# PROJECT EXECUTIVE SUMMARY
## REQUEST FOR COUNCIL WORK PROGRAMME INCLUSION UNDER THE GEF TRUST FUND

**AGENCY'S PROJECT ID:** PIMS 3469
**GEFSEC PROJECT ID:**
**COUNTRY:** Regional – East Asia Participating Countries: Cambodia, China, Indonesia, Lao PDR, Philippines, Thailand, Timor-Leste and Vietnam, with Brunei Darussalam, Japan, RO Korea and Singapore participating on a cost-sharing basis
**PROJECT TITLE:** Implementation of the Sustainable Development Strategy for the Seas of East Asia (SDS-SEA)
**GEF IA/EXA:** UNDP
**DURATION:** 3 years
**GEF FOCAL AREA:** International Waters
**GEF STRATEGIC OBJECTIVES:** IW Strategic Objective (b)…catalytic role in addressing transboundary water concerns…; IW Strategic Programmes a) Depletion of coastal and marine fish stocks and associated biological diversity and b) Nutrient over-enrichment and oxygen depletion from land-based pollution of coastal waters in Large Marine Ecosystems
**GEF OPERATIONAL PROGRAM:** OP 9
**PIPELINE ENTRY DATE:** April 2005
**ESTIMATED STARTING DATE:** October 2007
**EXPECTED CEO ENDORSEMENT:** July 2007
**IA/EXA FEE:** $1,041,870.24

| FINANCING PLAN | | |
|---|---|---|
| | PPG | Project |
| **GEF Total** | 700,000 | 10,876,336 |
| **Co-financing** | | |
| GEF IA/ExA | | |
| Government | 237,900 | 27,594,400 |
| International Agencies/Org | | |
| Others | 66,300 | 5,780,000 |
| Co-financing Total | 304,200 | 33,374,400 |
| **Total** | 1,004,200 | 44,250,736 |
| Financing for Associated Activities: Baseline estimated at $43.473 billion | | |

**CONTRIBUTION TO KEY INDICATORS IDENTIFIED IN THE FOCAL AREA STRATEGIES:** The project contributes to the key indicators of the GEF IW Strategic Objective (b), by fostering the development and implementation of required policy reforms, institutional arrangements, core partnerships and capacities in support of SDS-SEA implementation. The project also contributes to IW Strategic Programmes a) Depletion of coastal and marine fish stocks and associated biological diversity, and b) Nutrient over-enrichment and oxygen depletion from land-based pollution of coastal waters in Large Marine Ecosystems. Additional indicators to be supported include: improvements in fish stock and coastal habitat achieved; community livelihoods sustained and access to fish for artisanal fishers secured; multi-agency partnerships for action developed; quantifiable pollution reduction through institutional reforms, increased enforcement, and demonstration investments; multi-agency partnerships developed and catalyzing replication of reforms and investments; reduction of risks to human health from untreated sewage and community livelihoods improved in demonstration areas. A six-year partnership program will be formulated, adopted and initiated during this three-year project. The six-year program will target:

a) the implementation of interlinkages among the different scales (i.e., regional, sub-regional, national and sub-national levels) of planning, operation and monitoring and evaluation in the region, and the primacy of management interventions at these different scales in order to accomplish the adopted strategies, objectives and targets efficiently and cost-effectively;
b) strengthening coastal and ocean governance across the region (i.e., a self-sustaining regional coordinating mechanism; national SDS strategies and ICM policies, strategies, legislation and scaling-up programs; national interagency and multisectoral coordinating arrangements; financing and investment mechanisms; comprehensive approaches to monitoring, evaluation and reporting; and public awareness and education campaigns);
c) supporting/assisting local governments and communities with the effective application of ICM programs, thereby facilitating on-the ground progress toward strategic national, regional and global targets, including:
    i. reducing pollution and the resulting destruction and degradation of land areas, rivers and coastal waters;
    ii. protecting and conserving biodiversity;
    iii. promoting a sustainable supply and use of waters;
    iv. strengthening food security, especially in developing sustainable fisheries and aquaculture practices;
    v. managing natural and man-made disasters; and
    vi. creating alternative livelihoods for the coastal poor; and
d) building core partnerships among governments, international organizations/institutions, donors, the corporate/business sector and other stakeholders in the region to reduce capacity disparities within and among countries through knowledge-sharing and leveraged resources.

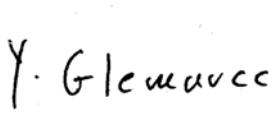
To address the strategic objective of reducing pollution discharges to rivers and coastal seas in the region, a partnership will be forged between the World Bank (i.e., GEF/WB Investment Fund project), UNDP, PEMSEA, and other interested regional and sub-regional programs and projects. By developing, demonstrating and promoting the replication of innovative approaches to overcoming technical, financial and institutional barriers to public and private sector investments in pollution reduction facilities and services, the Strategic Partnership aims to provide guidance and support to countries to reduce land-based discharges of nutrients and other water-borne pollutants, consistent with WSSD POI, MDG and GPA targets. The outcomes and impacts of the GEF/UNDP/PEMSEA project and the Strategic Partnership will be identified and incorporated into the regional State of Coasts report, for submission to and evaluation by the EAS Congress and Ministerial Forum in 2009. Countries and their partners are expected to revise and refine their rolling 6-year framework programs based on the outcomes of the State of Coasts report, and reconfirm their commitments to SDS-SEA implementation for next three-year period.

**RECORD OF ENDORSEMENT ON BEHALF OF THE GOVERNMENTS:**

| Country | Signatory | Date |
|---|---|---|
| Cambodia | Dr. Lonh Heal, Director General, Ministry of Environment | 4 Sept. 2006 |
| China | Mr. Wu Jinkang, GEF Operational Focal Point, Ministry of Finance | 18 Oct. 2006 |
| Indonesia | Mr. Agus Purnomo, GEF Operational Focal Point, Special Assistant to the Minister, Ministry of Environment | 25 Sept. 2006 |
| Lao PDR | Mr. Xayaveth Vixay, Deputy Director General, Ministry of Environment | 6 Sept. 2006 |
| Philippines | Atty. Analiza R. Teh, Assistant Secretary, FASPO, Dept. of Environment and Natural Resources | 8 Sept. 2006 |
| Thailand | Mr. Petipong Pungbun Na Ayudhya, Permanent Secretary, Ministry of Natural Resources and Environment | 22 Sept. 2006 |
| Timor Leste | Mr. Carlos Lopes Ximenes, GEF Political and Operational Focal Point | 11 Sept. 2006 |
| Vietnam | Dr. Nguyen Van Tai, GEF Operational Focal Point, Ministry of Natural Resources and Environment | 19 Oct. 2006 |

Approved on behalf of the UNDP. This proposal has been prepared in accordance with GEF policies and procedures and meets the standards of the GEF Project Review Criteria for work program inclusion.

*Name & Signature*



Yannick Glemarec
UNDP-GEF Deputy Executive Coordinator

Date 30 April 2007

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## EXECUTIVE SUMMARY

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## 1. PROJECT SUMMARY.

**A) PROJECT RATIONALE, OBJECTIVES, OUTPUTS/OUTCOMES, AND ACTIVITIES**. The project is designed to establish/strengthen the necessary capacities among the participating countries and their national and regional partners, which will transform PEMSEA from a donor-sponsored, regional enabling project into a country-owned, self-sustaining regional mechanism for the implementation of the SDS-SEA. The SDS-SEA is extremely significant as it is the first, and the broadest, partnership agreement in the region on the issue of managing the regional seas. The mission of the SDS-SEA is "*To build interagency, intersectoral, and intergovernmental partnerships for achieving the sustainable development of the Seas of East Asia".*

The SDS-SEA addresses priority concerns in several sectors including land-based and sea-based pollution, overfishing, health and safety, loss of biodiversity, habitat preservation, sustainable water use and water resource management, natural and man-made hazards, and other challenges of sustainable coastal management. The SDS-SEA identifies the variety of *values* of the Seas of East Asia to the people of the region, such as ecological, economic, aesthetic, recreational, historical, political, educational and cultural. It further identifies the threats to the maintenance of these values, and develops a shared vision of actions that would serve to sustain, preserve and protect these values for future generations. Land-based pollution (particularly from hotspots defined in the Strategy) is identified as a primary threat to the Seas of East Asia. Reduction of land-based pollution through policy strengthening, capacity building, scaling up investments in pollution control, and the strengthening of environmental management in watersheds and coastal areas, are all confirmed as priority activities that would contribute to the Strategy's main objective of achieving sustainability in the Seas of East Asia.

The *developmental objective* of the project is to facilitate the implementation of the SDS-SEA through mobilization of the necessary partnership arrangements, operating mechanisms, intellectual capital, support services and resources for the achievement of the shared vision of sustainable use of coastal and marine resources of the region and the development targets of the WSSD Plan of Implementation and the UN MDGs. In pursuit of this objective, the project will entail three major categories of activity, as follows:

a) the *Management* category consists of activities and outputs related to the establishment of a long-term, self-sustaining regional mechanism with its own legal identify, which sets priorities and objectives, coordinates, monitors, evaluates and continually improves the approved partnership programs for the implementation of the SDS-SEA, adopted SAPs of individual LMEs of the region, and counterpart national strategies and action plans;
b) the *Core Operations* category consists of activities and outputs to directly assist countries in achieving the overall mission and objectives of the SDS-SEA, SAPs and national programs, particularly with respect to national policy and program reforms, scaling up of ICM programs at the national and local government levels, and south-south and north-south technical cooperation in integrated/ecosystem-based management of watersheds, estuaries and adjacent coastal seas through twinning arrangements;
c) the *Supporting Activities* category consists of activities and outputs that entail the development of core human, financial, scientific, technical, legal, and information resources that are needed to ensure satisfactory performance of the project activities, as well as facilitate sustainability and continual improvement of the SDS-SEA programs at the local, national and regional levels. The supporting activities are designed to remove disparities in capacity among countries and within countries. The supporting components also serve as a window to the global community, receiving scientific, technical and financial advice and support through Strategic Partnership arrangements with the UNDP, the World Bank, and

others, and providing case studies, good practices and lessons learned on innovative approaches to sustainable development of marine and coastal resources, as applied in the East Asian region.

There are 8 major outcomes identified for the project:

a) an intergovernmental, multi-sectoral EAS Partnership Council, coordinating, evaluating and refining the implementation of the SDS-SEA and its 6-year partnership program, and advancing the regional partnership arrangement to a higher level;
b) national policy reforms, institutional arrangements and programs covering sustainable coastal and ocean development mainstreamed into social and economic development programs of participating countries;
c) integrated coastal management (ICM) scaled up as an on-the-ground national framework for achieving sustainable development of coastal lands and waters;
d) south-south and north-south twinning arrangements supporting integrated management of watersheds, estuaries and adjacent coastal seas, promoting knowledge-, resource- and experience-sharing and collaboration for the implementation of management programs in environmental hotspots of the region;
e) use of the region's intellectual capital and human resources for overcoming policy, economic, scientific, technical and social challenges and constraints to integrated management and sustainable use of the marine and coastal environment and resources at the local, national and regional levels;
f) public and private sector cooperation and collaboration in developing, replicating and scaling up ICM programs and in mobilizing investments in pollution reduction facilities and services;
g) a Strategic Partnership functioning as a mechanism for GEF, the World Bank, UNDP and other international, regional and sub-regional partners and countries of the region to accelerate the implementation of pollution reduction programs, through demonstration, replication and scaling up of innovative policies, economic instruments, financing mechanisms, technologies and practices to achieve agreed nutrient and other pollutant reduction targets; and
h) promoting, facilitating and recognizing corporate social responsibility for sustainable development of coastal and marine resources.

**B) KEY INDICATORS, ASSUMPTIONS, AND RISKS**. The project's outputs and outcomes correlate well with the indicators of on-the-ground reforms and stress reduction measures that are the focus of the GEF 4 IW program, as follows:

| Relevant IW Indicators | Project's Contribution to the IW Indicator |
|---|---|
| Multi-country water body legal framework developed and/or strengthened. | PEMSEA's EAS Partnership Council transformation into a long-term, self-sustaining regional mechanism for SDS-SEA implementation with its own legal personality; 6-year Framework of Partnership Programmes for SDS-SEA implementation adopted and initiated by participating countries and other partners; Plan of Action for the transformation of PEMSEA into a sustainable regional mechanism with its own legal identity adopted and initiated. |
| National policies, legal and institutional reforms adopted to reduce land-based sources of nitrogen, phosphorus and oxygen-demanding pollutants, consistent with agreed transboundary action programs. | ICM policies and legislation catalyzed in at least 5 countries during the project (Cambodia, China, Indonesia, Philippines, Vietnam) covering scaling up of ICM programs, 6-year framework programs with time-bound targets for pollution reduction, and national interagency, multisectoral coordinating mechanisms. |
| Financial and institutional sustainability of joint transboundary waters institutions. | PEMSEA Resource Facility Secretariat Services, PEMSEA Network of Local Governments Secretariat, and Twinning Secretariat for Ecosystem-based management fully functional and sustained by |

| Relevant IW Indicators | Project's Contribution to the IW Indicator |
|---|---|
| | participating governments and their partners. |
| Broad stakeholder involvement in transboundary water body priority setting and evaluation of progress established. | Regular triennial EAS Congress and Ministers Forum conducted, serving as the vehicle for knowledge sharing and evaluation of local, national and regional progress towards the agreed objectives and targets of the SDS-SEA, and employing the regional State of Coasts reporting system as the primary source of information. |
| Financial mechanisms in place to support SAP implementation. | Project Preparation Revolving Fund(s) operating in at least one country and providing fully developed project proposals to financing programs and investment groups in the public and private sectors, for financing of pollution reduction projects in the municipal, industrial and agricultural sectors. |
| Reductions in conflicting uses and degradation/ destruction of marine and coastal resources. | ICM programs functioning in coastal provinces, cities and municipalities in Cambodia, China, Philippines, Indonesia, Japan, RO Korea, Thailand, Timor Leste, and Vietnam, addressing use conflicts and priority environmental issues, including pollution reduction, waste management, conservation/restoration of habitats and fisheries, sustainable use of water resources, alternative livelihoods, coastal development, and disaster management. |
| Adoption and sustainable implementation of policy, legal and institutional reforms for pollution reduction and coastal protection. | Policy and institutional reforms adopted among local governments implementing ICM programs, catalyzing investment opportunities for the corporate sector/business community and IFIs in Philippines and Vietnam. |
| Reduced discharges of nutrients and oxygen-demanding pollutants from the municipal, industrial and agricultural sectors. | Replication strategies/investment plans prepared for priority pollution hotspot locations in China (Bohai Sea) and the Philippines (Manila Bay); innovative technologies, practices and financing approaches demonstrated under the Partnership Investment Fund sub-projects promoted/replicated in pollution hotspots; reductions in nutrient loadings ranging from 10-50% in targeted coastal areas. |
| Increased proportion of the local population with access to safe and sustainable water supply, sewerage and sanitation facilities. | ICM scaling up programs result in improvements in the quality of life in local communities, as measured by reductions in risk to human health from unsafe drinking water sources and untreated sewage discharges, and sustaining/increasing community livelihoods, especially coastal fisheries and aquaculture. |
| Improved water quality of coastal areas at ICM sites, increased areas of protected and/or restored habitat, stabilized or increased fish biomass; other indicators of ecosystem health. | Implementation of strategic action plans within ICM framework in targeted coastal areas result in: 5%-10% of habitats identified as protected areas and/or undergoing restoration; improvements in fishery management and stabilization of some coastal fish stocks and alternate increase in biomass. |

Possible project risks and risk mitigation measures concerning the development and implementation of the project are summarized in the table below.

| Risk | Risk Type | Risk Rating | Risk Mitigation |
|---|---|---|---|
| Lack of government support for the implementation of the SDS-SEA | Political | Low | The SDS-SEA was crafted by the countries after an extensive consultative, participatory process. Countries have ownership of the SDS-SEA.<br><br>All participating countries signed the Putrajaya Declaration in December 2003 and the Haikou Partnership Agreement in December 2006, indicating their willingness to cooperate to achieve the objectives of the SDS-SEA, nationally and regionally.<br><br>A number of countries have already taken the initiative to develop work programs aimed at improving national coastal and ocean governance, using the SDS-SEA as a guiding framework. |

| Risk | Risk Type | Risk Rating | Risk Mitigation |
|---|---|---|---|
| Lack of government commitment to a legal framework for governing the management of the Seas of East Asia | Political | Medium | Governments of the region have indicated that they are not willing to establish a legal framework at this point in time.<br><br>Alternatively, a partnership approach has been adopted by the countries as an interim step towards a long-term, self-sustaining regional mechanism. The partnership approach is designed to build confidence and trust among the partners.<br><br>Governments have signified their commitment to this partnership approach with the establishment of a functional, country-supported PEMSEA Resource Facility (PRF) Secretariat Services.<br><br>During the project, a review of alternatives to the partnership approach will be conducted, and a Plan of Action for transforming the partnership arrangement into a long-term self-sustaining mechanism will be completed. |
| Capacity to implement the SDS-SEA varies from country-to-country, and will impede the achievement of the project's outputs and outcomes. | Operational | Medium | Capacity disparity within and among participating countries is well-recognized, and has been the focus of past and ongoing donor initiatives, including GEF enabling projects at the regional, sub-regional and national levels.<br><br>The project design, outputs and outcomes have been prepared with due regard to this concern. The project concentrates on putting into place core policies, institutional and legal arrangements, as well as technical, financial and capacity development programs to serve and guide countries in meeting their priorities within their levels of competence. Over the longer term, countries will use and improve upon these core tools and mechanisms as their needs and priorities demand. Not all countries will move toward the objectives of the SDS-SEA at the same pace, but all countries will be making progress. |
| The available time and resources are too limited to achieve the identified project outputs and outcomes. | Operational | Medium | A critical factor to achieving the project outputs and outcomes within the project timeframe and budgetary allocation is the commitment of the participating governments.<br><br>Key targets of the project are policy reform, institutional arrangements and innovative financing mechanisms at the national and local levels. The implementation of national ICM scaling up programs is a primary vehicle to deliver the identified outputs. Participating countries are already aware of the modalities of, and benefits to be derived from ICM as a consequence of the PEMSEA regional project.<br><br>Many countries are responding by committing considerable resources to establishing national ICM programs and support mechanisms. The project provides countries with the means to access and facilitate cooperation and assistance with regional and global partners to achieve their desired individual and collective goals. |
| Governments are unwilling to implement policy reforms that are necessary in order to facilitate enhanced investment in pollution reduction | Operational | Low | Recognizing that different governments have different policies and priorities, the project will attempt to identify and work with governments at the national and sub-national levels. Some governments have already expressed interest and willingness to implement policy reforms and/or adopt innovative and transparent mechanisms for developing, financing and managing pollution reduction facilities and services. |

| Risk | Risk Type | Risk Rating | Risk Mitigation |
|---|---|---|---|
| facilities and services. | | | |
| Governments and donors are unwilling to collaborate in a Strategic Partnership for pollution reduction arrangement, preferring conventional bilateral approaches. | Operational | Low | The 11th Project Steering Committee of the PEMSEA Regional Programme passed a resolution endorsing the Strategic Partnership approach. It is apparent that participating governments are encouraged by this attempt to build cooperative arrangements among the numerous funding agencies and donors to reduce overlap and duplication of effort.<br><br>The Strategic Partnership has been designed as a flexible and innovative prototype. The World Bank and UNDP will be the early partners with the countries, implementing innovative and complementary projects and activities aimed at reducing barriers to investments in pollution reduction facilities.<br><br>As part of the project, a multi-sectoral, multi-disciplinary team comprised of representatives from government, financing institutions, donors, NGOs, and the private sector will coordinate and facilitate the implementation of a replication strategy aimed at increasing and strengthening pollution reduction investments, founded on good practices and innovative approaches demonstrated by the Strategic Partnership. A series of promotional and stock-taking workshops and events will be organized for the purpose of sharing knowledge and benefits derived from the Strategic Partnership, and from the specific projects undertaken by the Strategic Partnership, thereby generating interest and participation from a wider group of donors, governments and private sector interest groups. |

## 2. COUNTRY OWNERSHIP

**A) COUNTRY ELIGIBILITY**. The participating countries, including Cambodia, China, Indonesia, Lao PDR, Malaysia, Philippines, Thailand, Timor-Leste and Vietnam, are eligible for GEF assistance under para 9(b) of the GEF Instrument. Brunei Darussalam, Japan, RO Korea and Singapore will be participating in the project on a cost-sharing basis, thereby providing an opportunity for cross-country transfer of knowledge and experience between developed countries and lesser developed countries of the region.

**B) COUNTRY DRIVENNESS**. On 12 December 2003, twelve (12) countries of the East Asian Seas region adopted the *Sustainable Development Strategy for the Seas of East Asia (SDS-SEA)*, with Ministers and Senior Officials signing the *Putrajaya Declaration* - the *first regional declaration* for the sustainable development of the coasts and oceans of East Asia, directly responding to the global targets under the WSSD Plan of Implementation, the UN Millennium Declaration, and Agenda 21 - signifying agreement and determination to implement the SDS-SEA in accordance with their respective national priorities and capacities[1]. Two additional countries subsequently attended and formally professed commitment to the implementation of the SDS-SEA during the Eleventh (11th) PEMSEA PSC Meeting, held 1 to 4 August 2005[2]. The

[1] Signatories to the Putrajaya Declaration include the Governments of Brunei Darussalam, Cambodia, China, DPR Korea, Indonesia, Japan, Malaysia, Philippines, RO Korea, Singapore, Thailand and Vietnam.
[2] Lao PDR and Timor Leste attended the 11th PSC Meeting as Observers and expressed their respective commitments to the implementation of the SDS-SEA.

project application was endorsed by the participating countries at the 10th PEMSEA PSC Meeting, held 25 to 29 October 2004 (12 countries), and at the 11th PEMSEA PSC meeting (2 additional countries).

The sense of ownership of the project has been further demonstrated via a series of recent initiatives and decisions by participating countries and stakeholders, including:

a) formulation and adoption of the *Haikou Partnership Agreement and Partnership Operating Arrangements* for the implementation of the SDS-SEA, signed by Ministers and Senior Government Officials from 11 participating governments[3] during the Ministerial Forum of the EAS Congress 2006;
b) twelve (12) stakeholder organizations[4] signed the *Partnership Operating Arrangements*, thus becoming the first group of non-governmental organizations to be formally recognized as PEMSEA Partners for the implementation of the SDS-SEA.
c) financial commitments for the establishment and operation of the PRF Secretariat Services, to provide secretariat support to the EAS Partnership Council, including cash contributions by China, Japan and RO Korea, through Cost Sharing Agreements (CSA) with the UNDP;
d) national consultation workshops and forums undertaken from January 2006 to August 2006 in Cambodia, China, DPR Korea[5], Indonesia, Japan, Lao PDR, Philippines, RO Korea, Singapore, Thailand and Vietnam, with a total of over 900 participants, including national and local government officials and representatives of research and education institutions, NGOs, corporate and private sector and communities. The President of the Republic of Philippines addressed her country's National Forum on Sustainable Development of Coastal and Marine Resources, and signed an Executive Order for the adoption and implementation of integrated coastal management (ICM) as a national strategy. These events have been able to take stock of experience and lessons learned in the past project implementation and identify national needs and priorities that have been reflected in the formulation of this Project Document; and
e) decisions by the Governments of Lao PDR and Timor Leste to partner with the participating countries of PEMSEA to implement the SDS-SEA.

## 3. PROGRAM POLICY AND CONFORMITY

### A) FIT TO GEF FOCAL AREA STRATEGIC OBJECTIVES AND OPERATIONAL PROGRAM

The GEF 4 Strategy for International Waters emphasizes the transition from a testing and demonstration mode to scaling up of full operations in support of agreed incremental costs of reforms, investments and management programs needed to reduce stress on transboundary

[3] Signatories to the Haikou Partnership Agreement include the Governments of Cambodia, China, DPR Korea, Indonesia, Japan, Lao PDR, Philippines, RO Korea, Singapore, Thailand, Timor Leste and Vietnam.
[4] The 12 PEMSEA Partners include: Conservation International Philippines; Coastal Management Center; UNDP/GEF Small Grants Programme; IOC/WESTPAC; Korea Environment Institute; Korea Maritime Institute; Korea Ocean Research and Development Institute; Ocean Policy and Research Foundation; Oil Spill Response and East Asia Response Limited; Plymouth Marine Laboratory; UNEP Global Programme of Action; and the UNDP/GEF Yellow Sea LME Project.
[5] Effective January 2007, UNDP has suspended operations in DPR Korea. In accordance with the UNDP policy decision, DPR Korea has not been included in this GEF Project Document. However, if and when both the UNDP and GEF decide to lift the moratorium, the SDS-SEA implementation project will re-engage DPR Korea. DPR Korea has been a participating country of PEMSEA over the past 12 years, and is a signatory to the Putrajaya Declaration (2003) and the Haikou Partnership Agreement (2006). DPR Korea is a member of the EAS Partnership Council, and will continue to support SDS/SEA implementation through its own ongoing and planned national initiatives.

freshwater and marine systems. The strategy and objectives of the project are consistent with this shift in course of action. The project aims to put in place the necessary policy reforms, institutional arrangements, partnerships and capacities to scale-up ICM programs across the region, with a target of more than 20% of the coastline by 2015. An important factor of the ICM scaling up design is to strengthen national support and assistance to local governments and communities for the effective application of ICM programs, thereby facilitating on-the ground progress toward strategic national, regional and global objectives, including: i) reducing pollution and the resulting destruction and degradation of land areas, rivers and coastal waters; ii) protecting and conserving biodiversity; iii) promoting a sustainable supply and use of waters; iv) strengthening food security, especially in developing sustainable fisheries and aquaculture practices; v) managing natural and man-made disasters; and vi) creating alternative livelihoods for the coastal poor.

These proposed actions are consistent with an ecosystem-based approach in addressing multiple stresses in support of IW Strategic Programme I of the IW Operational Progam, (i.e., depletion of coastal and marine fish stocks and associated biological diversity), through:

a) Development of sustainable alternative livelihoods (e.g., aquaculture), habitat restoration and awareness building/education in coastal communities in partnership with the UNDP/GEF Small Grants Programme;
b) Engaging the corporate sector/business community as partners of national and local governments in the development and implementation of effective and sustainable ICM programs, as well as investors in environmental projects, such as: water supply/conservation; sustainable fisheries/aquaculture; management of natural and manmade disasters; and information management and dissemination.

The project also tackles Strategic Program II, (i.e., reducing nutrient over-enrichment from land-based pollution of coastal waters) through:

a) Twinning arrangements among priority sites in the region that are just beginning to develop and implement integrated river basin and coastal sea management programs (i.e., Bohai Sea; Manila Bay; Jakarta Bay) and those with mature programs (e.g., Chesepeake Bay; Seto Inland Sea; Masan-Chinhae Bay), in order to facilitate and, possibly, accelerate the preparation and implementation of nutrient reduction interventions;
b) Formulation and adoption of investment and financing plans for pollution reduction facilities and services in the selected priority watersheds, aimed at achieving targeted reductions in nutrients and other land-based pollutants; and
c) Development and adoption of reforms in policy, procurement practices, economic instruments and financial mechanisms in support of increased public and private sector investment in pollution reduction facilities and services.

In addition to the above project activities, the Strategic Partnership with the World Bank will demonstrate, evaluate and promote the replication of innovative policy, technological, and financing solutions to overcome existing constraints to investment in pollution reduction facilities in the region. The synergy between the two projects is well-appreciated by the participating countries[6]: the UNDP project will facilitate the necessary policy reforms, institutional

[6] As confirmation of their desire for close cooperation between the two projects, the countries of East Asia resolved that a Strategic Partnership be established between the *GEF/UNDP SDS-SEA Implementation* project and the *WB/GEF Partnership Investment Fund, "…*to achieve a synergistic, multiplier and cumulative effect of partnership programs and projects…that contribute to the shared vision of the SDS-SEA…", (Resolution in Support of the

arrangements, awareness, capacities and opportunities among governments and stakeholders to confront land-based pollution as a major impediment to sustainable development of river basins and coastal areas; the WB project will demonstrate and promote the replication of innovative tools, technologies and financial mechanisms that will allow governments and stakeholders to implement pollution reduction projects and programs effectively and affordably, including the establishment of a Project Preparation Revolving Fund to assist project proponents in developing and implementing bankable pollution reduction projects.

**B) SUSTAINABILITY (INCLUDING FINANCIAL SUSTAINABILITY)**. The previous GEF-sponsored PEMSEA project[7] has established the necessary conditions for the adoption of the SDS-SEA, and for the participating countries to agree to the formation and start-up of a regional implementing mechanism, based on an innovative intergovernmental and multi-sectoral partnership approach. The proposed work program will apply this partnership framework, coordinating and guiding the countries and their partners through the formative stages of on-the-ground actions at the sub-national, national, and regional levels. Sustainability concerns have been considered in each component of the project, covering, for example:

a) adoption and implementation of national policies, legislation, action plans and coordinating mechanisms for sustainable coastal and ocean development and management through ICM (Component B);
b) scaling up integrated management of coastal and marine areas and resources covering 20% of the region's coastline by 2015, as a tipping point for the adoption and implementation of ICM as a strategy and framework for sustainable development of river basins and coastal seas across the region (Component C);
c) application of integrated river basin and coastal area management in selected pollution hotspot areas, and sharing knowledge, resources and good practices through formalized south-south and north-south twinning arrangements (Component D);
d) using the region's existing intellectual capital and human resources to institute core capabilities in scientific, policy and technical assistance to policymakers and managers, training, awareness building and education, and knowledge-sharing and mobilization of stakeholders from the grassroots level up to the national and international levels (Component E);
e) providing the means and opportunities for women, the youth, the poor and other marginalized groups to develop and implement initiatives aimed at conserving and restoring coastal and marine resources, while enhancing social well-being and livelihoods in coastal communities, in collaboration with the GEF/UNDP Small Grants Programme, and other relevant programs (Component E);
f) promotion and facilitation of policy and institutional reforms, and innovative economic instruments at the national and local government levels, to improve the climate for public and private sector investments in pollution reduction facilities and services (Component F); and
g) coordination of a Strategic Partnership arrangement covering two GEF-supported projects, including a regional component (UNDP managed), focused on implementation of policy, legal and institutional reforms, and a financial component (World Bank managed) focused

Strategic Partnership for the Sustainable Development of the LMEs of the Seas of East Asia, 11th PSC Meeting, 3 August 2005).

