following the establishment of the OCPP will be embedded in the management and operation of the OCPP, and at programme and project level. As described in the strategic and management case plus section below, VfM will be a criterion to assess projects at the selection stage. There will be a review each year to assess progress, existing evaluation evidence and re-assess relative priorities and operation based on this.

Given these challenges and uncertainties, the appraisal of each option broadly sets out the expected benefits for poverty reduction and the marine environment, a description of the costs, the approach to quantifying these where possible, alongside an assessment of the (partial) BCR and Net Present Value (NPV). These BCRs and NPVs should be considered illustrative given the assumptions made and the benefits which have not been possible to monetise.

The options are described and appraised below as well as assessed in the investment criteria in ANNEX II.

## 3.3 Appraisal of shortlisted options

### Option 0: Do nothing

In this option, the UK government would **not** intervene through the OCPP. This option would result in no costs to DEFRA including management costs associated with managing these programmes. Pressures from marine litter, unsustainable aquaculture and biodiversity loss, with resulting impacts on the marine environment and poverty, are likely to continue, though mitigated in part by other UK interventions or from other countries and international actors.

**Global trends**

Globally, more than 775 million people are dependent on marine ecosystems for food security, livelihoods and environmental protection. Developing countries are more reliant than developed countries on natural capital and stand to lose the most; it is costly and difficult to restore an ecosystem back to health. This would risk the delivery of SDG1 (No Poverty) and SDG14 (Life Below Water).

In the absence of significant global intervention, pressures on the marine environment are likely to continue:

* Modelling suggests that up to 33 million tonnes of mismanaged plastic marine litter will enter the ocean per year by 2040, adding to the estimated 150 million metric tonnes already in the ocean[[62]](#footnote-63).
* Negative outcomes of the aquaculture industry will continue including mangrove forest degradation, bonded labour and social inequities[[63]](#footnote-64). There will also continue to be a proportion of aquaculture affected by marine pollution and/or aquatic diseases, posing health risks and resulting in lower income to communities due to the associated lower price.[[64]](#footnote-65)
* Lastly, biodiversity is declining faster than at any time in human history, and such declines are undermining nature’s productivity, resilience and adaptability and fuelling extreme risk and uncertainty for economies and well-being[[65]](#footnote-66).

The barriers and market failures issues raised in the Strategic Case (throughout section 2.1) are prevalent under a ‘do nothing’ scenario. Countries face **insufficient public and private investment** to address poverty and related to challenges in the marine environment; BPF priority countries **lack access to locally relevant science and expertise** to enable effective intervention in marine environmental challenges: research infrastructure is unevenly globally distributed, with only a few marine biodiversity-related research facilities in ODA-eligible countries, to several tens and even more than 100 laboratories in Europe and the United States[[66]](#footnote-67); **coordination failures** limit the effective implementation of policies and interventions.

**The UK government’s Role:**

In the absence of UK government intervention, other organisation and governments have shown commitment to addressing the restoration and protection of the marine environment and poverty alleviation. Therefore, the UK government is not the only organisation that can tackle these issues or solve them on our own.

However, under this option, the existing UK technical assistance programmes, the Commonwealth Litter Programme (CLiP) and Cefas One Health Aquaculture, would cease and the marine biodiversity work would not begin. There would be substantially reduced ODA programming in support of UK commitments to the Global Ocean Alliance and 30by30, reduced programming to support the UKs commitments leading the Commonwealth Clean Ocean Alliance (CCOA) and less support for the UN Decade of Ocean Science for Sustainable Development. Doing nothing would not support UK ambition to continue demonstrating global leadership on priority issues, and to continue environmental and ocean leadership in light of our Presidency of COP26, G7 Presidency and leadership of the GOA, and deliver on a legacy of this.

The OCPP is one of a range of programmes being delivered within the BPF. Some of these programmes will address the same BPF themes as OCPP, but through different forms of assistance. For example, the Global Plastic Action Partnership (GPAP), a planned investment through the Blue Planet Fund, brings public, private and civil society leaders together to develop National Plastic Action Plans to tackle plastic pollution. This work differs from the proposed marine pollution strand of the OCPP which will focus on developing scientific capabilities of partner countries through training and providing scientific equipment and education. GPAP focuses on partnering with the countries that have high levels of marine plastic pollution whilst the OCPP marine pollution strand will focus on countries which have gaps in the scientific capabilities to tackle marine pollution. There are some countries that *may* partner with both OCPP and GPAP programmes, such as India, South Africa and Sri Lanka, but due to the different focuses of these programmes, outcomes will differ. For example, in India, GPAP will support creating the National Plastics Action Plan and securing funding for it, whilst OCPP in India is more likely to focus on science communication and education to communities on the impact of marine pollution. Estimated impacts for OCPP in these countries reflect this.

For there to be significant improvement to the marine environment to address poverty alleviation different interventions are needed together to make the change and demonstrate the UK’s commitment towards the marine environment.

### Option A: Support on Marine litter, MPAs and sustainable aquaculture of £55m OVER 5 YEARS (preferred option)

This option includes developing partnerships with developing countries to upskill local communities and build in-country capacity to develop robust, science-based marine policy that will address environmental degradation across marine biodiversity, marine pollution and sustainable seafood. The outputs and outcomes are described in more detail in the strategic case and the benefits are illustratively appraised in the following section.

As described above (see long-list options 10 and 17), this preferred option will select priority countries rather than opening the programme to all. This preferred option will use a variable approach to funding, seeking match/co-funding where appropriate, given the income level of the country. This option would be delivered over 5 years.

The proposed amount of funding has been based on figures for the highly successful Commonwealth Litter Programme (CLiP). Previous years’ funding for CLiP was around £3m p.a. Where CLiP addressed one theme across seven countries, the OCPP will address three across up to 15 countries. This aligns well with an upscaled CLiP budget. A country-specific approach for funding will be taken, supporting LDCs with grant funding and with the expectation of seeking match funding / co-financing from UMICs. LMICs may require a mixed approach, depending on country need.

Benefits (option A)

The **overall benefits** expected to be achieved by the OCPP **across the strands of work** are:

**Poverty alleviation and economic development:** The OCPP will indirectly contribute to an increase in incomes through improvements to the quality of aquaculture/fish which can be sold at a higher price (**aquaculture**); through opportunities for sustainable tourism (**MPAs**) and through opportunities for increases in the waste value chain (**marine pollution**).

OCPP will also have important health, wellbeing and nutritional benefits for local communities, through a reduction in aquaculture affected by pollution and animal diseases (**aquaculture, marine pollution**), the reduction of mis-managed solid and liquid waste with associated health consequences (**marine pollution**) and the protection of habitats which provide important provisioning, regulating and cultural services (**MPAs**).

**Marine environment improvements**: The OCPP will enable countries to better protect important marine habitats directly through supporting the development of **MPAs**; and indirectly, through supporting a holistic approach to **aquaculture** health which will reduce deforestation[[67]](#footnote-68) and improve animal health; plus stemming the flow of marine pollution, with its impacts on marine habitats and species. These in turn have benefits for biodiversity as well as climate regulation.

The following section **separately appraises the benefits from the three strands of potential work under the OCPP:** describing the specific benefits from each strand, followed by the approach for appraisal. We provide detail of the costs and conclude by assuming a certain proportion of funding is allocated to each theme, which results in a final, combined BCR across the OCPP.

Each of these strands will not work in isolation: reduction in plastic will reduce pressures on MPAs and improvements in water quality will improve the outcomes for aquaculture health as well as in MPAs. As described above, countries will be offered the opportunity to develop these programmes in parallel, resulting in these synergies and potential greater benefits than would be achieved from each programme working in isolation. This has not been incorporated in the BCRs and NPVs, but can be considered when we conclude and compare the options.

All quantified benefits and costs should be considered illustrative. The final benefits achieved by the OCPP will depend on country priorities and interest.

Benefits: Marine pollution strand (Option A)

As described in the strategic case, the marine pollution strand will specifically result in improved science and monitoring, communication of this science and improved policy. This will in turn result in better managed solid and liquid waste, leading to improved health, directly and indirectly through ingested seafood, plus implications for tourism and further income opportunities. Through these routes, the marine pollution technical assistance will provide the necessary enabling environment to **reduce poverty**, **improve livelihoods** and **improve the marine environment**.

The quantitative appraisal of the marine pollution strand focusses on the benefits associated with **marine litter** – and specifically marine plastic, where we have the best available evidence for the illustrative countries and where evaluation evidence is available. The evidence for the **marine pollution** strand is based on evaluation of evidence of the existing marine litter technical assistance from the past 2 years, extrapolating forward for proposed focus countries.

To appraise the future programme with a partial BCR and partial NPV, we have:

1. Based the analysis on relevant countries: existing partnerships, plus an example additional country which could become a future partnership (Nigeria): See annex VII for full details
2. Used published modelling of the projected levels of mismanaged waste in these countries in 2025[[68]](#footnote-69)
3. Assumed a reduction in mismanaged waste due to countries establishing improved monitoring and Marine Litter Action Plans (MLAP) [[69]](#footnote-70): For small island nations where a national programme would be carried out, 5% reduction in mismanaged waste has been assumed over a 10-year period. This is a conservative estimate. Evaluation of the MLAP in Belize estimates an expected reduction in marine litter from early MLAP actions as 5%-10% and we account for any **optimism bias** by using the lower end of the scale. For larger nations such as India, where there will be a targeted approach on e.g. science communication or specific scientific needs in specific regions, we assume a reduction in mismanaged litter of 0.1% over the same time period.
4. Attributed a proportion of this action to the OCPP: Although the OCPP will enable the improved policies, there are other actors who will play a role in the resulting actions. We assume that 15% of the action can be attributed to OCPP. *[[70]](#footnote-71)* Again, this is conservative. The independent evaluation of CLiP[[71]](#footnote-72) (See Box five) estimates that the CLiP contribution to the MLAP in Belize has been 20%-50%.[[72]](#footnote-73) Again, rather than taking the mid-point, we account for **optimism bias**, by assuming a % below the low end of the estimated range.
5. Quantified the ecosystem service benefits per tonne of reduced marine plastic (£1,040 and £10,400), based on a global estimate of the economic costs of marine plastic[[73]](#footnote-74) and reducing by two thirds to approximately reflect the difference in ecosystem valuation in developing countries.[[74]](#footnote-75) This is the key sensitivity impacting the figures and represents the range shown below.
6. Assume that it takes 5 years for benefits to first materialise – and the full reduction in mismanaged waste will only be achieved 5 years later.
7. Calculated benefits for 30 years[[75]](#footnote-76), 2020 base year prices, and discounted benefits and costs at 10%, following published guidance for ODA.

The benefits to poverty and improvements to health have not been possible to monetise. The benefits not accounted for in this analysis include the wider benefits of improved science capabilities and ongoing abilities at a governmental level, as well as the wider benefits of increased awareness and valuation of the marine environment. In addition, the benefits associated with the wider marine pollution programme, beyond marine litter, have not been possible to monetise.

**BOX FIVE: EVALUATIONS OF PAST UK MARINE LITTER TA PROGRAMMES (CLIP)**

The UK technical assistance for marine litter (including CLiP) has been operating for the past 3 years. Independent evaluations of past work[[76]](#footnote-77) demonstrate good value for money: for example, in Belize, there is strong evidence that CLiP has made a substantial contribution to the Belize national Marine Litter Action Plan (MLAP). Although there is currently limited evidence on the potential reduction in marine litter resulting from the Belize MLAP, the implementation of a single use plastic ban in Belize illustrates an early, plausible reduction in marine litter. The CLiP benefit to cost ratio is projected to be in the range 1-4 (with a sensitivity of 3-14) if the CLiP contribution to the MLAP is 20%-50% and the expected reduction in marine litter from early MLAP actions is 5%-10%. That is to say, **projected discounted benefits exceed costs by a multiple of between 1 and 4** (with a sensitivity of 3 up to 14).These assumptions on CLiP contribution have been assessed through an independent evaluation.However, it should be clear that this benefit cost ratio is partial – since the MLAP and effective reduction will rely on actions – and costs - beyond the costs to the UK government.

In Vanuatu, the steps taken as a result of the CLiP work have been estimated to reduce marine litter by 22-45%, based on the waste surveys carried out and the change in legislation and policy directly attributed to the work of CLiP. However, as discussed above, this reduction in marine litter relies on actions and costs beyond those of the programme. A conservative, internal estimate of the impacts of Clip in Vanuatu estimated that, if we attribute 10% of the change to the work of CLiP, the **benefits would be four times the costs.**

This past evidence is used to inform our future assumptions of the potential of this Marine Litter programme in smaller nations (see above).

For larger nations, the type of intervention will be different. Support is more likely to be similar to that provided in South Africa, where the CLiP filled a specific, strategic technical gaps, for example through setting up two laboratories with essential equipment. An independent evaluation has assessed that this equipment has contributed significantly to national and regional microplastics monitoring programmes, ultimately used to inform effective, prioritised government intervention.

In this large-country setting, this specific science and science communication work may be an important support for other UK-funded programmes working to reduce marine litter, such as the Global Plastics Action Partnership (see above, under BAU), but OCPP in these contexts is very unlikely to contribute to the same scale of % change to plastic pollution.

The claims from this ‘type’ of programme in large countries cannot be as high as those in Belize and Vanuatu. In this large-nation context, a change of 0.1% over 10 years has been assumed. This is in addition to, and there is no double counting with, any benefits assumed under other, complementary programmes .

Benefits: One Health Aquaculture strand (Option A)

As described in the strategic case, the sustainable aquaculture strand pursuing the One health approach will result in improved capacity building in science, outreach and policy development. These have been identified as necessary enabling factors for a successful sustainable aquaculture industry in the partner countries. This shift towards a sustainable aquaculture industry will in turn lead to fishing practices that that **do not harm marine ecosystems**, increase in population of **vulnerable marine specie**s, **increase in high quality aquaculture** for consumption and trade (with benefits for health and income) and **a sustainable aquaculture market** so these benefits are long-term. Through these routes, the programme will contribute to poverty alleviation alongside improvements in the marine environment.

The One Health **aquaculture** programme is newer, which means that the quantitative appraisal for One Health is based on initial evaluations of the programme thus far, alongside an assessment of the benefits likely in potential future countries. The quantitative appraisal of this strand focusses on the **benefits of improving the quality of aquaculture products** due to the reduction in diseases and hazards.

To appraise the future programme with a partial BCR and partial NPV, we have:

1. Based the analysis on relevant countries: Currently the one health approach is being implemented in Bangladesh as part of a longer working engagement. India and Indonesia have been used as examples of additional countries whom could become partners under the OCPP.
2. Used published forecasts of aquaculture production and growth rate from the FAO[[77]](#footnote-78).
3. Assumed the % of production that is of poor nutritional quality: Across all three countries a range of 1%-2% of annual production is assumed to be of low quality, based on assumptions in Bangladesh.
4. Assumed the impact of One Health on improving production quality: Based on the approach of One Health on tackling the causes of low quality and unsustainable seafood, we have assumed that that 5% of the low-quality aquaculture production could be improved and attributed to the OCPP.
5. Assumed value of production: Given the complexity of estimating the increase in nutritional value we opted to use the retail price of production as an indicator of income that could be used to improve livelihoods. Domestic prices for aquaculture was not readily available for all countries so a third of the average retail price of (£2.4/kg) fish in Bangladesh is used as an assumption of farm gate price of high quality aquaculture and half that value of what could be expected for lower quality aquaculture.[[78]](#footnote-79) Benefit is quantified as multiplying this increase in price by the % of production in point 4 which is assumed to improve from low to high quality.
6. Assume that it takes 10 years for the full benefits to materialise –and that benefits will begin to materialise from year two onwards.
7. Calculated benefits for 30 years[[79]](#footnote-80), 2020 base year prices and discounted benefits and costs at 10%, following published guidance for ODA.

Apart from this estimate of the retail value of seafood, the benefits to poverty have not been possible to monetise, neither has it been possible to monetise the improvements in health.[[80]](#footnote-81) Further benefits not accounted for in this analysis include the wider benefits of improved science capabilities and ongoing abilities at a governmental level, as well as the wider benefits of increased awareness and valuation of the marine environment.

Benefits: MPA strand (Option A)

As described in section 2.6 of the strategic case, the MPA strand will specifically result in improved science and monitoring, communication of this science and improved policy capabilities for effective MPAs. This will in turn enable the effective placing and establishment of MPAs, alongside effective management and enforcement in these countries, in turn leading to:

* Better protection and enhancement of **vulnerable marine habitats** including seagrass, mangroves and coral
* Protection and increase in population of **vulnerable marine species**, including sharks and rays
* Countries’ biodiverse marine ecosystems **better supporting local livelihoods**, health and wellbeing as well as provide nature-based solutions to risks posed by climate change
* Restored and enhanced **diversity at the ecosystem, species and genetic level** and increased fish biomass
* Development of **long term, sustainable finance** for effective monitoring and management

There are documented challenges associated with implementation of MPAs, which if not done properly can be detrimental to fishers if levels of vulnerability are not considered, and fishers are not properly supported to adapt to new management structures[[81]](#footnote-82). However, inclusive management of well managed habitats have benefits at the local and international scale through their contribution to **food provision, coastal protection, climate regulation, tourism as well as the intrinsic value of the species**. Many of these ecosystem services have benefits to local individuals **directly** (for example, increasing food availability, increasing sales of fish, reducing impacts associated with storms) – with implications for **improved livelihoods and poverty reduction**. The protection and restoration of habitats and species have also been shown to have important cultural benefits. Ecosystem services can also have indirect benefits, where they may contribute to raised income through e.g. jobs or opportunities in tourism, in turn contributing to a reduction in poverty.

The quantitative appraisal of this strand focusses on the benefits resulting from **improved protection of habitats** through the MPA approach. The **MPA** technical assistance programme will be new, meaning that there is no evaluation evidence to base the future appraisal on. However, based on the details of the programming, we can make conservative assumptions of the expected results, of which we base our estimates on. The following steps have been taken to appraise the programme:

1. Chosen relevant, representative countries where the MPA strand is likely to be a priority. This incorporates a range across varying sizes and regions. See annex VII for full details.
2. Assumed that in the absence of government intervention, habitats would continue to be lost at the rate of loss which has been seen in the last decades. For mangroves, country-specific data from Global Mangrove Watch was available for extent and loss; for seagrass, country specific data was available for extent REF and worldwide data IPCC data for loss; for reefs, country-specific data was available for extent REF and a conservative assumption was taken for loss (0.25%).
3. We also assume that, with inclusive, well-managed MPAs, this habitat loss would reduce by 40%, based on the understanding that the MPAs will be located where there is the greatest potential gain (and where potential loss is highest). 100% is not applied since **optimism bias** has been applied: programmes may not be as effective as assessed. Plus, other pressures in the marine environment (including climate change) may continue to cause decline in the quality and quantity of the benefits provided by these habitats, which will not be directly reduced through the establishment of MPAs.
4. Quantified the ecosystem service benefits per hectare of protected habitat marine habitat, using country-specific estimates where available[[82]](#footnote-83). This includes the benefits of coastal resilience, provisioning services such as fisheries and other raw materials, tourism or recreational benefits as well as the carbon regulation benefits.
5. Assume that benefits – the avoidance of these declines - will only begin to materialise 5 years after the start of the OCPP programme, since the important first steps involve effective scoping and consultation before the implementation starts.
6. Assume that the MPA programme will not be responsible for MPA establishment,[[83]](#footnote-84) but will be an important enabling factor. We apportion 5-10% of the MPA establishment to the OCPP MPA programme.
7. Calculated benefits for 30 years[[84]](#footnote-85), 2020 base year price and discounted benefits and costs at 10% (other than carbon sequestration benefits, discounted at 3.5%) following published ICF guidance for ODA.

As is the case with the other programmes, the benefits not accounted for in this analysis include the wider benefits of improved science capabilities and ongoing abilities at a governmental level, as well as the wider benefits of increased awareness and valuation of the marine environment.

Costs (Option A)

The non-discounted, financial costs of the marine pollution strand of the OCPP to UK government are assumed to be £55.0m over 5 years. As described in the financial case, the assumed split across the themes is proposed as £19.9m for marine pollution, £17.5m for aquaculture and £17.5m for MPAs. This will be split across a number of partner countries. The actual split across the themes will be dependent on partner country demand.

Beyond the costs to the UK government, there will be additional costs to other actors, including the time involved in making policy changes, investment in enforcement, investment in infrastructure prompted as a result of the improved monitoring and changes to behaviours. However, these decisions and the resulting costs will be *enabled* by the OCPP and not as a direct requirement of the programme. We can assume that the partner country government and other actors will take their own decisions only where the benefits can be assumed to be greater than the costs.

Appraisal of Costs and Benefits (Option A)

We can combine the appraisals of the three strands to provide an illustrative overview of the benefits and costs of the combined OCPP. Noting the uncertainties and gaps highlighted above, we arrive at estimated partial Present Value Benefits of £123m - £388m, Present Value Costs of £43m, **a Net Present Value of £80m-£344m and an overall Benefit Cost Ratio of 2.9-9.0.**[[85]](#footnote-86) The range represents the sensitivities in the assumed value of ecosystem service benefits associated with marine plastic, the range of assumed programme effectiveness and the range of potential baseline habitat loss, in addition to adjustments for optimism bias. More detail is set out in Annex VII.

There are inherent challenges in appraising in advance a portfolio that is demand led and as a result isn’t yet decided: there are uncertainties of the countries the OCPP will operate in and uncertainties in the split of funds between issues and sub-themes. However, the countries in which the analysis has been based on have been chosen to be representative of the range of countries in which the OCPP will operate and the sensitivity analysis seeks to demonstrate the inherent uncertainty. This is a partial BCR, not including benefits which have not been possible to monetise: with consideration of these, the full BCR would be higher. On the other side, this BCR will be lower in the situation where there are further actors who play are more important role (the assumed attribution figures are lower), or the estimated and assumed benefits of the programmes are not realised, meaning that OCPP’s final impact is smaller. We have aimed to take conservative estimates where possible and have applied optimism bias to the benefits as relevant.

Across the piece, these benefit cost ratios will depend on effective engagement of countries, as well as using this improved capacity for the effective management of the issues in question: marine pollution, aquaculture and MPAs. **These benefit cost ratios should be considered an illustrative, partial assessment of the benefits associated with the OCPP programme. Until the programme is operating and an evaluation conducted there remains substantial uncertainty with the BCR and the NPVs.**

### Option B: Support on Marine litter, MPAs and sustainable aquaculture of £30m OVER 3 YEARS

This option is broadly similar in approach to Option A, but delivers only over 3 years, focusing delivery on marine pollution and one health aquaculture, with the MPA strand focusing only on scoping.

Benefits (Option B)

For marine pollution and One Health aquaculture, the type of benefits are expected to be similar to those anticipated for option A, with some key differences:

With ~55% of the budget of option B, the overall benefits are assumed to be *lower than proportional* to the reduction in costs:

* Delivery over 3 years will limit the long-term, sustainable nature of the partnership in some countries.
* No continued partnership will be ensured in these later (4th and 5th) years, once the groundwork has already been achieved. As a result, there will be **no cumulative benefits in years 4 and 5** – benefits which have the potential for significant change when the change is long term.
* Many of the costs associated with a partnership are due to the **initial costs and time associated with effective scoping, needs assessment and relationship building.** These in effect are ‘fixed costs’ which will apply no matter the scale of the investment in a country. Once these resources are invested, benefits can be achieved relatively more easily in the following years. A lower level of funding for each partnership could mean that less resources are invested in scoping, enabling science and relationship building, resulting in a less effective programme, unable to reap benefits possible in later years. On the other side, relatively more time and resources of the ‘whole budget’ could be allocated to these fixed costs, leaving less budget for the policy design and delivery.
* Even if we maintain the same funding per partnership, there will be **less opportunity for learning** and less opportunities for re-using the same “products” or approaches in different places. Even though the OCPP will take a very country-specific approach, there will be lessons which can be learnt in general on techniques and approaches – as well as learnings within certain regions which may be applicable.

Based on this, the following assumptions have been made:

* For the countries that have received previous support under the Clip programme, scoping and relationship building has already been achieved and it is assumed that the reduction in cumulative, year on year benefits will face a linear reduction, following the reduction in years. This reduction in cumulative benefits applies also for new partnership countries. Due to the reduction in cumulative benefits, total benefits fall by a greater proportion than costs, reflecting the rationale above. No change in the attribution to OCPP has been assumed.
* For sustainable aquaculture, it has also been assumed that the programme will still result in changes to sustainable practices but would be less effective with a smaller budget and smaller number of years. It been assumed that the only 0.4% - 0.8% of aquaculture production could be improved, compared to 1% - 2% in Option A. Again, we assume 5% attribution to One Health OCPP – there is no change to the assumed attribution.

For the MPA programme, there will be no establishment of MPAs, nor increase in monitoring, but effective scoping, risk assessment and planning. It is challenging to attribute ecosystem service benefits directly to these actions, but since they are important enabling factors for an effective, prioritised programme to follow in a 2nd stage of technical assistance, we have assumed 10% of the benefits as calculated under A above.

Costs (Option B)

Total financial (not discounted) costs of option B is £30.4m to UK government over 3 years, as per the assumed split in the financial case for the first 3 years. This will be split across several partner countries.

As is the case for Option A, there will be additional costs to other parties, including the time involved in making policy changes, investment in enforcement and changes to behaviours. However, these decisions and the resulting costs will be enabled by this programme and not as a direct result of this investment. We can assume that the partner country government and other actors will take their own decisions only where the benefits will be greater than the costs.

Appraisal of benefits and costs (Option B)

We can combine the appraisals of the three strands to provide an illustrative overview of the benefits and costs of the combined OCPP. Noting the uncertainties and gaps highlighted above, we arrive at Present Value Benefits of £38m - £138m, Present Value Costs of £27m, a **Net Present Value of £11m - £112m and an overall Benefit Cost Ratio of 1.4 – 5.3,** with the range representing the sensitivities highlighted in the separate sections above[[86]](#footnote-87).

### Option C: One Year Support for existing marine litter and Aquaculture programmes: £5.5m (Do minimum)

This option is the ‘do minimum’ option. It would support continued delivery of marine litter technical assistance (CLiP) and aquaculture technical assistance (OneHealth) - for one year - in countries where the programme is already in place. Clip is currently operating in India, Maldives, Sri Lanka, Solomon Islands, Belize, South Africa and Vanuatu. One Health aquaculture is currently operating in Bangladesh. The one-year budget for these combined programmes would be £5.5m.

Benefits (Option C)

For marine pollution (litter focus) and One Health aquaculture, the type of benefits are expected to be similar to those anticipated for option A and B, with some key differences.

With ~10% of the budget of option A, the overall, long-term benefits are assumed to be *lower than proportional* to the reduction in costs, for the same reasons as set out in Option B. The reduction in **potential for economies of scale**, for **learning**, for **building effective, long-term and sustainable partnerships** is assumed to be even lower when the programme is only delivered over 1 year, with a much-reduced budget. The cumulative benefits from year-on-year work will not be achieved. These constraints will reduce the potential long-term benefits of the programme.

Based on this, the following assumptions have been made:

* Based on feedback of the need of continued support for existing marine litter technical assistance partnerships (CLiP), if the programme were to be extended by only one year, not all interventions proposed under the current technical assistance programme may materialise. Therefore only 60% of the mismanaged waste assumed to be reduced under Option A will materialise under this option. That is that 3% of total mismanaged waste will be reduced in a national programme instead of 5% and 0.06% for regional programmes instead of 0.1%. Given the countries in this option have received previous support under the Clip programme, scoping and relationship building has already been achieved and it is assumed that the reduction in cumulative, year on year benefits will face a linear reduction, following the reduction in years. Due to the reduction in cumulative benefits and mismanaged waste reduced, total benefits will fall by a greater proportion than costs. The same attribution to OCPP has been assumed.
* For sustainable aquaculture, it has also been assumed that the programme will still result in changes to sustainable practices in Bangladesh but would be less effective with a smaller budget and smaller number of years. It is assumed that the benefits to sustainable aquaculture in Bangladesh reduce proportionally with the reduction in costs –Option C has 16% of the budget of Option A allocated for Bangladesh (over 1 rather than 5 years). Based on this, it been assumed that 0.16% - 0.32% of aquaculture production could be improved, compared to 1% - 2% over 5 years in Option A. Again, the attribution to OCPP of this final change in healthy aquaculture production has been assumed to stay the same.