[7] PEMSEA Regional Programme or PEMSEA refers to the GEF/UNDP/IMO Regional Programme on Building Partnerships in Environmental Management for the Seas of East Asia, 1999-2007

on innovative policy, technologies and financing mechanism to leverage increased investment in pollution reduction (Component G).

The development of a **Project Preparation Revolving Fund (PPRF)** is one initiative that is being developed and demonstrated under the World Bank-managed investment fund, which has particular relevance to financial sustainability (Component G). The objective of the PPRF is to focus on what is today a critical bottleneck to the development of environmental programs in East Asia: preparation of viable projects. While a number of donors and private and public sector institutions have established financing facilities targeted at environmental projects, there is a shortage of funds for the preparation of sound projects that can be financed by such facilities. The lack of financing and advisory services for project preparation is particularly acute for small project sponsors, for example community groups, small cities or towns, or small businesses interested in adopting cleaner technologies. The result is that the promoting organizations are often unable to convert their good ideas and planning initiatives into fully developed projects, which can be presented to and funded by the donors or public or private institutions that have resources available to finance such projects. The PPRF will help to connect the potential project sponsors with the organizations that have the financing available to finance the environmental projects. Hence, the revolving fund for project preparation will result in boosting the project pipeline of donors and public and private institutions, and play the role of a key partner, rather than a competitor, to other institutions involved in financing environmental projects. In addition, the association between World Bank with its strong financial expertise and country network, and UNDP and PEMSEA with their organizational skills, regional and local networks and environmental expertise will lead to improvement in the project preparation standards across the environmental sector, thus enabling increased investments in on-the-ground pollution reduction facilities and services.

**C) REPLICABILITY.** Replicability is an integral element of both the scaling-up thrust of SDS-SEA implementation strategy and the Strategic Partnership.

The project covers a wide range of stakeholders, issues, constraints, activities, outputs and outcomes. Activities undertaken within the project are interrelated at several different levels, and will require a concentrated effort to optimize the replication potential. A fundamental criterion of the project is to build replicability into each component during the planning stage. This approach requires that three ingredients be incorporated at the project and sub-project levels, namely: capacity assessment; communication; and partnership development.

*Capacity assessment* refers to both the demand and supply sides of replication. First, a systematic approach is required to identify and assess the priorities and pre-conditions for successful replication, which will vary under different political, governance, institutional and socio-economic characteristics of sites/areas of the region. Second, there is a need to match interested sites/areas with appropriate, replicable mechanisms, technologies or practices that have been successfully demonstrated/tested under pertinent conditions. To this end, the World Bank Investment Fund will assess the replication potential of each subproject in relation to local conditions at the site, as well as within the country. The UNDP regional component will address replication potential of the demonstrated technologies at the sub regional and regional levels.

*Communication* entails awareness building and knowledge sharing. The awareness building aspect of communication will alert stakeholders to the environmental issues, needed changes, and focus of action to make changes occur on the ground. The knowledge sharing aspect is designed to apply and expand knowledge, innovations, good practices and technologies, as demonstrated and tested under the project. This aspect of communication will be implemented

with two objectives in mind: a) to promote development and continual improvement of good practices; and b) to leverage support for and investment in the replication of good practices by concerned stakeholders.

*Partnership development* recognizes that many local governments in the region lack the confidence and capacity to commit to investments in scaling up ICM, much less pollution reduction facilities and services. Replicable innovations will need to be packaged and promoted with this constraint in mind. Opportunities created for government and non-government partners, the identification of interested partners, and the process of promoting and developing partnerships will be incorporated into the operational activities of the project, in order to scale up partnership activities from a local initiative, to national and regional dimensions.

The following guiding mechanisms will be put in place to develop, implement, and facilitate the coordination and replication initiatives of the project:

a) Project Replication Team (PRT)

The project will set up a Project Replication Team, comprised of multi-disciplinary members of the Regional Task Force (RTF), as well as representatives of key regional and sub-regional entities and projects. The Project Replication Team will be assigned four main activities:

i. to evaluate sites/areas in the sub regions (e.g., among the LMEs where SAPs are being developed and implemented) and region as potential locations for replication and scaling up of good practices and technologies;
ii. to assess the projects, technologies and practices being implemented under the framework of the SDS-SEA to determine their potential for replication;
iii. to gauge the competency of local governments and potential partners for replication activities, including political, socio-economic and governance characteristics, access to financing, creditworthiness, revenue sources, experience, capacities, partnership qualities; and
iv. to provide technical assistance and advice in developing partnership arrangements for the implementation of replicable technologies and practices.

The PRT will also provide technical support to the Strategic Partnership in formulating the criteria, conditions and opportunities for replication, as well as rendering support services for the promotion and implementation of the replication process, such as technical assistance and advice to interested local governments and their potential partners. In particular, the PRT will be responsible for analyzing project information in its local context, and transforming that analysis to a regional scale to identify potential matching replication sites. Such analyses will be systematized, utilizing PEMSEA's IIMS Database and Network as primary tools for collation and analysis of information, in combination with site visits/assessments as necessary.

b) PEMSEA Resource Facility Technical Services – Project Replication Unit

Within the PEMSEA Resource Facility Technical Services, the project will establish a Project Replication Unit (PRU). The PRU will provide various services in support of the PRT and the Strategic Partnership, including administrative, technical and partnership development responsibilities. As part of the partnership development service, the PRU will:

i. package, disseminate and promote good practices and lessons learned from the various projects undertaken by Partners, utilizing the EAS Partnership Council; EAS Congress; national and regional workshops as major market place for intellectual capital;
ii. develop a Strategic Partnership website, with national , regional and global linkages to interested government agencies, international organizations, donors, private sector and other NGOs;
iii. utilize PEMSEA's Virtual Center for Environmental Investments, developed under the GEF/UNDP Medium-Sized Project on PPP, as a medium for disseminating and promoting replication opportunities and strengthening the Strategic Partnership network of private sector investors, financiers and donors;
iv. co-organize regional and national seminars and workshops for local and national government leaders, private industry and the corporate sector, promoting ICM scaling up programmes and replication opportunities for pollution reduction and environmental conservation and management;
v. facilitate public-private partnership arrangements involving corporate champions and local governments through ICM scaling up programmes and the PNLG, to demonstrate corporate social responsibility with on-the-ground social, economic and environmental changes in communities;
vi. establish linkages with partnership promoting networks within and outside of the region to exchange information, experience and opportunities in replication of good practices through partnerships (e.g., World Bank Group; World Water Council; Water Aid; Global Compact); and
vii. set up a one-stop PPP support service for local governments and the private sector within the PRF, as a technical assistance arm of the Project Preparation Revolving Fund. The support service would be designed to assist local governments with the production of fully-prepared projects for submission to investors and banks for financial support. The PPP support service would also serve as an intermediary between the project proponent and the financier, providing a value-added service in reducing the transaction costs of financial partners.

c) Strategic Partnership Technical Team

Coordination of the Strategic Partnership will entail the establishment of a joint technical team (i.e., Strategic Partnership Technical Team or SPTT) comprised of representatives of the World Bank's Fund Management Team, UNDP, and the Technical Services of the PRF. The SPTT will develop, guide and monitor the following:

i. communication and awareness building amongst key partners and stakeholders and the wider community regarding the implementation of the SDS-SEA as well as the Fund projects and sub-projects;
ii. information and knowledge sharing;
iii. assessment of results achieved and lessons learned;
iv. promotion of good practices and useful lessons for replication within the region, as well as outside the region; and
v. partnership building for the purpose of expanding the Strategic Partnership and for promoting the replication of good practices among sub regional sea areas and projects, including the South China Sea, Yellow Sea, Arafura-Timor Seas, and the Sulu- Sulawesi Seas.

The indicative budget for the completion of the identified activities is presented in Table 1, exclusive of Project Team staff time.

**Table 1: Indicative Budget for Replication Activities**

| Type of Replication Activity | Responsible Parties | Budget US$ (excluding Project Team Staff Time) |
|---|---|---|
| 1. Project Replication Team:<br>➢ evaluation of potential sites for replication<br>➢ evaluation of sub-projects for good practices<br>➢ competency of local governments/ private sector as partners in replication<br>➢ technical assistance/advice | PRF Technical Services | 80,750 |
| 2. PEMSEA Resource Facility – Project Replication Unit<br>➢ Packaging and dissemination of good practices<br>➢ SP website<br>➢ Promotion of replication opportunities<br>➢ Regional national seminars<br>➢ Facilitation of PPP arrangements<br>➢ Linkages with other partnership networks<br>➢ One stop PPP support service for replication and scaling up | PRF Technical Services | 37,100 |
| 3. Strategic Partnership Technical Team:<br>➢ Implementation of communication plan<br>➢ Formulation of sub-project replication strategy (local, national, regional)<br>➢ Monitoring, evaluating and reporting the progress of the various subprojects conducted<br>➢ Organization of annual workshops and mid-term stocktaking<br>➢ Partnership building among sub-regional projects/programs | PRF Technical Services<br><br>World Bank Fund Management Team<br><br>UNDP | 318,390 |
| **TOTAL** | | **436,420** |

**D) STAKEHOLDER INVOLVEMENT.** Stakeholder inclusion and participation is a vital component of the project, providing motivation, opportunities and means for a full array of stakeholders to be involved and to participate in the project.

At the *national level*, government institutions, national non-government organizations and the private sector will be engaged as members of national coordinating committees (NCCs), tasked with developing and coordinating priority initiatives.

At the *sub-national level*, the engagement of stakeholders will be led by Local Government Units (LGUs) implementing ICM programmes. These LGUs will coordinate stakeholder groups that include local industry, community-based organizations, educators, universities/academe, public healthcare providers, the media, and the private sector, through ICM Project Coordinating Committees (PCCs).

At the *regional level*, the EAS Partnership Council and the EAS Congress will be the main mechanisms by which stakeholders will interact and collaborate on the implementation of the SDS-SEA. The EAS Partnership Council will be composed of representatives from the national governments, local governments and communities, NGO's, research and educational institutions, the private sector, regional organizations, programs and projects, international

agencies and organizations, and other countries using the Seas of East Asia. The Council will formulate both program and operational policy in support of the SDS-SEA implementation, based on policy direction, recommendations and commitments provided by the countries, the EAS Congress and other partners. The EAS Congress will convene every three years, with the aim of bringing together stakeholders from all levels and sectors of society from within the region, and outside the region, for meaningful dialogue and knowledge exchange.

At the *sub-regional level*, the implementation of interlinkages between the SDS-SEA and sub-regional SAPs and primacy of management interventions at these different scales will be facilitated through the regional partnership mechanism and the Strategic Partnership arrangements, in order to accomplish adopted strategies, objectives and targets. The SDS-SEA framework and its ICM action program, will be the early focus of management interventions in areas where more detailed strategies and interventions have not been developed or adopted by national governments. When and where SAPs are endorsed by governments, SAP interventions would provide a further level of detail that would be pursued, in addition to any ICM/coastal strategy that might exist.

**E) MONITORING AND EVALUATION.** Monitoring and evaluation (M&E) of the proposed project will be conducted in accordance with established UNDP and GEF procedures, and in consonance with the management structure and processes adopted under the proposed project. The Project Logical Framework, which covers performance indicators for project implementation along with their corresponding means of verification, will underpin the M&E system that will be established for the proposed project. The standard M&E reports and procedures required for all UNDP/GEF projects would apply to the M&E for the proposed project, including the following: i) Inception Workshop and Report; ii) Tripartite Review; iii) Quarterly Operational Report; iv) Harmonized Annual Project Report and Project Implementation Review, including Project Terminal Report; v) Periodic Thematic Reports; vi) Independent External Evaluation ; vii) Budget Revisions ; viii) Substantive Project Revisions; and ix) Audit.

The Logical Framework (Annex B), which covers performance indicators for project implementation along with their corresponding means of verification, will underpin the M&E system for the proposed project. Within the project, under Components A, C and G, the development of a fuller and more detailed set of indicators than included in the Logical Framework, has been highlighted. This detailed set of indicators (including social, economic and impact indicators) will be prepared by a multidisciplinary regional task force, and will provide the foundation for the proposed national and regional State of Coasts monitoring and reporting systems (Component A).

## 4. FINANCING

### A) PROJECT COSTS

### a) Co-financing Project Component/Outcomes by Source

| Project Components/Outcomes | Co-financing (USD) | GEF (USD) | Total (USD) |
|---|---|---|---|
| A) A functional regional mechanism for SDS-SEA implementation. | 2,108,000 | 1,462,262 | 3,570,262 |
| B) National policies and reforms for sustainable coastal and ocean governance. | 3,022,000 | 623,810 | 3,645,810 |
| C) Scaling up ICM programs | 13,361,200 | 2,615,080 | 15,976,280 |
| D) Twinning arrangements for river basins and coastal seas management. | 6,825,000 | 1,302,725 | 8,127,725 |
| E) Intellectual capacity and human resources development | 7,638,200 | 2,055,470 | 9,693,670 |
| F) Investment and financing | 320,000 | 431,562 | 751,562 |
| G) Strategic Partnership arrangement | 100,000 | 715,740 | 815,740 |
| H) Corporate Social Responsibility | | 739,429 | 739,429 |
| Project Management budget/cost | | 930,259 | 930,259 |
| **Total Project Costs** | **33,374,400** | **10,876,337** | **44,250,737** |

### b) Co-Financing Sources, Classification and Type

| Name of Co-financier (source)[1] | Classification | Type | Amount (confirmed) |
|---|---|---|---|
| Cambodia | Government | In-kind | 720,000 |
| China | Government | In-Cash | 375,000 |
| China | Government | In-kind | 8,631,200 |
| Indonesia | Government | In-kind | 2,250,000 |
| Japan | Government | In-Cash | 125,000 |
| Philippines | Government | In-kind | 2,088,200 |
| RO Korea | Government | In-Cash | 400,000 |
| RO Korea | Government | In-kind | 10,729,000 |
| Thailand | Government | In-kind | 2,276,000 |
| **Subtotal** | | | **27,594,400** |
| MERIT, City University of Hong Kong | NGO | In-kind | 5,780,000 |
| **Subtotal** | | | **5,780,000** |
| **TOTAL** | | | **33,374,400** |

[1] Letters of co-financing Commitment have been included in Annex I.

## B) PROJECT BUDGET

### a) Project Management Budget

| Component | Estimated staff weeks | GEF (USD) | Other sources (USD) | Project total (USD) |
|---|---|---|---|---|
| Locally recruited personnel | 468 | 128,400 | | 128,400 |
| Internationally recruited consultants[1] | 156 | 480,000 | | 480,000 |
| Office supplies, equipment maintenance, office security | | 159,800 | 554,000 | 713,800 |
| Travel | | 59,200 | | 59,200 |
| Professional Services (Project audit/Financial audit) | | 102,858 | | 102,858 |
| **Total** | **624** | **930,258** | **554,000** | **1,484,258** |

[1] Information on the internationally recruited consultants for project management may be found in Annex G.

### b) Consultants/Technical Personnel Working for Technical Assistance Components

| Component | Estimated staff weeks | GEF (USD) | Other sources (USD) | Project total (USD) |
|---|---|---|---|---|
| Local Personnel | 936 | 120,000 | 155,090 | 275,090 |
| Local consultants | 936 | 909,447 | 185,723 | 1,095,170 |
| International Consultants[2] | 1024 | 1,780,402 | 559,187 | 2,339,589 |
| **Total** | **2,896** | **2,809,849** | **900,000** | **3,709,849** |

[2] Information on the internationally recruited consultants for technical assistance components may be found in Annex H.

### c) Detailed Budget by Project Activity/Subcomponent

Please refer to Annex C of the Executive Summary.

## 5. INSTITUTIONAL COORDINATION AND SUPPORT

### A) CORE COMMITMENTS AND LINKAGES

Since signing the Putrajaya Declaration in December 2003, countries have taken positive steps towards implementation of the SDS-SEA. Some examples include:

i. At the national level, partnerships among coastal provinces, municipalities, cities, national agencies, donors, and NGOs have facilitated: the adoption and implementation of the Manila Bay Coastal Strategy and Bohai Sea Sustainable Development Strategy; the issuance of Presidential Executive Order 533 adopting ICM as a National Strategy to Ensure Sustainable Development of the Coastal and Marine Environment and Resources in the Philippines; and formulation of national legislation on the Bohai Sea in PR China;
ii. At the sub-regional level, a partnership among the three littoral countries of the Gulf of Thailand, with the signing of the Joint Statement of Cambodia, Thailand and Vietnam on Partnerships in Oil Spill Preparedness and Response in the Gulf of Thailand, together with an agreed Framework Program regarding capacity building and preparedness activities, in cooperation with the petroleum industry;
iii. At the regional level, the development and adoption of the Haikou Partnership Agreement for Sustainable Development of the Seas of East Asia, an unprecedented output of PEMSEA, providing the much needed regional implementing mechanism, policy, management frameworks and platforms for regional cooperation. The EAS Partnership Council and the country-financed PEMSEA Resource Facility Secretariat Services[8] will be responsible for guiding the implementation of the SDS-SEA.

All countries have actively participated in the development of the Project Design, through a series of national and regional consultations. Framework programs have been developed and confirmed, identifying priority activities/areas of concern to be addressed in support of SDS-SEA objectives within and among participating countries over the next three years. In addition, institutional linkages have been manifested through consultation with various international agencies and institutions, as follows:

i. The project complements the work of UNDP in the region, providing UNDP country offices with a mechanism and road map to sustainable development and the achievement of the WSSD and MDG targets through implementation of the SDS-SEA;
ii. An agreement has been signed with the UNDP Small Grants Programme in support of NGOs/CBOs/POs participation in the formulation and implementation of coastal strategies at the local government level;
iii. The World Bank, UNDP and PEMSEA are in the process of forging a pilot Strategic Partnership Arrangement for implementation of the SDS-SEA. The arrangement includes development and implementation of a WB/GEF Partnership Investment Fund for Pollution Reduction in the LMEs of East Asia. World Bank is currently implementing integrated river basin management projects in the Hai, Pearl and Mekong Rivers, which are an integral part of the SDS-SEA strategy;
iv. IMO has implemented a number of capacity building initiatives in the East Asian Seas region through the Regional Programme Office (RPO) of PEMSEA, and this is expected to be

[8] Cost-Sharing Agreements have been signed between UNDP and China, RO Korea and Japan in support of the PRF Secretariat Services, totaling $900,000 for the period 2007 to 2010. The funds will be utilized to staff the Secretariat, as well as to cover a portion of the operational budget of the office. Budgetary details are available in the Project Document.

continued under the proposed project, particularly with regard to strengthening awareness and capacities in maritime safety, marine pollution prevention from ships, ship and port security, invasive alien species in ballast water, anti-fouling systems, and the designation and management of particularly sensitive sea areas (PSSAs). A letter of agreement is pending;

v. An MOA/LOI has been signed with UNEP-GPA, outlining areas of cooperation and collaboration regarding implementation of GPA within the framework of the SDS-SEA in the East Asian region;
vi. UNEP/COBSEA has been part of the consultation process in the development of the SDS-SEA. PEMSEA and COBSEA have also prepared a joint policy brief entitled *Partnership Opportunities for Enhancing GPA Implementation in the East Asian Region (2007-2011)*, which was presented to the GPA IGR2 meeting in October 2006. The policy brief outlines ways and means of promoting enhanced collaboration and sharing experiences and knowledge among countries and regional programs and projects. COBSEA sits as an Observer at the EAS Partnership Council;
vii. Consultations have been undertaken with the two GEF regional projects (i.e., GEF/UNEP South China Sea LME project; and GEF/UNDP Yellow Sea LME project) to identify where and how the SDS-SEA can serve as a platform for stronger cooperation. The GEF/UNDP Yellow Sea project signed the Partnership Operating Arrangements of PEMSEA in December 2006, thereby becoming a member of the EAS Partnership Council. The GEF/UNEP South China Sea project collaborated with PEMSEA in the organization and implementation of the EAS Congress 2006 and sat as an Observer during the Ministerial Forum and Inaugural Meeting of the EAS Partnership Council in December 2006. The South China Sea Project has been invited to join the EAS Partnership Council;
viii. Conservation International signed a Letter of Cooperation with PEMSEA along with the Partnership Operating Arrangements in December 2006, indicating areas of collaboration in East Asia with regard to resource and biodiversity conservation and protection in the Sulu-Sulawesi Seas. The arrangement covers collaboration related to development of national coastal and marine policy, good practices in climate change adaptation strategies within the ICM framework, contribution to the regional State of Coasts report, and training on specialized skills for application of ICM/ecosystem-based management and integrated implementation of international environmental instruments and regional plans of action. A similar agreement with IUCN is pending;
ix. A Letter of Cooperation was with the Department of Sustainability and Environment (DSE) and the Victorian Coastal Council (VCC) of Victoria, Australia, in December 2006 on the following activities: awareness-building; skills enhancement and professional development; linkage-, partnership, and local alliance—building; and strengthening the use of intellectual capital through networking for marine education, training and research;
x. NOAA signed a Letter of Cooperation with PEMSEA in December 2006 covering the integrated freshwater to oceans management approach, focused on the Jiulongjiang River in the Xiamen-Zhangzhou-Longyan region of Fujian Province;
xi. Three Korean research institutions, namely Korea Maritime Institute, Korea Ocean Research and Development Institute, and Korea Environment Institute, signed MOUs in May 2006, to broaden knowledge sharing and capacity building in integrated coastal management in the East Asian Seas region. The MOUs provide a formal framework for organization of joint training and technical workshops, knowledge sharing, development of research initiatives, and staff exchange. The three institutions signed the Partnership Operating Arrangements at the EAS Congress 2006; and
xii. The GEF IW Learn project is a key player in the implementation of the project. Training and knowledge sharing systems of IW Learn are particularly supportive for transferring PEMSEA

experience in ICM to other GEF projects in other regions, such as the Bay of Bengal, the Pacific SIDS projects, as well as collaborative efforts with the GEF Red Sea.

### B) CONSULTATION, COORDINATION AND COLLABORATION BETWEEN IAS, AND IAS AND EAS

The project has been developed in close consultation with UNDP, UNEP, and the World Bank, in order to design a package of GEF interventions to promote and replicate the good practices derived from the Strategic Partnership. The project development also benefited from inputs provided by a number of Executing Agencies, notably IMO, FAO, UNDP SGP, UNESCO, and UNEP/COBSEA, as well as various GEF existing and pipeline projects (e.g., GEF IW Learn; Yellow Sea LME; South China Sea/Gulf of Thailand LME; Livestock Waste Management; and Manila Third Sewerage)

The EAS Partnership Council will serve as the Steering Committee for the project. The Council will include all three implementing agencies of GEF as members. The Council plays a pivotal role in coordinating contributions from UNDP, UNEP and the World Bank, so that technical services and comparative advantages of each can benefit the project, and the GEF IW portfolio, as a whole.

Executing Agencies will be invited to participate in the Council as well, as partners in the development and implementation of SDS-SEA related activities. Similarly, non-GEF transboundary waters programs and funding agencies will also be invited to participate in the Council (e.g., CI; WWF). Through such partnerships, information sharing and collaborative working arrangements will be strengthened, leading to more cost-effective use of resources and on-the-ground changes. In collaboration with IW:LEARN, the project will develop and disseminate good practices and successful experiences in integrated management of marine and coastal resources globally, and at multiple geographic scales.

### C) PROJECT IMPLEMENTATION ARRANGEMENT

The project will be implemented by the UNDP, with the PEMSEA Resource Facility providing the day-to-day management and coordinating function for project activities.

The EAS Partnership Council will provide guidance throughout the project and will serve as the Project Steering Committee for the project. The EAS Partnership Council and the EAS Congress will provide the project with access to a wide audience of concerned stakeholders, monitoring overall progress, facilitating coordination across programs and projects, strengthening transfer of knowledge and good practices and avoiding duplication of effort through the development and adoption of a six-year partnership program.

The PEMSEA Resource Facility will serve the pivotal project management function, providing technical and management services that include:

i. implementing the EAS Partnership Council's decisions concerning policy and operating modalities for the GEF project;
ii. developing, coordinating and implementing the GEF project in collaboration with participating countries, partners and collaborators;
iii. preparing and submitting annual consolidated reports to Council on the GEF project development and implementation, including financial statements;
iv. providing technical, financial, investment and management support for specific projects and programs within the framework of the SDS-SEA;

v. developing and implementing a process of recognizing and certifying good practices in SDS-SEA implementation;
vi. monitoring and reporting on the implementation of the SDS-SEA to the EAS Partnership Council and the EAS Congress; and
vii. coordinating the development of a long-term, self-sustaining regional arrangement with its own legal identity, taking into account changing conditions, emerging issues and other related factors.

## ANNEX A: INCREMENTAL COST ANALYSIS

| Component | Cost Type | Cost (US$1,000) | Scenario/Benefits |
|---|---|---|---|
| **Total Project Cost** | Baseline | 43,473,529 | Ongoing initiatives by governments and international agencies and organizations to arrest degradation remain focused on specific sectors, often lacking the "regional LME thinking". Country commitments to improved ocean and coastal governance, including pollution reduction, are not insignificant, being of the order of US $43 billion. Investments by Japan and RO Korea, two countries not eligible for GEF support, represent more than 65% of these baseline costs, whereas China's commitment is about 25%, with the balance coming from ASEAN countries. The emerging foundation for regional cooperation, catalyzed by PEMSEA to address coastal and ocean governance across the region, is stifled with the lack of a regional implementing mechanism. Disparity in the capacities of countries to respond to transboundary environmental threats hampers cooperation among countries. The value of products and services provided by the coastal and marine resources of the Seas of East Asia continues to dissipate with unsustainable use and unrestricted development, which brings about further pollution, habitat loss, and fishery depletion. |
| | GEF Alternative | 43,517,779 | The strategic partnership approach brings together all stakeholders to work as complements of each other and to act in a concerted effort to implement the SDS-SEA. The EAS Partnership Council departs from the traditional intergovernmental approach, and operationalizes the sharing of responsibility and resources in meeting the SDS-SEA expectations. The integrated management approach, adhered to as the guiding posts for SDS-SEA implementation, reinforces the attainment of the WSSD POI on the coasts and oceans, UN MDGs, Agenda 21 and Capacity 2015 programs. A core of skilled managers and practitioners is established across the region, with the capability of sustaining and scaling-up integrated management programs in watersheds and coastal and marine areas. |
| | GEF Increment | 44,250 | |
| | (GEF : Co-finance) | (10,876 : 33,374) | |
| **Component A: A functional regional mechanism for SDS-SEA Implementation** | Baseline | 391,183 | Regional bodies and programs continue to function within their respective scopes and mandates, relating to the different aspects of the environment, economic development or social issues. Sustainable development of coastal and marine resources of the region continues to be addressed in a piecemeal fashion. Valuable lessons and good practices in coastal and ocean governance, which are available from country-implemented projects, as well as bilateral and multilateral projects, as well as from outside the region, are largely unknown or inaccessible to countries. |
| | GEF Alternative | 394,753 | Global: A regional mechanism, which brings together the 15 governments of the region as well as the major regional and international stakeholders in |
| | GEF Increment | 3,570 | |

| Component | Cost Type | Cost (US$1,000) | Scenario/Benefits |
|---|---|---|---|
| | (GEF : Co-finance) | (1,462 : 2,108) | coastal and ocean governance, implements the SDS-SEA through partnership arrangements and contributes to a secure global ocean by: reducing common priority threats to national and regional security brought about by competition over limited resources; alleviating the pressures of poverty in the region through conservation and improved management of coastal resources at the community level; increasing the level of resources that will be committed by governments to managing the region's marine and coastal areas, including transboundary issues; and transferring the knowledge, experience, lessons and skills developed and acquired during the program to countries within the region, and to other regions of the world, via a triennial EAS Congress, and linkages with the GEF IW network. A regional State of Coasts reporting system contributes to the regular process of the Global Environment Monitoring and Assessment called for by the WSSD POI.<br>Domestic: PEMSEA countries and partners, through participation in the EAS Partnership Council, assess progress and continually improve a 6-year regional partnership framework programme for SDS-SEA implementation. A sustainable PEMSEA Resource Facility, with the financial support from countries and their partners, provides secretariat and technical services for SDS-SEA implementation. A regional partnership fund operates from voluntary contributions, to reduce disparities in SDS-SEA implementation capacity among countries. |
| **Component B: National policies and reforms for sustainable coastal and ocean governance** | Baseline | 498,076 | After 12 years of PEMSEA and other GEF IW initiatives in the region, there is an appreciation among EAS countries on the need for comprehensive and responsive national coastal and marine policies to govern the management of resources and sectoral activities, in order to avoid conflicting uses of marine and coastal resources. More advanced countries have taken steps to develop and implement cross-sectoral national coastal and ocean policies. However, a significant number of other countries have not started the process due to lack of awareness among policymakers and/or limited capacity to address the issue. Laws and policy issuances remain largely sectoral and fall short of addressing cross-sectoral and multiple-use conflicts. The sectoral orientation relates to the institutional landscape that likewise fails to recognize the interconnectedness of environmental, social and economic concerns. |
| | GEF Alternative | 501,722 | Global: The development, adoption and testing of methodologies and indicators for assessing social and economic contributions of coastal and marine areas/sectors provides a means for generating awareness and appreciation among policymakers, regionally and globally, for national policies and reforms for sustainable coastal and ocean governance. New policies and policy reforms mainstream the objectives and targets of international |
| | GEF Increment | 3,646 | |
| | (GEF, Co-finance) | (624 : 3,022) | |