There is no MPA programme and therefore no benefits assessed.

Costs (Option C)

Total financial costs of option C is £5.5m to UK government over 1 year, with £1m for aquaculture and £4.5m for marine pollution.

As is the case for Options A and B, there are likely to be additional costs to other parties, including the time involved in making policy changes, investment in enforcement and changes to behaviours. However, these decisions and the resulting costs will be enabled by this programme and not as a direct result of this investment and we can assume that the partner country government and other actors will take their own decisions only where the benefits will be greater than the costs.

Appraisal of benefits and costs (Option C)

We can combine the appraisals of the two strands to provide an illustrative overview of the benefits and costs of the combined OCPP. Noting the uncertainties and gaps highlighted above, we arrive at Present Value Benefits of £3m - £20m, Present Value Costs of £5.5m, a **Net Present Value of -£2m - £14m and an overall Benefit Cost Ratio of 0.6 – 3.6,** with the range representing the sensitivities highlighted in the separate sections above[[87]](#footnote-88).

## 3.4 Conclusion and preferred option

Table 5 and the conclusion below summarises the key information from the short list appraisal.

**Option A: OCPP for support on marine pollution, MPAs and sustainable aquaculture of £55m (5 years)** demonstrates the highest value for money, with the highest net present value (£80m - £344m) as well as the highest benefit cost ratio (2.9 - 9.0)– the benefits per pound of spend. This is summarised in table 5.

There are additional benefits to individuals and households not included in this analysis, including: the impact of improved waste management on households, improved distributional benefits and the potential additional benefits per pound of spend from addressing more than one BPF theme in a programme. As described above, working on marine pollution is assumed to complement the work on aquaculture health and MPAs, leading to potentially further benefits, which haven’t been incorporated in the analysis.

These appraisal figures should be considered illustrative – the final net benefits of the programme will depend on the amount of funding which is dedicated to each theme, which in turn depends on country selection and demand; as well as the relative success of the different programmes in different contexts. Through optimism bias and sensitivity analysis, the modelling has aimed to take this into account, but, as with all ex-ante appraisals of portfolio programmes, there remains significant uncertainties. As described in the management case and in section 3.4 below, **VfM will be a consideration in project selection. Effective evaluation, with learning and adaptation, will continue to be a strong part of the programme.**

As described above, the proposed delivery bodies have world-leading expertise not only in science, but also in policy and regulation: some of the ALBs are the only regulators in the UK, holding unique knowledge and expertise necessary for the partnerships to work. In addition, the focus of the OCPP on the three themes – over 5 years - enables the development of a programme which can be most effective and responsive to the needs of the country. An effective partnership programme – with successful outcomes – rests upon country leadership, interest and engagement, grounded in local context and need. The OCPP will be most successful where countries are able to shape the programming which best fits with their priorities and form long-term, sustainable partnerships.

As described in the strategic case, £55m over 5 years provides the level of support at the scale required. **This is the preferred option.**

**Option B: OCPP for support on marine pollution, MPAs and sustainable aquaculture of £30m (3 years)** demonstrates the 2nd highest net present value (£11m - £112m) and benefit cost ratio (1.4 – 5.3), as shown in table 5.

Although this still represents value for money, based on the assumptions made, the benefits per pound are assessed to be lower. This option, over only 3 years, would not enable the same opportunities for learning and adaptation, with a lower ability to enable effective, long term partnerships. Both aspects will constrain the potential benefits per pound. This option may not achieve sufficient scale within the regions and countries involved in order to most effectively to address the global challenges in priority countries for marine litter, aquaculture health and effective MPAs. **This is a less preferred option.**

**Option C: OCPP Support on marine litter and aquaculture of £5.5m (1 year) (Do minimum):** Although this ‘do minimum’ option is estimated to provide important benefits for the marine environment and poverty, this option is less preferred on VfM and strategic grounds. As shown in table 5, this option demonstrates lower net present value (-£2m - £14m) and lower benefit cost ratio (0.6-3.6).

It fails to address the UK priority for effective management of MPAs and misses opportunities for synergies across themes. This option does not provide the opportunity for countries to develop their technical assistance needs and expand into the other themes which may be more important to the host country tor achieving poverty alleviation and marine environment benefits. This option would fail to achieve sufficient scale within the regions and countries involved to respond to the scale of the challenge and miss the opportunity for the UK to demonstrate strong leadership on ocean science in the G7 leadership year. **This is a less preferred option.**

**Option 0: Do nothing:** Under this option, existing UK marine technical assistance programmes would cease and there would be no ODA programming in support of UK commitments to 30by30, reduced programming to support the UKs commitments leading the Commonwealth Clean Ocean Alliance (CCOA) and less support for the UN Ocean Decade. This option presents significant reputational risks to the UK and **has been discounted.**

***Table 5****: Summary of short list options*

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | **Partial benefit cost ratios** | **Net Present Value** | **Wider benefits** | **Risks and challenges** | **Conclusion** |
| **Option 0:**  **Do nothing** | N/A | 0 | N/A | Ongoing risks to poverty through pollution, low quality food and fish stock depletion. | Option discounted |
| **Option A:**  **OCPP for support on marine pollution, MPAs and sustainable aquaculture of £55m (5 years)** | 2.9 – 9.0 | £80m - £344m | -Greater certainty to enable longer term, sustainable partnerships.  -Potential cross-over benefits through synergies across themes.  -Ensures effective prioritisation and co-financing where relevant, enabling higher VfM. | -Value for money will rest upon effective engagement and prioritisation | Preferred option |
| **Option B:**  **OCPP for support on marine pollution, MPAs and sustainable aquaculture of £30m (3 years)** | 1.4 – 5.3 | £11m - £112m | -Potential further benefits through theme synergies  -Likely to enable effective prioritisation; seeks co-financing where relevant, enabling VfM. | -Lower certainty to enable long term partnerships  -Benefits per £ of spend may be constrained due to lower opportunities for learning; failure to achieve sufficient scale within a country | Less preferred option |
| **Option C: OCPP Support on marine litter and aquaculture of £5.5m (1 year) (Do minimum)** | 0.6-3.6 | -£2m- £14m |  | -Failure to achieve sufficient scale within a country to respond to the scale of the challenge  -Misses opportunities for synergies across themes  -Fails to address UK priority for effective management of MPAs  -Benefits per £ of spend may be constrained due to lower opportunities for learning and / or more constrained programmes within countries | Less preferred option |

## 3.5 Approach for achieving VfM

As described in 3.1 above, VfM is embedded in the criteria to assess and refine the long list of options – and is central to the short list appraisal. In addition, the four Es of value for money (economy, efficiency, effectiveness, equity) have specifically been considered below for the preferred option, option A.

**The OCPP has a strong focus on VfM and ongoing evaluation**. VfM will be a consideration for project selection and each year will include a formal review, assessing the 4 Es. The following years’ programming is designed to be adaptive, to respond to evaluations and assessments and ensure the programme can focus where the needs for poverty alleviation associated with the marine environment are greatest.

**Economy** (are we buying at the right price?)

As set out in 4.2, staff time and cost have been benchmarked against Defra’s to ensure good value for money. Cefas, JNCC and MMO have a good track record of having policies and procedures in place to manage HMG funding.

The preferred approach to match funding, described in section 3.1, means that we are applying the right type of finance for the issue in question – we will be using grants, given the market failures and the focus on the most vulnerable countries. Where applicable, the OCPP will seek co-resourcing from the partner country and where continuing existing work with UMICs, the OCPP will seek match funding.

* Defra will be involved in procurement decisions for any sub-contracting and involvement of further partners to ensure value for money of spend. The OCPP will be managed through an OCPP Project Management Board and Senior Management Board who will monitor value for money at monthly and quarterly intervals. If a competed procurement process is the preferred route and competitive grants are awarded in years 2 to 5, Defra Commercial will be consulted to ensure that due processes are followed and the principles of VfM are adhered to.

**Efficiency** (‘spending well’)

Efficiency means turning inputs into the desired outputs – in this case, producing marine litter action plans; roadmaps for the application of One Health aquaculture metrics and scoping needs of countries for new or existing MPAs to provide action plans.

Evaluations of past marine litter technical assistance work (CLiP) has demonstrated that Cefas were efficient in using spend to achieve required outputs. For example, an independent evaluation[[88]](#footnote-89) assesses there is strong evidence that CLiP has made a substantial contribution to the Belize national Marine Litter Action Plan (MLAP) with early, plausible reductions in marine litter. Spend has also effectively led to the creation of marine litter action plans in Vanuatu, where the steps taken as a result of the CLiP work could be estimated to reduce marine litter by 22-45%, based on the waste surveys carried out and the change in legislation and policy directly attributed to the work of CLiP. This evaluation also assessed that CLiP was efficient in establishing priority laboratories in South Africa.

* As described above, the One Health aquaculture work and the MPA technical assistance work are newer, but the work is based on evidence and experience of the best approach. For example, existing work (in the case of One Health) has been published and well-received, MPA work is based on learning from past experience on the ‘blue belt’ programme.

**Effectiveness** (‘spending wisely’)

Effectiveness means focusing on the ‘right’ investments in order to lead to a reduction in poverty and protecting or enhancing the marine environment.

The first stage of the OCPP work will involve **country scoping**: assessments will be made of the existing capacity and needs of countries so that spending is focused on where it can make the most change.[[89]](#footnote-90) This programme is well positioned by aiming to tackle various factors in one country to improve their marine environment (from marine pollution, to sustainable aquaculture practices and marine protected areas). The preferred approach of **prioritising key countries** means the programme can focus where countries are dependent on their marine ecosystems. This programme should result in direct improvements to health and livelihoods of coastal populations, through ecotourism, sustainable aquaculture supply, high quality fish for consumption and income.

**Equity** (‘spending fairly’):

Initial **country prioritisation** will enable a focus where dependency on the marine environment – and associated vulnerability – is highest.

The first stage of the MPA programme – and future years for the aquaculture and marine pollution programme – will involve in-depth country needs assessments, to ensure work focuses where needs and vulnerabilities are highest.

**The ongoing evaluation and formal annual review**, will focus on equity alongside the other 3 ‘E’s, enabling adaptive programming to ensure the programme can focus where the needs for poverty alleviation associated with the marine environment are greatest.

# 4. Commercial Case

## 4.1 Commercial Approach

The Commercial Case demonstrates that this project will result in a viable and well-structure solution and includes details on how the procurement will be planned and managed.

### 4.1.1 Procurement Strategy

**The OCPP is a five year £55m** fund that will export UK marine science expertise to ODA-eligible countries on a demand-led basis, offering activities under several sub-themes. Confirmed sub-themes are **plastic pollution, aquaculture, and marine protected areas**. Throughout the five years, we expect to award a series of direct grants managed through Memorandums of Understanding (MoUs) to several of Defra’s Arm’s Length Bodies (ALBs), namely the Centre of Fisheries and Aquaculture Science (Cefas), the Joint Nature Conservation Committee (JNCC), and the Marine Management Organisation (MMO) (“Defra’s ALBs” hereafter) to deliver some of this work bilaterally in partner countries. However, throughout the programme, we will make a thorough assessment of the specific needs of partner countries to determine if the expertise required is available through Defra’s ALBs. Where it is not, Defra will award direct award grants and/or competed grants to external organisations that hold relevant expertise in those specialist areas that partner countries require assistance with.  **Our preferred option over the lifetime of the OCPP is a mixture of direct award grants to ALBs, and direct award grants and/or competed grants to external organisations. Our preferred option in year one is two direct grants to Cefas and JNCC** (and MMO, though this is likely to be through JNCC, depending on type and extent of support provided-*for this reason details of MMO expertise are included below*).

### 4.1.2 Transition From CLiP

In year one, the OCPP will absorb work of the existing Commonwealth Litter Programme. CLiP in its current iteration ended at the end of the financial year 2020/21. Cefas as the CLiP delivery partner have been briefed on closure of CLiP, and its absorption into the OCPP to deliver through the pollution theme. Defra has access to all CLiP project documentation, which has been drawn upon to develop OCPP programming, and joint relationships with Cefas and all CLiP in-country stakeholders. We will work with Cefas in year one to ensure a smooth transition into the OCPP, and to ensure clear messaging to CLiP stakeholders and contractors (where relevant).

As the OCPP is an entirely separate programme to CLiP in its original form, there will be no specific work or assets to carry forward from one programme to the next. The OCPP will build off *completed* work delivered under CLiP (for example, it may work with partner countries to deliver specific actions outlined in marine litter action plans, or campaign material that had been handed over to those governments under CLiP). No work will directly carry forward.

### 4.1.3 Funding options

**Due consideration has been given to the different funding options** as set out in the Government Grants and Alternative Funding Options guidance document. As advised by Defra Commercial and given that the outputs and outcomes of the programme are not of direct benefit to the department, but instead are to help Defra to meet its departmental and international objectives, a commercial procurement was not considered a feasible route. A commercial contract was also discounted since Defra does not wish to purchase goods or services.

**The alternative funding option that were considered are:**

* Contract Procurement – Purchase of goods and services
* General Grants – Provide funds to support recipients’ activities that align with department policy
* Loans – provide loan to be paid at an arranged time to be paid in full and with interest
* Shares – Purchases a share of the company (in return for specific controls/dividends)
* Social Impact Bonds – Providing funding for social outcomes delivered by a service provider
* Endowment Funds – Invest capital within financial markets to create a fund with recipient as beneficiary

*To note:*

1. No specific services or goods are being purchased rather, Defra seeks to provide funding to carry out activities that align with Defra’s departmental and international objectives.
2. Given that Defra will not benefit directly from the outputs and outcomes of the programme, but instead the programme and impacts are related to our international objectives and will help Defra to meet its departmental and international objectives the preferred funding options is a Grant.