| Component | Cost Type | Cost (US$1,000) | Scenario/Benefits |
|---|---|---|---|
| | | | conventions and agreements, such as UNCLOS, Agenda 21, and GPA, into strategies and programs at the national and local levels.<br>Domestic: National interagency and multi-sectoral co-ordinating mechanisms facilitate the development of 6-year country programs with time-bound targets for restoration and rehabilitation of habitats and arresting coastal and marine pollution from land and sea-based activities. Increased investments are leveraged from national governments, industry and the private sector in support of agreed targets and initiatives. |
| **Component C: Scaling up ICM programs** | Baseline | 801,789 | Coastal resource management initiatives continue to evolve as improvements in approaches and capacities are driven primarily by bilateral initiatives. Although some countries have developed and adopted ICM policy and legislation, there is limited capacity to scale up and manage national ICM programs. Several countries in the region recognize the need for interagency coordination. The lack of national policy direction renders interagency coordination limited to ad-hoc arrangements. ICM efforts face resistance from line agencies for fear of losing resources and authority. There is seldom an agency or a ministry with a clear mandate in interagency coordination with respect to coastal and ocean governance. Progress in ICM program implementation across the region is slow, resulting in the continuing degradation and destruction of coastal and marine resources. |
| | GEF Alternative | 817,765 | Global: Stakeholders in GEF IW projects benefit from the innovative policies, programs and capacity enhancement techniques applied in the EAS region, in order to scale up ICM from a 'prototype/demonstration phase', to a full-fledged, national strategy and program for managing marine and coastal areas. The formulation and implementation of an ICM Code, for voluntary use as an international standard for certification/recognition of local governments implementing ICM, provides the global community with a means of demonstrating conformance with sustainable development policies, and/or to seek certification of ICM programs as complying with International Standards (e.g., ISO 14001 and/or ISO 9001). Similarly, the PSHEM Code provides the global maritime and port industry with a means of demonstrating conformance with sustainable development policies, and/or to seek certification of their PSHEMS as complying with International Standards (e.g., ISO 14001, ISO 9001, and OSHAS 18001).<br>Domestic: National policy and institutional reforms, and capacity enhancement/technical assistance programs, target improved local coastal governance and the replication of local ICM efforts. National ICM demonstration sites are influential/supportive in promoting and facilitating local governments to develop ICM programs. National ICM Task Forces, trained in |
| | GEF Increment | 15,976 | |
| | (GEF, Co-finance) | (2,615 : 13,361) | |

| Component | Cost Type | Cost (US$1,000) | Scenario/Benefits |
|---|---|---|---|
| | | | ICM application, provide technical assistance and advice to local governments, thereby facilitating and accelerating ICM coverage of country coastlines, and reversing trends in environmental degradation. |
| **Component D: Twinning arrangements for river basin and coastal area management** | Baseline | 2,203,511 | Ecosystem-based management projects in Bohai Sea, Manila Bay, Gulf of Thailand and Jakarta Bay operate in isolation. They and their partners fail to either capitalize on others' wisdom or to replicate their successful activities. Without access to valuable information and good practices generated by others, these projects continue to re-invent the wheel and do not contribute to global learning to strengthen transboundary waters management. |
| | GEF Alternative | 2,211,639 | Global: Through South-South and North-South twinning arrangements, involving both developed and developing programs covering ecosystem-based management of watersheds, estuaries and adjacent coastal areas, project managers and implementers access, adapt and apply one another's' experience and information to effectively leverage GEF and other investments and realize long-term improvements in managing their shared water and marine resources. In addition, the capacity to tap knowledge and information resources assists in sustaining project activities and benefits beyond GEF's intervention. The GEF IW portfolio makes substantial contributions to ecosystem-based management learning regionally, thereby enhancing replication and benefits of GEF IW interventions.<br>Domestic: Responsible national agencies, local government units, private sector and civil society members in Bohai Sea, Manila Bay, Gulf of Thailand and Jakarta Bay adopt and apply successfully-tested approaches to solving problems, while meeting the challenges of ecosystem-based management in selected watersheds and coastal areas, and implementing their respective coastal strategies/ framework programs and formulating investment plans. All entities also establish contacts/networks to which they can go for further technical advice and assistance regarding such matters. Good practices in ecosystem-based management are evaluated, transferred and replicated. |
| | GEF Increment | 8,128 | |
| | (GEF, Co-finance) | (1,303 : 6,825) | |

| Component | Cost Type | Cost (US$1,000) | Scenario/Benefits |
|---|---|---|---|
| **Component E: Intellectual capital and human resources** | Baseline | 993,808 | Governments, donors, and UN and other international organizations implement numerous country and sub-regional capacity enhancement projects covering areas/issues such as environmental research, development of strategic plans, transferring skills, and building awareness and understanding. While contributing to the overall regional capacity, such projects remain short-term, sector specific and relatively isolated from mainstream management programs. Capacity disparity remains a challenge of governments in SDS-SEA implementation, including ineffective transfer and sharing of knowledge that strengthens management programs. Project managers and stakeholders at different levels must discover and actively seek out intellectual capital within their own country, or within the region, to learn lessons and access technical support and assistance. This results in further reliance on donors and international agencies and organizations to 'provide' the required expertise. |
| | GEF Alternative | 1,003,502 | Global: Innovative approaches to mobilization of available intellectual capital for implementation of the regional strategy, through a combination of efforts including PEMSEA Programs for Areas of Excellence, National ICM Task Forces and training programs, country-based learning centers, special skills training programs, post-graduate curriculum in ICM, internships and fellowships, provide the GEF IW program with a package of tested and proven knowledge-sharing products with global application. Linkages between the PEMSEA knowledge center portal and the GEF IW Learn, active participation in the biennial GEF IW Conference, and the organization of a triennial EAS Congress ensure that GEF IW stakeholders learn extensively from one another, and how to improve self-reliance, sustainability and public involvement in coastal and ocean governance matters, including related transboundary issues.<br>Domestic: Decision-making processes within countries benefit from scientific information/advice from universities and other scientific institutions related to, among others, how the marine ecosystems function and how these respond to certain human activities and interventions. A core group of skilled ICM managers and practitioners provides advice and technical assistance to national and local governments in the development and implementation of national ICM programs. Community groups, including women and youth organizations, participate in local conservation and protection initiatives, providing increased ownership and stewardship for the marine and coastal resources of the region. The PEMSEA Network of Local Governments for Sustainable Coastal Development (PNLG) promotes and facilitates ICM replication initiatives among its membership, and advocates ICM program |
| | GEF Increment | 9,694 | |
| | (GEF, Co-finance) | (2,055 : 7,638) | |

| Component | Cost Type | Cost (US$1,000) | Scenario/Benefits |
|---|---|---|---|
| | | | development, implementation and capacity building at the national and international levels. |
| **Component F: Investment and Financing** | Baseline | 33,759,080 | PEMSEA experiences in the Philippines (Batangas Bay and Bataan) demonstrated that the corporate sector is a willing and able partner in the development and implementation of ICM programs. However, this experience does not reflect the prevailing situation in most countries, where difficulties persist in accessing partners and support to develop and implement sustainable marine and coastal resource management programs at the local government level. Related constraints include: the mistrust between the two sectors; misperception of 'partnership' as primarily/solely a financial arrangement between the two sectors; policy, legal and technical barriers to mobilizing necessary financial resources for investment projects at the national and local government levels; limitations in local government access to national financing programs and international investors and private companies; inadequate/inappropriate financing; limited revenue generating opportunities; limited capacity to develop and promote investment opportunities to the private sector. |
| | GEF Alternative | 33,759,832 | Global: ICM programs provide a means for the corporate and private sectors to effectively work with hand-in-hand with local governments and other stakeholders to achieve a common objective of sustainable social, environmental and economic development. Through promotion and replication of the approaches used in the Philippines, the concept of corporate social responsibility is transformed into an on-the-ground practice for the GEF IW program. Likewise, based on the experience and good practices derived from the GEF/UNDP MSP on Public-Private Partnerships and the WB/GEF Partnership Investment Fund, policy reforms, innovative financing programs and sustainable financing mechanisms are promoted and replicated as essential tools for scaling up management interventions in IW programs regionally and globally.<br>Domestic: Enabling policies for public private partnerships leverage collaborative activities and participation by the corporate sector in ICM program development and implementation among local governments in different countries of the region, as appropriate. Investments in the environment sector increase as a consequence of policy and program reforms at the national and local government levels. A number of pollution reduction facilities are put in place, and investment plans for a number of pipeline projects are developed. |
| | GEF Increment | 752 | |
| | (GEF, Co-finance) | (432 : 320) | |

| Component | Cost Type | Cost (US$1,000) | Scenario/Benefits |
|---|---|---|---|
| **Component G: Strategic partnership arrangements** | Baseline | 4,828,100 | UNDP, World Bank, UNEP and other international stakeholders in the region occasionally interact with the countries and each other on marine and coastal governance matters, but there is little focus, strategic outreach, or systematic effort to benefit the efforts of stakeholders across the full scope and objectives of the SDS-SEA. The SDS-SEA implementation program is only partially supported by existing GEF IW funds and individual governments, and there is a disjoint in the priorities and programs of international stakeholders and donors with the overall priorities and strategies of the countries and their commitments to SDS-SEA. The benefits derived from bilateral projects are not seen as collectively contributing to transboundary waters-related issues and sustainable development targets of the region. |
| | GEF Alternative | 4,828,916 | Global: A functional and effectively coordinated Strategic Partnership effectively utilizes GEF resources to leverage financial support and investment from other sources, including governments, donors, international organizations, private sector and NGOs, to facilitate/accelerate investments in pollution reduction facilities and services, as part of the regional implementation of the SDS-SEA. The good practices derived from the Strategic Partnership, and the individual projects undertaken within the Partnership, help to mainstream improved pollution reduction programs at the country level, as well as the portfolios of development banks and international agencies and organizations working in the region. The Partners themselves adopt, own, institutionalize, scale-up and replicate successful products and services of the Partnership within the region, as well as in other regions.<br>Domestic: National and sub-national environmental managers and stakeholders are able to access the services of the Partnership and obtain the benefits, as extended and replicated by the Partners beyond the limited scope and duration of this GEF project. |
| | GEF Increment | 816 | |
| | (GEF, Co-finance) | (716 : 100) | |
| **Component H: Corporate Social Responsibility** | Baseline | 0 | The development of corporate responsibility charters, principles and other instruments by UN and multi-industry bodies (e.g., UN Global Compact; Global Reporting Initiative; OECD Guidelines for Multinational Enterprises; EU Eco-Management and Audit Scheme (EMAS); ISO 9000 and 14000 series of management standards, as well as the forthcoming ISO 26000 standard) and endorsement of these by a large number of companies and firms across the region provides ample evidence that the private sector is engaged in, and is attempting to respond to pressures for, accountable and transparent corporate responsibility practices, both at the international and domestic levels. While these guides and standards provide practical frameworks for quality management and environmental results, they do not specifically pertain to corporate responsibility for sustainable development, nor are they focused on |

| Component | Cost Type | Cost (US$1,000) | Scenario/Benefits |
|---|---|---|---|
| | | | the specific management issues in coastal and marine areas. This component of the project will build on the foundation of existing and planned guides and standards to come up with a systematic process to evaluate, recognize and replicate the contributions and impacts of corporations exercising exemplary social responsibility in their operations within coastal communities. |
| | GEF Alternative | 739 | Global: The experiences of the PEMSEA are disseminated to GEF IW programs in other regions, providing insight into the application of a new model for engaging corporate sector and the business community in sustainable development partnerships with coastal communities.<br>Domestic: 50 companies join forces with local government units to implement ICM and environmental management projects supporting the implementation of sustainable ICM and environmental management projects, which cut across priority issues, including pollution reduction, habitat restoration, water use/ conservation, etc. |
| | GEF Increment | 739 | |
| | (GEF, Co-finance) | 739 | |

**ANNEX B: PROJECT LOGICAL FRAMEWORK**
**Implementation of the SDS-SEA**
**2007-2010**

| Narrative Summary | Indicators[9] | Means of Verification | Assumptions/Risks |
|---|---|---|---|
| **Development Objective:**<br><br>Implementation of the Sustainable Development Strategy for the Seas of East Asia (SDS-SEA) through mobilization of the necessary partnership arrangements, operating mechanisms, intellectual capital, support services and resources for the achievement of their shared vision of sustainable use of coastal and marine resources of the region and the development targets of the WSSD Plan of Implementation. | ✓ (P) EAS Partnership Council meeting at regular intervals, guiding and coordinating the Regional Framework of Partnership Programmes for SDS-SEA implementation;<br>✓ (P) Countries committing high-level officers to participate in the EAS Partnership Council;<br>✓ (P) Plan of action adopted by the EAS Partnership Council, transforming the regional partnership mechanism into a long term, sustainable mechanism for SDS-SEA implementation | ✓ quarterly progress reports<br>✓ annual reports<br>✓ Tripartite Review assessments<br>✓ Mid-term and terminal project evaluations | *Risk is minimized due to the following critical assumptions:*<br><br>✓ Countries signed the Putrajaya Declaration indicating their willingness to cooperate to achieve the objectives of the SDS-SEA at the national and regional levels;<br>✓ The current GEF-supported project established working mechanisms, partnership arrangements, trust and confidence among countries and stakeholders to develop and implement the SDS-SEA. |
| **Immediate Objective 1:**<br><br>Implementation of action programs of the SDS-SEA aimed at legal, policy and institutional reforms, and investments, at the local, national and regional levels, with a particular focus on scaling up and sustaining integrated coastal management (ICM) practices to reduce coastal and marine degradation. | ✓ (P) Related national policies and institutional mechanisms adopted in place and operational in two countries, initiated in three countries;<br>✓ (SR) At least 5% of the total coastline of the region initiating or implementing ICM programs;<br>✓ (SR) 3 pollution hotspots with adopted investment | ✓ Same as above<br>✓ Regional State of Coasts report 2009 | ✓ Some countries are already developing policies/policy reforms aimed at improving coastal and ocean governance;<br>✓ National governments will build upon the 8 national demonstration sites established in the previous GEF-supported projects;<br>✓ Coastal strategies and action plans have been formulated and adopted, focused on sustainable development, with pollution reduction a priority. |

[9] Process Indicator (P); Stress Reduction Indicator (SR); Environmental and Social Status Indicator (ESSI)

| Narrative Summary | Indicators[9] | Means of Verification | Assumptions/Risks |
|---|---|---|---|
| | plans for pollution reduction facilities and services. | | |
| **Immediate Objective 2:**<br><br>Verification, dissemination and promotion of the replication of lessons and best practices arising from the regional partnership arrangements in collaboration with IW: Learn and other partners. | ✓ (P) Agreements signed with at least 2 Areas of Excellence for developing and transferring innovative technologies and approaches in support national and local government with SDS-SEA implementation<br>✓ (P) 5 country-based National Task Forces assisting national and local governments with the implementation/scaling up of ICM programs<br>✓ (P) e-learning and knowledge sharing portal transferring lessons and good practices in collaboration with IW-LEARN<br>✓ (P) PEMSEA network of local governments advocating good practices in ICM | ✓ Same as above | ✓ A core of intellectual capital, management skills, good practices and innovative technologies is already available within the region;<br>✓ The disparity in capacity within and among countries can be minimized with the establishment of national training programs, skilled trainers, knowledge sharing networks, and a policy environment for ICM implementation;<br>✓ A number of local governments in the region are deriving benefits from ICM programs, and serve as working models for others. |
| **Immediate Objective 3:**<br><br>A Strategic Partnership between participating countries, UNDP, the World Bank and other stakeholders to stimulate and co-finance site-specific private and/or public-private land-based pollution reduction investments under the GEF/World Bank Pollution Reduction Investment Fund for the | ✓ (P) Partnerships between public and private sectors at ICM sites<br>✓ (P) Policy reforms resulting in increased investments in pollution reduction at ICM sites by public and private sectors<br>✓ (SR) Project Preparation | ✓ Same as above<br>✓ Economic development plans of countries<br>✓ World Bank Country Assistance Strategy | ✓ The private sector represents a virtually untapped resource with respect to pollution reduction investment in the region<br>✓ National governments are interested in engaging the private sector in environmental infrastructure projects<br>✓ World Bank is committed to the removal of barriers and constraints to environmental investments in the region. |

| Narrative Summary | Indicators[9] | Means of Verification | Assumptions/Risks |
|---|---|---|---|
| LMEs of East Asia. | Revolving Fund operating under an Agreement between GEF, World Bank, UNDP, and the PRF, and facilitating local government and private sector investment in pollution reduction facilities and services | | |
| **COMPONENT A: A FUNCTIONAL REGIONAL MECHANISM FOR SDS-SEA IMPLEMENTATION** | | | |
| **Outcome 1: An intergovernmental multi-sectoral EAS Partnership Council, coordinating, evaluating and refining the implementation of the SDS-SEA, and advancing the regional partnership arrangement to a higher level.** | | | |
| **Output A.1: A country-owned regional mechanism for SDS-SEA implementation** | | | |
| A.1.1 6-year framework of partnership programs established | ✓ (P) 6-year framework of partnership programs adopted by the EAS Partnership Council | ✓ Tripartite Review proceedings<br>✓ Mid-term and terminal project evaluations<br>✓ Proceedings of EAS Partnership Council meetings | Assumptions:<br>✓ The consultation process leading to the development of the regional mechanism has been extensive. Countries are already committed to integration of SDS-SEA objectives and mechanisms into their national programs.<br>Risk: Low |
| A.1.2 Voluntary regional Partnership Fund developed and operational | ✓ (P) Partnership Fund adopted by the EAS Partnership Council | ✓ Governing Body rules and regulations<br>✓ Annual report on Partnership Fund<br>✓ Proceedings of EAS Partnership Council Fund Manager identified;<br>✓ Funds deposited with a financial institution. | Assumptions:<br>✓ To ensure country and donor buy-in, the project will conduct consultations and solicit participation in the needs analysis for such a fund, and any feasibility study concerning the design of the fund. Countries, donor agencies, financial institutions and NGOs will be involved in the process.<br>Risk: Medium<br>✓ The objectives of the Partnership Fund may not be understood/appreciated by some collaborators. |
| A.1.3 Sustainable PRF Secretariat supported by | ✓ (P) Cost-Sharing Agreements signed with | ✓ Cost-Sharing Agreements | Assumptions:<br>✓ Three countries that have pledged to |

| Narrative Summary | Indicators[9] | Means of Verification | Assumptions/Risks |
|---|---|---|---|
| countries and other partners | countries and partners providing funding and in-kind support for the operation of the regional mechanism | | support the PRF Secretariat Services for the first three years of operation will honor their commitments. Within that time, the value-added benefits of the PRF will have been established.<br>Risk: Low |
| A.1.4 Triennial EAS Congress conducted on a continuing basis | ✓ (P) EAS Partnership Council decides to sustain the EAS Congress as a triennial event. | ✓ EAS Congress proceedings | Assumptions:<br>✓ EAS Congress in 2003 was considered highly successful;<br>✓ EAS Congress 2006 has more than doubled interest and support;<br>✓ The EAS Congress is already recognized by government and non-government sectors as a forum for enhancing their respective objectives.<br>Risk: Low |
| A.1.5 State of Coasts reporting system in place | ✓ (P) EAS Partnership Council adopts the State of Coasts reporting system;<br>✓ (P) Cambodia, China, Philippines, Thailand, Vietnam, Japan, Singapore, RO Korea, regional organizations and projects, and concerned international agencies and donors complete national and regional SOC reports<br>✓ (P) Regional State of Coasts report submitted to EAS Congress/Ministerial Forum 2009 | ✓ National State of Coasts reports<br>✓ Regional State of Coast report<br>✓ EAS Congress proceedings | Assumptions:<br>✓ Several countries in the region have experience in developing status reports on the environment. Thus, the expertise and information are available.<br>✓ The SOC reporting system is seen by countries and other stakeholders as adding value to current initiatives covering national and regional environmental monitoring and reporting, by providing a common framework and methodology for allowing cross-comparison and integration.<br>Risk: Medium<br>✓ The variety of ecological, cultural, economic, governing, and social dimensions of the region will make it difficult to define an agreed set of core indicators for regional monitoring and reporting. However, the Regional Task Force will be asked to identify and group issues into broad categories, and come up with indicators for each category that will "tell the story" about a particular category. |

| Narrative Summary | Indicators[9] | Means of Verification | Assumptions/Risks |
|---|---|---|---|
| | | | The idea will be to start with what is doable and value-added, and strengthen the monitoring and reporting system over time. |
| **Output A.2: A Plan of Action for transforming PEMSEA into a long term, self-sustained regional implementing mechanism for the SDS-SEA** | | | |
| A.2.1 Benefits and constraints of different operating and administrative arrangements reviewed and discussed among countries, with recommendations to be considered by countries and their partners for transformation to a long term, self-sustained regional implementing mechanism for the SDS-SEA. | ✓ (P) Series of seminars/ consultations involving Foreign Affairs, national focal agencies and other stakeholder groups from participating countries | ✓ Seminar/consultation meeting reports | Assumptions:<br>✓ Countries recognize the need and benefits to working together to address sustainable development issues related to coasts and oceans;<br>✓ The regional partnership mechanism under the UN framework is a first step; the ultimate goal for PEMSEA is a legal regional instrument.<br>Risk: Medium<br>✓ Some countries may still have doubts about a legal instrument. However, the partnership mechanism is designed to build confidence and trust among the partners regarding SDS-SEA implementation. |
| A.2.2 Plan of Action for a long term, self-sustained regional mechanism developed | ✓ (P) Plan of Action tabled/consensus achieved during regional consultation | ✓ Plan of Action | |
| A.2.3 Plan of Action endorsed to the EAS Partnership Council 2008 | ✓ (P) Plan of Action adopted and incorporated into the work program of EAS Partnership Council | ✓ EAS Partnership Council proceedings | |
| A.2.4 Plan of Action initiated, including preparation of working documents for the PEMSEA transformation. | ✓ (P) Drafting of working documents initiated | ✓ EAS Partnership Council proceedings<br>✓ TOR and schedule of work approved<br>✓ Draft working documents | |
| **COMPONENT B: NATIONAL POLICIES AND REFORMS FOR SUSTAINABLE COASTAL AND OCEAN GOVERNANCE** | | | |
| **Outcome 2: National policies and programs on sustainable coastal and ocean development mainstreamed into social and economic development programs of participating countries** | | | |

| Narrative Summary | Indicators[9] | Means of Verification | Assumptions/Risks |
|---|---|---|---|
| **Output B.1: An agreed framework, methodology and indicators for social and economic contributions of coastal and marine areas/sectors developed and demonstrated in two countries of the region.** | | | |
| B.1.1 An agreed framework, methodology and appropriate indicators for assessing social and economic contributions of coastal and marine areas/sectors within the East Asian region. | ✓ (P) Common framework, methodology and indicators adopted and applied by Philippines and RO Korea | ✓ Regional Task Force report<br>✓ Methodology/Guide for Assessing Social and Economic Contributions of Coastal and Marine Areas/Sectors | Assumptions:<br>✓ Methodologies and indicators can be identified, verified and applied in the assessment of coastal and ocean contribution to overall social and economic development, building on the progress made in the existing efforts to develop the methodology and in collaboration with other partners;<br>✓ Countries or relevant agencies are willing to share information.<br>Risk: Low |
| B.1.2 Two (2) national assessments of the social and economic contributions of coastal and marine areas/sectors in participating countries. | ✓ (P) Philippines and RO Korea reports prepared/published | ✓ National workshop proceedings<br>✓ Philippines and RO Korea country reports | |
| B.1.3 One (1) regional forum for senior managers and policy-makers covering social and economic contributions of coastal and marine areas/sectors and promoting policy reforms for strengthening coastal and ocean governance. | ✓ (P) Senior managers and policymakers participate in regional forum during the EAS Congress 2009 | ✓ Proceedings of the Regional Forum on Policy Reforms for Strengthening Coastal and Ocean Governance | |
| **Output B.2: National policy, legislative and institutional reforms, and interagency and multi-sectoral coordinating mechanisms aimed at improved integrated management of marine and coastal areas.** | | | |
| B.2.1 Two (2) participating countries develop, adopt and implement, and three (3) countries initiate:<br>a. national SDS-SEA policy and national multi- | ✓ (P) RO Korea and Vietnam adopt and implement policy reforms for integrated management of coastal and marine areas<br>✓ (P) China, Philippines and | ✓ Mid-term Evaluation report<br>✓ Terminal Evaluation report<br>✓ 6-year framework plans of RO Korea | Assumptions:<br>✓ Political will and commitments can be mobilized to address the need for multi-sector and multidisciplinary management mechanisms for national coastal and policy development and implementation; |

| Narrative Summary | Indicators[9] | Means of Verification | Assumptions/Risks |
|---|---|---|---|
| sectoral and interagency coordinating mechanisms for the implementation of the SDS-SEA; and<br>b. 6-year framework plans for the implementation of the SDS-SEA, including ICM scaling-up programs, strategies, time-bound management targets, priority actions and implementing arrangements for the implementation of SDS-SEA, in consultation with stakeholders. | Thailand initiate policy reforms for integrated management of coastal and marine areas<br>✓ (P) Interagency and multi-sectoral coordinating mechanisms established and operating in RO Korea and Vietnam to coordinate the implementation of the SDS-SEA<br>✓ (P) 6-year framework plans adopted in RO Korea and Vietnam, with relevant agencies allocating resources and assigning managers and staff to implement work programs | and Vietnam<br>✓ national State of Coasts reports of China, Philippines, RO Korea, Thailand, and Vietnam<br>✓ regional State of Coasts report | ✓ By signing the Putrajaya Declaration and Haikou Partnership Agreement, governments have already indicated their concern and willingness to strengthen coastal and ocean policies and programs, in accordance with the SDS-SEA implementation.<br>Risk: Low |
| B.2.2 One (1) regional workshop regarding integrated management of marine and coastal areas. | ✓ (P) Policymakers and senior managers participate in the regional workshop | ✓ Proceedings of the regional workshop | |
| **COMPONENT C: SCALING UP ICM PROGRAMS** | | | |
| **Outcome 3: Integrated coastal management (ICM) scaled up as an on-the-ground framework for achieving sustainable development of coastal lands and waters in at least 5% of the total coastline of the region by 2010.** | | | |
| **Output C.1: Institutional arrangements for national ICM programs in place** | | | |
| C.1.1 "Leadership Forums on ICM" conducted in five (5) countries. | ✓ (P) Senior managers and policymakers participate in national forums in Cambodia, China, Indonesia, Philippines and Vietnam<br>✓ (P) Plan of action for policy development/reform | ✓ Proceedings of Leadership Forums<br>✓ National Plans of Action | Assumptions:<br>✓ Policymakers and managers are interested in strengthening coastal and ocean governance<br>Risk: Low |
| C.1.2 Two (2) participating countries to develop, adopt and implement, and | ✓ (P) ICM policies/legislation and 6-year action plans for ICM implementation adopted | ✓ ICM policies and strategies<br>✓ 6-year action plans | Assumptions:<br>✓ National governments and stakeholders are committed to develop and implement |

| Narrative Summary | Indicators[9] | Means of Verification | Assumptions/Risks |
|---|---|---|---|
| three (3) participating countries to initiate: a) strategies/policies/ legislation for ICM programs; b) 6-year action plans for ICM implementation, with time-bound management targets and implementing arrangements as part of the overall SDS-SEA implementation plan. | and implemented in China and the Philippines, and initiated in Cambodia, Indonesia and Vietnam;<br>✓ (P) Interagency, multi-sectoral coordinating committees for ICM program established in China and the Philippines, providing planning, direction-setting, decision-making and evaluation for program | for ICM implementation<br>✓ Proceedings of interagency meetings<br>✓ National ICM programs with targets and timetables | national ICM policies and programs.<br>✓ Countries are able to support and leverage funding to sustain the operation of national ICM programs.<br>✓ Local governments in the region have the capacity to apply the ICM framework and process, with some technical assistance, capacity building and incentives.<br>Risk: Low |
| C.1.3 Systematic process for monitoring, evaluating and reporting the effectiveness of national and local ICM programs implemented. | ✓ (P) Systematic monitoring, evaluation and reporting system for ICM adopted and implemented in Cambodia, China, Indonesia, Philippines and Vietnam<br>✓ (P) Regional State of Coasts report submitted to EAS Congress/Ministerial Forum 2009<br>✓ (SR) 5% of the region's coastline confirmed to be initiating or implementing ICM programs<br>✓ (ESSI) Increased stakeholder participation in coastal governance at the local and country levels<br>✓ (ESSI) Implementation of strategic action plans within ICM framework in targeted coastal areas result in: reductions in nutrient loadings ranging from 10-50%; 5%-10% of habitats identified as protected areas | ✓ Country State of Coasts reports<br>✓ Regional State of Coast report | Assumptions:<br>✓ A number of countries in the region already have the capacity for national environmental monitoring and reporting systems.<br>Risk: Medium<br>✓ Countries may not be willing to share information. However, only those countries willing to share information will be targeted. The idea is to start with a limited number of willing participating countries (5 to 7). |