**Preferred option for year 1:** Direct Award Grant

Rather than a competitive process, a direct award grant to ALBs was considered the most feasible option against the criteria identified below:

1. Most of the activities delivered under the plastic pollution and aquaculture sub-themes are the same as those currently delivered by ALBs under existing ODA programmes – the Commonwealth Litter Programme (CLiP) and One Health Aquaculture (OHA).

2. Defra’s ALBs are the home of the UK’s marine science expertise. With the overarching aim of the OCPP being to export such expertise bilaterally on a demand-led basis, delivery by Defra’s ALBs encapsulates this aim, as detailed below:

**Cefas is a world-leading agency in this science field** with a strong reputation for delivering high-quality products and for showcasing British innovation and expertise. **Cefas has been delivering CLiP since 2018, and OHA since 2020 to a high standard**. Because of this, it owns many of the capital assets required for delivery and employs the necessary expertise. The breadth of capability deployable within Cefas is also very strong, enabling adaptation to the specific needs of partner countries with ease and without impacting on the cost of operations. Cefas have delivered on other ODA programmes including the Commonwealth Marine Economies Programme, and for other donor agencies such as the World Bank and International Development Bank. As a result, Cefas staff have a breadth of knowledge and experience working in all of the regions proposed for year 1 of OCPP under various programmes and donors and already have systems in place to support their work. The agency is well placed to take advantage of the lessons learnt in previous years of CLiP and OHA to ensure success in the OCPP.

**JNCC are a trusted independent advisor to Defra, the Foreign and Commonwealth Development Office and UK Overseas Territory Governments**. Notably - they have a strong 20 year-long track record of working with and for the UK Overseas Territories on key topics such as marine resource management and disaster resilience planning and implementation, and have done so in collaboration with a range of partner organisations (e.g. Cefas, UK Hydrographic Organisation, UK Space Agency, MMO, Academia) and across a vast range of initiatives. On MPAs**, JNCC are responsible for advising on the designation and management of MPAs in the UK’s territorial waters** resulting in experience in site identification, and the management, monitoring and assessment of MPAs**. Internationally JNCC are the co-leads of the International Partnership on MPAs, Biodiversity and Climate Change**, and play a leading role on behalf of Defra to work on MPAs across a range of international fora, including OSPAR, and the MPA Agency Partnership on the Commonwealth Action Group on MPAs.

**The MMO’s purpose is to protect and enhance the UK’s marine environment**, and support UK economic growth by enabling sustainable marine activities and development. It is also responsible for advising HMG on meeting its national and international policy and regulatory obligations**. MMO hold extensive expertise on the management and enforcement of marine environment regulations that it has exported under the Commonwealth Marine Economies Programme (CMEP)**, and that can be similarly exported under the OCPP.

1. **Defra’s ALBs are already connected and work effectively together**. As a result, they are committed to, and easily able to, work together on the delivery of OCPP, so that **synergies between sub-themes can be capitalised on to ensure efficient and encompassing partnerships** that create value for money and have even bigger impact.
2. No specific services or goods are being purchased by Defra. Instead, Defra seeks to provide funding to ALBs to carry out activities that align with Defra’s departmental and international objectives.
3. Defra will not gain direct benefit from this project. Instead, the project outcomes and impacts are related to our international objectives and global public goods. However, there will be robust KPIs and performance milestones to measure performance.
4. Throughout the OCPP we expect to deliver on additional sub-themes. Defra’s ALBs hold a multitude of experience on marine environments above and beyond those of the initial three sub-themes. In year one, Defra’s ALBs will be able to use their encompassing expertise to advise and work with partner countries to identify additional areas for support for year 2 onwards.

There will be option in year one for subcontracting through ALBs to external partners, as has been successful in the Commonwealth Litter Programme.

### 4.1.4 Justification for selection of ALBs in year one

To ensure that ALBs expertise is utilised efficiently in year one, senior colleagues from across Defra, programme team and the ALBs were consulted through a series of meetings and group workshops to map out expertise, existing partnerships, experience of delivering existing programmes, and experience of delivering on any additional sub-themes of the OCPP. This process determined which ALBs receive grants, and what activities they will be responsible for delivering. The process will be repeated for subsequent years.

Based on the above exercise, **Cefas will be awarded £4.5m to deliver activities on plastic pollution and aquaculture. JNCC will be awarded £1.2m to deliver activities on MPAs. MMO may receive funding to support on delivery of these themes, likely subcontracted through Cefas and JNCC.** Defra’s ALBs have also committed to working together in year 1 to share expertise and experience in kind. A full breakdown of indicative budget split by activities and themes can be found in figure 8, section 5.3 of the Financial Case.

### 4.1.5 Commercial strategy – Yrs two-five

Concerning plans for future awards and as the OCPP develops, as advised by Defra Group Commercial, it is noted that a fuller assessment of alternative funding mechanisms will be considered for year 2 onwards e.g. competed grant.

The policy team will continue to keep this under review throughout year 1 and the Spending Review for FY22/23 will provide an opportunity for the policy team to review the strategic delivery plans and funding needs for subsequent years and will inform the development of subsequent awards for year 2 onwards. As part of this review, we will work closely with FCDO to ensure complementarity of the OCPP and new FCDO programming and consider whether OCPP design and delivery mechanisms need to be adjusted to ensure continued strategic delivery and value for money of the Blue Planet Fund.

The policy team will reconvene with Defra Group Commercial for further advice to reach a decision for subsequent awards 6 months before expiry of the MOU for year 1.

Where a competed grant process is the preferred option for years 2 onwards, the Grant 6 step process will be adhered to and led by Defra Group Commercial.

An indicative timeline that will be followed in order to secure grant agreements or MoUs for year 2 is laid out here:

****

Figure 6: Year two grant agreement timeline

### 4.1.6 Commercial risk assessment

A Commercial risks review have been undertaken to ensure that key risks are categorised and allocated to the owner who is best able to manage it.

£5.7m funding for FY2021 was included as part of Defra’s SR20 ODA bid and approved in January 2021. **Future years spend will be included in Defra’s spending review bids to be reviewed by the Treasury.** The highest risk is therefore that the OCPP does not receive sign-off for spend for years 2-5. In the event that spend is not confirmed for years 2-5, the activities that will be delivered in year one will not be nugatory and will therefore not result in negative spend. None of the planned activities are reliant on years 2-5, although the impact of the activities will be much greater with longer-term funding secured. To ensure maximum benefit in year one, deliverables will be planned to ensure stand-alone benefits, and we therefore expect that under this scenario the activities detailed in annex VIII will be delivered. Delivery partners will be assigned milestones to ensure that they deliver to as high a standard as possible.

All outcomes, indicators, and activities (section 2.6.1) will still be delivered even if only one year of funding is approved. Under a one-year programme, we would expect to see various benefits, including:

* A MPA or OHA completed needs assessment will be provided to the country which can use it to seek alternative sources of funding, or to inform public policies and strategies
* Activities like education packs and campaigns have standalone benefits in that their messages will immediately reach beneficiaries and will be spread in a cascade model
* Microplastics labs will be fully functioning and able to carry on producing analysis

The Commonwealth Litter Programme has delivered on an annual cycle since 2018. To ensure maximum benefit, activities were geared to ensure positive outcomes, like those detailed in the above bullets within single years. Partner countries were left with discrete products, such as educational packs, and were trained in their effective use amongst schools and communities to ensure positive impact**. Independent evaluation has shown successes achieved through this approach but also highlight the importance of long-term presence in country (see section 6.2.2.) to achieve long term and transformational impact.** Defra is in contact with Treasury to ensure early engagement ahead of spend review and is seeking sign off in principle for the full five-year programme.

## 4.2 Grant Management

### 4.2.1 Roles and Responsibilities

The commercial team supporting the grants for the OCPP are:

* The sitting DgC Category Manager assigned to the programme. The Category manager will be responsible for managing the commercial process on Bravo, advisory, securing Commercial Board approval, and drafting and securing MoU sign-off. The Category Manager will also sit on the OCPP’s Programme Management Board and Senior Management Board to provide commercial advice at the key Governance meetings on OCPP.
* The sitting ODA Programme Lead. The ODA Programme Lead will provide quality assurance and an overview of the commercial process.

Within Central Defra, the grants and contract management will be undertaken by the sitting Senior Policy Advisor within the international blue finance team assigned to manage the OCPP.

They will be responsible for

* ensuring delivery partners report on spend and progress towards agreed milestones;

And working with Defra Commercial to ensure

* that the correct agreements, be them grant agreements or MoUs, are in place with delivery partners;
* that funding is released on time once milestones are achieved;
* that commercial risks are logged, mitigated against, and managed;
* that encompassing project plans to award new grants are developed;
* that all grants are managed to a high standard.

The sitting Senior Policy Advisor will be supported by a Policy Advisor who may be delegated to deliver on some or all the above responsibilities. They will be immediately accountable to the Grade 7 International Blue Finance Team Lead who has general oversight of all Blue Planet Fund investments. All responsible officers will complete relevant grants training.

The Senior Policy Advisor and the Policy Advisor are appropriately skilled and experienced in grant management. They will have undertaken the Government’s ‘Introduction to Managing Government General Grants’ on Civil Service Learning, and both deliver other grants within Defra and the Blue Planet Fund portfolio.

In the event of a Commercial issue that proves difficult to resolve, the OCPP project team will be able to raise it at the Senior Management Board who are mandated to make programme level decisions. The final decision-making power sits with the SOR who will be advised by Commercial in the event they need to have final say on Commercial issues.

With regards to delivery partners, Central Defra have mandated through Governance Terms of Reference (ToR) that each OCPP delivery partner will be required to appoint a programme manager. Each programme manager will be required to attend an informal monthly programme management board, and the formal Senior Management Board quarterly, to report on spend and progress towards agreed milestones in order to receive funds. Defra’s OCPP team will identify and log any Commercial risks that are raised at either the monthly or quarterly boards, and will work with Defra group Commercial and delivery partners to put in place mitigation and management strategies. For more information on the OCPP’s Governance arrangements, please see section 6.1.1.

### 4.2.2 Key Contractual Arrangements

Defra Group Commercial will lead on drafting and putting the Memorandum of Understanding (MOU) in place once approval is secured from Environment Goods & Services (EGS) and Category Delivery Board (CDB) have reviewed and endorsed the Direct Grant Award Strategy.

Defra’s standard terms and conditions for grant will not be used as the delivery partner is not an external organisation. Rather a MOU between Defra and the identified delivery partner ALBs will be used to provide the terms of reference that sets out the purpose and structures of the project. Thought a MOU is not legally binding, it will however define the roles, activities, milestones with robust KPIs to measure performance and structure of control on the financial and any related matters under which the funding will be paid to the ALBs by Defra for delivering the agreed deliverables.

Payments will be paid in arrears against agreed milestones, that is set out in the MOU.

In the event that the identified delivery partners are unable to deliver Defra’s requirements or fail to comply with any of its commitments in the MOU, Defra may in preference to the standard notice period set out in the MOU (Condition 13 - 13.2.3. and 14 - 14.1.) terminate the agreement and require funds which remain unused for the project will, so far as possible, be repaid back to Defra.

A schedule of payment will be agreed with the delivery partners for the project’s activities, milestones and linked KPIs and this will be included as Annex C (project reporting and management) of the MOU to allow the ALBs to draw down the annual grant funding over quarterly payments. ALBs will be required to monitor and report progress towards activities and milestones to draw down funding.

The payment will be managed via Defra’s Single Operating Platform (SOP), an online system which can only be accessed/processed by approved operators with the necessary delegated authority verified via Defra’s e-procurement system (Bravo).

Each quarterly invoice will be agreed according to the milestones and schedule of payment. Payments can only be made to the ALBs as the agreed payee verified via Bravo. Further checks to ensure payment is paid towards the intended purpose are detailed in the Commercial Risk table (also see section 5.3 schedule of funding).

An exit plan if funding is not agreed after year 1 will be detailed and outlined in the MOU.

**Due to the one-year spending settlement, it will only be possible to agree a payment schedule for year one**. There is an intention to grant up to £12.33m each year to Defra’s delivery partners during the lifetime of the OCPP, but this is subject to the outcomes of future Spending Reviews.

### 4.2.3 Costs and Agreed Deliverables

The indicative budget for year one, and a separate higher-level indicative budget for the whole 5 years of the OCPP can be found in section 5.3. Grants will be paid in arrears against agreed milestones and linked KPIs, to be set out in the final grant agreements or MoUs. The amount of payment linked to milestones is subject to discussion and confirmation with delivery partners. The following principles will be applied when developing milestones:

* Progress towards successful delivery of activities found in annex VIII. Milestones will provide targets and KPIs that outline which activities need have been delivered and by when for each payment to be released.
* Progress towards the programme measures and benefits found in annex VIII. Milestones will provide targets and KPIs that outline quantitative progress that needs to have been made and by when for each payment to be released.
* Evidence of delivering activities successfully across countries. Milestones will also be broken down by countries and will provide targets outlining the number of activities, measures, and benefits that need to have been delivered in each country for payment to be released.

**Milestones and the attached KPIs will be agreed with OCPP delivery partners when drafting the grant agreements or MoUs. However, when judging performance by milestones we must allow flexibility to support adaptive management of the programme and response to changing external contexts.**

An indicative cost and payment schedule for year one is detailed in table 7 in section 5.3. The spend and breakdown for year one was decided taking into consideration the following

* Appraising the spend for previous years of CLiP and OHA. Year one spend for the plastic pollution and sustainable seafood sub-themes match closely to past spend for both programmes
* Spend for the MPA sub-theme was decided after a technical workshop with JNCC, MMO, and Cefas where realistic deliverables for a spend of £1.2m were discussed and agreed on.
* Spend for the plastic pollution and sustainable seafood sub-themes were discussed and agreed with Cefas, taking into account feasibility of spend during COVID-19.

## 4.3 Safeguarding and equality

Safeguarding considerations have been set out in section 6.7 of this business case, and equality considerations in sections 2.4.2.

## 4.4 Compliance with gender sections of 2002 international development act

The programme will be delivered in line with the 2002 International Development (Gender Equality) Act. Gender and Equality considerations have been set out in section 2.9 of this business case.