| Narrative Summary | Indicators[9] | Means of Verification | Assumptions/Risks |
|---|---|---|---|
| | and/or undergoing restoration; improvements in fishery management and stabilization of some coastal fish stocks and alternate increase in biomass. | | |
| **Output C.2: Capacity building strengthened for local government ICM programs** | | | |
| C.2.1 Existing ICM sites operating as working models and supporting their respective national ICM programs | ✓ (P) Coastal strategies adopted and implemented by local governments (Cambodia, China, Indonesia, Philippines, Thailand, Vietnam)<br>✓ (P) Good practices and case studies documented for replication/use in national scaling up programs | ✓ Good practices<br>✓ Case studies<br>✓ Socio-economic assessments<br>✓ Study tour/site visits | Assumptions:<br>✓ Existing PEMSEA ICM sites have a solid foundation of technical and management skills, and the political commitment to implement their coastal strategies.<br>✓ The benefits being derived through ICM programs are attractive to other local governments in the country.<br>Risk: Low |
| C.2.2 ICM learning networks and training programs set up in 3 countries | ✓ (P) Learning networks incorporated into national ICM scaling up programs in Indonesia, Philippines and Vietnam<br>✓ (P) National Task Forces for ICM set up in China, Indonesia, Philippines and Vietnam, and providing technical assistance to local government units | ✓ National ICM Scaling up Programs<br>✓ Training program reports and evaluations<br>✓ Training certificates issued<br>✓ National ICM monitoring and evaluation reports | Assumptions:<br>✓ National ICM demonstration sites serve as good knowledge/training centers in support of national ICM scaling up programs.<br>✓ PEMSEA's case studies, training modules/materials and other information will provide a sound basis for training programs.<br>✓ Governments, donors and international agencies and organizations are interested in leveraging local government interest and commitments to ICM<br>✓ When combined with the awareness building, policy reforms and programs of national governments, the intensive training program is expected to drive national scaling up programs.<br>Risk: Medium<br>✓ National governments may be reluctant or unwilling to take the lead in the development of national ICM scaling up |
| C.2.3 ICM training manuals, practical guides and case studies, developed in support of training-of-trainers and training of NTF members at the regional and national levels, and training of ICM managers and implementers at the sub- | ✓ ICM training manual developed and published<br>✓ (P) 10 trainers accredited for ICM training<br>✓ (P) 200 newly trained ICM practitioners engaged in ICM programs | ✓ Training certificates issued<br>✓ Training manuals/programs published | |

| Narrative Summary | Indicators[9] | Means of Verification | Assumptions/Risks |
|---|---|---|---|
| national level. | | | programs. To reduce the risk, the GEF project will initially focus on countries which are willing to commit time and resources to ICM scaling up. |
| C.2.4 ICM Good Practices Award developed, recognizing local governments that have displayed commitment and achievement in the implementation of ICM programs. | ✓ (P) EAS Partnership Council establishes ICM Awards Committee and Good Practices Award eligibility criteria and operating modality established<br>✓ (P) Awards presented to local governments | ✓ Proceedings of the EAS Partnership Council<br>✓ Annual report of ICM Awards Committee | Assumptions:<br>✓ Governments, donors and international agencies and organizations are interested in leveraging local government interest and commitments to ICM.<br>✓ An award system provides local governments with recognition and incentive.<br>Risk: Medium<br>✓ The award may not serve as sufficient incentive for local governments to take up ICM and achieve the 5% coverage target. However, when combined with the awareness building, policy reforms and programs of national governments, the award system is to further encourage implementation and competition among sites. |
| **Output C.3: An ICM Code adopted by national and local governments for voluntary use as a standard for certification/recognition of ICM sites** | | | |
| C.3.1 ICM Code, audit guide and training program tested/verified | ✓ (P) Peer Review Group, comprised of national and international specialists in ICM, organized to guide and review Code development<br>✓ (P) PEMSEA ICM Code developed and adopted by the EAS Partnership Council as a standard for voluntary use by national and local governments in ICM program development and implementation. | ✓ ICM Code, Auditor's Guide and Training Manual<br>✓ EAS Partnership Council proceedings | Assumptions:<br>✓ PEMSEA's experience in ICM development and implementation in the East Asian region over the past 12 years provides a sound foundation for the development and implementation of an ICM Code;<br>Risk: Low<br>✓ ICM practitioners may disagree on the core requirements, processes and methodologies for developing and implementing ICM. However, PEMSEA's ICM sites serve as working models of the effectiveness, sustainability and replicability of local government programs in integrated management of coastal and |

| Narrative Summary | Indicators[9] | Means of Verification | Assumptions/Risks |
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| | | | marine areas. |
| C.3.2 ICM Certification/ Recognition system, adopted and tested in collaboration with national governments, the PNLG, donors, and other concerned stakeholders, as a service of the PEMSEA Resource Facility. | ✓ (P) ICM certification/ recognition system tested at 2 ICM sites<br>✓ (P) ICM Certification/ Recognition service prepared by PRF | ✓ ICM recognition certificates<br>✓ PRF business plan | Assumptions;<br>✓ National and local governments want an ICM Certification/Recognition System that provides international standards and serves as an incentive for governments to adopt and implement ICM.<br>Risk: Low<br>✓ Governments may be unwilling to adopt and implement the ICM Code. However, the ICM Code will be an international standard for voluntary use by governments. No government will be obliged to adopt it. The Code and its supporting guides and manuals will aid governments by providing a systematic approach for implementing and sustaining their coastal management programs. |
| **Output C.4: A PSHEM Code adopted and implemented by national governments and the private sector for voluntary use by port authorities and those companies operating in a port as a standard for certification/recognition of a Port Safety, Health and Environmental Management System (PSHEMS)** | | | |
| C.4.1 PSHEM Code recognized by international agencies, authorities and associations with concerns/focus on port development and operations. | ✓ (P) PSHEM Code adopted for voluntary use as a standard for measuring and evaluating the effectiveness of PSHEMS in ports by concerned government agencies, international agencies and organizations | ✓ Agreements between PEMSEA and national agencies and international agencies/ organizations | Assumptions:<br>✓ National governments and concerned international agencies and associations recognize of an international standard for integrated port management.<br>Risk: Low<br>✓ An International Peer Review Group has already provided input to the Code. |
| C.4.2 PSHEMS initiated in three (3) ports, building capacity within the region/ports on PSHEMS application. | ✓ (P) Training on PSHE-MS implementation cost-shared with port authorities and companies operating in ports | ✓ Agreements between PEMSEA and port authorities<br>✓ Training reports | Assumptions:<br>✓ PEMSEA's experience in development and testing of the PSHEM Code, including the training materials and capacity building program for establishing a PSHEMS in a port provide a sound foundation for the development and implementation of the project. |

| Narrative Summary | Indicators[9] | Means of Verification | Assumptions/Risks |
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| | | | Risk: Low |
| C.4.3 PSHEMS Certification/ Recognition system set in place, in collaboration with national governments, private sector, donors, and other concerned stakeholders. | ✓ (SR) PSHEMS Certification/Recognition issued to port authorities and companies operating in ports<br>✓ (SR) Reductions in the number of accidents/ environmental incidents in ports<br>✓ (SR) PRF providing PSHEM Certification/Recognition service | ✓ Applications from Port Authorities/ operating companies for PSHEMS Certification/ Recognition<br>✓ Annual surveillance reports on Certificate holders | Assumptions:<br>✓ Port authorities and companies operating in ports want a PSHEMS Certification/ Recognition System that provides international acknowledgment.<br>Risk: Low |
| **COMPONENT D: TWINNING ARRANGEMENTS FOR RIVER BASIN AND COASTAL AREA MANAGEMENT** | | | |
| **Outcome 4: South-south and north-south twinning arrangements established for integrated management of watersheds, estuaries and adjacent coastal seas, promoting knowledge and experience sharing and collaboration for the implementation of management programs in environmental hotspots of the region** | | | |
| **Output D.1: Regional twinning arrangements developed and implemented for site-specific river basin and coastal area management programs** | | | |
| D.1.1 Capacity building and training, staff exchanges, internships/on-the-job training, study tours/site visits, technology transfer, and technical cooperation and assistance. | ✓ (P) Twinning and partnership arrangements negotiated and signed between the interested sites, institutions and/or programs for the application of ecosystem management approaches and for the strengthening of marine protected areas | ✓ MOAs/MOUs or similar agreements between twinning partners<br>✓ Annual meetings/ workshop proceedings | Assumptions:<br>✓ Other regional and extra-regional projects and programs are willing to serve as twinning partners with the selected sites, as a contribution to the implementation of the SDS-SEA and its objectives and targets.<br>Risk: Low |
| D.1.2 Regional secretariat set up to coordinate and facilitate activities across the sites, including the organization of an annual workshop. | ✓ (P) Regional secretariat for the Twinning Arrangements in place in Seoul, RO Korea, and operational, supported by participating governments | ✓ Secretariat office staffed by national personnel | Assumptions:<br>✓ Countries recognize the need for coordination and sharing of experiences from Twinning Arrangements among countries within the region and elsewhere.<br>Risk: Low |
| D.1.3 Site specific river basins | ✓ (SR) a management | ✓ Operational Plans | Assumptions: |

| Narrative Summary | Indicators[9] | Means of Verification | Assumptions/Risks |
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| and coastal seas management programs established in:<br>a. Bohai Sea;<br>b. Manila Bay;<br>c. Gulf of Thailand;<br>d. Jakarta Bay; and<br>e. Masan-Chinhae Bay. | program in accordance with the Bohai Sea Sustainable Development Strategy (BS-SDS), focusing on a selected watershed area and addressing water pollution reduction and related financing and investment options<br>✓ (SR) the Manila Bay Coastal Strategy, covering integrated watershed and coastal area management, the implementation of the Clean Water Act, and focusing on an investment plan for sewage and sanitation facilities and services in the Pasig River-Laguna de Bay watershed, in collaboration with the World Bank/GEF Manila Third Sewerage Project;<br>✓ (SR) the Gulf of Thailand Joint Statement/Framework Programme initiated with a sub-regional institutional arrangement development/agreement among the three (3) signatory countries and partnerships forged with industry/private sector for capacity enhancement in oil spill prevention, preparedness and response;<br>✓ (SR) A river basin-coastal area ecosystem-based | and budget commitments for identified ecosystem-based management projects<br>✓ Investment plans submitted to Strategic Partnership<br>✓ Joint exercises/training program reports among the three countries in the Gulf of Thailand;<br>✓ Case study/ methodology on the implementation of TPLM. | ✓ Countries support proposed actions that complement existing operational programs in Manila Bay, Bohai Sea and Gulf of Thailand, and help address and overcome existing technical/scientific, institutional, social and financial barriers to programme implementation.<br>✓ Authorities in Indonesia recognize that the Jakarta Bay project will benefit from the previous PEMSEA experiences in Manila Bay and Bohai Sea.<br>Risk: Medium<br>✓ The institutional barriers to establishing and implementing an ecosystem-based management program on a basin-wide basis may discourage governments and stakeholders from an integrated management approach. However, in the Bohai Sea, Manila Bay and Gulf of Thailand, there is already awareness and support among concerned government agencies, levels of government and stakeholder groups for an integrated management strategy and approach to sustainable development of coastal and watershed areas. By strengthening capacities of core personnel and major stakeholders in ecosystem-based management, and building awareness and confidence across sectors, the project will provide a means to addressing major barriers in a transparent and comprehensive manner. |

| Narrative Summary | Indicators[9] | Means of Verification | Assumptions/Risks |
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| | management strategy for sustainable development of a watershed area in Jakarta Bay.<br>✓ (P) Case studies on the experience and lessons gained from the development of a total pollution load management (TPLM) plan for Masan-Chinhae Bay | | |
| D.1.4 Twinning arrangements expanded to other priority watershed areas/sub-regional pollution hotspots, such as the Mekong River, Red River, and Pearl River. | ✓ (P) Agreements on twinning and partnership arrangements negotiated and signed with the interested sites. | ✓ MOAs/MOUs or similar agreements between twinning partners<br>✓ Annual meetings/ workshop proceedings | Assumptions:<br>✓ Other regional and extra-regional projects and programs are willing to serve as twinning partners with the selected sites, as a contribution to the implementation of the SDS-SEA and its objectives and targets.<br>Risk: Low |
| D.1.5 One regional workshop conducted to evaluate the results of the twinning activities, and the potential for replication in other areas. | ✓ (P) Regional workshop attended by twinning partners during the EAS Congress 2009<br>✓ (P) Replication plan developed and endorsed by the Regional Workshop to the EAS Partnership Council | ✓ Proceedings of the Regional Workshop<br>✓ Replication Plan | Assumptions:<br>✓ Good practices in ecosystem-based management and innovative approaches to overcoming barriers to investment in environmental infrastructure are recognized as essential elements of sustainable development programs.<br>✓ Replication plans provide governments and investors with a framework for addressing pollution issues in a rational and affordable manner.<br>Risk: Low |
| **COMPONENT E: INTELLECTUAL CAPACITY AND HUMAN RESOURCES** | | | |
| **Outcome 5: Use of the region's intellectual capital and human resources strengthened, and addressing policy, economic, scientific, technical and social challenges and constraints to integrated management and sustainable use of the marine and coastal environment and resources of the Seas of East Asia** | | | |
| **Output E.1: An enhanced technical support network for countries, comprised of a Regional Task Force (RTF) and country-based National Task Forces (NTF)** | | | |

| Narrative Summary | Indicators[9] | Means of Verification | Assumptions/Risks |
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| E.1.1 A systematic mechanism for the mobilization of the RTF and NTFs set in place and operational, including appropriate incentive and recognition systems, codes of conduct, and training and evaluation programs. | ✓ (P) Agreements signed with RTF members and members of 3 NTFs (Indonesia, Philippines, Vietnam).<br>✓ (P) RTF/NTF Training programs implemented<br>✓ (P) System in place for monitoring and evaluating RTF and NTF members, and for recognizing their contributions. | ✓ PEMSEA RTF and NTF database<br>✓ MOAs/MOUs or similar agreements with RTF members<br>✓ Training workshop reports | Assumptions:<br>✓ There is a core of existing knowledge and capacity residing in government agencies and institutions and universities, and among various sectors, for sustainable development and management of marine and coastal resources.<br>✓ Governments, universities and non-government organizations support the strengthening and mobilization of region's intellectual capital and human resources to resolve environmental problems at the local, national and regional levels.<br>Risks: Low<br>✓ There may be limited interest in establishing/ strengthening RTF and NTF roles and capacities. However, PEMSEA's experience over the past six years has confirmed the support for and value of the RTF approach, both by the recipients of RTF assistance, and by the RTF members themselves. In addition, national consultations undertaken during the PDF-B initiative confirmed national government support for the development and mobilization of NTFs as part of ICM scaling up programs. |
| E.1.2 A core of individuals in participating countries with ICM experience serving as members of NTFs, focused primarily on the development and implementation of national ICM scaling up programs. | ✓ (P) ICM technical services provided by NTFs in Indonesia, Philippines and Vietnam | ✓ Country reports to EAS Partnership Council | |
| E.1.3 Skills and capacities of RTF and NTF members enhanced through training workshops, training of trainers, on-the-job experience, and staff exchanges. | ✓ (P) 50 RTF and NTF members trained in policy development, and technical services covering ICM development and implementation, eco-system-based management and State of Coasts reporting | ✓ Training reports<br>✓ Certificates issued to RTF and NTF members<br>✓ PEMSEA RTF/NTF database | |
| E.1.4 RTF and NTF members conduct national and regional training workshops, transferring tools and skills for the implementation of SDS-SEA at the local, national and sub-regional levels. | ✓ (P) 3 regional training workshops (i.e., methodology for assessing social and economic contributions of coastal and marine areas/sectors; eco-system-based management; and State of Coasts reporting) conducted; | ✓ Training modules/programs<br>✓ Training workshop reports<br>✓ Training Certificates issued<br>✓ PEMSEA RTF/NTF database | |

| Narrative Summary | Indicators[9] | Means of Verification | Assumptions/Risks |
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| | ✓ (P) 3 sub-regional training workshops (i.e., oil spill prevention and response; contingency planning and recovery of costs from oil spills; and sensitivity mapping) conducted; and<br>✓ (P) 10 national training workshops (i.e., ICM policy/program development; national assessment of social and economic contributions of coastal and marine areas/sectors; eco-system based management; national State of Coasts reporting; and innovative financing policies and mechanisms for environmental investments) conducted | | |
| **Output E.2: Areas of Excellence (AOEs) Program and a regional network of universities/scientific institutions supporting SDS-SEA implementation at the national and local levels** | | | |
| E.2.1 Partnership agreements negotiated with two (2) internationally and regionally recognized Areas of Excellence to provide scientific and technical inputs to the implementation of SDS-SEA at the national and regional levels | ✓ (P) Agreements signed with 2 Areas of Excellence operating within existing research institutions and institutions of higher learning, focusing on: monitoring changes in the marine environment; habitat restoration and rehabilitation; and ocean policy and international conventions. | ✓ MOAs/MOUs or similar agreements between AOEs and PRF<br>✓ Work Programs for AOEs<br>✓ Technical/scientific reports and/or policy briefs by AOEs<br>✓ AOE reports to the EAS Partnership Council | Assumptions:<br>✓ Scientific institutions that are recognized internationally and regionally as Areas or Centers of Excellence are willing to expand their horizons, by sharing knowledge, skills and innovative technologies and approaches across the region;<br>Risk: Low |
| E.2.2 Linkages with national universities and donors | ✓ (P) Agreements signed with national universities, | ✓ MOAs/MOUs or similar agreements | Assumptions:<br>✓ Scientific input is essential to the |

| Narrative Summary | Indicators[9] | Means of Verification | Assumptions/Risks |
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| strengthened to augment scientific support to national ICM programs and ecosystem-based management of watersheds and coastal areas. | research institutes and donors to augment scientific support and advice in ICM programs at the national and local levels, as well as ecosystem-based management of watersheds and coastal areas. | between institutions and PEMSEA<br>✓ Country reports to EAS Partnership Council<br>✓ Case studies/good practices evaluations | enhancement of policies and decisions regarding sustainable development of marine and coastal resources. Universities and scientific and technical institutions are willing and capable of providing sound scientific advice to policy-makers and managers. Integrated management approaches provide the opportunity.<br>✓ Risk: Low |
| E.2.3 Reporting and information-sharing system developed to disseminate the outputs of the AoE program and networking of universities. | ✓ (P) Workshop co-organized by AOEs under the theme, Applying Management-Related Science and Technology to SDS-SEA implementation, at EAS Congress 2009 | ✓ EAS Congress proceedings | Assumptions:<br>✓ The EAS Congress provides AOEs and scientific and technical institutions from the region with an international venue for sharing their knowledge, research results, experiences and technologies.<br>Risks: Low |
| **Output E.3: Professional upgrade program, graduate scholarships and specialized training courses** | | | |
| E.3.1 Internships, senior fellowships and specialized training opportunities provided in cooperation with PEMSEA Partners, AoEs, and collaborating institutions and organizations. | ✓ (P) Agreements signed with collaborating institutions and organizations<br>✓ (P) Training modules/ programs prepared, addressing priority needs/capacity disparities<br>✓ (P) Training schedules promoted, providing capacity development opportunities at national and sub-national levels | ✓ Agreements with collaborating institutions and organizations<br>✓ Training modules, programs and schedules | Assumptions:<br>✓ Training modules and programs, developed and applied under PEMSEA, can serve as the foundation for enhanced/updated training programs.<br>✓ There is a demand for internships and fellowships among government agencies and scientific and technical institutions in the region.<br>Risk: Low |
| E.3.2 Standardization of a post-graduate ICM curriculum promoted amongst participating universities in the region. | ✓ (P) Agreements signed with collaborating universities<br>✓ (P) Post graduate ICM curriculum developed and professional upgrade program established facilitating the process of graduate scholarships, international internships and | ✓ Agreements with collaborating universities<br>✓ Teaching materials and curriculum<br>✓ University courses/graduate programs | Assumptions:<br>✓ Universities in the region are committed to strengthen their ICM postgraduate programs to meet increasing demand for qualified coastal management experts.<br>Risk: Low |

| Narrative Summary | Indicators[9] | Means of Verification | Assumptions/Risks |
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| | senior fellowships within and outside the region. | | |
| E.3.3 Specialized training courses produce the necessary human resources for implementation of the SDS-SEA. | ✓ (P) 10 specialized training courses conducted in environmental risk assessment; coastal use zoning; natural resource damage assessment; and IIMS development/ application | ✓ Training workshop reports<br>✓ Training certificates issued to 90 trainees | Assumptions:<br>✓ Specialized training programs developed under PEMSEA have been tested and proven. There is a demand to extend these trainings.<br>Risk: Low |
| E.3.4 Effectiveness of professional upgrading, graduate scholarships, and specialized training courses verified. | ✓ (P) Specialized skills being applied by PEMSEA trainees and graduates in national and sub-national programs and projects | ✓ Survey report | Assumptions:<br>✓ Governments and institutions are aware that the nomination and selection of appropriate candidates for professional upgrading, scholarships and specialized training is critical, in order to ensure that new skills will be applied in support of SDS-SEA implementation.<br>Risk: Low |
| **Output E.4: An internet-based information portal in place, building awareness and transferring knowledge and lessons learned** | | | |
| E.4.1 PEMSEA's internet portal (www.pemsea.org) operating as an information node of the PEMSEA Regional Programme | ✓ (P) Information concerning national ICM scaling up programs and local, national and international partnership arrangements for SDS-SEA implementation shared through portal, in collaboration with GEF IW Learn. | ✓ PEMSEA website | Assumptions:<br>✓ PEMSEA's website has over 2 million hits per year, and is accessible in countries throughout the region. It is already recognized as a primary source of information regarding on-the-ground actions in the region. The learning network can build on that foundation.<br>Risk: Low |
| E.4.2 Develop and implement information dissemination and knowledge sharing systems using four principal channels: | ✓ (P) Agreement signed/ implemented with GEF IW:LEARN, regarding disseminating regional lessons and case studies to International Waters program;<br>✓ (P) EAS Congress | ✓ Agreement with GEF IW: Learn Network<br>✓ EAS Congress proceedings<br>✓ PRF Secretariat report to EAS Partnership Council<br>✓ Mid-term and | Assumptions:<br>✓ PEMSEA has already established a working relationship with IW: Learn, and can build upon this partnership.<br>✓ The EAS Congress is well recognized as a forum for sharing information and knowledge<br>✓ The PRF is staffed with competent |

| Narrative Summary | Indicators[9] | Means of Verification | Assumptions/Risks |
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| | organized, and providing a venue for monitoring, reporting and evaluating progress in SDS-SEA implementation<br>✓ (P) PRF knowledge-sharing conducted, through training programs, investment projects, and networking arrangements<br>✓ (P) PRF and country representatives participate in biennial GEF IW Conference, providing regional experience through case studies and good practices in sustainable development and coastal and ocean governance. | Terminal Evaluation reports<br>✓ GEF Biennial Conference proceedings | individuals with capacity and experience in training and technical services.<br>Risk: Low |
| **Output E.5: Community based projects, including those addressing supplementary livelihood opportunities, developed and implemented at ICM sites throughout the region in partnership with GEF/UNDP Small Grants Programme and other community-based donor programs** | | | |
| E.5.1 Partnerships/working arrangements established with donor-supported programs for SDS-SEA implementation | ✓ (P) Agreements signed with GEF Small Grants Programme (SGP) and other community-based donor programs mobilizing community groups/sectors in sustainable livelihood activities in support of sustainable coastal resource management | ✓ MOAs/MOUs or similar agreements between SGP, other donor programs and PEMSEA | Assumptions:<br>✓ One of the important aspects of ICM programs is the engagement of all concerned sectors in managing coastal and marine areas. Such an approach facilitates awareness and interaction between local governments and NGOs, CBOs and POs in the development and implementation of coastal strategies.<br>✓ International agencies and donors will benefit from the coastal strategies, working arrangements and partnerships that are in place at PEMSEA sites.<br>Risk: Low<br>✓ Representation and recognition of the role of women, youth, indigenous people and other groups is not considered an |

| Narrative Summary | Indicators[9] | Means of Verification | Assumptions/Risks |
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| | | | important issue in some countries. However, project implementation will focus on countries where the political climate is conducive to community participation. |
| E.5.2 Projects proposals facilitated, aimed at mobilizing community groups in the implementation of coastal strategies and actions plans. | ✓ (SR) At least 6 site-specific and community level collaborative projects developed and implemented to strengthen community participation in decision-making<br>✓ (SR) Increased participation among women, youth, indigenous people and marginalized groups in project activities as a result of an increased knowledge, skills and appreciation of the projects. | ✓ Project applications<br>✓ Project reports<br>✓ Annual reports of SGP | Assumptions:<br>✓ Coastal strategies already identify social, economic and environmental issues/problems in the local coastal and watershed areas at PEMSEA sites;<br>✓ NGOs/CBOs and POs are recognized by local governments as partners in coastal strategy implementation.<br>Risk: Low<br>✓ Local governments/ICM offices will assist NGOs and POs with the development of project proposals |
| E.5.3 Capacity building activities for community groups implementing projects in support of coastal strategies | ✓ (SR) Increased access to training and capacity building within communities at PEMSEA sites<br>✓ (SR) Increased funding allocation and support for project proposals by women, youth, IPs and other marginalized sectors. | ✓ Training workshop reports<br>✓ Case studies<br>✓ Annual reports of SGP | Assumptions:<br>✓ Local ICM offices have the capacity to train/assist NGOs and COs in project development and implementation.<br>✓ PRF will provide guidelines and training of trainers.<br>Risk: Low |
| E.5.4 National and regional forums for NGO/community groups organized | ✓ (P) EAS Congress and PEMSEA website provide NGOs and CBOs with ready access to good practices and knowledge on community-based resource management and alternative livelihood programs. | ✓ EAS Congress proceedings<br>✓ PEMSEA website<br>✓ NGO and CBO reports/surveys | Assumptions:<br>✓ Community-based resource management will be a feature workshop of the EAS Congress.<br>✓ Donors and international agencies will support the attendance of project personnel (i.e. CBO and PO project implementation team members) to participate in the EAS Congress.<br>Risk: Low |

| Narrative Summary | Indicators[9] | Means of Verification | Assumptions/Risks |
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| **Output E.6: A self-sustaining regional network of local governments in place, operating and committed to achieving tangible improvements in the sustainable use and development of marine and coastal areas through ICM practices** | | | |
| E.6.1 Capacity enhancing seminars and workshops conducted by PNLG | ✓ (P) Senior local government officials participating in seminars and workshops<br>✓ (SR) 100% increase in the number of local governments participating in PNLG and committed to implementing ICM programs | ✓ PNLG membership list<br>✓ Seminar and workshop reports | Assumptions:<br>✓ Local governments are willing to sign the PNLG Charter during the EAS Congress 2006, thereby establishing the PNLG.<br>✓ Local governments are willing to sponsor their own participation at seminars and workshops.<br>Risk: Low<br>✓ Local governments participated in the drafting of the PNLG Charter.<br>✓ Local governments have been cost-sharing meetings and workshops during the ongoing PEMSEA project. |
| E.6.2 PNLG Secretariat hosted Xiamen Municipal Government | ✓ (P) PEMSEA Network of Local Governments established and hosted by the Xiamen, with the members conducting annual meetings. | ✓ MOA/MOU between Xiamen Municipal Government and PEMSEA<br>✓ PNLG meeting reports | Assumption:<br>✓ Xiamen Municipal Government will volunteer to serve as host for the PNLG Secretariat, and provide resources for its operation.<br>Risk: Low |
| E.6.3 Regular "World Oceans Week" organized by Xiamen Municipal Government | ✓ (P) Local government executives from around the world attended World Oceans Week event and shared knowledge and lessons regarding development and management of urban coastal areas. | ✓ Oceans Week report<br>✓ Xiamen Municipal Government budget allocation for Oceans Week | Assumption:<br>✓ Xiamen Municipal Government, in collaboration with PEMSEA and UNDP, will organize and co-sponsor the Oceans Week.<br>Risk: Low |
| **COMPONENT F: PUBLIC AND PRIVATE SECTOR INVESTMENT AND FINANCING IN ENVIRONMENTAL INFRASTRUCTURE PROJECTS AND SERVICES** | | | |
| **Outcome 6: Public and private sector cooperation achieving environmental sustainability through the mobilization of investments in pollution reduction facilities and services.** | | | |
| **Output F.1: Innovative national investment and financing policies and programs for public and private sector investment in pollution reduction facilities** | | | |

| Narrative Summary | Indicators[9] | Means of Verification | Assumptions/Risks |
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| F.1.1 In conjunction with ICM scaling up initiatives (Component C) and river basin and coastal area management projects (Component D), package, promote and facilitate the adoption and implementation of policy reforms, innovative economic incentives, alternative revenue generating schemes, and appropriate institutional arrangements. | ✓ (P) Good policies and practices in financing and investment in pollution reduction facilities and services packaged and promoted for adoption among ICM sites and pollution hotspots | ✓ Policy briefs and case studies<br>✓ PEMSEA portal and IW Learn dissemination network | Assumptions:<br>✓ There is an unmet demand for environmental infrastructure projects in the region;<br>✓ The private sector represents a virtually untapped resource with respect to pollution reduction investment in the region;<br>✓ Governments are interested and willing to engage the private sector as investors in sewerage, sanitation and waste management projects, using traditional and innovative financing mechanisms.<br>Risks: Low to Medium<br>✓ Governments may unwilling to implement policy reforms to facilitate involvement of the private sector. To address this risk, the project will focus on governments (national and sub-national) that have already expressed/indicated a willingness to engage the private sector as partners in the development and implementation of pollution reduction facilities and services, and/or have similar experience in other sectors.<br>✓ The private sector may not be interested in working with the EAS Partnership Council and participating countries on this issue. However, it is evident that there is significant investment opportunity in pollution reduction among countries across the region. In many countries there are political, financial and regulatory risks that the private sector is unable to address without the support of national governments. The proposed project provides a window for the private sector to address these risks with governments across the region, while maintaining transparency and integrity of process. |
| F.1.2 Formulate and demonstrate methodologies for preparing integrated river basin-coastal area management investment plans focused on pollution reduction, for adoption and use by local governments, the private sector, financial institutions and other concerned stakeholders, particularly with respect to the replication and scaling up of innovative technologies and practices (Component G). | ✓ (P) Policy reforms developed, adopted and implemented at ICM sites<br>✓ (SR) Increased investment in pollution reduction facilities and services among ICM sites and pollution hotspots<br>✓ (SR) Increased jobs/formal employment opportunities created in the environmental industry sector | ✓ Policies/legislation/ ordinances<br>✓ Employment statistics/surveys<br>✓ Case study/survey of ICM scaling up programs<br>✓ Case study/survey of pollution hotspot projects<br>✓ State of Coasts reports | |
| F.1.3 Establish a one-stop PPP Support Service for local governments, the private sector, financial | ✓ (P) One-stop public-private partnership support service for local governments and the private sector | ✓ PRF business plan<br>✓ Requests for PPP services received from governments, | |

| Narrative Summary | Indicators[9] | Means of Verification | Assumptions/Risks |
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| institutions, and other interested stakeholders, in collaboration with Strategic Partners, to promote and facilitate increased private sector participation in investment projects for pollution reduction at ICM sites and in river basin and coastal area management programs. | established and operating within the PRF. | financial institutions and private sector | |
| **COMPONENT G: STRATEGIC PARTNERSHIP ARRANGEMENTS** | | | |
| **Outcome 7: A Strategic Partnership for the Sustainable Development of the Seas of East Asia, functioning as a mechanism for GEF, the World Bank, the UNDP, and other international and regional partners to incorporate and coordinate their strategic action plans, programs and projects under the framework of the SDS-SEA, thus promoting greater sustainability and political commitment to the effort.** | | | |
| **Output G.1: A functional Strategic Partnership arrangement facilitating enhanced communication, knowledge sharing, scaling up and replication of innovative technologies and practices in pollution reduction across the LMEs of East Asia.** | | | |
| G.1.1 Operationalize a Strategic Partnership Technical Team (SPTT) to coordinate the development, implementation, evaluation and promotion of the collaborative activities and outputs of the Strategic Partnership. | ✓ (P) Agreement signed between UNDP, World Bank and the PRF regarding Strategic Partnership arrangement to manage and implement the Project Preparation Revolving Fund | ✓ MOA or similar agreement<br>✓ SPTT meeting proceedings<br>✓ Mid-term stocktaking meeting report<br>✓ External evaluation report | Assumptions:<br>✓ Countries support the Strategic Partnership approach as a means of enhancing cooperation and synergy among projects;<br>✓ Major international players and regional programs are willing to forge a Strategic Partnership, as a means to improved efficiency and cost-effectiveness of available resources. |
| G.1.2 Organize and implement a communication/ coordination program for the Strategic Partnership including a website, quarterly reviews/newsletters, regional conferences/workshops, | ✓ (P) Communication plan developed/implemented among Partners | ✓ Strategic Partnership website<br>✓ EAS Congress proceedings<br>✓ National and regional workshop proceedings | Risks: Medium<br>✓ Countries, international agencies and organizations, private sector and NGOs are not willing to collaborate in all activities and/or prefer bilateral cooperative approaches. To address this risk, national and regional consultations will be conducted during the project to gather input and define the framework of the |

| Narrative Summary | | Indicators[9] | Means of Verification | Assumptions/Risks |
|---|---|---|---|---|
| | etc. to review the progress and achievements of projects and sub-projects, and to promote the replication of good practices across the region and to other regions. | | | Strategic Partnership, relative to the needs and benefits of the countries, international agencies and regional programs.<br>✓ The Strategic Partnership will start with World Bank and UNDP, as a prototype arrangement. As experience and benefits are acquired, the PRF will be responsible for evaluating and communicating the results/good practices.<br>✓ By the end of the project, a series of stocktaking meetings and promotional events are expected to generate demand and interest for a long-term partnership arrangement. |
| G.1.3 | Monitor the progress of the Strategic Partnership through agreed indicators for the Partnership, as well as sub-project specific indicators for each sub-project undertaken by the Strategic Partnership. | ✓ (P) M&E program conducted by PRF, in collaboration with World Bank, using agreed environmental and socio-economic indicators<br>✓ (SR) Project Preparation Revolving Fund developed and implemented in one country<br>✓ (ESSI): Increase in the proportion of population with access to improved sanitation and sewerage systems, with corresponding reductions in risk to incidence of water borne disease. | ✓ M&E report to EAS Partnership Council<br>✓ State of Coasts report<br>✓ Agreement with one country<br>✓ Agreements with private sector, donors, and financial institutions | |
| G.1.4 | Package and disseminate multi-media materials regarding the Strategic Partnership and the related sub-projects to governments and stakeholders, the EAS Partnership Council, the EAS Congress, the Ministerial Forum, and other relevant regional and international forums. | ✓ (P) Five (5) good practices and case studies prepared by SPTT and disseminated<br>✓ (P) Workshops and seminars held at the national (5) and regional levels promoting replication of good practices<br>✓ (P) IT network for promoting replication opportunities set up<br>✓ (P) Virtual market place for sites and partners wishing to | ✓ Case studies<br>✓ Good practices<br>✓ EAS Congress proceedings<br>✓ Strategic Partnership website<br>✓ IW Learn network | |

| Narrative Summary | Indicators[9] | Means of Verification | Assumptions/Risks |
|---|---|---|---|
| | replicate good practices established | | |
| G.1.5 Develop linkages and strategic partnership arrangements with regional and international organizations and institutions, and donors, as well as other regional GEF IW programs, such as the South China Sea, Yellow Sea, Sulu-Sulawesi Seas and the Arafura and Timor Seas, to transfer knowledge, replicate good practices and facilitate increased investments in pollution reduction across the region. | ✓ (P) Strategic Partnership arrangements signed with two new partners | ✓ MOAs or similar agreements | |
| **COMPONENT H: CORPORATE SOCIAL RESPONSIBILITY FOR SUSTAINABLE DEVELOPMENT OF COASTAL AND MARINE RESOURCES** | | | |
| **Outcome 8: Multinational and national corporations integrating social responsibility into their organizational strategies, programs and practices, and facilitating the replication and scaling up of capacities in sustainable development of marine and coastal resources among local governments and communities of the region.** | | | |
| **Output H.1: Partnership arrangements established and implemented between multinational and national corporations, industry, local governments and communities for sustainable development of marine and coastal resources.** | | | |
| H.1.1 Develop multi-media materials and conduct seminars/forums for CEOs and senior managers of corporations (public and private), private industry and local and national government leaders, in order to strengthen awareness and understanding of environmental | ✓ (P) CEOs attend seminars/forums to learn about corporate experience in ICM program development and implementation | ✓ Reports on CEO forums<br>✓ APR/PIR | ✓ The corporate sector is concerned about its role and responsibility in the community, and is looking for opportunities to demonstrate its corporate social responsibility and impacts, locally, nationally and internationally.<br>✓ Governments (national and local) are willing and interested to partner with national and multinational corporations, industry and private sector to strengthen governance of coastal and marine resources. |

| Narrative Summary | | Indicators[9] | Means of Verification | Assumptions/Risks |
|---|---|---|---|---|
| | sustainability, its linkages to economic and social development, and the use of ICM as an effective tool for governance of coastal and marine resources. | | | Risks: Medium<br><br>✓ There is a need to build trust and working relatinships between the two sectors. PEMSEA has previous experience in this area. |
| H.1.2 | Facilitate the development and implementation of partnership arrangements between corporations/industry and local governments and communities and, within the context of ICM scaling up programs, aligning private sector organizational goals for social responsibility with resource commitments and investments in support of social, economic and environmental goals and benefits of the communities. | ✓ (SR) At least 50 companies and firms sign agreements and implement ICM or environmental projects with local government | ✓ Signed Agreements<br>✓ APR/PIR<br>✓ Technical reports/case studies of partnership arrangements | |
| H.1.3 | Link up with a "corporate champion for sustainable development" to develop and implement a demonstration project on corporate social responsibility in strategic issues/areas of concern to local governments (e.g., water use/conservation; disaster management; sustainable livelihoods; | ✓ (P) Agreement with corporate champion<br>✓ (SR) Demonstration project implemented in collaboration with local government and other partners | ✓ Signed Agreement<br>✓ Technical report/case study<br>✓ APR/PIR | |

| Narrative Summary | Indicators[9] | Means of Verification | Assumptions/Risks |
|---|---|---|---|
| improved access to/usage of IT in knowledge sharing and engaging disadvantaged sectors of communities in coastal governance; etc.). | | | |
| **Output H.2: Corporate responsibility practices evaluated and recognized as a special relevance to achieving social, environmental and economic benefits in coastal communities.** | | | |
| H.2.1 Modify and adopt monitoring and evaluation procedures (e.g., ISO 26000), including social, economic and environmental indicators, as appropriate, to assess corporate policy, commitment and actions in aid of sustainable development of coastal communities and their natural resources based on PEMSEA's experience in ICM Code and PSHEMS Code and recognition system. | ✓ (P) Methodology developed<br>✓ (P) Regional workshop conducted, consensus achieved | ✓ Methodology published<br>✓ Workshop proceedings | ✓ Corporate sector wants to be recognized for their social responsibility;<br>✓ The development of corporate responsibility charters, principles and other instruments, and these endorsement of these by a large number of companies and firms across the region verifies this assumption.<br><br>Risk: Low<br><br>✓ PEMSEA has previous experience in developing, demonstrating and implementing recognition systems (PSHEM Code).<br>✓ This experience will be utilized in developing and implementing the corporate social responsibility recognition system. |
| H.2.2 Field-test the monitoring and evaluation procedures in collaboration with existing corporate partners who are working with local government units and stakeholders at ICM sites. | ✓ (P) Evaluation conducted in collaboration wit corporate sector, at an existing project site | ✓ Evaluation report<br>✓ Refined methodology | |
| H.2.3 Implement a corporate responsibility recognition system, in collaboration | ✓ (P) Regional workshop/forum conducted, consensus achieved on | ✓ Regional workshop proceedings<br>✓ Demonstration report | |

| Narrative Summary | Indicators[9] | Means of Verification | Assumptions/Risks |
|---|---|---|---|
| with national governments, private sector, donors, and other concerned stakeholders, to promote and encourage private sector participation, resource commitments and investments in support of social, economic and environmental goals and benefits of coastal communities. | recognition system<br>✓ (P) Recognition system tested/demonstrated at selected sites | | |

## ANNEX C: DETAILED BUDGET BY PROJECT ACTIVITY/SUBCOMPONENT

| Project Components/Activities (2007-2010) | Work Plan Tasks/Events | Resp. Party | Planned Budget | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| | | | Fund Source | ATLAS Code | Description | Year 1 (US $) | Year 2 (US $) | Year 3 (US $) | Total Amount |
| **Component A. A functional regional mechanism for SDS-SEA implementation** | | | | | | | | | |
| ***Output A.1: A country-owned regional mechanism for SDS-SEA implementation.*** | | | | | | | | | |
| A.1.1 Formulate and facilitate the adoption of a rolling 6-year framework of partnership programmes for implementation of the SDS-SEA, addressing priority issues, identifying measurable and reasonable objectives and targets, confirming gaps and disparities in capacities to achieve identified goals, and putting together specific collaborative and mutually supportive arrangements with other concerned international and regional partners that are essential to make the goals achievable. | > Regional working group organized to draft the regional framework of partnership programmes | PRF | GEF | 71300 | Local Consultants | 16,050 | 16,050 | 2,675 | 34,775 |
| | > Two (2) regional workshops | PRF | GEF | 71600 | Travel | 2,675 | 2,675 | | 5,350 |
| | > Outputs/outcomes presented to the EAS Partnership Council 2008 | PRF | GEF | 72100 | Contract Services - Company | 27,285 | | | 27,285 |
| | | PRF | GEF | 63400 | Learning Costs | 16,050 | 16,585 | | 32,635 |
| **SUBTOTALS** | | | | | | **62,060** | **35,310** | **2,675** | **100,045** |
| A.1.2 Establish a voluntary regional Partnership Fund as a support mechanism to reduce in-country and cross-country capacity disparities, for improved implementation of the SDS-SEA. | > Identification/formulation of operating/financial management mechanism for a Partnership Fund within the UN framework | PRF | GEF | 71200 | International Consultants | 28,890 | 21,400 | 21,400 | 71,690 |
| | > Pre-feasibility study on the design of a regional fund, including governing body | PRF | GEF | 71300 | Local Consultants | 8,560 | 4,280 | 5,136 | 17,976 |
| | > Regional forum on the outputs of the mechanism development and pre-feasibility study organized | PRF | GEF | 71600 | Travel | | 21,400 | | 21,400 |
| | > Results presented to the EAS Partnership Council 2008 | PRF | GEF | 72100 | Contract Services - Company | 16,050 | 11,235 | | 27,285 |
| | > Partnership Fund implemented in accordance with Council authorization | PRF | GEF | 63400 | Learning Costs | | 26,750 | | 26,750 |
| | > Outcomes of Partnership Fund reported to EAS Partnership Council 2009. | PRF | GEF | 74200 | AV & Publications | 535 | 1,712 | 1,712 | 3,959 |
| **SUBTOTALS** | | | | | | **54,035** | **86,777** | **28,248** | **169,060** |

| Project Components/Activities (2007-2010) | Work Plan Tasks/Events | Resp. Party | Planned Budget | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| | | | Fund Source | ATLAS Code | Description | Year 1 (US $) | Year 2 (US $) | Year 3 (US $) | Total Amount |
| A.1.3 Develop and implement a country-owned and sustainable PEMSEA Resource Facility (PRF) providing: a) secretariat services to the EAS Partnership Council; and b) policy and technical support services to participating countries and other stakeholders, including evaluation and transfer of good practices from and in collaboration with ongoing projects and programs especially those supported by GEF and other partners. | > EAS Council meetings organized/conducted in 2008, 2009, 2010 | PRF | GEF | 71300 | Local Consultants | 6,420 | 6,420 | 6,420 | 19,260 |
| | > Executive Council meetings conducted and held in 2007 (1), 2008 (2), 2009 (2), 2010 (2) | PRF | GEF | 71600 | Travel | 10,700 | 10,700 | 10,700 | 32,100 |
| | > PRF operating, management, accounting and reporting procedures established | PRF | GEF | 63400 | Learning Costs | 42,800 | 53,500 | 32,100 | 128,400 |
| | > Business plan developed for PRF technical services | PRF | GEF | 72100 | Contract Services - Company | 42,800 | 64,200 | 69,550 | 176,550 |
| | > PRF Secretariat Services administrative, accounting and events management support | PRF | GEF | 74200 | AV & Publications | 37,450 | 39,055 | 42,800 | 119,305 |
| **SUBTOTALS** | | | | | | **140,170** | **173,875** | **161,570** | **475,615** |
| A.1.4 Organize and put into practice the financing and operating arrangements for a tri-annual regional EAS Congress, including a Ministerial Forum, to serve as vehicle for countries to re-confirm their commitments to the implementation of the SDS-SEA, and as an International Conference to provide a medium for reporting, monitoring and evaluating the progress of SDS-SEA implementation. | > EAS Congress 2009 preparations/arrangements; host countries and partners organizations consulted/identified | PRF | GEF | 71300 | Local Consultants | 10,700 | 10,700 | 10,700 | 32,100 |
| | > Cost recovery operating arrangement developed in collaboration with the host country, co-organizers and sponsors | PRF | GEF | 71600 | Travel | 2,675 | 2,675 | 2,675 | 8,025 |
| | > Cost recovery operating arrangement presented to the EAS Partnership Council 2008 | PRF | GEF | 72100 | Contract Services - Company | 5,350 | 10,700 | 16,050 | 32,100 |
| | > Cost recovery mechanism implemented in accordance with Council authorization, and EAS Congress 2009 conducted | PRF | GEF | 63400 | Learning Costs | | | 214,000 | 214,000 |
| | > Effectiveness of the Congress as a self-sustaining vehicle for the continual assessment and improvement of SDS-SEA implementation evaluated | | | | | | | | |
| | > Results presented to the EAS Partnership Council for decision on future role/operation of the EAS Congress | | | | | | | | |
| **SUBTOTALS** | | | | | | **18,725** | **24,075** | **243,425** | **286,225** |

| Project Components/Activities (2007-2010) | Work Plan Tasks/Events | Resp. Party | Planned Budget | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| | | | Fund Source | ATLAS Code | Description | Year 1 (US $) | Year 2 (US $) | Year 3 (US $) | Total Amount |
| A.1.5 Develop and put into service, at the national and regional levels, a regular reporting system for the State of Coasts (SOC) report for the Seas of East Asia, to monitor progress and impacts of the implementation activities and programs within the framework of the SDS-SEA. | > Baseline review and assessment of ongoing monitoring and reporting systems at the national, subregional and regional levels completed | PRF | GEF | 71300 | Local Consultants | 32,100 | 32,100 | 25,680 | 89,880 |
| | > Regional Task Force established to develop and build consensus on the SOC reporting framework and guide | PRF | GEF | 71600 | Travel | 16,050 | 16,050 | 10,700 | 42,800 |
| | > Regional workshop conducted to finalizing the guide and the theme of the first SOC report | PRF | GEF | 72100 | Contract Services - Company | 26,750 | 34,240 | 26,750 | 87,740 |
| | > Five countries undertake SOC reports with technical assistance (China; Indonesia; Philippines; Thailand; Vietnam w/RO Korea and Japan participating on a cost-shared basis) | PRF | GEF | 63400 | Learning Costs | 10,700 | 10,700 | | 21,400 |
| | > National SOCs published and disseminated (China; Indonesia; Philippines; Thailand; Vietnam) | PRF | GEF | 74200 | AV & Publications | | | 21,400 | 21,400 |
| | > Concerned regional, UN and international projects and programmes in the East Asia region invited to participate in SOC reporting system covering the LMEs of East Asia.<br>> Country and LME SOC reports integrated into a regional SOC<br>> Regional SOC report publiished and disseminated<br>> Regional SOC presented to the EAS Congress 2009, Ministerial Forum and EAS Partnership Council 2009 | | | | | | | | |
| **SUBTOTALS** | | | | | | **85,600** | **93,090** | **84,530** | **263,220** |
| ***Output A.2: A Plan of Action for transforming PEMSEA into a long term, self-sustained regional implementing mechanism for the SDS-SEA with a legal personality.*** | | | | | | | | | |
| A.2.1 Identify and evaluate the benefits and constraints of different operating and administrative arrangements and make recommendations to be considered by countries and their partners that would provide PEMSEA with options for transformation to a long term, self-sustained regional implementing mechanism for the SDS-SEA. | > Research conducted on the various long-term options, their costs, benefits and constraints, and their acceptability to the Partners | PRF | GEF | 71300 | Local Consultants | 12,840 | 12,840 | 10,165 | 35,845 |
| | > Series of seminars/consultative workshops organized and conducted involving Foreign Affairs and NFPs of participating countries to examine and build consensus on acceptable option | PRF | GEF | 71600 | Travel | 10,700 | 10,700 | 2,675 | 24,075 |
| | | PRF | GEF | 63400 | Learning Costs | 10,165 | 10,165 | | 20,330 |
| **SUBTOTALS** | | | | | | **33,705** | **33,705** | **12,840** | **80,250** |

| Project Components/Activities (2007-2010) | Work Plan Tasks/Events | Resp. Party | Planned Budget | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| | | | Fund Source | ATLAS Code | Description | Year 1 (US $) | Year 2 (US $) | Year 3 (US $) | Total Amount |
| A.2.2 Facilitate a review and approval process involving participating countries, regional and international partners for a Plan of Action to create PEMSEA as a long term, self-sustained regional mechanism. | > Regional workshop/conference organizized/conducted involving country Foreign Affairs and NFPs to achieve regional consensus on Plan of Action | PRF | GEF | 71300 | Local Consultants | 8,667 | 8,560 | | 17,227 |
| | | PRF | GEF | 63400 | Learning Costs | | 37,450 | | 37,450 |
| **SUBTOTALS** | | | | | | **8,667** | **46,010** | **0** | **54,677** |
| A.2.3 Submit the Plan of Action to the EAS Partnership Council for endorsement to Governments. | > Plan of Action refined; Plan of Action submitted to Council | PRF | GEF | 71300 | Local Consultants | | 2,140 | | 2,140 |
| **SUBTOTALS** | | | | | | **0** | **2,140** | **0** | **2,140** |
| A.2.4 Upon approval by Governments, initiate the implementation of the Plan of Action, including among others, preparation of working documents for the PEMSEA transformation. | > Drafting of working documents initiated | PRF | GEF | 71300 | Local Consultants | | | 12,840 | 12,840 |
| | | PRF | GEF | 71600 | Travel | | | 5,350 | 5,350 |
| | | PRF | GEF | 72100 | Contract Services - Company | | | 12,840 | 12,840 |
| **SUBTOTALS** | | | | | | **0** | **0** | **31,030** | **31,030** |
| **TOTALS** | | | | | | **402,962** | **494,982** | **564,318** | **1,462,262** |
| **Component B: National policies and reforms for sustainable coastal and ocean governance** | | | | | | | | | |
| ***Output B.1: An agreed framework, methodology and indicators for social and economic contributions of coastal and marine areas/sectors developed and demonstrated in two countries of the region.*** | | | | | | | | | |
| B.1.1 Organize a Regional Task Force to facilitate consensus among national and international stakeholders on a framework, methodology and appropriate indicators for assessing social and economic contributions of coastal and marine areas/sectors within the East Asian region | > Framework, methodology and guide prepared;<br>> Results published and disseminated;<br>> Regional workshop organized and conducted for the purpose of achieving consensus on the methodlogy/guide and implementation plan. | PRF | GEF | 71200 | International Consultants | 58,850 | 16,050 | 16,050 | 90,950 |
| | | PRF | GEF | 71300 | Local Consultants | 8,560 | | | 8,560 |
| | | PRF | GEF | 71600 | Travel | 4,280 | | | 4,280 |
| | | PRF | GEF | 72100 | Contract Services - Company | 21,400 | | | 21,400 |
| | | PRF | GEF | 63400 | Learning Costs | 32,100 | | | 32,100 |
| **SUBTOTALS** | | | | | | **125,190** | **16,050** | **16,050** | **157,290** |
| B.1.2 Support the conduct of two national assessments of the social and economic contributions of coastal and marine areas/sectors in participating countries. | > Two countries (Philippines and RO Korea) implement national assessment;<br><br>> National reports published and disseminated;<br><br>> Outcomes/lessons from national reports synthesized and published as case study. | PRF | GEF | 71200 | International Consultants | | 42,800 | | 42,800 |
| | | PRF | GEF | 71300 | Local Consultants | | 12,840 | | 12,840 |
| | | PRF | GEF | 71600 | Travel | | 4,280 | | 4,280 |
| | | PRF | GEF | 72100 | Contract Services - Company | | 53,500 | | 53,500 |
| **SUBTOTALS** | | | | | | **0** | **113,420** | **0** | **113,420** |

| Project Components/Activities (2007-2010) | Work Plan Tasks/Events | Resp. Party | Planned Budget | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| | | | Fund Source | ATLAS Code | Description | Year 1 (US $) | Year 2 (US $) | Year 3 (US $) | Total Amount |
| B.1.3 Organize a workshop at the EAS Congress 2009 to present the results/outcomes of the national assessments, for senior managers and policy-makers | > Workshop organized and conducted at EAS Congress 2009;<br><br>> Results presented to Ministerial Forum regarding the significance of the marine sector to the economy of the region and its sustainable development. | PRF | GEF | 71200 | International Consultants | | | 21,400 | 21,400 |
| | | PRF | GEF | 71600 | Travel | | | 21,400 | 21,400 |
| | | PRF | GEF | 63400 | Learning Costs | | 21,400 | | 21,400 |
| **SUBTOTALS** | | | | | | **0** | **21,400** | **42,800** | **64,200** |
| ***Output B.2: National policy, legislative and institutional reforms, and interagency and multi-sectoral coordinating mechanisms aimed at improved integrated management of marine and coastal areas.*** | | | | | | | | | |
| B.2.1 Promote and facilitate two (2) participating countries to develop, adopt and implement, and three (3) countries to initiate:<br>a. national SDS-SEA policy and national multi-sectoral and interagency coordinating mechanisms for the implementation of the SDS-SEA; and<br>b. 6-year framework plans for the implementation of the SDS-SEA, including ICM scaling-up programs, strategies, time-bound management targets, priority actions and implementing arrangements for the implementation of SDS-SEA, in consultation with stakeholders. | > National policy, muti-sectoral insitutional and interagency coordinating mechanism and 6-year country framework programme developed, adopted, implemented in 2 countries (Vietnam and RO Korea);<br><br>> National policy, muti-sectoral insitutional and interagency coordinating mechanism and 6-year country framework programme initiated in 3 countries (China; Philippines; Indonesia) | PRF | GEF | 71200 | International Consultants | 5,350 | 32,100 | 32,100 | 69,550 |
| | | PRF | GEF | 71300 | Local Consultants | 8,560 | 8,560 | 8,560 | 25,680 |
| | | PRF | GEF | 71600 | Travel | 1,605 | 2,675 | 2,675 | 6,955 |
| | | PRF | GEF | 72100 | Contract Services - Company | 42,800 | 42,800 | 42,800 | 128,400 |
| | | PRF | GEF | 63400 | Learning Costs | 10,700 | 21,400 | 21,400 | 53,500 |
| | | PRF | GEF | 74200 | AV & Publications | | 2,140 | 2,675 | 4,815 |
| **SUBTOTALS** | | | | | | **69,015** | **109,675** | **110,210** | **288,900** |
| **TOTALS** | | | | | | **194,205** | **260,545** | **169,060** | **623,810** |
| **Component C: Scaling-up ICM** | | | | | | | | | |
| ***Output C.1: Institutional arrangements for national ICM programs in place*** | | | | | | | | | |
| C.1.1 Organize "Leadership Forums on ICM" in five (5) countries to mobilize national policymakers, local leaders and coastal managers to support and initiate the development of national ICM policy, legislation and programs. | > Assessment of national ICM program status completed and development strategy formulated in consultation with countries;<br><br>> Leadership Forums conducted in Cambodia, China, Indonesia, Philippines, Vietnam and RO Korea regarding strategy and plan for ICM program development and implementation. | PRF | GEF | 71200 | International Consultants | 21,400 | | | 21,400 |
| | | PRF | GEF | 71300 | Local Consultants | 8,560 | | | 8,560 |
| | | PRF | GEF | 71600 | Travel | 10,700 | | | 10,700 |
| | | PRF | GEF | 72100 | Contract Services - Company | 16,050 | | | 16,050 |
| | | PRF | GEF | 63400 | Learning Costs | 42,800 | 21,400 | | 64,200 |
| **SUBTOTALS** | | | | | | **99,510** | **21,400** | **0** | **120,910** |

| Project Components/Activities (2007-2010) | Work Plan Tasks/Events | Resp. Party | Planned Budget | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| | | | Fund Source | ATLAS Code | Description | Year 1 (US $) | Year 2 (US $) | Year 3 (US $) | Total Amount |
| C.1.2 Facilitate two (2) participating countries to develop, adopt and implement, and three (3) participating countries to initiate: a) national strategies/policies/ legislation for ICM programs; b) 6-year action plans for ICM implementation, with time-bound management targets and implementing arrangements as part of the overall SDS-SEA implementation plan. | > National strategies/policies/legislation for ICM programme and 6-year action plans for ICM developed, adopted and implemented in 2 countries (Philippines; Vietnam);<br><br>> National strategies/policies/legislation for ICM programme and 6-year action plans for ICM initiated in 3 countries (Cambodia; China; Indonesia). | PRF | GEF | 71200 | International Consultants | 16,050 | 64,200 | 64,200 | 144,450 |
| | | PRF | GEF | 71300 | Local Consultants | | 12,840 | 12,840 | 25,680 |
| | | PRF | GEF | 71600 | Travel | | 10,700 | | 10,700 |
| | | PRF | GEF | 72100 | Contract Services - Company | | 70,620 | | 70,620 |
| | | PRF | GEF | 63400 | Learning Costs | 21,400 | 32,100 | | 53,500 |
| | | PRF | GEF | 74200 | AV & Publications | | | 5,350 | 5,350 |
| **SUBTOTALS** | | | | | | **37,450** | **190,460** | **82,390** | **310,300** |
| C.1.3 Set in place a systematic process for monitoring, evaluating and reporting the effectiveness of national and local ICM programs, with regard to agreed targets, schedules and indicators, in collaboration with concerned national and local governments. | > Systematic monitoring, evaluation and reporting system developed in line with bottom-up reporting for SOC;<br><br>> Capacity development workshops conducted in Cambodia, China, Indonesia, Philippines and Vietnam for implementation of reporting system for 2009 SOC report;<br><br>> Inputs provided to the State of Coasts report and EAS Partnership Council assessment of the SDS-SEA targets concerning ICM coverage | PRF | GEF | 71200 | International Consultants | | 21,400 | 10,700 | 32,100 |
| | | PRF | GEF | 71300 | Local Consultants | | 8,560 | | 8,560 |
| | | PRF | GEF | 71600 | Travel | | 7,490 | | 7,490 |
| | | PRF | GEF | 72100 | Contract Services - Company | | 32,100 | | 32,100 |
| | | PRF | GEF | 63400 | Learning Costs | 21,400 | 32,100 | | 53,500 |
| **SUBTOTALS** | | | | | | **21,400** | **101,650** | **10,700** | **133,750** |
| ***Output C.2: Capacity building and dedicated incentive packages established for local government ICM programs*** | | | | | | | | | |
| C.2.1 Augment existing ICM sites that can be used as working models in support of their respective national ICM scaling up programs. | > Capacity development programs formulated and implemented at relevant ICM sites in support of coastal strategy implementation;<br><br>> Monitoring and report system operationalized and good practices documented;<br><br>> Case studies prepared and disseminated for use in further scaling up/capacity development at the country and regional levels. | PRF | GEF | 71200 | International Consultants | 10,700 | 10,700 | 10,700 | 32,100 |
| | | PRF | GEF | 71300 | Local Consultants | 8,560 | 8,560 | 8,560 | 25,680 |
| | | PRF | GEF | 71600 | Travel | 5,350 | 5,350 | 5,350 | 16,050 |
| | | PRF | GEF | 72100 | Contract Services - Company | 107,000 | 193,670 | 107,000 | 407,670 |
| **SUBTOTALS** | | | | | | **131,610** | **218,280** | **131,610** | **481,500** |