## 4.5 world trade organisation subsidy commitments

Schemes need to be assessed against 3 pieces of legislation:

* World Trade Organisation (WTO);
* New subsidy controls under the EU-UK Trade and Cooperation Agreement (TCA), Chapter 3 TCA;
* Northern Ireland Protocol Article (NIP) 10.

Subsidy control colleagues have confirmed that this programme falls outside the scope of Chapter 3 of the TCA and Article 10 of NIP.

# 5. Financial Case

The following Financial case establishes that the preferred option outlined in the economic case is affordable, is the best use of Defra ODA funds, and that the principles of sound financial management for public funds are followed in line with the Accounting Officer Tests.

## 5.1 Nature and value of the expected costs

The OCPP is Defra’s technical assistance fund under the Blue Planet Fund and is ODA spend. Defra has total control over the direction of the programme and will contribute 100% of the spend. This programme commits Defra to £55m to be paid over 5 years. In year one there will be expenditure of £5.7m in year 1 paid to ALBs. ALBs may also sub-contract elements of delivery to local organisations, or other organisations with specific expertise. The £5.7m was included as part of Defra’s SR20 ODA bid and approved in January 2021. **Future years spend will be included in Defra’s spending review bids to be reviewed by the Treasury.**

In year one the programme will build on existing ODA projects: The Commonwealth Litter Programme (CLiP) and One Health Aquaculture (OHA). Given the historic nature of the project, the underlying assumptions are well documented and evidenced in line with previous proposals that have been undertaken and completed. The project will run from June 2021-March 2026. Management and administration costs will be included in the £55m and are not expected to exceed 10%, given that CLiP admin costs for 2020/21 did not exceed 6%. Payments will be made in Pounds Sterling. This business case will be signed off by the Treasury.

10% of this project will be accountable as International Climate Finance (ICF), however we will keep activities under review as the programme develops. The project will follow ICF regulations and reporting, which are already embedded into the BPF Monitoring, Evaluation, and Learning (MEL) framework.

## 5.2 Accounting Officer Tests

*Affordability (and financial sustainability):* The first year of this investment was initially agreed by the Foreign Secretary during the 2020 ODA review. Subsequent investment will be delivered subject to, satisfactory programme performance, successful SR submissions and subsequent agreement of future budgets.  This programme is expected to be 100% RDEL. *Regularity:* Official Development Assistance (ODA) funding will be allocated under Section 1 of the International Development Act 2002 and expenditure will be in accordance with this legislation and all ODA requirements.

*Propriety:* The programme funds will be managed in accordance with HMT’s Managing Public Money guidance and ODA guidance. Once all the internal business case approvals are complete, it will go to HMT for final sign-off.

*Value for money:* The recommended approach has been appraised carefully against alternative options, including doing nothing and alternative funding mechanisms and delivery approaches in the Appraisal Case. Value for money is one of the essential investment criteria governing decisions made on Blue Planet Fund programming, and therefore this programme was required to comply.

*Feasibility:* The need for investment has been outlined in the strategic case. Defra and ALBs have worked together to develop the OCPP in a manner that ensures the investment can realistically be implemented accurately, sustainably and to the intended timescale. Cefas have delivered similar activities as will be delivered in year one of the OCPP under the Commonwealth Litter Programme since 2018 and One Health Aquaculture since 2020. JNCC have demonstrated the required expertise and experience to deliver on Marine Protected Areas in collaboration with other ALBs (e.g. MMO, and through programmes such as the Blue Belt Programme). We are confident that the programme will be able to deliver the expected results and impacts.

## 5.3 Schedule of funding

The indicative overall cost of the investment to HMG over at least five years and split by theme is laid out in table 6. For more information on the rationale behind three themes, please see section 2.1in the Strategic Case.

*Table 6: indicative overall cost over five years – split by theme and delivery partner* ***(subject to change)***

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Year | Marine Pollution | Sustainable Seafood | Biodiversity Loss | Total |
| 2021/22 | £3.50m | £1.10m | £1.10m | £5.70m |
| 2022/23 | £4.11m | £4.11m | £4.11m | £12.33m |
| 2023/24 | £4.11m | £4.11m | £4.11m | £12.33m |
| 2024/25 | £4.11m | £4.11m | £4.11m | £12.33m |
| 2025/26 | £4.11m | £4.11m | £4.11m | £12.33m |
| Total | £19.94m | £17.54m | £17.54m | £55.00m |

For year one (FY2021), our indicative spend and payment schedule is laid out in table 7. Please see annex VIII for details on planned activities. The Programme has been designed with day one readiness in mind. In the event of an escalation of COVID-19, or other unplanned event that disrupts delivery, many of the planned activities are able to go ahead virtually.

*Table 7: indicative spend and payments schedule in year one*

|  |  |  |  |
| --- | --- | --- | --- |
| Month and year | Marine Pollution  **(Cefas)** | One Health Aquaculture  **(Cefas)** | Marine Protected Areas  **(JNCC)** |
| July 2021 | £1m | £300,000 | £300,000 |
| October 2021 | £1m | £400,000 | £400,000 |
| January 2022 | £1.5m | £400,000 | £400,000 |
| Total | £3.5m | £1.1m | £1.1m |

Table 8 lays out a more granular budget for year one split by activities and sub-themes. The budget is indicative and subject to change based on final discussions and decisions with delivery partners.

*Table 8: Indicative cost breakdown for year one by activity and sub-theme*



In line with ODA best practice, and to avoid payment in advance of need, payments will be spread quarterly in year one as detailed in table 1. Payments will be made following quarterly financial and progress reports, and quarterly programme boards, that demonstrate expenditure is in line with the approved activities. At quarterly programme boards expenditure will be assessed, and the budget reforecast if needed. The indicative spend over the 5 years set out in table 2 is subject to change based on identified need for funding and performance.

### HMG Front-line delivery costs

Within HM Government, managing the UK’s contribution as well as coordinating activities in-country and forward planning etc. will require the below staff dedication (FTE) from Defra. The policy and economist resource will be UK-based, drawn from the wider BPF team’s separate FLD budget for the staff.

Given the size and complexity of this programme, we will also require in-region staff to coordinate activities and ensure delivery on-the-ground. We are therefore seeking resource to appoint locally-engaged staff in key regions, funded by Defra and reporting to heads of mission. For 21/22 this will be 0.6 of grade 7s[[90]](#footnote-91) based in Fiji (covering the Pacific region) and Jakarta (covering the south and southeast Asia region). The policy and economist resources detailed below are already in place for the financial year 21/22. The in-region resources are subject to HMT approval. Beyond 21/22 further resourcing will be subject to future spending reviews.

*Table 8: Internal HMG staff dedication*

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Internal HM Government staff dedication (FTE, calculated based on annual average requirements)** | | | | | | | | |
| **Grade** | **DEFRA Policy** | | **DEFRA Economist** | | **DEFRA in-region advisors (locally-engaged)** | | **Defra group Commercial** | |
|  | **FTE Capacity** | **Cost** | **FTE Capacity** | **Cost** | **FTE Capacity** | **Cost** | **FTE Capacity** | **Cost** |
| SCS |  |  |  |  |  |  |  |  |
| G6 | 0.1 | £8,864.5 |  |  |  |  |  |  |
| G7 | 0.3 | £21,383.7 | 0.1 | £7127.90 | 0.6 x 2 | £347,224 | 0.05 | £3760.80 |
| SEO | 0.8 | £42.204.8 |  |  |  |  | 0.2 | £11,365.20 |
| HEO | 0.5 | £22,307.5 |  |  |  |  |  |  |
| Fast Stream |  |  | 0.2 | £8152.69 |  |  |  |  |
| **Total** | **1.7** | **£94,760.5** | **0.3** | **£15,280.59** | **1.2** | **£347,224** | **0.25** | **£15,126** |

## 5.4 Financial Accounting Considerations for Defra

Consolidated Budget Guidance (CBG) states that the spend is to be deemed Capital (CDEL) expenditure if the following description and conditions apply:

Capital grants are unrequited transfer payments, which the recipient must use to either:

* Buy capital assets (land, building, machinery etc.)
* Buy stocks
* Repay debt
* Acquire long-term financial assets, or financial assets used to generate a long-term return

The grants are resource RDEL because the activities set out in annex VIII of the strategic case do not meet the CBG definition of Capital Expenditure and are RDEL

## 5.5 Monitoring, reporting and accounting for expenditure

Grant payments will be linked to performance against agreed costs and deliverables set out in the final grant agreement. The delivery partner therefore bears the risk of poor performance. The delivery partner is expected to provide monthly unaudited financial reports on the spend progress against budget, and an annual audited report. Overall performance will also be measured yearly through an annual review which is scored and can be used to take remedial action against poor performance.

## 5.6 Financial management

There is no expected accrued costs, leftover funds or interest as a result of this investment. The investment will be paid out in British sterling (GBP) and converted into local currency by the delivery partner; therefore, there is no financial risk to Defra due to fluctuating exchange rates.

## 5.7 Financial and fraud risk assessment

In line with ODA guidance, Defra expects all organisations to have a zero-tolerance approach to fraud and corruption; acting immediately if it is found, working with authorities to bring perpetrators to account and pursuing aggressive loss recovery approaches. As part of Defra Group, ALBs have strict anti-corruption and conflicts of interest policies. Sub-contracted parties also subscribe to such policies. Violation of these allows Defra Group to terminate contractual relationships with sub-contracted parties. Additional delivery partners brought in from year two will be done so in collaboration with Defra Commercial. Delivery partners will be required to provide proof of anti-fraud and corruption policies and practices. As per section 5.8 occurrence of any illegal or corrupt practice will allow Defra Group to terminate or suspend funding.

## 5.8 Provisions for DEFRA to withdraw funding

The scenarios of potential suspension of funding, termination and returns to DEFRA and how they might be triggered, including by the monitoring and reporting cycle, are as follows:

|  |  |
| --- | --- |
| **Scenario** | **Timing and reporting trigger (if relevant)** |
| Occurrence of any illegal or corrupt practice | Annual Reviews (by Defra), monthly updates (by delivery partners), audited annual reports (from delivery partners), press-release or media coverage, whistleblowing |
| “Extraordinary circumstances that seriously jeopardise the implementation, operation or purpose of the programme”  This is primarily designed to cover instances of force majeure. We assess this may also provide some cover in extreme cases of under-delivery. | Annual Reviews (by Defra), monthly updates (from delivery partners), press-release or media coverage |
| “If ALBs do not fulfill their commitments according to the cooperation contract” | Monthly updates (by delivery partners), monthly financial reports (by Defra), annual reviews (by Defra) |

*Table 9: Provisions for Defra to withdraw funding*

## 5.9 Powers for spending

The power to invest is given under the International Development Act (2002).

# 6. MANAGEMENT CASE

## 6.1 What are the management and governance arrangements for implementing?

### 6.1.1 Roles, responsibilities and accountabilities

The programme will be managed by Defra and implementation will initially be led by our Arms Length Bodies (Cefas, JNCC, MMO). ALBs have individual processes in place to ensure full responsibility and accountability. We will ensure that any external organisations brought in to deliver aspects of the OCPP also have acceptable processes laid out and agreed in accordance with government guidelines.

Each delivery partner will appoint a **programme manager** with clear responsibility to oversee their OCPP spend. This applies to ALBs and external partners, should they be funded under the OCPP. Together, along with the central Defra team overseeing the OCPP, these will form a dedicated programme management team, with oversight of all OCPP spend. The central Defra team overseeing the OCPP will be ultimately responsible for delivery, with support from the wider programme management team. The central Defra team will consist of the UK-based policy team as well as in-region OCPP advisors (see financial case), locally-engaged staff funded by Defra and appointed in key regions to support coordination and delivery of OCPP activities.

**FCDO posts** will be integral partners in country prioritisation and delivery of the OCPP. Recognising HMG’s guidance laid out in the ODA Framework and Integrated Review that FCDO should have oversight of ODA programmes delivered by other departments, Defra will work in close conjunction with FCDO posts throughout the lifetime of the OCPP. FCDO Posts will be involved in country decision making, where their expertise and accountability will shape the outcome to ensure in-country context is taken into account. Cefas staff responsible for delivering OCPP, will be based in-country (time period is dependent on work programme and covid-19 pandemic), reporting to regional BPF Programme Manager (locally engaged) or FCDO staff at Post.

An **OCPP Programme Management Board** will be appointed, consisting of the central Defra team and delivery partner programme managers. This board will meet monthly to report on and discuss delivery progress and risk management. For example, delivery partners should use this forum to raise any issues concerning progress against milestones and deliverables, which may then be escalated to the OCPP governance board (see below) and/or wider Defra governance boards (as detailed later in this management case).

The **Senior Officer Responsible (SOR)** will be the Defra Marine and Fisheries Director and will be responsible for overall oversight of the programme (in line with UK Government Guidance[[91]](#footnote-92)). The SOR will sit on and chair the **OCPP Senior Management Board** , which will also consist of central Defra and delivery partners SORs and programme managers, with representation from key internal BPF stakeholders. The board will meet quarterly to take programme level decisions, discuss overall strategy and implementation of the OCPP and programme-level risks and issues. This board will also consider changes or alterations to the programme to improve impact and value for money.

The Programme Management Board will undertake **annual checkpoint meetings** which review progress and risks and consider potential changes or alterations to the programme. This will be essential to ensuring that programming continues to deliver the OCPP’s overarching outcomes and impact, support wider BPF priorities, and delivers value for money. The annual checkpoint meetings will inform the OCPP’s **annual reviews**, which will rate the overall implementation of the programme and will be published to provide additional scrutiny and accountability.

The programme and its activities will be managed in line with UK Government Programme Management, procurement, and other relevant policies and procedures.

### 6.1.2 ODA Board

The role of the ODA board is to provide accountability and assurance for Defra’s ODA budget and to provide strategic direction for Defra’s ODA spend. The ODA board meets quarterly and consists of Senior Civil servants from FCDO and Defra. Within Defra the ODA Board has a remit to:

* Monitor the strategic direction for ODA spend in Defra
* Monitor the implementation of Defra’s ODA strategy and policy priorities
* Clear Business Cases for ODA spend above £5 million
* Monitor progress against the results set out in business case
* Monitor and advising on significant risks to implementation
* Recommend remedial actions to the SOR if operational or financial performance is off track
* Ensure ODA rules are met
* Ensure consistency with X-Whitehall ODA rules.