| Project Components/Activities (2007-2010) | Work Plan Tasks/Events | Resp. Party | Planned Budget | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| | | | Fund Source | ATLAS Code | Description | Year 1 (US $) | Year 2 (US $) | Year 3 (US $) | Total Amount |
| C.2.2 Set up ICM learning networks and ICM training programs in three (3) countries confirming institutional and administrative support from national governments, donors and international organizations, targeting the sharing of knowledge and transfer of skills regarding ICM program development and implementation to different levels of government and various sectors of society, including national and local leaders, ICM managers, local level practitioners and community groups, and NTF members. | > Learning networks set up in Indonesia, Philippines and Vietnam strengthening capacities and skills of local governments;<br><br>> Training-trainers programs prepared/conducted conducted in Indonesia, Philippines and Vietnam using RTF;<br><br>> NTFs for ICM set up in China, Indonesia, Philippines, Thailand, and Vietnam to provide technical assistance to LGUs/national governments in their scaling up efforts. | PRF | GEF | 71200 | International Consultants | 8,560 | 10,700 | 10,700 | 29,960 |
| | | PRF | GEF | 71300 | Local Consultants | | 10,700 | 10,700 | 21,400 |
| | | PRF | GEF | 71600 | Travel | | 5,350 | 7,490 | 12,840 |
| | | PRF | GEF | 72100 | Contract Services - Company | | 53,500 | 26,750 | 80,250 |
| | | PRF | GEF | 63400 | Learning Costs | | 80,250 | 96,300 | 176,550 |
| **SUBTOTALS** | | | | | | **8,560** | **160,500** | **151,940** | **321,000** |
| C.2.3 Develop/update PEMSEA ICM training manuals, practical guides and case studies, and organize/facilitate the conduct of training-of-trainers and training of NTF members at the regional and national levels, and training of ICM managers and implementers at the sub-national level. | > ICM training manual prepared, including training componenets for beginners, practioners with on-the-ground experience, and municipal planners/managers;<br><br>> ICM training manual field-tested in three countries (Philippines; Indonesia; Vietnam), refined and pblished;<br><br>> Regional and national trainers-training conducted using ICM Manual, with PEMSEA accreditation of ICM trainers. | PRF | GEF | 71200 | International Consultants | 58,850 | 58,850 | 32,100 | 149,800 |
| | | PRF | GEF | 71300 | Local Consultants | 10,700 | 10,700 | | 21,400 |
| | | PRF | GEF | 72100 | Contract Services - Company | 26,750 | 21,400 | | 48,150 |
| | | PRF | GEF | 63400 | Learning Costs | 107,000 | 160,500 | 107,000 | 374,500 |
| **SUBTOTALS** | | | | | | **203,300** | **251,450** | **139,100** | **593,850** |
| C.2.4 Develop an ICM Good Practices Award recognizing local governments that have displayed commitment and achievement in the implementation of ICM programs. | > ICM Awards Committee and Good Practices Award eligibility criteria and operating modality established in collaboration with PNLG;<br><br>> Awards presented to local governments during EAS Congress 2009. | PRF | GEF | 71200 | International Consultants | | 2,140 | 2,140 | 4,280 |
| | | PRF | GEF | 71300 | Local Consultants | | 8,560 | 8,560 | 17,120 |
| | | PRF | GEF | 72100 | Contract Services - Company | | 1,070 | 1,070 | 2,140 |
| **SUBTOTALS** | | | | | | **0** | **11,770** | **11,770** | **23,540** |

| Project Components/Activities (2007-2010) | Work Plan Tasks/Events | Resp. Party | Planned Budget | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| | | | Fund Source | ATLAS Code | Description | Year 1 (US $) | Year 2 (US $) | Year 3 (US $) | Total Amount |
| ***Output C.3: An ICM Code adopted by national and local governments for voluntary use as a standard for certification/recognition of ICM sites*** | | | | | | | | | |
| C.3.1 Develop and test an ICM Code, audit guide and training program using national ICM demonstration sites for testing and refinement. | > ICM Code and guide prepared;<br><br>> ICM Audit Manual and training programme developed and demonstrated at two ICM sites<br><br>> Case studies on ICM Code application at two ICM sites prepared and disseminated. | PRF | GEF | 71200 | International Consultants | 37,450 | | | 37,450 |
| | | PRF | GEF | 71300 | Local Consultants | 12,840 | | | 12,840 |
| | | PRF | GEF | 71600 | Travel | 10,700 | | | 10,700 |
| | | PRF | GEF | 72100 | Contract Services - Company | 46,010 | | | 46,010 |
| | | PRF | GEF | 63400 | Learning Costs | 53,500 | 32,100 | | 85,600 |
| **SUBTOTALS** | | | | | | **160,500** | **32,100** | **0** | **192,600** |
| C.3.2 Develop and test an ICM Certification/Recognition system, in collaboration with national governments, the PNLG, donors, and other concerned stakeholders, as a service of the PEMSEA Resource Facility. | > ICM certification/recognition process formulated in collaboration with PNLG and other concerned stakeholders;<br><br>> ICM certification/recognition system tested at two ICM sites;<br><br>> ICM certification/recognition workshop conducted during the EAS Congress 2009 to build consensus on the application of the system among LGUs in the region. | PRF | GEF | 71200 | International Consultants | | 21,400 | 10,700 | 32,100 |
| | | PRF | GEF | 71300 | Local Consultants | | 8,560 | 8,560 | 17,120 |
| | | PRF | GEF | 71600 | Travel | | 5,350 | 5,350 | 10,700 |
| | | PRF | GEF | 72100 | Contract Services - Company | | 32,100 | 32,100 | 64,200 |
| | | PRF | GEF | 63400 | Learning Costs | 26,750 | 26,750 | 26,750 | 80,250 |
| | | PRF | GEF | 74200 | AV & Publications | | | 4,280 | 4,280 |
| **SUBTOTALS** | | | | | | **26,750** | **94,160** | **87,740** | **208,650** |
| ***Output C.4: A PSHEM Code adopted and implemented by national governments and the private sector for voluntary use by port authorities and those companies operating in a port as a standard for certification/recognition of a Port Safety, Health and Environmental Management System (PSHEMS)*** | | | | | | | | | |
| C.4.1 Solicit international recognition of the PSHEM Code developed through IMO, ILO and other international agencies, authorities and associations with concerns/focus on port development and operations. | > PSHEM Code and PSHE-MS manual and training modules packaged and promoted among the maritime and ports sector in the region and globally;<br><br>> Regional and international agencies, organizations and associations invited to adopt the PSHEMS Code and Recognition System for voluntary use by the member ports. | PRF | GEF | 71200 | International Consultants | 2,675 | | | 2,675 |
| | | PRF | GEF | 71300 | Local Consultants | 4,280 | | | 4,280 |
| | | PRF | GEF | 71600 | Travel | 1,605 | | | 1,605 |
| | | PRF | GEF | 74200 | AV & Publications | 10,700 | | | 10,700 |
| **SUBTOTALS** | | | | | | **19,260** | **0** | **0** | **19,260** |

| Project Components/Activities (2007-2010) | Work Plan Tasks/Events | Resp. Party | Planned Budget | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| | | | Fund Source | ATLAS Code | Description | Year 1 (US $) | Year 2 (US $) | Year 3 (US $) | Total Amount |
| C.4.2 Implement a PSHEMS training programme at two (2) selected ports, while building a capacity within the region to provide technical support/training in PSHEMS development. | > PSHEMS certification extended to two sites, in cooperation with port authorities and port associations, in order to build awareness and appreciation for the system | PRF | GEF | 71200 | International Consultants | 21,400 | 40,660 | 8,560 | 70,620 |
| | | PRF | GEF | 71300 | Local Consultants | | 4,280 | 4,280 | 8,560 |
| | | PRF | GEF | 71600 | Travel | | 5,350 | 5,350 | 10,700 |
| | | PRF | GEF | 72100 | Contract Services - Company | | 25,680 | 25,680 | 51,360 |
| | | PRF | GEF | 63400 | Learning Costs | 26,750 | 26,750 | | 53,500 |
| **SUBTOTALS** | | | | | | **48,150** | **102,720** | **43,870** | **194,740** |
| C.4.3 Develop and implement the PSHEMS Certification/Recognition system, in collaboration with national governments, private sector, donors, and other concerned stakeholders, as a service of the PEMSEA Resource Facility. | > PRF Technical Services develop amd promote a PSHEMS Certification and Recogniton system as a service to the maritime and port sector; | PRF | GEF | 71200 | International Consultants | | 5,350 | 5,350 | 10,700 |
| | > PSHEMS service implemented and tested in partnership with concerned stakeholders (public and private sectors) on a cost recovery basis. | PRF | GEF | 71300 | Local Consultants | | 2,140 | 2,140 | 4,280 |
| **SUBTOTALS** | | | | | | **0** | **7,490** | **7,490** | **14,980** |
| **TOTALS** | | | | | | **756,490** | **1,191,980** | **666,610** | **2,615,080** |
| **COMPONENT D: TWINNING ARRANGEMENTS FOR RIVER BASINS AND COASTAL SEAS MANAGEMENT** | | | | | | | | | |
| ***Output D.1: Regional twinning arrangements developed and implemented for site-specific ecosystem-based management programs*** | | | | | | | | | |
| D.1.1 Negotiate and sign MOAs/MOUs or similar agreements for twinning among the developing and developed sites to facilitate knowledge sharing and transfer of technology in ecosystem management, covering specific activities such as capacity building and training, staff exchanges, internships/on-the-job training, study tours/site visits, technology transfer, and technical cooperation and assistance | > Needs assessment/strategy and action plan formulated for Bohai Sea, Gulf of Thailand, Manila Bay, and Jakarta Bay regarding technical assistance support in coastal strategy implementation or development; | PRF | GEF | 71200 | International Consultants | 10,700 | | | 10,700 |
| | > PRF, working in collaboration with the Twinning Secretariat, negotiates MOAs/MOUs for cost-sharing/co-financing arrangements resulting in on-the-ground progress/targets at each site. | PRF | GEF | 71600 | Travel | 5,350 | | | 5,350 |
| **SUBTOTALS** | | | | | | **16,050** | **0** | **0** | **16,050** |

| Project Components/Activities (2007-2010) | Work Plan Tasks/Events | Resp. Party | Planned Budget | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| | | | Fund Source | ATLAS Code | Description | Year 1 (US $) | Year 2 (US $) | Year 3 (US $) | Total Amount |
| D.1.2 Set up a regional secretariat as part of the PRF to coordinate and facilitate activities across the sites, including the organization of an annual workshop. | > Twinning secretariat established in collaboration with MOMAF, RO Korea;<br><br>> Annual training workshops (3) conducted addressing priority issues among hotspot sites | PRF | GEF | 71300 | Local Consultants | 4,280 | 2,140 | 2,140 | 8,560 |
| | | PRF | GEF | 71600 | Travel | 1,605 | 1,605 | 1,605 | 4,815 |
| | | PRF | GEF | 72100 | Contract Services - Company | 3,210 | 2,140 | 2,140 | 7,490 |
| | | PRF | GEF | 63400 | Learning Costs | 21,400 | 21,400 | 26,750 | 69,550 |
| **SUBTOTALS** | | | | | | **30,495** | **27,285** | **32,635** | **90,415** |
| D.1.3 Implement site specific ecosystem-based management programmes addressing priority issues at selected hotspot sites, as follows:<br>a. a management program in accordance with the Bohai Sea Sustainable Development Strategy (BS-SDS);<br>b. the Manila Bay Coastal Strategy, covering integrated watershed and coastal area management, in collaboration with the World Bank/GEF Manila Third Sewerage Project;<br>c. the Gulf of Thailand Joint Statement/Framework Programme initiated;<br>d. an ecosystem-based management strategy and operational plan formulated and adopted for a selected watershed and coastal area within Jakarta Bay; and<br>e. Case study on the experience and lessons gained from the development of a total pollution load management (TPLM) plan for Masan-Chinhae Bay. | > Technical assistance/facilitation of coastal strategy implementation in Bohai Sea, Manila Bay, GOT;<br><br>> Coastal strategy development and adoption in Jakarta Bay | PRF | GEF | 71200 | International Consultants | 48,150 | 48,150 | 21,400 | 117,700 |
| | | PRF | GEF | 71300 | Local Consultants | 22,470 | 24,610 | 10,700 | 57,780 |
| | | PRF | GEF | 71600 | Travel | 5,350 | 10,700 | 5,350 | 21,400 |
| | | PRF | GEF | 72100 | Contract Services - Company | 321,000 | 267,500 | 160,500 | 749,000 |
| | | PRF | GEF | 63400 | Learning Costs | 53,500 | 107,000 | | 160,500 |
| | | PRF | GEF | 74200 | AV & Publications | 2,140 | 4,280 | 5,350 | 11,770 |
| **SUBTOTALS** | | | | | | **452,610** | **462,240** | **203,300** | **1,118,150** |
| D.1.4 Promote and expand twinning arrangements to other priority watershed areas/sub-regional pollution hotspots, such as the Mekong River, Red River, and Pearl River. | > Prepare case studies/good practices developed and demonstrated in implementing ecosystem-based management at the twinning sites;<br><br>> Disseminate information and promote twinning benefits to other jurisdictions/agencies/projects;<br><br>> Negotiate and sign MOAs and similar agreements with jurisdictions/agencies/projects interested in joining twinning programme. | PRF | GEF | 71200 | International Consultants | 16,050 | 10,700 | 10,700 | 37,450 |
| | | PRF | GEF | 71600 | Travel | | | 5,350 | 5,350 |
| **SUBTOTALS** | | | | | | **16,050** | **10,700** | **16,050** | **42,800** |

| Project Components/Activities (2007-2010) | Work Plan Tasks/Events | Resp. Party | Planned Budget | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| | | | Fund Source | ATLAS Code | Description | Year 1 (US $) | Year 2 (US $) | Year 3 (US $) | Total Amount |
| D.1.5 Organize one regional workshop involving the twinning sites, twinning partners, and other interested stakeholders to review and evaluate the results of the twinning activities, and the potential for replication in other areas. | > Regional workshop organized at EAS Congress 2009 | PRF | GEF | 71200 | International Consultants | | | 5,350 | 5,350 |
| | | PRF | GEF | 71300 | Local Consultants | | | 8,560 | 8,560 |
| | | PRF | GEF | 71600 | Travel | | | 5,350 | 5,350 |
| | | PRF | GEF | 63400 | Learning Costs | | | 16,050 | 16,050 |
| **SUBTOTALS** | | | | | | **0** | **0** | **35,310** | **35,310** |
| **TOTALS** | | | | | | **515,205** | **500,225** | **287,295** | **1,302,725** |
| **COMPONENT E: INTELLECTUAL CAPACITY AND HUMAN RESOURCES** | | | | | | | | | |
| ***Output E.1: An enhanced technical support network for countries, comprised of a Regional Task Force (RTF) and country-based National Task Forces (NTF)*** | | | | | | | | | |
| E.1.1 Set up a systematic mechanism for the mobilization of the RTF and NTFs, putting in place appropriate incentive and recognition systems, codes of conduct, and training and evaluation programs. | > Agreements set up;<br><br>> Accreditation system developed and promoted, identifying individuals who are recognized by PEMSEA as RTF/NTF members<br><br>> Mechanism in place and operational | PRF | GEF | 71200 | International Consultants | 10,700 | 2,140 | 2,140 | 14,980 |
| | | PRF | GEF | 71600 | Travel | 5,350 | 2,140 | 2,140 | 9,630 |
| | | PRF | GEF | 72100 | Contract Services - Company | 10,700 | 16,050 | 16,050 | 42,800 |
| **SUBTOTALS** | | | | | | **26,750** | **20,330** | **20,330** | **67,410** |
| E.1.2 Identify a core of individuals in participating countries with ICM experience to serve as members of NTFs, which will focus primarily on the development and implementation of national ICM scaling up programs. | > NTF members identified;<br><br>> Operating modalities established;<br><br>> NTF training organized and conducted in China, Indonesia, Philippines, Thailand, Vietnam<br><br>> Accedited members operating at local and country levels | PRF | GEF | 71200 | International Consultants | 10,700 | 10,700 | | 21,400 |
| | | PRF | GEF | 71300 | Local Consultants | 6,420 | 6,420 | | 12,840 |
| | | PRF | GEF | 72100 | Contract Services - Company | 10,700 | 10,700 | | 21,400 |
| | | PRF | GEF | 71600 | Travel | 5,350 | 5,350 | | 10,700 |
| | | PRF | GEF | 63400 | Learning Costs | 42,800 | 26,750 | 26,750 | 96,300 |
| **SUBTOTALS** | | | | | | **75,970** | **59,920** | **26,750** | **162,640** |

| Project Components/Activities (2007-2010) | Work Plan Tasks/Events | Resp. Party | Planned Budget | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| | | | Fund Source | ATLAS Code | Description | Year 1 (US $) | Year 2 (US $) | Year 3 (US $) | Total Amount |
| E.1.3 Build and update the capacity of RTF and NTF members in response to country needs, by conducting training workshops, training of trainers, on-the-job experience, and staff exchanges to provide practical experience and develop qualified NTF members into RTF members. | > RTF/NTF specialized training conducted for coastal use zoning, environmental risk assessment, and IIMS applications<br><br>> On-the-job experience promoted/facilitated for RTF/NTF trainees<br><br>> Evaluation conducted on trainee performance and outcomes achieved<br><br>> Requests for RTF accreditation evaluated and accreditation offered as appropriate. | PRF | GEF | 71300 | Local Consultants | 6,420 | 6,420 | | 12,840 |
| | | PRF | GEF | 71600 | Travel | 5,350 | 5,350 | | 10,700 |
| | | PRF | GEF | 72100 | Contract Services - Company | 26,750 | 26,750 | | 53,500 |
| | | PRF | GEF | 63400 | Learning Costs | 37,450 | 37,450 | | 74,900 |
| | | PRF | GEF | 74200 | AV & Publications | 2,140 | 2,140 | 2,140 | 6,420 |
| **SUBTOTALS** | | | | | | **78,110** | **78,110** | **2,140** | **158,360** |
| E.1.4 Facilitate the use of RTF and NTF members in national and regional training workshops, and in facilitating the implementation of SDS-SEA at the local, national and sub-regional levels. | > Regional database of RTF and NTF activities and capacities established;<br><br>> Levels of competence identified, capacity development program developed/implemented through a system of training and assignments<br><br>> RTF/NTF members conduct training at the regional and national levels | PRF | GEF | 71300 | Local Consultants | | 2,140 | 1,070 | 3,210 |
| | | PRF | GEF | 72100 | Contract Services - Company | | 58,850 | 58,850 | 117,700 |
| **SUBTOTALS** | | | | | | **0** | **60,990** | **59,920** | **120,910** |
| ***Output E.2: Areas of Excellence (AOEs) Program and a regional network of universities/ scientific institutions supporting SDS-SEA implementation at the national and local levels*** | | | | | | | | | |
| E.2.1 Negotiate partnership agreements with three (3) internationally and regionally recognized Areas of Excellence that will provide scientific and technical inputs to the implementation of SDS-SEA at the national and regional levels, such as: monitoring changes in the marine environment; habitat restoration and rehabilitation; and ocean policy and international conventions. | > MOAs developed with three AOEs (City University; NSU; MSI), including proposed work programmes;<br><br>> Work programmes in place and operating | PRF | GEF | 71200 | International Consultants | 5,350 | 5,350 | 5,350 | 16,050 |
| | | PRF | GEF | 71300 | Local Consultants | 2,140 | 2,140 | 2,140 | 6,420 |
| | | PRF | GEF | 71600 | Travel | 2,140 | 1,605 | 1,605 | 5,350 |
| | | PRF | GEF | 72100 | Contract Services - Company | | 132,680 | 160,500 | 293,180 |
| **SUBTOTALS** | | | | | | **9,630** | **141,775** | **169,595** | **321,000** |

| Project Components/Activities (2007-2010) | Work Plan Tasks/Events | Resp. Party | Planned Budget | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| | | | Fund Source | ATLAS Code | Description | Year 1 (US $) | Year 2 (US $) | Year 3 (US $) | Total Amount |
| E.2.2 Build linkages with national universities and donors to augment scientific support to national ICM programs and ecosystem-based management of watersheds and coastal areas. | > National and local universities identified in ICM scaling up program formulation<br><br>> Linkages established with universities as support network for local ICM implementation and/or NTF participation | PRF | GEF | 71200 | International Consultants | | 5,350 | 5,350 | 10,700 |
| | | PRF | GEF | 71300 | Local Consultants | | 2,140 | 2,140 | 4,280 |
| | | PRF | GEF | 71600 | Travel | | 2,675 | 2,675 | 5,350 |
| | | PRF | GEF | 72100 | Contract Services - Company | | 58,850 | 49,220 | 108,070 |
| **SUBTOTALS** | | | | | | **0** | **69,015** | **59,385** | **128,400** |
| E.2.3 Develop a reporting and information-sharing system to disseminate the outputs of the AoE program and networking of universities. | > Reporting system with indicators established as component of work programme | PRF | GEF | 71300 | Local Consultants | | 2,140 | 2,140 | 4,280 |
| | > Regional workshop conducted as part of EAS Congress 2009 | PRF | GEF | 63400 | Learning Costs | | | 16,050 | 16,050 |
| **SUBTOTALS** | | | | | | **0** | **2,140** | **18,190** | **20,330** |
| ***Output E.3: Professional upgrade program, graduate scholarships and specialized training courses*** | | | | | | | | | |
| E.3.1 Delineate eligibility criteria, procedures and conditions regarding regional and international internships, fellowships/senior fellowships, and specialized training opportunities within PEMSEA, as well as among PEMSEA Partners, AoEs, and collaborating institutions and establish linkages with institutions granting graduate degree programs in order to facilitate making fellowships available to deserving individuals in participating countries, who are committed to serve as RTF and/or NTF members upon their return. | > Network established with universities/ institutions within and outside of the region;<br><br>> Promotion of opportunities for fellowships | PRF | GEF | 71300 | Local Consultants | 4,280 | | | 4,280 |
| | | PRF | GEF | 74200 | AV & Publications | 5,350 | 5,350 | 5,350 | 16,050 |
| **SUBTOTALS** | | | | | | **9,630** | **5,350** | **5,350** | **20,330** |
| E.3.2 Facilitate the development of a post-graduate ICM curriculum with selected universities in the region. | > Post-graduate ICM curriculum developed in collaboration with selected universities in the region<br><br>> Curriculum tested/evaluated<br><br>> Curriculum promoted among AOEs and national universities. | PRF | GEF | 71200 | International Consultants | | 37,450 | | 37,450 |
| | | PRF | GEF | 71300 | Local Consultants | | 5,350 | | 5,350 |
| | | PRF | GEF | 71600 | Travel | | 5,350 | | 5,350 |
| | | PRF | GEF | 63400 | Learning Costs | | 16,050 | | 16,050 |
| | | PRF | GEF | 72100 | Contract Services - Company | | 26,750 | | 26,750 |
| | | PRF | GEF | 74200 | AV & Publications | 5,350 | 5,350 | | 10,700 |
| **SUBTOTALS** | | | | | | **5,350** | **96,300** | **0** | **101,650** |

| Project Components/Activities (2007-2010) | Work Plan Tasks/Events | Resp. Party | Planned Budget | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| | | | Fund Source | ATLAS Code | Description | Year 1 (US $) | Year 2 (US $) | Year 3 (US $) | Total Amount |
| E.3.3 Organize specialized training courses at the national and sub-regional levels (i.e., environmental risk assessment; coastal use zoning; NRDA; IIMS development/applications) to develop the necessary human resources for implementation of the SDS-SEA. | > 10 specialized training courses devloped/conducted covering: risk assessment; coastal use zoning; NRDA; and IIMS development/application. | PRF | GEF | 71200 | International Consultants | 10,700 | 10,700 | 10,700 | 32,100 |
| | | PRF | GEF | 71300 | Local Consultants | 4,280 | 4,280 | 4,280 | 12,840 |
| | | PRF | GEF | 71600 | Travel | 2,675 | 2,675 | 2,675 | 8,025 |
| | | PRF | GEF | 72100 | Contract Services - Company | 26,750 | 48,150 | 26,750 | 101,650 |
| | | PRF | GEF | 63400 | Learning Costs | 80,250 | 53,500 | 53,500 | 187,250 |
| **SUBTOTALS** | | | | | | **124,655** | **119,305** | **97,905** | **341,865** |
| E.3.4 Monitor and evaluate the effectiveness of professional upgrading, graduate scholarships, and specialized training courses programs in facilitating the implementation of the SDS-SEA, in accordance with agreed criteria, conditions and impact indicators. | > M&E prgram in place with reporting to EAS Partnership Council | PRF | GEF | 71200 | International Consultants | 16,050 | 10,700 | 10,700 | 37,450 |
| | | PRF | GEF | 71300 | Local Consultants | 2,140 | 2,140 | 2,140 | 6,420 |
| | | PRF | GEF | 72100 | Contract Services - Company | 5,350 | 5,350 | 5,350 | 16,050 |
| | | PRF | GEF | 74200 | AV & Publications | 3,210 | 3,210 | 8,560 | 14,980 |
| **SUBTOTALS** | | | | | | **26,750** | **21,400** | **26,750** | **74,900** |
| ***Output E.4: An internet-based information portal in place, building awareness and transferring knowledge and lessons learned*** | | | | | | | | | |
| E.4.1 Strengthen PEMSEA's portal (www.pemsea.org) as an information node on the PEMSEA Regional Programme, to become a one-stop shop for awareness building, knowledge transfer and learning regarding national ICM scaling up programs and local, national and international partnership arrangements for SDS-SEA implementation, in collaboration with GEF IW Learn. | > Updating/maintenance of C2C portal | PRF | GEF | 71300 | Local Consultants | 2,140 | 2,140 | 2,140 | 6,420 |
| | | PRF | GEF | 72100 | Contract Services - Company | 16,050 | 16,050 | 16,050 | 48,150 |
| | | PRF | GEF | 72400 | Expendable Equipment | 37,450 | 21,400 | 21,400 | 80,250 |
| | | PRF | GEF | 72800 | IT equipment & software | 21,400 | 26,750 | 16,050 | 64,200 |
| | | PRF | GEF | 73300 | IT Licensing | 10,700 | 10,700 | 10,700 | 32,100 |
| **SUBTOTALS** | | | | | | **87,740** | **77,040** | **66,340** | **231,120** |

| Project Components/Activities (2007-2010) | Work Plan Tasks/Events | Resp. Party | Planned Budget | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| | | | Fund Source | ATLAS Code | Description | Year 1 (US $) | Year 2 (US $) | Year 3 (US $) | Total Amount |
| E.4.2 Develop and implement information dissemination and knowledge sharing systems using four principal channels:<br>a. the GEF website, IW:LEARN, which is GEF's pre-eminent communication/dissemination tool in its International Waters program;<br>b. the EAS Congress, which is the paramount regional event of the EAS Partnership Council for monitoring, reporting and evaluating progress;<br>c. the knowledge-sharing, training, investment and IIMS networking components of the PRF; and<br>d. international and regional conferences, meetings and workshops organized by partners/collaborators, including the biennial GEF IW Conference, addressing sustainable development and coastal and ocean governance issues. | > Web-based resource centers established among twinning sites; linkage with IW-Learn training network | PRF | GEF | 71300 | Local Consultants | | 4,280 | 2,140 | 6,420 |
| | | PRF | GEF | 72100 | Contract Services - Company | | 32,100 | 32,100 | 64,200 |
| **SUBTOTALS** | | | | | | **0** | **36,380** | **34,240** | **70,620** |
| E.5.1 Build partnerships/working arrangements with donor-supported programs in each country, including the GEF Small Grants Programme (SGP) and other donor programs, which cater to capacity building of community groups and marginalized sectors of society. | > MOAs signed with donors and international agencies | PRF | GEF | 71200 | International Consultants | | 2,140 | 2,140 | 4,280 |
| | | PRF | GEF | 71300 | Local Consultants | | 2,140 | 2,140 | 4,280 |
| **SUBTOTALS** | | | | | | **0** | **4,280** | **4,280** | **8,560** |
| E.5.2 Within the framework and capabilities of local ICM programs, assist with the preparation and submission of projects proposals aimed at mobilizing community groups in the implementation of coastal strategies and actions plans. | > Project opportunities identified and developed with community groups;<br><br>> Project proposals submitted to SGP and other donor programmes for support | PRF | GEF | 71300 | Local Consultants | 2,140 | 2,140 | 2,140 | 6,420 |
| | | PRF | GEF | 72100 | Contract Services - Company | 10,700 | 10,700 | 10,700 | 32,100 |
| **SUBTOTALS** | | | | | | **12,840** | **12,840** | **12,840** | **38,520** |

| Project Components/Activities (2007-2010) | Work Plan Tasks/Events | Resp. Party | Planned Budget | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| | | | Fund Source | ATLAS Code | Description | Year 1 (US $) | Year 2 (US $) | Year 3 (US $) | Total Amount |
| E.5.3 Facilitate capacity building activities for community groups, as well as sharing of hands-on experience in community-based coastal resource management initiatives in support of site-specific coastal strategies and action plans. | > Community learning programmes developed and supported at ICM sites;<br><br>> Alternative livelihood projects developed with women's groups;<br><br>> Youth programme implemented to engage youth in project development and implementation at the local level | PRF | GEF | 71300 | Local Consultants | 4,280 | 4,280 | 4,280 | 12,840 |
| | | PRF | GEF | 71600 | Travel | 4,280 | 4,280 | 4,280 | 12,840 |
| | | PRF | GEF | 72100 | Contract Services - Company | 5,350 | 5,350 | 5,350 | 16,050 |
| **SUBTOTALS** | | | | | | **13,910** | **13,910** | **13,910** | **41,730** |
| E.5.4 Organize national and regional forums for NGO/community groups to transfer experiences and knowledge on community-based resource management, the challenges, benefits and lessons learned. | > EAS Congress and PEMSEA website provide NGOs and CBOs with ready access to good practices and knowledge on community-based resource management and alternative livelihood programs. | PRF | GEF | 63400 | Learning Costs | | | 10,700 | 10,700 |
| **SUBTOTALS** | | | | | | **0** | **0** | **10,700** | **10,700** |
| ***Output E.6: A self-sustaining regional network of local governments in place, operating and committed to achieving tangible improvements in the sustainable use and development of marine and coastal areas through ICM practices*** | | | | | | | | | |
| E.6.1 Assist the PNLG is organizing capacity enhancing seminars and workshops as part of their annual meetings, to cover issues of key interest to the membership, such as environmental investments, sustainable financing, community participation, ICM recognition; etc. | > Annual workshop developed/ implemented to enhance ICM implementation | PRF | GEF | 71200 | International Consultants | 2,140 | 2,140 | 2,140 | 6,420 |
| | | PRF | GEF | 71600 | Travel | 1,605 | 1,605 | 1,605 | 4,815 |
| **SUBTOTALS** | | | | | | **3,745** | **3,745** | **3,745** | **11,235** |
| E.6.2 Provide technical support to Xiamen Municipal Government in initiating the operation of the PNLG Secretariat. | > Secretariat office set up and operational in Xiamen;<br><br>> Regular workshops/meetings developed/ implemented to enhance ICM implementation | PRF | GEF | 71300 | Local Consultants | 2,140 | 2,140 | 2,140 | 6,420 |
| | | PRF | GEF | 72100 | Contract Services - Company | 26,750 | 26,750 | 26,750 | 80,250 |
| **SUBTOTALS** | | | | | | **28,890** | **28,890** | **28,890** | **86,670** |

| Project Components/Activities (2007-2010) | Work Plan Tasks/Events | Resp. Party | Planned Budget | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| | | | Fund Source | ATLAS Code | Description | Year 1 (US $) | Year 2 (US $) | Year 3 (US $) | Total Amount |
| E.6.3 Strengthen Xiamen Municipal Government role/capacity in organizing "Oceans Week" on regular basis as an international event involving local governments from around the globe. | > Regular Oceans Forum forum organized and implemented | PRF | GEF | 71300 | Local Consultants | 1,070 | 1,070 | 1,070 | 3,210 |
| | | PRF | GEF | 71600 | Travel | 1,070 | 1,070 | 1,070 | 3,210 |
| | | PRF | GEF | 72100 | Contract Services - Company | 10,700 | 10,700 | 10,700 | 32,100 |
| **SUBTOTALS** | | | | | | **12,840** | **12,840** | **12,840** | **38,520** |
| **TOTALS** | | | | | | **516,810** | **864,560** | **674,100** | **2,055,470** |
| **COMPONENT F: INVESTMENT AND FINANCING** | | | | | | | | | |
| ***Output F.1: Innovative national investment and financing policies and programs for public and private sector investment in pollution reduction facilities*** | | | | | | | | | |
| F.1.1 In conjunction with ICM scaling up initiatives (Component C) and river basin and coastal area management projects (Component D), package, promote and facilitate the adoption and implementation of: a. policy reforms; b. innovative economic instruments; c. alternative revenue generating schemes; and d. appropriate institutional mechanisms for the participation of civil society. | > Case study/policy reforms identifed/evaluated from MSP/PPP and GEF/WB project PIF project;<br><br>> Dissemination/promotion of good practices | PRF | GEF | 71200 | International Consultants | 17,947 | 10,000 | | 27,947 |
| | | PRF | GEF | 71300 | Local Consultants | 7,770 | 7,165 | | 14,935 |
| | | PRF | GEF | 74200 | AV & Publications | | 5,000 | 10,000 | 15,000 |
| **SUBTOTALS** | | | | | | **25,717** | **22,165** | **10,000** | **57,882** |
| F.1.2 Formulate and demonstrate methodologies for preparing integrated river basin-coastal area management investment plans focused on pollution reduction, for adoption and use by local governments, the private sector, financial institutions and other concerned stakeholders, particularly with respect to the replication and scaling up of innovative technologies and practices (Component G). | > Develop generic methodology for preparation of river basin and coastal area management investment plan focused on pollution reduction, in collaboration with the private sector, local and national governments, and financial institutions.<br>> Field test the generic methodology in a selected river basin (Philippines) in collaboration with local government, private sector and financial institutions<br>> Refine, package and promote the tested methodology and investment plan<br>> Scale up the development of pollution reduction investment plans in selected river basins in Bohai Sea and Manila Bay | PRF | GEF | 71200 | International Consultants | 25,000 | 25,000 | 25,000 | 75,000 |
| | | PRF | GEF | 71300 | Local Consultants | 4,000 | 15,000 | 14,000 | 33,000 |
| | | PRF | GEF | 71600 | Travel | 5,000 | 5,000 | 5,000 | 15,000 |
| | | PRF | GEF | 72100 | Contract Services - Company | 25,000 | | | 25,000 |
| | | PRF | GEF | 63400 | Learning Costs | | 10,000 | 25,000 | 35,000 |
| **SUBTOTALS** | | | | | | **59,000** | **55,000** | **69,000** | **183,000** |

| Project Components/Activities (2007-2010) | Work Plan Tasks/Events | Resp. Party | Planned Budget | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| | | | Fund Source | ATLAS Code | Description | Year 1 (US $) | Year 2 (US $) | Year 3 (US $) | Total Amount |
| F.1.3 Establish a one-stop PPP Support Service for local governments, the private sector, financial institutions, and other interested stakeholders, in collaboration with Strategic Partners, to promote and facilitate increased private sector participation in investment projects for pollution reduction at ICM sites and in river basin and coastal area management programs. | > PRF Service for environmental investments developed/implemented in collaboration with countries and Strategic Partners | PRF | GEF | 71200 | International Consultants | 25,000 | 25,000 | 25,000 | 75,000 |
| | | PRF | GEF | 71300 | Local Consultants | | 4,000 | 11,680 | 15,680 |
| | | PRF | GEF | 71600 | Travel | | | | 0 |
| | | PRF | GEF | 72100 | Contract Services - Company | | 50,000 | 50,000 | 100,000 |
| **SUBTOTALS** | | | | | | **25,000** | **79,000** | **86,680** | **190,680** |
| **TOTALS** | | | | | | **109,717** | **156,165** | **165,680** | **431,562** |
| **COMPONENT G: STRATEGIC PARTNERSHIP ARRANGEMENTS** | | | | | | | | | |
| ***Output G.1: A functional Strategic Partnership arrangement facilitating enhanced communication, knowledge-sharing, scaling up and replication of innovative technologies and practices in pollution reduction across the LMEs of East Asia.*** | | | | | | | | | |
| G.1.1 Operationalize a Strategic Partnership Technical Team (SPTT) to coordinate the development, implementation, evaluation and promotion of the collaborative activities and outputs of the Strategic Partnership. The SPTT will be tasked with:coordinating the UNDP regional project and the World Bank investment fund project, with other regional programmes and projects; formulating and implementing a procedure for assessing the replicability and scalability potential of sub-projects under the Strategic Partnership; promoting the replication of good practices and lessons learned from sub-projects; monitoring, evaluating and reporting the progress of the various sub-projects; organizing annual workshops and a mid-term, stocktaking workshop involving participating countries and the Strategic Partners; and oganizing an external review at the termination of the project | > Coordination mechanism developed and implemented in collaboration with WB;<br><br>> Assessment procedure/arrangements for determining replicability and scalability potential of sub-projects developed and implemented, as agreed with WB;<br><br>> Monitoring, evaluating and reporting the progress of the various subprojects conducted;<br><br>> Annual and mid-term stocktaking workshops organized and conducted<br><br>> External review organized and conducted to provide an independent assessment of the progress, outcomes, and benefits derived from the Strategic Partnership | PRF | GEF | 71200 | International Consultants | 25,000 | 25,000 | 25,000 | 75,000 |
| | | PRF | GEF | 71300 | Local Consultants | 26,750 | 26,750 | 26,750 | 80,250 |
| | | PRF | GEF | 71600 | Travel | 5,000 | 15,000 | 5,350 | 25,350 |
| | | PRF | GEF | 72100 | Contract Services - Company | 8,025 | 29,000 | 13,375 | 50,400 |
| | | PRF | GEF | 63400 | Learning Costs | | | | |
| | | PRF | GEF | 74200 | AV & Publications | | | 5,000 | 5,000 |
| **SUBTOTALS** | | | | | | **64,775** | **95,750** | **75,475** | **236,000** |

| Project Components/Activities (2007-2010) | Work Plan Tasks/Events | Resp. Party | Planned Budget | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| | | | Fund Source | ATLAS Code | Description | Year 1 (US $) | Year 2 (US $) | Year 3 (US $) | Total Amount |
| G.1.2 Organize and implement a communication/coordination program for the Strategic Partnership including a website, quarterly reviews/newsletters, regional conferences/workshops, etc. to review the progress and achievements of projects and sub-projects, and to promote the replication of good practices across the region and to other regions. | > Communication plan developed;<br>> Website designed and implemented<br>> Quarterly reports, annual reports prepared and distributed<br>> Three regional workshops/conferences organized and conducted | PRF | GEF | 71200 | International Consultants | 10,000 | 10,000 | 10,000 | 30,000 |
| | | PRF | GEF | 71300 | Local Consultants | 10,700 | 16,050 | 10,700 | 37,450 |
| | | PRF | GEF | 71600 | Travel | 5,000 | 5,000 | 5,000 | 15,000 |
| | | PRF | GEF | 72800 | IT Equipment & Software | 10,700 | 2,675 | 2,675 | 16,050 |
| **SUBTOTALS** | | | | | | **36,400** | **33,725** | **28,375** | **98,500** |
| G.1.3 Monitor the progress of the Strategic Partnership through agreed indicators for the Partnership, as well as sub-project specific indicators for each sub-project undertaken by the Strategic Partnership. | > IIMS/Network operated as a platform for information sharing<br>> Software developed for "matching" sites with replication opportunities | PRF | GEF | 71200 | International Consultants | 15,000 | 15,000 | 15,000 | 45,000 |
| | | PRF | GEF | 71300 | Local Consultants | 26,750 | 26,750 | 26,750 | 80,250 |
| | | PRF | GEF | 71600 | Travel | 8,025 | 8,025 | 5,000 | 21,050 |
| **SUBTOTALS** | | | | | | **49,775** | **49,775** | **46,750** | **146,300** |
| G.1.4 Package and disseminate multi-media materials regarding the Strategic Partnership and the related sub-projects to governments and stakeholders, the EAS Partnership Council, the EAS Congress, the Ministerial Forum, and other relevant regional and international forums. | > Case studies/good practices identified and disseminated<br>> Multi-media materials developed and disseminated<br>> Regional seminars organized conducted with policitcal and business leaders | PRF | GEF | 71200 | International Consultants | 10,000 | 10,000 | 10,000 | 30,000 |
| | | PRF | GEF | 71300 | Local Consultants | 6,420 | 6,420 | 6,420 | 19,260 |
| | | PRF | GEF | 63400 | Learning Costs | | 28,500 | 22,800 | 51,300 |
| | | PRF | GEF | 74200 | AV & Publications | | 5,000 | 5,700 | 10,700 |
| **SUBTOTALS** | | | | | | **16,420** | **49,920** | **44,920** | **111,260** |

| Project Components/Activities (2007-2010) | Work Plan Tasks/Events | Resp. Party | Planned Budget | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| | | | Fund Source | ATLAS Code | Description | Year 1 (US $) | Year 2 (US $) | Year 3 (US $) | Total Amount |
| G.1.5 Develop linkages and strategic partnership arrangements with regional and international organizations and institutions, and donors, as well as other regional GEF IW programs, such as the South China Sea, Yellow Sea, Sulu-Sulawesi Seas and the Arafura and Timor Seas, to transfer knowledge, replicate good practices and facilitate increased investments in pollution reduction across the region. | > Recommendations for expansion of Partnership developed/submitted to Council;<br><br>> New partnerships explored with GEF IW projectsin the Bay of Bengal and Arafura and Timor Seas<br><br>> Technical collaboration and assistance organized/conducted with project management/countries on an as requested basis. | PRF | GEF | 71200 | International Consultants | 6,050 | 6,050 | 6,050 | 18,150 |
| | | PRF | GEF | 71300 | Local Consultants | | 8,025 | 8,025 | 16,050 |
| | | PRF | GEF | 71600 | Travel | | 5,000 | 5,000 | 10,000 |
| | | PRF | GEF | 72100 | Contract Services - Company | | 28,780 | | 28,780 |
| | | PRF | GEF | 63400 | Learning Costs | | 25,000 | 20,000 | 45,000 |
| | | PRF | GEF | 74200 | AV & Publications | | 5,700 | | 5,700 |
| **SUBTOTALS** | | | | | | **6,050** | **78,555** | **39,075** | **123,680** |
| **TOTALS** | | | | | | **173,420** | **307,725** | **234,595** | **715,740** |
| **COMPONENT H: CORPORATE SOCIAL RESPONSIBILITY** | | | | | | | | | |
| ***Output H.1: Partnership arrangements established and implemented between multinational and national corporations, industry, local governments and communities for sustainable development of marine and coastal resources.*** | | | | | | | | | |
| H.1.1 Develop multi-media materials and conduct seminars/forums for CEOs and senior managers of corporations (public and private), private industry and local and national government leaders, in order to strengthen awareness and understanding of environmental sustainability, its linkages to economic and social development, and the use of ICM as an effective tool for governance of coastal and marine resources. | > Promotional material/case studies/policy briefs published and disseminated to public and private sector;<br>> National and regional forums conducted with public and private sectors<br>> Innovative policies, approaches and projects identified<br>> Policy reforms adopted and implemented (China, Philippines, Vietnam) | PRF | GEF | 71200 | International Consultants | 15,000 | 13,500 | | 28,500 |
| | | PRF | GEF | 71300 | Local Consultants | 7,000 | 4,000 | | 11,000 |
| | | PRF | GEF | 71600 | Travel | 6,050 | 5,000 | | 11,050 |
| | | PRF | GEF | 72100 | Contract Services - Company | 25,000 | 25,000 | | 50,000 |
| | | PRF | GEF | 63400 | Learning Costs | | 6,050 | 30,000 | 36,050 |
| | | PRF | GEF | 74200 | AV & Publications | | 5,050 | | 5,050 |
| **SUBTOTALS** | | | | | | **53,050** | **58,600** | **30,000** | **141,650** |

| Project Components/Activities (2007-2010) | Work Plan Tasks/Events | Resp. Party | Planned Budget | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| | | | Fund Source | ATLAS Code | Description | Year 1 (US $) | Year 2 (US $) | Year 3 (US $) | Total Amount |
| H.1.2 Facilitate the development and implementation of partnership arrangements between corporations/industry and local governments and communities and, within the context of ICM scaling up programmes, aligning private sector organizational goals for social responsibility with resource commitments and investments in support of social, economic and environmental goals and benefits of the communities. | > Private sector participation promoted and facilitated at ICM sites and river basin and coastal area management initiatives<br>> Partnership agreements signed between 50 companies and local goverment units implementing ICM/river basin and coastal area management projects (China, Indoneisa, Philippines, Vietnam)<br>> Projects initiated in China, Indonesia, Thailand, Philippines and Vietnam in support of coastal strategy implementation at the local and/or subregional levels | PRF | GEF | 71200 | International Consultants | 12,100 | 15,000 | 5,000 | 32,100 |
| | | PRF | GEF | 71300 | Local Consultants | | 4,000 | 4,000 | 8,000 |
| | | PRF | GEF | 71600 | Travel | 5,000 | 5,000 | 5,000 | 15,000 |
| | | PRF | GEF | 72100 | Contract Services - Company | | 32,000 | 50,000 | 82,000 |
| **SUBTOTALS** | | | | | | **17,100** | **56,000** | **64,000** | **137,100** |
| H.1.3 Link up with a “corporate champion for sustainable development” to develop and implement a demonstration project on corporate social responsibility in strategic issues/areas of concern to local governments (e.g., water use/conservation; disaster management; sustainable livelihoods; improved access to/usage of IT in knowledge sharing and engaging disadvantaged sectors of communities in coastal governance; etc.). | > Develop portfolio of strategic issues/priority concerns of local governments of the region with regard to sustainable develoment of coastal and marine resources, and locations/ opportunities for partnership arrangements<br>> Enagage multinational corporations in a dialogue on sustainable development of coastal and marine resources through development and dissemination of multi media materials, site visits, seminars and conferences<br>> Forge a partnership arrangement, and assist wit the development and implementation of at least one demonstration project<br>> Package and disseminate the results of the deomonstration project | PRF | GEF | 71200 | International Consultants | 20,000 | 20,000 | 20,000 | 60,000 |
| | | PRF | GEF | 71300 | Local Consultants | | 12,000 | 11,408 | 23,408 |
| | | PRF | GEF | 71600 | Travel | | 5,000 | 5,000 | 10,000 |
| | | PRF | GEF | 72100 | Contract Services - Company | | 40,000 | 42,000 | 82,000 |
| | | PRF | GEF | 74200 | AV & Publications | | 6,000 | | 6,000 |
| **SUBTOTALS** | | | | | | **20,000** | **83,000** | **78,408** | **181,408** |

| Project Components/Activities (2007-2010) | Work Plan Tasks/Events | Resp. Party | Planned Budget | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| | | | Fund Source | ATLAS Code | Description | Year 1 (US $) | Year 2 (US $) | Year 3 (US $) | Total Amount |
| ***Output H.2: Corporate responsibility practices evaluated and recognized as a special relevance to achieving social, environmental and economic benefits in coastal communities*** | | | | | | | | | |
| H.2.1 Modify and adopt monitoring and evaluation procedures (e.g., ISO 26000), including social, economic and environmental indicators, as appropriate, to assess corporate policy, commitment and actions in aid of sustainable development of coastal communities and their natural resources based on PEMSEA's experience in ICM Code and PSHEMS Code and recognition system. | > Evaluation procedures reviewed and modified in consultation with private sector<br>> Indicators delineated in consultation with PNLG and private sector<br>> Draft methodology adopted for field testing with the cooperation of multinational corporation | PRF | GEF | 71200 | International Consultants | 15,000 | | | 15,000 |
| | | PRF | GEF | 71300 | Local Consultants | 8,408 | 3,483 | | 11,891 |
| | | PRF | GEF | 72100 | Contract Services - Company | 5,640 | 50,000 | | 55,640 |
| | | PRF | GEF | 63400 | Learning Costs | | | 20,000 | 20,000 |
| | | PRF | GEF | 74200 | AV & Publications | | | 5,400 | 5,400 |
| **SUBTOTALS** | | | | | | **29,048** | **53,483** | **25,400** | **107,931** |
| H.2.2 Field-test the monitoring and evaluation procedures in collaboration with existing corporate partners who are working with local government units and stakeholders at ICM sites. | > Field test conducted by PRF and external auditor, with the cooperation of multinational corporation<br>> Evaluation methodology reviewed and refined following field test, and presented to a regional workshop/conference of private sector representatives<br>> Methodology refined, packaged and promotoed to private sector, along with case study of field test project | PRF | GEF | 71200 | International Consultants | | 10,000 | 13,150 | 23,150 |
| | | PRF | GEF | 71300 | Local Consultants | | | | 0 |
| | | PRF | GEF | 71600 | Travel | 3,500 | 3,500 | 2,500 | 9,500 |
| | | PRF | GEF | 72100 | Contract Services - Company | | 38,400 | | 38,400 |
| | | PRF | GEF | 63400 | Learning Costs | | | 10,000 | 10,000 |
| | | PRF | GEF | 74200 | AV & Publications | | | | 0 |
| **SUBTOTALS** | | | | | | **3,500** | **51,900** | **25,650** | **81,050** |

| Project Components/Activities (2007-2010) | Work Plan Tasks/Events | Resp. Party | Planned Budget | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| | | | Fund Source | ATLAS Code | Description | Year 1 (US $) | Year 2 (US $) | Year 3 (US $) | Total Amount |
| H.2.3 Implement a corporate responsibility recognition system, in collaboration with national governments, private sector, donors, and other concerned stakeholders, to promote and encourage private sector participation, resource commitments and investments in support of social, economic and environmental goals and benefits of coastal communities. | > Corporate responsibility recognition system promoted among the 50 companies that have cooperated in the development of ICM scaling up programmes with local government<br>> Recognition event organized as part of EAS Congress or similar regional conference. | PRF | GEF | 71200 | International Consultants | | 4,500 | 25,000 | 29,500 |
| | | PRF | GEF | 71300 | Local Consultants | | | | 0 |
| | | PRF | GEF | 71600 | Travel | | 3,600 | 3,200 | 6,800 |
| | | PRF | GEF | 72100 | Contract Services - Company | | | 36,690 | 36,690 |
| | | PRF | GEF | 63400 | Learning Costs | | | 11,300 | 11,300 |
| | | PRF | GEF | 74200 | AV & Publications | | | 6,000 | 6,000 |
| **SUBTOTALS** | | | | | | **0** | **8,100** | **82,190** | **90,290** |
| **TOTALS** | | | | | | **122,698** | **311,083** | **305,648** | **739,429** |
| **COMPONENT TOTALS** | | | | | | **2,791,507** | **4,087,265** | **3,067,306** | **9,946,078** |
| **Project Management** | | PRF | GEF | 71200 | International Consultants | 160,000 | 160,000 | 160,000 | 480,000 |
| | | PRF | GEF | 71400 | Contract Services - Individual | 42,800 | 42,800 | 42,800 | 128,400 |
| | | PRF | GEF | 71600 | Travel | 23,950 | 23,500 | 11,750 | 59,200 |
| | | PRF | GEF | 72500 | Office supplies | 26,750 | 26,750 | 26,750 | 80,250 |
| | | PRF | GEF | 73400 | Equipment Maintenance | 21,400 | 21,400 | 26,750 | 69,550 |
| | | PRF | GEF | 74100 | Professional Services | 20,000 | 40,000 | 42,858 | 102,858 |
| | | PRF | GEF | 75100 | Facilities (Security) | 3,000 | 3,500 | 3,500 | 10,000 |
| **TOTALS** | | | | | | **297,900** | **317,950** | **314,408** | **930,258** |
| **GRAND TOTALS** | | | | | | **3,089,407** | **4,405,215** | **3,381,714** | **10,876,336** |

## Annex D: Response to GEF Secretariat Recommendations

Major recommendations in the GEF Secretariat Review Sheet are indicated in the table below, along with an explanation of how each issue is addressed in the Executive Summary and/or Project Document.

| GEF Secretariat Recommendation | Project Proposal |
|---|---|
| ***March 2007 – Recommendations at Work Program Inclusion*** | |
| ➢ Provide a section showing how the proposal responds to the recommendations made at the time of PDF-B approval | Annex D of the Executive Summary (see below) lists the recommendations of the GEF Sec made during the PDF-B approval, and how the proposal has responded. |
| ➢ Provide in the Executive Summary a section describing the co-financing sources (type and source) | Section 4, Financing, page 14 of the Executive Summary identifies the sources, classification and type of co-financing. |
| ➢ Provide in the Executive Summary a detailed budget, by activity and sub-component, in addition to the one by type of expenditure presented in the ProDoc | Annex C of the Executive Summary contains a detailed project budget, by activity and subcomponent, for each year of the three year project. |
| ➢ Specify the resources allocated for all the activities related to replication, as described at pages 10, 11, 12 of the Executive Summary | Table 1, page 12 of the Executive Summary provides the indicative budget for resources related to the replication aspects of the project, exclusive of the project team staff time. |
| ➢ Management budget. The total GEF exceeds the 10% standard. It includes $320K for travels and office facilities. These costs should be reduced and/or covered through co-financing, or well justified in the text. | The Project Management Budget has been revised (page 18, Executive Summary). The Government of the Philippines provided co-financing, namely $554,000 for office facilities. Travel costs were reduced to $59,200 for three years. Office supplies, equipment maintenance (i.e., equipment owned by the UNDP from the previous PEMSEA project) and office security (i.e., a UN requirement) are $159,800. A project management budget of $930,258, or 8.5% of the $10,876,336 GEF allocation, has been confirmed. |
| ➢ Provide the Exec. Summary explanatory text referring to the Revolving Fund alluded to in the Logframe (G.1.3) | An explanation of the purpose and objective of the project preparation revolving fund has been provided in the Executive Summary, Sustainability (including Financial Sustainability), page 9. It may be noted that the project preparation revolving fund is under development. A project preparation grant has been approved by GEF, with World Bank as the project manager. |
| ➢ Ensure that the project will have a website according to IW LEARN criteria, and that it will participate in IW LEARN initiatives, including biennial conferences. | Component G of the Project Document, Indicators of Success (page 46), lists these two items as required outputs of the project. |
| ***May 2005 – Recommendations at PDF-B Approval*** | |
| ***Project Designation and Conformity:*** | |
| ➢ essential for the project to allocate sufficient resources to the coordination of the Strategic Partnership | Component G of the project proposal addresses the issue of Strategic Partnership coordination and replication of the innovative policies and good practices demonstrated under the World Bank/GEF Investment Fund. The budgetary allocation to Component G is $715,740. |
| ➢ pursue the development of a component | Component H of the project proposal entails the |

| GEF Secretariat Recommendation | Project Proposal |
|---|---|
| that would strengthen the participation of the corporate sector and business community in the demonstration projects at the community level. | development of partnership arrangements between the corporate sector, business community, industry and local enterprises and national and local governments for ICM scaling up projects in coastal communities. The target is to engage at least 50 companies in environmental projects with local governments. In addition, a partnership will be pursued with a multinational corporate champion to demonstrate corporate social responsibility, thereby leveraging other corporate sector involvement in sustainable development of coastal communities in the region and elsewhere. |
| ***Project Design:*** | |
| ➢ confirmation of project length | The project is 3 years duration. |
| ➢ preparation of project indicators | The Project Logical Framework includes a list of project indicators, developed and agreed to by the participating countries during project preparation stage (Annex B, Executive Summary).<br><br>In addition to the identified indicators, Components A, C, and G of the project will develop sub-project indicators covering State of Coast reporting, ICM projects, and sub-projects of the Strategic Partnership. These indicators will be used in the State of Coast reporting system, as well as for evaluating the success/impacts of replication and scaling up activities. |
| ***Replicability:*** | |
| ➢ interact with the World Bank, the Mediterranean, and the Danube-Black Sea projects with regard to the replication strategy | A number of interactions were facilitated during the PDF-B stage, which resulted in the Replication Strategy (Annex 7, Project Document). In addition to internet communications and individual meetings, the project was able to participate in a the GEF-sponsored conference in Moldova, entitled Nutrient Pollution Control in the Danube-Black Sea Basin, in October 2006. This was a very helpful experience, for it allowed interaction between the implementers in the Danube-Black Sea Basin and the planners in the East Asian Seas region. Also, as part of the EAS Congress 2006, in Haikou, China, the World Bank, UNDP, UNEP and PEMSEA organized a series of three workshops concerning financing of pollution reduction initiatives, including the development and replication of different models of financing. All of these inputs contributed substantially to the project design. |
| ➢ Commitment for a project website consistent with IW LEARN Guidelines | These points have been included in Component G, Indicators of Success, of the Project Document. |
| ➢ Funding at least one country to attend the GEF International Waters Portfolio Conference in 2009, along with CTA | |
| ➢ Regional conference, annual workshops and mid-term stocktaking meeting | |

| GEF Secretariat Recommendation | Project Proposal |
|---|---|
| ➢ Develop linkages with Yellow Sea and South China Sea projects for replication of good practices | This is included under activity G.1.5 of the Project Document. |
| ***Stakeholder Involvement:*** | |
| ➢ Stakeholder involvement plan | A plan has been developed and is in Annex 6 of the Project Document. |
| ➢ $1.5 million UNDP SGP initiative to complement the work of PEMSEA in communities in the implementation of the SDS-SEA | A Joint Communiqué has been signed with the UNDP SGP to jointly develop community-based projects in support of SDS-SEA, and a $1 million budget has been earmarked. |
| ***Monitoring and Evaluation:*** | |
| ➢ An M&E plan | An M&E plan has been developed, and may be found on pages 62-69 of the Project Document. |
| ➢ Process and stress reduction indicators established for each country | Table 2, page 67, of the Project Document specifies indicative indicators to be utilized for the purpose of annual monitoring and reporting of country progress throughout the implementation of the project. |
| ➢ Inclusion of catalytic impact indicators | The only catalytic impact indicator cited in Table 2, at this time, is the estimated investment that will be leveraged through the WB/GEF Investment Fund for pollution reduction ($350-$500 million). Other catalytic impact indicators will be formulated as part of Components C, D, F, G and H, during project implementation. |
| **Institutional Coordination and Support:** | |
| ➢ Clarification of language concerning the Strategic Partnership | The definition of the Strategic Partnership has been refined, and is included on pages 2 to 4 of the Project Document. |

## Annex E: STAP Review

### STAP Roster Review:
### GEF/UNDP Project on Implementation of the Sustainable Development Strategy for the Seas of East Asia

Preface

A review of this kind can take different approaches and perspectives and each reviewer will certainly have his/her own views. As a preface, I admit that I have my own ideas about how best to promote a strategy for the sustainable development of the Seas of East Asia. This is inevitable given a topic of this scope and with such a wide range of possible approaches about how to best implement it. Any critical statements are intended to encourage the planners and implementers of this project to think beyond the strategies being proposed. Most importantly, all my comments are in good faith and given the critical need for programs such as this one to protect and sustain our coastal and marine resources, I certainly hope that it can proceed with adequate support in the most effective and timely manner possible.

Introduction

The proposed project builds on a tremendous legacy of experience and good work as implemented through PEMSEA over the last 12 years. The project has momentum and a broad constituency that is quite well formed in a number of countries. Clearly in reviewing the results of PEMSEA and its outputs through its results of people trained, policies formed and adopted, ICM programs planned and implemented in various countries among many others, the program deserves to continue in some form. Yet, when one considers that the progression from its original title of: "Partnership in Environmental Management for the Seas of East Asia" to the new title of: "Project on Implementation of the Sustainable Development Strategy for the Seas of East Asia", one cannot help but wonder if the "Project" is not taking on too much?