Progress on the OCPP will regularly be reported to Defra’s ODA board to provide additional scrutiny and assurance. For example, where appropriate programme-level risks and issues will be escalated by the OCPP Senior Management Board to the ODA board.

### 6.1.3 joint management board

The BPF Joint Management Board (JMB) will provide strategic oversight of the BPF by Defra and FCDO to ensure it delivers on its aims and aligns with wider HMG objectives. At the business case stage all BPF investments by Defra and FCDO will be reviewed by the JMB against the BPF ToC and Investment Criteria. The OCPP was presented to the JMB in early 2021 and this business case reflects their steers. For example, the JMB requested further information on how the OCPP will alleviate poverty which is reflected in the strategic case. Progress on implementation of the OCPP will continue to be reported regularly to the JMB.

### 6.1.4 OCPP Boards

As above, an OCPP **programme management board** will be appointed to oversee day-to-day progress on implementation of the OCPP. The programme board will in turn feed upwards into an OCPP **senior management board** which will provide strategic oversight of the OCPP to ensure it meets its planned aims and objectives and to manage programme-level risks and issues. This will include determining the activities that will be delivered in future years of the OCPP and ensuring that they represent value for money. Considerations that will inform this include partner needs and preferences, UK expertise, deliverability and additionality.

Together, these boards will ensure that the OCPP is delivered in line with its overarching theory of change and the investment criteria for the BPF.[[92]](#footnote-93) They will also play a role in ensuring that the OCPP delivers against relevant BPF key performance indicators (see section 6.2).

Defra will retain overall authority over activities delivered as part of the OCPP, incorporating the views of these boards. The boards and terms of reference for each will be established and agreed as the programme launches from June.

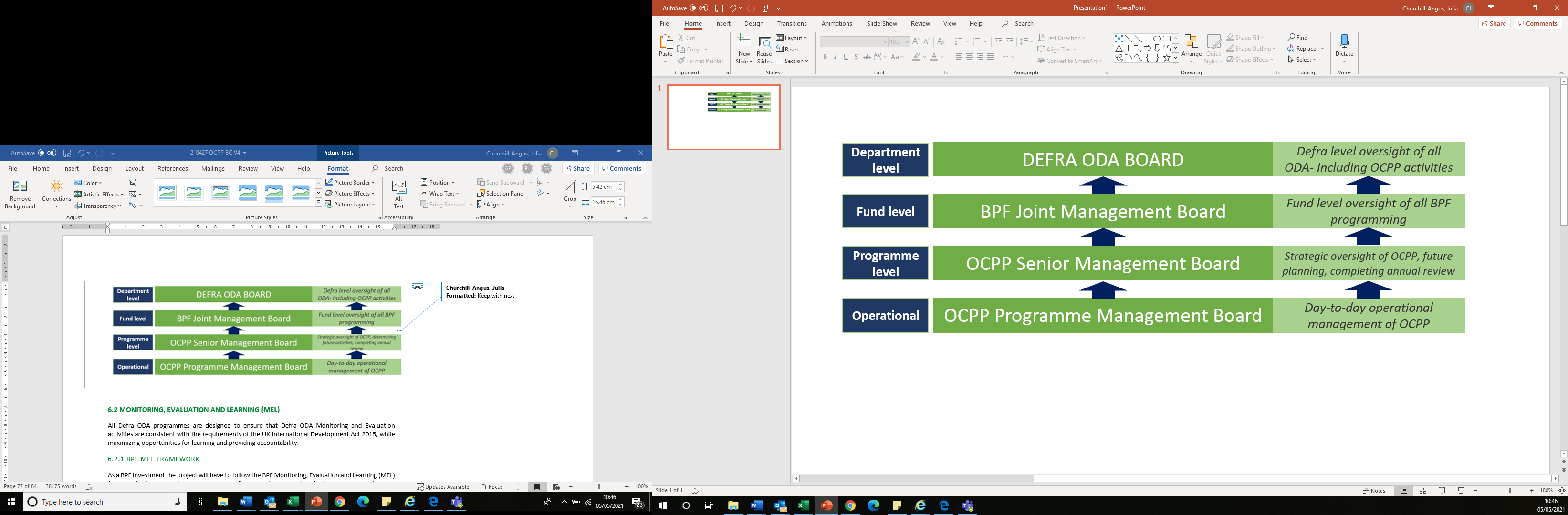


Figure 3: Governance flow-chart

## 6.2 Monitoring, EValuation and Learning (MEL)

All Defra ODA programmes are designed to ensure that Defra ODA Monitoring and Evaluation activities are consistent with the requirements of the UK International Development Act 2015, while maximizing opportunities for learning and providing accountability.

### 6.2.1 BPF MEL framework

As a BPF investment the project will have to follow the BPF Monitoring, Evaluation and Learning (MEL) framework. This sets out how MEL activities will support the BPF to identify what impact it is achieving, which activities and approaches are working or not, help to assess the programme’s value for money (VfM), and contribute to the global evidence base for intervention areas.

MEL activities will likely include:

* Routine **monitoring** of activities to track their impact, results and progress, including through annual reviews, which help departments manage programmes’ performance and maintain value for money;
* Mid-term and end-term **evaluation** of projects and programmes, including independent evaluation to assess their contributions and identify if they are meeting or have met milestones and expectations for performance and delivery, including ensuring continued value for money;
* Promoting learning and building the evidence base where this is weak to inform future programming and adaptive management of projects.

### OCPP MEL Framework

Where relevant, we will build on evaluations delivered in previous years for the CLiP programme. CLiP underwent evaluation at the end of years three and four, the results of which are being incorporated into the OCPP. Evaluations of CLiP have been largely positive, indicating positive change as a result of intervention such as supporting governments to pass legislation, and providing effective tools and training for countries[[93]](#footnote-94) to take forward marine litter science independently. Recommendations from

the most recent evaluation[[94]](#footnote-95) will be fully considered as we deliver the OCPP and are reflected in this business case. For example, the OCPP will: (a) develop country specific impact pathways, (b) ensure longer periods of in-country planning and implementation, (c) provide longer term in-country technical support, (d) support countries in identify funding sources for implementation post-OCPP.

Figure 10: Year one activities and milestones

Mid and end of programme evaluations will be commissioned to understand the programme’s long-term impact, value for money, and effectiveness. This programme will report against relevant Blue Planet Fund key performance indicators (KPIs), which are currently indicative:

* Volume of finance mobilised for purposes which match BPF objectives;
* Development Outcome: Number of people, as a result of BPF finance, with improved outcomes: i) income; ii) ability to cope with the effects of climate change; iii) climate resilience; iv) food security and nutrition; v) waste management;
* Number of projects or planning and/or governance processes with increased inclusion of local people and knowledge in decision making to improve the marine environment;
* Number of new or strengthened policies, strategies or regulations related to improving or managing the marine environment;
* Theme specific indicators, for example, amount of waste averted from entering the marine environment and losses avoided in marine-related value chains as a result of BPF intervention.

### 6.2.3 Workplan / delivery plan

The OCPP will have an overarching workplan covering all themes and sub-themes, maintained by the central Defra team. Each delivery partner will also be expected to maintain a comprehensive workplan detailing their planned activities and deliverables. These will feed into the overarching workplan. This will be essential for managing cross-overs, outputs and outcomes, especially where we are delivering under multiple themes in an individual country. Work plans and country impact pathways will be developed early on in the project cycle and given the partnership approach to delivery will be developed in partnership with partner countries. Figure 6 offers an indicative plan of key activities and milestones for year one. Coherent planning and communication will be essential to partnering with country governments. The OCPP will be presented as a full package (not three individual thematic programmes), and the overarching OCPP work plan will be essential to managing the UK’s offer.

As per recommendations from the 2020/21 CLiP evaluation, we will also develop individual country impact pathways to guide activities and align with and apply the OCPP ToC and ensure feed-in to the overarching OCPP and BPF ToCs (figure 5). These will be supported by regional programme managers on the ground, employed by HMG in posts to ensure continuity and effective engagement with countries[[95]](#footnote-96).

The workplans will be live and iterative documents. Activities each year will be heavily shaped by preceding years, taking on-board the findings of annual review and mid-term evaluations etc. Partner country priorities will also be assessed and reflected in the workplans on a continual basis.

### 6.2.4 Theory of change

The OCPP Theory of change is detailed in Section 2.7. As above, once the programme is in train and partner countries are identified we will develop country level impact pathways to guide engagement.

Figure 5: Linking Theories of Changes

This will deliver on the findings of previous CLiP evaluations: ‘This will allow more ambitious targets, where relevant and would help demonstrate the logic of country specific programmes, surface critical assumptions and improve evaluability.’[[96]](#footnote-97)

### 6.2.5 Logframe

As specific activities are identified with partner countries, logframes will be populated to capture relevant indicators, outputs and outcomes. Before the programme begins, we will define high level indicators for success for each OCPP theme. Logframe indicators will be selected on the basis of their relevance to the lifetime of the OCPP (rather than, for example, a single year). Logframes will be used to *monitor* delivery of the OCPP – for example, they will help us understand whether we are delivering the expected activities and outputs. This will in turn feed into longer-term evaluation (for example through annual reviews of the OCPP) which will help us understand whether these outputs are translating into the desired impacts.

### 6.2.6 ICF Relevance

We have calculated that up to 10% of this programme is ICF-relevant. Whilst the thematic focus of the programming will be on pollution, biodiversity and sustainable seafood, there will be links to climate change and ICF in terms of building climate resilience and capacity in coastal communities, developing solutions to a carbon-intense plastics lifecycle, and specifically through the MPA subtheme in considering blue-carbon and climate smart decision making. This % will be confirmed once the final detail of the programming is assigned.

### 6.2.7 REPORTING

Reporting will take place on a regular basis at a range of levels:

* Monthly reporting at activity-level to the OCPP programme management board;
* Quarterly reporting at programme-level to the OCPP senior management board and BPF programme board;
* Infrequent reporting (as necessary) to the BPF JMB and Defra ODA board.

Together, these regular reporting cycles will ensure that risks, issues, and assumptions are flagged and dealt with early at the appropriate level. RAID logs will be maintained at both delivery and programme level.

6.2.8 LINKS WITH WIDER BLUE PLANET FUND INVESTMENTS

As a major component of the BPF (around 11% of the overall budget) it is vital that the OCPP complements and aligns with wider BPF investments, particularly when they are delivering in the same country or region. Complementarity with wider BPF activities will therefore be a major consideration in determining which activities take place where, alongside partner preferences and identified need etc. In-region OCPP advisors will play a vital role in this regard.

This will be particularly important in relation to further technical assistance (outside of the OCPP) being delivered through the BPF. FCDO are proposing a bilateral technical assistance programme focused on sustainable marine economies, expected to start delivering from the 22/23 financial year. There may be an opportunity for Defra to provide additional funding into this programme, subject to future spending reviews and prioritisation of our BPF investment pipeline. Either way, we will need to ensure that the OCPP complements this programme (and vice versa) and that the distinction between the two is clear to recipient countries and delivery partners. As part of the OCPP’s first annual review, when the proposal for the sustainable marine economies programme will be further progressed, we will therefore consider opportunities to align the two programmes, for example through a shared technical assistance framework.

## 6.3 Communications and stakeholder engagment

As a high value BPF investment working across multiple countries and themes, we expect to deliver proactive, bespoke comms activities to publicise the announcement of the OCPP. Generally, however, comms will be relatively light touch, with occasional proactive publication of specific achievements and activities, feeding into the wider BPF communications and stakeholder engagement strategy.

In delivering OCPP activities we expect to undertake strategic stakeholder engagement in-country (through Posts and delivery partners), and this will be monitored as part of the investment’s overall approach to programme management. Section 2.5.3 details groups we will engage to support programme delivery.

We expect this investment to be announced at a high-profile event during 2021. Depending on timing and other planned announcements, it is likely that this will be part of the UK’s G7 presidency events in June. We will work with relevant HMG teams to make this as impactful as possible.

## 6.4 What are the key risks and how will they be managed?

A comprehensive risk management approach will be developed during programme design, and risks will be managed in accordance with HMG guidance and best practise. Delivery partners will be expected to maintain comprehensive RAID logs. Categories to be considered include external context, delivery, safeguarding, operational, fiduciary, and reputational.

Early emerging risks from the OCPP risk register are detailed below. The OCPP risk register is a live document, and risks will be added and reviewed on a rolling basis. This will be particularly important for year two onwards where specific activities are yet to be outlined.

The overall risk rating for this project is Moderate. This is based on a scale of Minor > Moderate > Major > Severe (see ANNEX VIII). There are some general risks associated with successfully managing programme delivery outlined in the table below. The risk rating has been decided taking likelihood and impact into account. For year one, key overarching risks include:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Table 10: summary of high-level risk for OCPP | | | | |
| **Risk/RAG** | **Category** | **likelihood** | **Severity** | **Mitigation** |
| Due to: Continued risk of Covid-19 restrictions  There is a risk that: Partner countries may not be able to fully engage in delivery of the programme, there may be reduced staffing, and stakeholders cannot be convened to share knowledge and gather insights  Which will result in: slowing the ability to work and/or negatively impacting the intended outcome | External Context/operational | Likely | Moderate | We will only develop partnerships in year one with countries where we already have history of working together and positive relationships in place (though will scope potential future partners to ensure we are on track as the programme progresses to future years).  We will identify Covid-19 risk in each partner country to ensure effective adaption to circumstances, monitor country ability to deliver, and to ensure safety of regional leads.  We will work closely with governments to identify effective methods of communication and make use of in country partners to ensure effective delivery and presence in country. |
| Due to: short planning and lead in time to launch delivery  There is a risk that: Defra ALBS are not well coordinated, resourced or prepared to deliver year one of the programme  Which will result in: the programme being unable to deliver to the required standards and level of ambition, not living up to expectations of partner governments | Delivery/Reputational | Moderate | Moderate | Bringing in ALBS from initial development of the programme, ensuring they shape and input from the beginning. Making full use of non-gov areas of specialist expertise to complement ‘in-house’ delivery (e.g. UK universities). Ensuring realistic plans for year one, developed in partnership with partner countries.  We will also use year one to build off existing programming, ensuring that CLiP and OHA are effectively incorporated into the new OCPP structure. Defra will support ALBs through this transitionary period. |
| Due to: Continued risk of Covid-19 restrictions  There is a risk that: Delivery bodies will not be able to travel to countries. Workers on the ground are unable to carry out their jobs  Which will result in: Difficulty in ability to develop relationships in country, and to push programmes forward at pace. Delays in overall programme delivery | External Context/operational | Likely | Moderate | We have learnt methods of effective remote delivery in 2020 which can continue to be employed going forward but will have to remain aware, through working with High Commissions, of issues that might materialise as the impact of Covid-19 evolves.  We have made the assumption that no travel to country will be possible in year one of the OCPP, and planned activities accordingly. We hope to have regional leads in place to support delivery on the ground, and coordinate with the UK team.  We will assess internet connectivity issues in potential countries and take this into account in final country prioritisation decisions. |
| Due to: Change in partner country priorities  There is risk that: Governments and stakeholders stop engaging with or deprioritise OCPP themes  Which will result in: difficulty in meeting OCPP ambitions and impact | Fiduciary | Unlikely | Major | Country prioritisation exercises will inform decisions on which countries to engage through the OCPP. This will include consideration of country alignments with UK marine environment ambitions, and we will look for evidence of commitment to addressing specific OCPP issues.  Partnerships will be supported by MoUs with countries that outline the type of engagement we will deliver through OCPP. |
| Due to: Political instability in partner countries  There is a risk that: Countries will not be able to properly engage with the programmes, or there will be delays in engagement and relationship building as a result of events such as elections and government reshuffles  Which will result in: Delays in overall delivery, uncertainty as to effective engagement with governments, or the need to pull out altogether from partner country | Delivery | Unlikely | Major | To mitigate, taking a closely collaborative approach, giving governments and stakeholders a voice from the start will help to ensure a strong foundation for delivery.  Ahead of engagement with countries we will map out possible issues, events and risks in partnering, and plan accordingly.  As part of country prioritisation process we will take into account risk of operating in countries in selecting potential partner countries. |
| Due to: The relatively novel approach of focusing on science to build capacity as a method of ODA delivery  There is a risk that: it will be difficult to directly attribute every £ to specific poverty reduction outcomes  Which will result in: Inability to effectively capture full impact of the programme | Fiduciary | Moderate | Minor | Building in strong M&E offer as part of programme delivery and building on previous years M&E to develop effective methodology for capturing programme impact. Through the existing CLiP programme we will build on existing evaluations to develop indicators to effectively capture impact. |
| Due to: Lack of UK ambition  There is a risk that: the programme does not deliver against BPF ambitions and objectives  Which will result in: reduced overall impact of the programme and BPF overall | Delivery  Reputational | Unlikely | Moderate | The BPF is ideally positioned to coordinate collaborative action to tackle pollution, seafood and biodiversity challenges, given its expertise in world-leading science and policy. This programme will be an important vehicle in delivering on the UK's global commitment to lead action on marine pollution, MPAs and aquatic health. Opting for a 'do nothing' scenario will compromise our leadership on this issue with significant potential reputational impacts. There will be regular reporting to the OCPP senior management board and JMB to update on progress to meeting programme objectives and benefits. |
| Due to: Partners that Defra and ALBs work with to deliver OCPP not having effective safeguarding measures in pace  There is a risk that: there are safeguarding violations as the OCPP is delivered  Which will result in: risk of the programme not delivering effectively or closing, and severe reputational impacts | Safeguards | Unlikely | Moderate | Defra will work with ALBs to ensure that any organisation that we partnership with through the OCPP have an overarching Safeguarding Policy and/or specific Sexual Exploitation, Abuse and Sexual Harassment (SEAH) policy, and that all staff have correct training (as per section 6.7). |
| Due to: The Blue Planet Fund being a joint Defra and FCDO fund  There is a risk that: the bilateral programming between the two departments will overlap  Which will result in: risk of HMG delivering duplicate work causing inefficiencies, damage to stakeholder relationships, confusion, and loss of VfM. | Delivery | Unlikely | Moderate | Defra and FCDO will keep in regular contact about the development of the OCPP, especially as FCDO develop its technical assistance fund. This should dramatically reduce the risk of overlap, and instead should enable the delivery of two complimentary technical assistance funds that deliver impressive impact and VfM. |

## 6.5 Avoiding fraud and corruption

In line with ODA guidance, Defra expects all organisations to have a zero tolerance approach to fraud and corruption; acting immediately if it is found, working with authorities to bring perpetrators to account and pursuing aggressive loss recovery approaches. Therefore, OCPP must have systems in place to detect and combat fraud. A full Fraud Risk Assessment (FRA) has been completed and approved for this project, a risk register will be kept live and updated throughout the lifetime of the agreement.

## 6.6 TRANSPARENCY

Defra requires all its partners to meet the [*International Aid Transparency Initiative (IATI) standard*](https://iatistandard.org/en/about/iati-standard/#:~:text=The IATI Standard is a set of rules,on the world's poorest and most vulnerable people.) that aims to ensure that organisations publish information to ‘improve the coordination, accountability and effectiveness to maximise their impact on the world's poorest and most vulnerable people’. This includes information on the organisation, funds, and planned activities. This intervention will generate significant outputs including log frames, annual reviews, programme/project proposals and technical reports which will be of interest to other countries and stakeholders. All outputs should be published on IATI, free to users whenever possible. Most agencies are now following this standard.

Defra also uploads relevant programme outputs to the [UK Development Tracker](https://devtracker.fcdo.gov.uk/).

## 6.7 Safeguarding

In delivering the OCPP through ALBs and external organisations Defra will ensure that full safeguarding standards and regulations are in place. We will ensure that:

* Partners have an overarching Safeguarding Policy and/or specific Sexual Exploitation, Abuse and Sexual Harassment (SEAH) policy, and where relevant child protection policy and/or vulnerable adults policy
* Partners have strong ‘whistle-blowing’/’complaints/concerns’ policies
* Partners have good HR practices, including mandatory safeguarding and whistleblowing training
* Partners have a risk management framework that includes SEAH at organisational level, and at project level routine use of risk registers
* The Partner has a Code of Conduct for all staff that clarifies the values, principles and the acceptable behaviours. This should include explicit reference to preventing SEAH
* Partners’ organisational Boards (trustees appointed or elected or shareholders) have ultimate responsibility for safeguarding and should always act in the best interests of the beneficiaries, staff and volunteers.

1. [Global ocean science report: the current status of ocean science around the world; executive summary - UNESCO Digital Library](https://unesdoc.unesco.org/ark:/48223/pf0000249373) [↑](#footnote-ref-2)
2. (United Nations: Sustainable Development Goal 14: Life Below Water, n.d.) [↑](#footnote-ref-3)
3. (United Nations: Sustainable Development Goal 14: Life Below Water, n.d.) [↑](#footnote-ref-4)
4. (Global Ocean Accounts Partnership, n.d.) [↑](#footnote-ref-5)
5. IPBES (2016): Summary for policymakers of the methodological assessment of scenarios and models of biodiversity and ecosystem services of the Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services. S. Ferrier, K. N. Ninan, P. Leadley, R. Alkemade, L.A. Acosta, H. R. Akçakaya, L. Brotons, W. Cheung, V. Christensen, K. A. Harhash, J. Kabubo-Mariara, C. Lundquist, M. Obersteiner, H. Pereira, G. Peterson, R. Pichs-Madruga, N. H. Ravindranath, C. Rondinini, B. Wintle (eds.). Secretariat of the Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services, Bonn, Germany [↑](#footnote-ref-6)
6. <https://www.ipcc.ch/sr15/chapter/spm/> [↑](#footnote-ref-7)
7. <http://www.ocean-climate.org/wp-content/uploads/2016/10/161011_FactSheets_EN.pdf> [↑](#footnote-ref-8)
8. <https://sustainabledevelopment.un.org/content/documents/7411Chapter%203_IOC_Ocean-biodiversity.pdf> [↑](#footnote-ref-9)
9. ROOKS, W., RUDD, M., CHENG, S., SILLIMAN, B., GILL, D., AHMADIA, G., ANDRADI‑BROWN, D., GLEW, L. & CAMPBELL, L. (2020). Social and ecological outcomes of conservation interventions in tropical coastal marine ecosystems: a systematic map protocol. Environmental Evidence, 9. [↑](#footnote-ref-10)
10. Waldron, A. et al. [*Protecting 30% of the planet for nature: costs, benefits and economic implications*](https://www.conservation.cam.ac.uk/files/waldron_report_30_by_30_publish.pdf)  [↑](#footnote-ref-11)
11. The Pew Charitable Trust, SYSTEMIQ, *Breaking the Plastic Wave*, 2020, https://www.pewtrusts.org/-/media/assets/2020/07/breakingtheplasticwave\_report.pdf [↑](#footnote-ref-12)
12. https://clu-in.org/contaminantfocus/default.focus/sec/Persistent\_Organic\_Pollutants\_(POPs)/cat/Health\_Effects\_of\_POPs [↑](#footnote-ref-13)
13. [FAO (2020),](http://www.fao.org/3/ca9229en/ca9229en.pdf) The State of World Fisheries and Aquaculture [↑](#footnote-ref-14)
14. [H. Habte-Tsion (2017),](https://www.researchgate.net/publication/313056007_Sustainable_Aquaculture_Development_and_its_Role_in_Food_Security_and_Economic_Growth_in_Eritrea_Trends_and_Prospects) Sustainable aquaculture development and its role in food security and economic growth in Eritrea: trends and prospects [↑](#footnote-ref-15)
15. <https://www.hacfornatureandpeople.org/> [↑](#footnote-ref-16)
16. **Blue Planet Fund:** Stressors facing the marine environment like ocean climate change and overfishing are global issues, and as the UK’s 25 Year Environment Plan states, “seas and oceans do not respect regional or international boundaries”. The 25 Year Environment Plan includes a pledge by the UK to “provide international leadership and lead by example in tackling climate and protecting and improving international biodiversity”. The Government is therefore committed to establishing a £500 million Blue Planet Fund that will support developing countries to protect the marine environment and reduce poverty. Recognising, the indivisible link between ocean health and its effect on poverty alleviation and the sustainable development prospects of the world’s most disadvantaged communities, the fund’s impact will be: To protect and enhance marine ecosystems through the sustainable management of ocean resources, to reduce poverty in developing countries. Intervening internationally to protect the marine environment will be beneficial to not just target countries, but will also have positive impacts on the UK and the wider world. [↑](#footnote-ref-17)
17. [Global ocean science report: the current status of ocean science around the world; executive summary - UNESCO Digital Library](https://unesdoc.unesco.org/ark:/48223/pf0000249373) [↑](#footnote-ref-18)
18. https://unesdoc.unesco.org/ark:/48223/pf0000375148/PDF/375148eng.pdf.multi [↑](#footnote-ref-19)
19. [UNESCO (2019)](https://www.oceandecade.org/about) What is the United Nations Decade of Ocean Science for Sustainable Development? [↑](#footnote-ref-20)
20. https://unesdoc.unesco.org/ark:/48223/pf0000375148/PDF/375148eng.pdf.multi [↑](#footnote-ref-21)
21. https://unesdoc.unesco.org/ark:/48223/pf0000375148/PDF/375148eng.pdf.multi [↑](#footnote-ref-22)
22. [375147eng.pdf (unesco.org)](https://unesdoc.unesco.org/in/documentViewer.xhtml?v=2.1.196&id=p::usmarcdef_0000375147&file=/in/rest/annotationSVC/DownloadWatermarkedAttachment/attach_import_d52d8a6c-ac51-4ed6-8a97-8736c55545b0%3F_%3D375147eng.pdf&updateUrl=updateUrl4079&ark=/ark:/48223/pf0000375147/PDF/375147eng.pdf.multi&fullScreen=true&locale=en#1063_20_en_int_GOSR2020_5.indd%3A.68819%3A2779) [↑](#footnote-ref-23)
23. [375147eng.pdf (unesco.org)](https://unesdoc.unesco.org/in/documentViewer.xhtml?v=2.1.196&id=p::usmarcdef_0000375147&file=/in/rest/annotationSVC/DownloadWatermarkedAttachment/attach_import_d52d8a6c-ac51-4ed6-8a97-8736c55545b0%3F_%3D375147eng.pdf&updateUrl=updateUrl4079&ark=/ark:/48223/pf0000375147/PDF/375147eng.pdf.multi&fullScreen=true&locale=en#1063_20_en_int_GOSR2020_5.indd%3A.68819%3A2779) [↑](#footnote-ref-24)
24. [375147eng.pdf (unesco.org)](https://unesdoc.unesco.org/in/documentViewer.xhtml?v=2.1.196&id=p::usmarcdef_0000375147&file=/in/rest/annotationSVC/DownloadWatermarkedAttachment/attach_import_d52d8a6c-ac51-4ed6-8a97-8736c55545b0%3F_%3D375147eng.pdf&updateUrl=updateUrl4079&ark=/ark:/48223/pf0000375147/PDF/375147eng.pdf.multi&fullScreen=true&locale=en#1063_20_en_int_GOSR2020_5.indd%3A.68817%3A2756) [↑](#footnote-ref-25)
25. See e.g. EPA (2020) [Best Practices for Solid Waste Management: A Guide for Decision-Makers in Developing Countries](https://www.epa.gov/sites/production/files/2020-10/documents/master_swmg_10-20-20_0.pdf). [↑](#footnote-ref-26)
26. For example, EPA (2020) [Best Practices for Solid Waste Management: A Guide for Decision-Makers in Developing Countries](https://www.epa.gov/sites/production/files/2020-10/documents/master_swmg_10-20-20_0.pdf). Cited challenges to waste management include limited coordination as well as limited or lack of communication with relevant stakeholders [↑](#footnote-ref-27)
27. Costello et al (2010), A Census of Marine Biodiversity Knowledge, Resources, and Future Challenges, A Census of Marine Biodiversity Knowledge, Resources, and Future Challenges (plos.org) ‘*the number of field stations per country is highly variable from one or only a few in the developing world, to several tens and even more than 100 laboratories in Europe, the United States, and Antarctica. The availability of research vessels (RV, ships) is another indicator of a country's investment in exploring its offshore marine environment. This research infrastructure was unevenly distributed globally*.’ [↑](#footnote-ref-28)
28. Timmis, H. (2018) [Lessons\_from\_donor\_support\_to\_technical\_assistance\_programmes.pdf (publishing.service.gov.uk)](https://assets.publishing.service.gov.uk/media/5ab0e81140f0b62d854a9bc5/Lessons_from_donor_support_to_technical_assistance_programmes.pdf) [↑](#footnote-ref-29)
29. UK PACT (2020) about UK PACT [online] available at: https://www.ukpact.co.uk/about [↑](#footnote-ref-30)
30. <https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/818147/The_Role_of_the_SROc_online_version_V1.0.pdf> [↑](#footnote-ref-31)
31. ICF Consulting Services (2016) [Evaluation of the Technical Assistance Component of DFID India’s Education Portfolio (publishing.service.gov.uk)](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/632438/Evaluation-of-TA-Component-of-DFID-Indias-Education-Portfolio.pdf) [↑](#footnote-ref-32)
32. Agulhas (2019): [Technical Assistance: New thinking on an old problem (agulhas.co.uk)](https://agulhas.co.uk/app/uploads/2020/10/OSF-Landscaping-Study-on-TA-final-version-2.pdf) [↑](#footnote-ref-33)
33. Agulhas (2019): [Technical Assistance: New thinking on an old problem (agulhas.co.uk)](https://agulhas.co.uk/app/uploads/2020/10/OSF-Landscaping-Study-on-TA-final-version-2.pdf) [↑](#footnote-ref-34)
34. ITAD (2021) Cefas CLiP Project Value for Money Assessment: Final Report [↑](#footnote-ref-35)
35. [UNESCO (2019)](https://www.oceandecade.org/about) What is the United Nations Decade of Ocean Science for Sustainable Development? [↑](#footnote-ref-36)
36. onehealthcommission.org/en/why\_one\_health/what\_is\_one\_health/ [↑](#footnote-ref-37)
37. <https://www.iucn.org/resources/issues-briefs/blue-carbon> [↑](#footnote-ref-38)
38. <https://portals.iucn.org/library/sites/library/files/documents/2016-067.pdf> [↑](#footnote-ref-39)
39. Adyel, T.M. (2020) *Accumulation of Plastic Waste During Covid-19* Science vol 369:6509 pp1314-1315 <https://science.sciencemag.org/content/369/6509/1314.full> [↑](#footnote-ref-40)
40. World Economic Forum (2020) *Waste Pickers are Slipping through the Cracks* [*https://www.weforum.org/agenda/2020/09/waste-pickers-are-slipping-through-the-cracks-covid-19-informal-sector-essential-workers-support/*](https://www.weforum.org/agenda/2020/09/waste-pickers-are-slipping-through-the-cracks-covid-19-informal-sector-essential-workers-support/) [↑](#footnote-ref-41)
41. Stentiford, G.D. et al. New paradigms to solve the global aquaculture disease crisis. *PLoS Path.* **13**, e1006160 (2017). [↑](#footnote-ref-42)
42. One Health Aquaculture (OHA), a high-level approach developed at Cefas, considers the availability of appropriate evidence, policy and legislation at national (partner country) level to deliver optimal animal, human and environmental health associated with production of aquatic food from this sector. The OHA approach developed at Cefas is being applied in an ODA programme based in Bangladesh. Here, Cefas are working directly with national Competent Authorities (e.g. Department of Fisheries) and working with Bangladeshi Competent Authorities (e.g. Dept. Fisheries) to understand aspirational targets for national aquaculture production (e.g. to 2030, 2050), national food supply and international trade – and, placing these nationally-defined targets in context with potential existing/future barriers to production (e.g. disease), consumption (e.g. human pathogens) and trade (e.g. chemical, microbial hazards) within country. [↑](#footnote-ref-43)
43. https://unesdoc.unesco.org/ark:/48223/pf0000250428/PDF/250428eng.pdf.multi [↑](#footnote-ref-44)
44. https://unesdoc.unesco.org/ark:/48223/pf0000375147/PDF/375147eng.pdf.multi [↑](#footnote-ref-45)
45. [The blue economy is an ocean of opportunity to advance gender equality | UNCTAD](https://unctad.org/news/blue-economy-ocean-opportunity-advance-gender-equality) [↑](#footnote-ref-46)
46. [The blue economy is an ocean of opportunity to advance gender equality | UNCTAD](https://unctad.org/news/blue-economy-ocean-opportunity-advance-gender-equality) [↑](#footnote-ref-47)
47. More information, sources and links are in Annex VI [↑](#footnote-ref-48)
48. Note that this data has previously been drawn upon for other successful marine environment programmes such as. the Commonwealth Marine Economies programme among others [↑](#footnote-ref-49)
49. Jambeck et al (2015), "Plastic waste inputs from land into the ocean", https://science.sciencemag.org/content/sci/suppl/2015/02/11/347.6223.768.DC1/Jambeck.SM.pdf [↑](#footnote-ref-50)
50. https://epi.yale.edu/downloads/epi2020report20200828.pdf [↑](#footnote-ref-51)
51. Reflecting plans for future years to expand to wider water quality and pollution issues beyond marine litter [↑](#footnote-ref-52)
52. http://www.oceanhealthindex.org/region-scores/annual-scores-and-rankings [↑](#footnote-ref-53)
53. http://www.oceanhealthindex.org/region-scores/annual-scores-and-rankings [↑](#footnote-ref-54)
54. Sala et al (2021), Protecting the global ocean for biodiversity, food and climate, https://www.nature.com/articles/s41586-021-03371-z?dom=microsoft&src=syn [↑](#footnote-ref-55)
55. https://www.cefas.co.uk/international-database-on-aquatic-animal-diseases/alphabetic-list-of-diseases/ [↑](#footnote-ref-56)
56. [Annual Scores and Rankings : Ocean Health Index](http://www.oceanhealthindex.org/region-scores/annual-scores-and-rankings) [↑](#footnote-ref-57)
57. FAO (2017), Short-term projection of global fish demand and supply gaps, [Short-term projection of global fish demand and supply gaps (fao.org)](http://www.fao.org/3/i7623e/i7623e.pdf) [↑](#footnote-ref-58)
58. <https://www.thethirdpole.net/en/nature/bangladesh-bans-sea-fishing-for-all-affecting-half-a-million-people/> [↑](#footnote-ref-59)
59. Clip is a programme ran by DEFRA and Cefas, that partners with countries in the Commonwealth to share expertise and find solutions to the environmental and socio-economic problems caused by litter in the marine environment. Scientists collaborate with national governments, local authorities, regional sea conventions, NGOs, universities and industry to identify country specific solutions. [↑](#footnote-ref-60)
60. Since the funding for this programme is a small percentage of the overall BPF allocation (~10%), other projects can be expected to ensure that wider BPF objectives not covered by the OCPP are nonetheless achieved [↑](#footnote-ref-61)
61. (see Annex II for further detail against each of the Investment Criteria) [↑](#footnote-ref-62)
62. The Pew Charitable Trust, SYSTEMIQ, [Breaking the Plastic Wave](https://defra.sharepoint.com/teams/Team2210/Oceans_and_Plastic_Pollution/BPF/Pipeline%20development/Business%20case%20development/GPAP%20WRAP/,%20https:/www.pewtrusts.org/en/research-and-analysis/articles/2020/07/23/breaking-the-plastic-wave-top-findings), 2020 [↑](#footnote-ref-63)
63. Stentiford et al (2020), Sustainable aquaculture through the One Health lens, <https://www.nature.com/articles/s43016-020-0127-5?fbclid=IwAR2e0gVukim-2oUI_pmLsxkQtIvmuky0ewU4bFek7JQR0Y7NGbeV1A68QGQ> [↑](#footnote-ref-64)
64. The baseline model i. uses country-level data (as examples) to forecast aquaculture production and growth - based on report from the FAO, see appraisal for source – and ii. assumes a proportion of production is of a low quality with a low farm gate price - See annex VII for figures [↑](#footnote-ref-65)
65. (The Economics of Biodiversity: The Dasgupta Review, n.d.) As a starting point in modelling the baseline, we use country-level data of the loss of specific habitats where this is available and assume that this is rate of loss is projected forwards, at a reduced rate. See annex VII for further details [↑](#footnote-ref-66)
66. Costello et al (2010), A Census of Marine Biodiversity Knowledge, Resources, and Future Challenges, [A Census of Marine Biodiversity Knowledge, Resources, and Future Challenges (plos.org)](https://journals.plos.org/plosone/article?id=10.1371/journal.pone.0012110#s4) [↑](#footnote-ref-67)
67. An important part of the Aquaculture One Health approach is to support adoption of sustainable practices – including avoiding deforestation of important habitats [↑](#footnote-ref-68)
68. This estimate is calculated by using population projections for each country for 2015, 2020 and 2025. Holding 2010 per capita waste generation rates constant until 2025 when projected rates (given for 128 countries and using averages by economic category for the remainder) were applied. Further detail on the methodology can be found [here](https://science.sciencemag.org/content/sci/suppl/2015/02/11/347.6223.768.DC1/Jambeck.SM.pdf). [↑](#footnote-ref-69)
69. The impact that this programme has on marine plastic waste is not double counting the potential results of the Global Plastic Action Partnership (GPAP) as the outcomes are different and in countries were both programmes may operate, the smaller % of assumed reduction in marine plastic is applied for the OCPP. [↑](#footnote-ref-70)
70. We cannot attribute all of the reduction in mismanaged waste to the programme since it will enable action, but other actors will play a role, including finace of infrastructure, providing alternatives products, training and political actions. [↑](#footnote-ref-71)
71. ITAD (2021) Cefas CLiP Project Value for Money Assessment: Final Report [↑](#footnote-ref-72)
72. Combined, the total % of mismanaged waste attributed to the programme is 0.75% and 0.02% respectively. [↑](#footnote-ref-73)
73. Beaumont et al (2019) <http://plymsea.ac.uk/id/eprint/8166/1/1-s2.0-S0025326X19302061-main%20%281%29.pdf> [↑](#footnote-ref-74)
74. Although the difference in purchaseing power parity is higher, a proportion of these ecosystem services are **global** public goods such as carbon regulation and the bequest / option value of biodiversity – these should still be valued at UK prices

    Additionally, this reflects the fact that a proportion of these ecosystem services are **global** public goods such as carbon regulation and the bequest / option value of biodiversity and will still be valued at UK prices. [↑](#footnote-ref-75)
75. Starting in 2021, using 2020 price year [↑](#footnote-ref-76)
76. Yaron & Elsey, ITAD (2021): Cefas CLip Value for Money Assessment [↑](#footnote-ref-77)
77. FAO, Short-term projection of global fish demand and supply gaps, [Short-term projection of global fish demand and supply gaps (fao.org)](http://www.fao.org/3/i7623e/i7623e.pdf) [↑](#footnote-ref-78)
78. Price in Bangladesh - <http://bbs.portal.gov.bd/sites/default/files/files/bbs.portal.gov.bd/page/9ead9eb1_91ac_4998_a1a3_a5caf4ddc4c6/2021-02-04-10-01-0bd5ff854f210b6476bba9ddcbbc5df3.pdf>

    Assuming half of that value would be the price of poor quality fish based on FAO estimates here, <http://www.fao.org/3/ae934e/ae934e05.htm> [↑](#footnote-ref-79)
79. Starting in 2021, using 2020 price year [↑](#footnote-ref-80)
80. Second order impacts resulting from improved income, such as investments in education and other livelihoods investments are not reflected in the marginal appraisal. [↑](#footnote-ref-81)
81. Mizrahi, M. et al. (2020) Mitigating negative livelihood impacts of no-take MPAs on small-scale fishers *Biological Conservation* Vol. 245, [↑](#footnote-ref-82)
82. Using the Ecosystem Service Valuation Database. See Annex VII for figures [↑](#footnote-ref-83)
83. The OCPP will be only one contributing factor to well-managed, inclusive MPAs with the benefits described above. New MPAs will only be effective where they are effectively enforced and financed. Local governments, NGOs, private companies and long-term donors as well as the stakeholders themselves will play an essential role. [↑](#footnote-ref-84)
84. Benefits and costs starting in 2021, using 2020 price year [↑](#footnote-ref-85)
85. The appraisal of the strands are separately communicated in Annex VII: [↑](#footnote-ref-86)
86. Specifically, the range of valuation per tonne of plastic pollution, the range of assumption for programme effectiveness in aquaculture and MPAs. See Annex VII for full details [↑](#footnote-ref-87)
87. Specifically, the range of valuation per tonne of plastic pollution, the range of assumption for programme effectiveness in aquaculture, see annex VII for full details. [↑](#footnote-ref-88)
88. Yaron & Elsey, ITAD (2021): Cefas CLip Value for Money Assessment [↑](#footnote-ref-89)
89. Again, the evaluation of the past marine litter technical assistance has demonstrated the effectiveness of the programme. For example, in South Africa, early stakeholder mapping and sustained engagement helped identify gaps and needs. Based on this, setting up two laboratories in South Africa to fill a strategic technical gap has included an essential piece of equipment (the ATR-FTIR) that is seen as contributing significantly to national and regional microplastics monitoring programmes – which ultimately helps to inform effective, prioritised government intervention. [↑](#footnote-ref-90)
90. These two posts will be funded to advise on the Blue Planet Fund more broadly, with 0.6 of their time focused on the OCPP. [↑](#footnote-ref-91)
91. <https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/818147/The_Role_of_the_SROc_online_version_V1.0.pdf> [↑](#footnote-ref-92)
92. Criteria designed to ensure value for money of investment decisions [↑](#footnote-ref-93)
93. Tripleline (2020) 18-20 Fund Independent Assessment Case Study 3 out of 3 for Commonwealth Litter Programme: The story of change: New evidence enables Belize to legislate against single use plastic [↑](#footnote-ref-94)
94. ITAD (2020) – full report available if required. [↑](#footnote-ref-95)
95. ITAD (2020)- full report available on request [↑](#footnote-ref-96)
96. ITAD (2020)- full report available on request [↑](#footnote-ref-97)