The implications of a sustainable development strategy (SDS) are very broad and go way beyond the general mandate of integrated coastal management (ICM) that is cited as the main implementing strategy within the Project proposal. Thus, although it is good to have a vision that leads the project to bigger and better outcomes, can it justify implying that the Project, in the long term, will implement a SDS? In addition, sustainable development, although a laudable goal, is very difficult to define in real terms and outcomes. And, although almost no one will contradict the need to move towards sustainable development, because it is hard to define, it is quite easy to avoid those actions that are essential to achieve it. ICM is only one tool in the long road to sustainable development. In addition, ICM, in its own right is rarely achievable and quite difficult to define. Thus, it may be prudent to make this project more focused on particular issues that can be solved over a limited time horizon using clearly defined strategies. I also suggest that these issues be well-rooted in the coastal and marine realm so the project has a clear identity.

Focusing the Project theme is one aspect of building a successful program through time. Another aspect of focusing is the geographical extent. In reviewing the Project Proposal, the number of countries to be included is still increasing and that the geographic spread includes tropical and temperate areas as well as developed and lesser developed countries all linked by the "East Asian Seas". There is also allusion to "ecosystem-based management" in the proposal that considers six large marine ecosystems (LME's) as well as linkages between

watersheds and land management and the seas. These are all logical and defendable at a certain scale of thinking and management. But, when we start looking into the nitty-gritty of coastal and marine management at a scale that improves the status of resources, their productivity, human interactions and use patterns, livelihoods, water quality and other parameters and considerations, the scale is very much smaller. Also, when we consider the varying capacities of the 12 East Asian littoral states included in the Project, it is questionable to what extent that they all compliment each other in useful ways. It also raises the question if they should all be included in the first place?

In relation to the six LMEs and the natural connections of the seas that create trans-boundary issues such as oil spills, other forms of water pollution, movement of introduced species and other issues, it should be noted that 99 percent of the coastal and marine issues in the 12 littoral states of the project are within their own boundaries and not influenced by the other states. There are a few exceptions that need particular attention such as shared resources bordering Philippines and Malaysia, all the issues surrounding the Spratly Islands and some transnational shipping issues among others. But for the most part, the continuing degradation of the East Asia Seas and coastal resources are the result of weak or non existent national and local government policies and limited ability to implement ICM within nations. This raises the question as to why the Project focuses so much on international, trans-boundary, regional bodies and other "regional mechanisms" that may be questionable in their ability to deal with the national issues. In fact, the real issues of coordination and cooperation are almost entirely internal to most of the countries, especially those with the richest tropical resources such as Indonesia and Philippines.

In reviewing the project context and background information, it appears that the program has grown beyond its ability to deliver tangible outcomes at a scale that will sufficiently generate more buy-in, counterpart and action. Although tangible successes are cited and documented in the recent PEMSEA evaluation, I question their credibility in one case. When a program is spread thinly over 12 countries and involved in many different kinds of activities and interactions, the thread of commonality gets stretched and sometimes lost. In viewing PEMSEA as an outsider, this is the appearance one sees. And, although many of the PEMSEA stakeholders cite positive outcomes that are well documented, these outcomes are variable and without too many commonalities which creates a problem of identity. Thus, the project could benefit from a more issue-based management approach within a more focused framework than is currently proposed.

These introductory paragraphs set the stage for some important directional changes to make the proposed Project more focused, effective and doable. This may require some scaling back of aspirations and trying to find more common threads in all the proposed activities. It will also require that certain country programs, such as in high biodiversity areas such as Indonesia, Malaysia, Thailand, Philippines and Vietnam that share common valuable and ecologically linked resources, that more emphasis be given to these areas in contrast to the northern states that border on quite different and less diverse marine regimes. This shift might also require scaling back some planned "regional" interactions since these may not all be required to effectively assist in improving ICM in the countries of concern.

Key issues

Scientific and technical soundness of the project

The scientific basis of the project as proposed is sound in that it is based on the most recent and tested scientific knowledge regarding conservation and management of marine and coastal resources as tested in Asia. PEMSEA has been careful to utilize a science-based management support system that will continue in the new Project. But as to the whether there is sufficient information and knowledge available on the dynamics, functioning and structure of the ecosystems covered is a big question given the scope of the program. While the background information on the status and quality of the coastal and marine systems is accurate for the most part, it only touches on a small portion of the geography to be covered and has to make many general statements. The background and contextual (baseline) information is mostly focused on the tropical marine ecosystems and not much on the northern areas included within the program. To the extent that the program is able to support management regimes that focus on particular areas and ecosystems, part of the management process will be to improve on the baseline information for these areas. This would also need to be fully internalized with the local and national governments of concern and not dependent on the Project as such.

The approaches mentioned for collecting relevant information for management of resource uses and their impacts, local economic activities, water management etc. are mostly suggested to be participatory. The question to be asked is at what scale will participatory approaches be applied? It is known that the more contact stakeholders have with a resource area or to the extent they are dependent on a particular resource base, they will generate more responsive and effective management plans. To this extent, the project will need to engender site-specific management in appropriate areas of concern working through local governments and stakeholders. It is not clear to what extent this will be possible given the broad focus of the project.

There is mention of the need to address the inter-linkages between water-related environmental issues and root causes behind different environmental problems. This is implied in the ecosystem-based approach to management that is suggested as a paradigm that ICM needs to consider and include. This raises the question of boundaries to the project. ICM can be applied in many different ways and can include watershed management as a way to mitigate downstream pollution of the marine environment. But, a small project cannot provide meaningful technical assistance in such broad fields of environmental management where watersheds are large and complex. And, the ability to measure change in management areas will be limited.

From a scientific and technical perspective, the scope of the project is quite broad and somewhat ill-defined. As stated in the introduction to this review, the broad scope as suggested in the title and also in geography to be covered. Also, the issues described in the background information and baseline are more focused but do not exactly match the overall objectives and strategies of the Project that are broader. A more careful matching of the management issues to be addressed is needed with the proposed objectives, strategies and outcomes. Linking issues to objectives will give the project a more tangible and doable framework.

Questions related to the use of technology

The “technology” used in this project is mostly related to communication tools and dissemination of information and in the conduct of training and planning workshops of various kinds. It also pertains to the methods used in bringing people together and in soliciting the support of policy makers and key government officials as well as those from the private sector. The methods

used in accomplishing these tasks are quite dependent on the personalities and skills of the project personnel to be successful. Under PEMSEA, the training program was well developed and accepted.

The training activities and modules can benefit from a continuation of the information system developed under PEMSEA. Also, as the Program has This raises an issue of the transition from PEMSEA to the new Project that is whether the techniques used in PEMSEA can be continued as such.evolved so have the training needs in the ICM demonstration sites that require more diverse and specialized agendas. The training modules might also have to become more responsive to particular site needs in each country.

Questions related to institutional arrangements

The Project proposes the development and institutionalization of a regional body to oversee the implementation of the SDS in the countries of concern. This body is already tentatively formed but commitments are still lacking from the most of the countries in terms of monetary support. Nevertheless, each country has signed the Putrajaya Declaration for a SDS that commits them to the process as spelled out in the agreement of 2004. A concern in relation to the formation and capacity building needed for such a regional body is that it could take a significant portion of the Project resources to make it functional and sustainable. It is suggested that the value of investing in this regional body with its broad goals be carefully weighed with the value of providing more focused technical assistance to particular countries in need. It would be prudent to keep aspirations for the regional SDS body limited and straightforward. It is also suggested that this body be connected or linked to other already existing regional bodies such as ASEAN or other that have a complementary agenda. This also raises the issue of the appropriateness of all of the country members since the commonality among the 12 to 14-nation group is difficult to ascertain. It is more efficient to link countries with common resource bases and issues to be addressed.

The institutional arrangements of most urgent concern are those within nations and down to sub-national levels. It is at this level that most ICM will be implemented and where most assistance is needed to ensure that ICM can be more widely implemented.

Questions on demonstration sites

Demonstration sites where selected under PEMSEA and will apparently be continued in the new Project and/or new ones selected. It would appear that the sites were selected with good rationale and that work has proceeded in some areas much more effectively than others depending largely on the ability of the national and local governments to implement ICM in a meaningful way. Although ICM has commonalities among various countries at a meta-level that is somewhat theoretical, sharing lessons from one country to another has limited relevance because of basic legal, institutional, economic and governance differences between and among countries. Nevertheless, the value of sharing aspects of ICM site lessons with others is still a useful learning tool. Also, PEMSEA and the new Project follow an “adaptive management” approach. To the extent that this is true, the process of learning and refinement within the adaptive management framework can be a common basis for sharing lessons among and within countries.

PEMSEA has consistently cited ICM successes in Xiamen, China that are documented and impressive. Yet, these do not easily translate to Indonesia, Philippines, Vietnam or other lesser-developed countries and without the more centralized approach used in China. This highlights how the Project needs to group countries in learning networks. Or in some cases, it should just work in countries separately and focus on improving the situation within primarily.

The point of relevance of sharing lessons across countries again points to the need for a balance of national activities versus regional activities such as international conferences, exchanges among countries and other events. For example, even all the information posted on the PEMSEA website and information system, which is excellent, is most likely not often used by local managers in a country like Indonesia. Whereas, more hands on and localized planning and capacity building workshops will go a long ways in Indonesia that relate to difficulties within the country and to the evolution of ICM within its legal and institutional setting. Thus, strategic and well thought out use of Project resources through adaptive project management is needed.

Identification of the global environmental benefits

The proposed project clearly identifies global environmental issues linked to the East Asian Seas and the potential benefits to be derived from the Project. These are well articulated although there appears to be better understanding in the project proposal of the tropical issues and benefits to be derived from protection and management of these resources. The potential global environmental benefits from the Project are large while the difficulty is in measuring such benefits. The PEMSEA Program accomplished most of its intermediate results but fell short in accomplishing outcomes measured in terms of environmental improvements and change. Thus to what degree the Project can achieve global environment benefits/outcomes that are scientifically measurable is uncertain. To the extent possible, outcomes will be through ICM demonstration sites that have baseline data and are conducting monitoring and evaluation programs that document change over time. Global benefits could also be measured in countries that have baseline data and also conduct monitoring of change overtime at larger scales than an ICM demonstration site. But, it is unlikely that such data is available and there is probably no one county capable of achieving this within the timeframe of the Project.

No negative environmental effects can be anticipated from the Project as designed. The only possible negative outcome that could be construed might be in the relative amount of resource dedicated to regional activities, international travel, large conferences and other similar events as opposed to more focused national level activities that add value to national ICM programs. This trade off, although somewhat obvious, easily gets overlooked in the day-to-day management of a regional project. The management philosophy determines the direction and needs to be spelled out more clearly in the Proposal. A bias toward more focused national activities might produce the measurable environmental outcomes desired.

How does the project fit within the context of the goals of GEF

The project fits well within the overall strategic thrust of the GEF-funded International Waters (IW) activities. As proposed it should assist groups of countries to better understand the environmental concerns of their IWs and work collaboratively to address them in some form. It will also build the capacity of existing institutions both regionally and nationally and it intends to implement measures that address selected trans-boundary environmental concerns. While all of these statements are true, the Project, given its broad focus can achieve these outcomes

more or less depending on many decisions yet to be made. The outcomes in this realm depend in part on points raised elsewhere in this review.

Regional context

The regional scope is certainly present in the Project but whether the scope is too large to be an effective mechanism to move forward with remains to be determined. Based on almost 30 years working in Southeast Asia, I know the difficulties of building meaningful regional partnerships that last and that accomplish tangible outcomes. The management of PEMSEA knows this equally well. Certainly there are examples of regional collaboration in the realm of marine science that have brought benefits to multiple countries through the collaboration of academic institutions within Southeast Asia. There are examples of adoption of standard data collection and processing protocols, use of data for management design across borders and more. But, the regional collaboration among countries through top levels of government in the field of environmental management is still weak and almost non-existent in most instances. Thus, the vision of moving towards a common SDS is certainly a big one that cannot easily be answered.

If we take just one issue that could benefit from regional collaboration such as prevention of oil pollution from shipping, we can cite successes and failures. On the one hand, most countries have signed onto important international agreements that affect shipping and protocols for transport of oil. In spite of the number of meetings and efforts to attain a common level of adherence to these agreements, countries like the Philippines are not yet close to attaining a clean and safe oil shipping industry. The solution to this issue is mostly an internal Philippine activity since the petroleum transport industry is controlled by local companies. Regional meetings and agreements will not necessarily change this without the real commitment of the Philippine government and without some concerted and financially supported technical assistance to facilitate the needed improvements in the private sector. Once again the lesson points to the need for a balance of regional, national and sub-national activities to achieve useful results.

Replicability and sustainability of the project

The Project as proposed cannot be replicated as such since it is unique and depends wholly on the buy in and support of the member countries. But, it if works, it will replicate itself since it has to become self-sustained to succeed. The proposed regional mechanism should provide focus and means for coordinating national efforts, thereby enhancing the efficiency and effectiveness of individual country undertakings. Involvement of the private sector, inter-governmental financial institutions, investors and commercial banks are all important for sustainability. Thus, to the degree that a regional body can become functional and perform these tasks, the project can be replicated through its own sustainability.

But to be realistic, the history of multi-country institutional arrangements working efficiently and ensuring financial sustainability for its own operation are few and far between. They may take years to form and may or may not pan out over time depending on the needs of each country involved. Presently there are several regional fisheries management organizations such as WESPAC that were started 20 or more years ago. They are generally very poorly supported by their member countries despite the relative crisis in fisheries management in the region today. These facts need to be considered when trying to make the Project sustainable and highlight

the need to learn from other regional organizations and their problems. Also, PEMSEA has had some difficulty in establishing lasting public private partnerships needed to assist with sustainability beyond the project. Partnerships are difficult to form and thus need to be very carefully developed and nurtured over several years to make them viable.

Linkages to other focal areas, programs and action plans at regional or subregional levels

The Project has various natural links to other GEF focal areas and programs at regional and sub-regional levels. A comment is that the Project needs to focus on those focal areas and programs that will be mutually beneficial to communicate and cooperate with. Numerous international conventions, treaties and agreements exist among the countries of the East Asian Seas while probably few are strictly implemented or adhered to. And because the architecture of marine agreements is complex for trans-boundary issues among others being very strategic and focused will ensure some level of improvement in the implementation of such agreements among countries. And, it is possible that not all countries from the EAS need to be involved in all agreements. Some might involve only two countries. The Project needs to identify those multinational agreements that are effective and hold good potential and that the majority of countries are interested to pursue.

Degree of involvement of stakeholders in the project

"Stakeholders" in the proposed Project can have many different meanings. In this regard, stakeholders could be better defined in the Proposal. This is because stakeholders range from nations to local fishers and private sector tourism operators. In ICM demonstration sites that involve area-wide interventions, community involvement and stakeholder participation are especially important to be successful. PEMSEA set a good record for stakeholder involvement and indicates the new Project will follow this path. A more pertinent question is whether the Project will have the resources for adequate stakeholder involvement. National and local government and private institutions will need to play major roles to assist with stakeholder involvement. Although, it is not expected that the question of stakeholder involvement could be spelled out in the Project proposal, more description of this process would be useful.

Capacity building aspects

The proposed Project is geared towards building capacity at the regional and national levels. The balance of effort at these levels, as discussed, still needs to be determined in more exact terms. Implementing ICM demonstration sites requires capacity building at local government levels. The intensity of efforts at this level can be quite high. It is at this level that the project needs to bring in partners as much as possible in various collaborative agreements to work together. The Project design does incorporate these kinds of agreements while those that might make the most difference at the local levels will not be determined until activities begin at the ICM project sites. But successful local level interventions require consistency over time using familiar technical assistance and consultants that can integrate well with the local decision makers and managers. Sporadic and variable technical assistance does not lead to measurable results in local projects. In this regard, the investments needed are often larger than anticipated, especially in the lesser developed countries. In the existing design, the Project may be underestimating the resources needed to fully develop and implement ICM demonstrations to produce tangible outcomes.

Innovativeness

The Project design can be considered to be extremely innovative. What is lacking is realism in how to accomplish the project goals and objectives. Of course, the innovative strategies will help make it work while these strategies are dependent on having sufficient innovative leaders within the Project team and framework. The project needs to build a strong and dynamic team that encourages leadership and autonomy in its management system so that innovative actions can occur at multi levels and in different contexts and areas. Project management should avoid being too rigid and hierarchical so that the team will take their own initiatives. Also, by adopting a "rolling design" that builds on the principles of adaptive management, the Project may be more efficient and innovative.

Specific comments on the Proposal

1. Suggest a change in title that focuses more on marine and coastal management such as: "Implementation of a Strategy for Integrated Coastal Management within the Sustainable Development Framework for the Seas of East Asia".

2. Project Context: Need to emphasize tangible successes based on actual coastal management projects to get the buy in of the countries of concern.

3. The Current Situation: This presents an excellent overview of the need for improved coastal and marine management in the region. It could also highlight the need for more incentives and sanctions within and among nations to work towards the achievement of a sustainable resource system for the Seas of East Asia. Some key references would be useful in this section since there are many good studies that could be cited.

4. The discussion of the six LMEs is very brief and adds an element of scale that appears to be almost unmanageable. Working in one LME alone could easily consume the entire Project. Thus, some sense of focus is needed here and not all the LMEs can be treated equally within the Project. This section also raises the questions about mixing the south and north LMEs in the same project. These are quite different and do not easily augment each other in terms of lessons, institutions and systems of management.

5. The Current Situation discussion on issues focuses mostly on the tropical coastal resources which is logical and could help focus the objectives of the Project.

6. The Current Situation on oil spills could mention the need to strengthen national regulations and control of private shipping companies.

7. The Current Situation on institutional and sectoral context needs to be careful not to exaggerate accomplishments and to give credit to partners that assisted with some of the results. An example is the Presidential Executive Order (EO) signed in June 2006 adopting ICM as a national strategy in the Philippines. This EO was not initiated by PEMSEA but by the Coastal Resource Management Project supported by USAID over about 5 years through a series of workshops at the local and national levels in which PEMSEA was occasionally represented. In addition, last minute changes made in the EO eroded much of the value of the EO as originally drafted and agreed upon by the local stakeholders.

8. Within the Current Situation, it is mentioned that the SDS-SEA partnership agreement will provide the needed regional institutional arrangements to consolidate gains and put implementation of the SDS-SEA on a self-sustaining path. This is a reasonable goal while the project should not be strictly tied to this outcome or to this mechanism since it may or may not prove to be an efficient mechanism. The Project also needs alternative paths to follow.

9. Most of issues discussed in the Current Situation occur within nations and are quite country specific. In this regard, the overall strategy of the Project needs to be focused on addressing some of these issues in real terms. General regional approaches to these issues will not necessarily solve them.

10. Strategically aligning sharing of lessons among countries is important. The recent Coastal Zone Asia Pacific Conference in Indonesia highlighted this reality as Korea presented its situation and found little interest on the part of the Indonesians. Indonesia as an example highlights the need to fully understand its system before ICM can be furthered.

11. Under Baseline and Alternative Scenarios, the baselines are being affected by many coastal management projects in each country that could be mentioned. Although partnership building is a key strategy among countries, the real partners in coastal management are the large donor projects supported by the Asian Development Bank, the World Bank, USAID in Philippines and Indonesia, and other bilateral donors.

12. In the section on Project Rationale and Continuity, it is stated that: “there are strong socio-economic security motivations for having a unified approach towards managing the coastal and marine resources of the region…”. This may not be the best motto to guide the project since the reality in each country is very different in that coastal management approaches are extremely different in order to respond to local needs and systems. What works in China is a contrast to what works in Indonesia or Philippines. Although there are lessons to be shared, there is certainly no one recipe that will fit all. Alluding to an “adaptive management” process might serve the Project better.

13. In the discussion on scaling up ICM, this needs to be within countries and built on systems that are working in each country. In the larger countries, there is a process of devolution of authority and jurisdictions to local governments. This is where the largest challenges lie to make ICM effective through building capacities of local governments.

14. The investments of GEF in PEMSEA should also be contrasted with investments of other donors in the countries of operation. This is especially important when one considers that many of the achievements of PEMSEA have been in association with and partly dependent on the other donor programs.

15. The Project Goal and Objectives would be more effective if made more specific and doable. The Goal and Objectives now read like a vision. They are not measurable through a system of indicators. A simple result and indicator matrix for the Project would give perspective and be helpful in project planning.

16. Mention of particular strategic partnerships with key organizations with similar goals and objectives is needed in the design. An example would be to combine international conferences instead of having large conferences wholly supported by PEMSEA.

17. The need for the development of a regional state of the coasts reporting system is interesting but questionable. Each country needs a system that works for the country so that the information is focused on a scale that assists national policy makers. A regional report will say little to national policy makers unless there is a complete country report within the regional report. An example of a useful regional report was the Reefs at Risk Report of the World Resources Institute that focused on collecting and analyzing the data of several years at both the country and regional level. In the end, it produced country level reports that were useful for policy makers and for education.

18. The Plan of Action for transforming PEMSEA into a long term, self-sustained regional implementation mechanism for the SDS of SEA will need to fully consider the challenge of long-term sustainability. This mechanism will need to operate together with and in consideration of the UN agencies and their mandates in the countries. Presently, most other UN environmental regional bodies are quite weak.

19. Output B.2: National policy, legislative and institutional reforms… will be a very useful activity. This could produce important results for the Project.

20. The "Scaling up ICM programs" activity is an extremely useful component. The only note of caution might be that one "ICM Code" may not be the best direction to move since each country will need an appropriate system. Principles can be the shared but a code for any one country will need to be differentiated. In the Philippines, for example, the evolving ICM certification system needs is responsive to local governments, their capacities and their jurisdictions under national law. A generic international code will add little to the evolving system and may just confuse local policy makers and managers.

21. Regarding the "Twinning Arrangements for Ecosystem-based management", such agreements with international organizations and the private sector will need to bring funding. The ecosystems being discussed are large and complex and the institutions required for their management are mostly not yet existent. Each LME could be a whole project in itself.

22. The suggested training and scholarship programs are needed and can help build professional capacity. Adequate resources should be allocated for this activity.

23. Websites are useful depositories for all the Project information and can serve as a functional library and way of organizing much information. Nevertheless, local stakeholders do not always use these means of obtaining information so there is still a need for other means of disseminating important documents.

24. A small grants program is another excellent way to build local capacity in ICM by funding local projects and organizations.

Summary

The comments included in this review are intended to help guide an improved version of the Project proposal. My main message is that given the level of funding of this project, which is quite small, I think it would be prudent to scale back some of the goals and objectives and make them more focused on doable actions. Parts of the proposal are focused and will add much to improving ICM in the region. Others, as noted, are broad and open-ended so that the project will not have adequate guidance to follow without more measurable objectives and outcomes. Also, the 3-year time span of this funding proposal is rather short and thus needs a specific road map of actions to be taken by the project team. To the extent that the Project can improve the state of ICM in individual countries, it will be a success. And measuring these positive changes through local monitoring and evaluation activities will help make the project more sustainable since it will increase the buy in of local and national organizations. At the same time, this potential and measurable success will rest on the strategic balance of local actions versus regional activities and how they contribute to progress at the local, national and regional levels of implementation.

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Submitted by A. White
September 7, 2006

## Response to STAP Review

### Introduction

The comments by the STAP Reviewer were indeed thought provoking and insightful, based on his many years of experience working on donor-supported projects in countries of the region. Recurring concerns of the STAP Reviewer were: the breadth of the regional project; the regional institutional arrangement; national versus regional focus; tangibility of outcomes; scientific soundness; and global environmental benefits.

These points are well appreciated and recognized by the participating countries that have agreed to cooperate and work collectively toward the implementation of the *Sustainable Development Strategy for the Seas of East Asia (SDS-SEA).* One cannot deny the immensity of the task of achieving 'sustainable development'. As emphasized by the STAP Reviewer, this laudable goal will take much longer than three years and will require many more resources than those available for the GEF project. The purpose of the next three years, however, is to mobilize the partnership arrangements, implementing mechanisms and core capacities for achieving sustainable development over the longer term. The major outcome of the project will not be sustainable development across the region, but rather an incremental step with essential building blocks to bolster national and local governments' understanding and capacity regarding "how" to eventually reach this target. The project is aimed at: catalyzing focused actions of national and local governments; mobilizing the intellectual capital of the region to enhance sound decision-making through scientific input; building awareness and capacities in core sectors; engaging communities and POs in on-the-ground sustainable development projects; leveraging skills and investments from the private sector; and strengthening international support and cooperation in the implementation of the SDS-SEA through Strategic Partnership arrangements.

The proposed project is built upon the foundation of 12 years of experience, interaction, process development and demonstration, capacity building, and confidence strengthening among governments and other sectors, as part of the PEMSEA Regional Programme. The project was developed over a three-year period of planning and consultation, lead by the participating countries and involving international agencies and organizations, local governments, the private sector and the academe. PEMSEA's Mid-Term and Terminal Evaluations also served as guideposts to address weaknesses in the current strategies and processes of the Regional Programme and to build on the strengths. The project is the initial stage of a 10-year transformation process towards a shared goal of a long-term, sustainable regional mechanism for SDS-SEA implementation. Countries are committing substantial resources to ensure the success of the project. GEF has the means and the opportunity to further the advancements of the past 12 years, by catalyzing, strengthening and participating in the implementation of this innovative partnership approach to sustainable development.

The response to the STAP Review is divided into two parts, namely general comments and specific comments. In many instances, the comments of the STAP Reviewer are in contrast to the conclusions and recommendations of the Mid-Term and Terminal Evaluations, which were comprised of six noted international experts, with years of practical experience in coastal and ocean governance, sustainable development, knowledge transfer, and program management and evaluation, which spent a total of three months evaluating the PEMSEA Regional

Programme. The Mid-Term Evaluation Report[10] and the Terminal Evaluation Report[11] (TER) served as purposeful resource documents during the preparation of the Project Document. Thus, in responding to the STAP Review, and particularly with respect to the general comments that represent the personal opinions of the STAP Reviewer, reference has been made to specific sections and paragraphs of the TER that vary from such opinions. In view of the fact that the PEMSEA participating countries, UNDP and GEF adopted the TER and its conclusions and recommendations at the recent 12th PSC Meeting of the PEMSEA Regional Programme, it is hoped that the responses are considered to be consistent with opinions and perspectives of the concerned parties.

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| Thematic scope: The project may be taking on too much; may be better to focus on particular issues that can be solved over a limited time horizon using more clearly defined strategies. | The thematic scope of the project has been reviewed and clarified as suggested. The project is focused on putting into operation a 'core set' of partnership arrangements, capacities and capabilities at the regional, national and local levels that will facilitate the expansion and sustainability of SDS-SEA implementation over the longer term. |
| Geographic scope: Considering the varying capacities of the East Asian littoral states, it is questionable to what extent that they all compliment each other in useful ways. Should they all be included in the project? | The SDS-SEA recognizes that 6 LMEs are interlinked politically, socially, economically, and environmentally, and the countries who share their resources undoubtedly have different perspectives and capacities to manage them effectively. Capacity disparity among countries and among regions within countries is a root cause of the continuing destruction and degradation of the region's resources. A principal strength of the proposed regional implementing mechanism is the potential to build better relationships among countries and other concerned sectors, share responsibility, transfer knowledge and capacities across boundaries, and replicate good practices across projects and programs at the national and regional levels. Under this approach, capacity disparities among countries are gradually being reduced through on-the-ground implementation and experience from within the region (TER, Sub-sections 2.46 and 2.47). |
| Trans-boundary vs. national focus: The project focuses on international, trans-boundary, regional bodies and other "regional mechanisms." Therefore, the ability to deal with national issues – where the real issues of coordination and cooperation lie – may be questionable. | The project is designed to cut across three levels of governance, namely regional (e.g., regional implementing mechanism), national (e.g., national policy reforms; ICM scaling up programs; and enhanced capacity building programs), and local (ICM implementation; community participation; and financing and investment in pollution reduction). Each level of governance has a unique mandate and capacity to facilitate and to implement. PEMSEA's experience has demonstrated that bottom-up and top-down management approaches conducted in a simultaneous and supportive fashion can accelerate change in policies and behavior (TER, Lesson 3, Para 6.6). This is the strategy that has been applied in the project, with Component A designed to address the regional mechanism, and Components B, C, D, E and F building national and local implementation capacities. |
| Tangibility of outcomes: PEMSEA/SDS-SEA may have "grown beyond its ability to deliver tangible outcomes at a scale that will sufficiently generate more buy-in, counterpart and action" Thus, the project could benefit from a more issue-based management approach within a more focused framework than is currently proposed. | The project has been designed with the goal of assisting the concerned countries to establish their core capacities and strategies on "how" to implement the SDS-SEA in a sustainable manner, rather than to undertake the implementation on behalf of the participating countries (TER, Lesson 1, para 6.3). We agree with the STAP Reviewer that this would be far too ambitious, not to mention being totally inconsistent with the SDS-SEA. Thus, each component of the project has been designed to develop a significant aspect of the required core capacities, namely: national policy and coordinating mechanisms; ICM scaling up programs; twinning arrangements in support of ecosystem-based management; capacity development and application; financing and investment; and partnerships among international agencies/financial institutions. In response, countries have confirmed their |

[10] Building Partnerships in Environmental Management for the Seas of East Asia (PEMSEA): Project No. RAS/98/G33/A/1G/19; Mid-Term Evaluation Report, 3 March – 5 April 2003.
[11] Performance Evaluation: Building Partnerships in Environmental Management for the Seas of East Asia (PEMSEA); Project No. RAS/98/G33/A/1G/19; Terminal Evaluation Report, 20 February – 20 April 2006.

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| | respective priorities and resource commitments for the transformation process, as well as the desired schedule, outcomes and outputs over a 10-year period (see Annex 1). |
| Scientific and technical soundness: Sufficiency of information and knowledge available on the dynamics, functioning and structure of the ecosystems covered is a big question given the scope of the program. | The concern expressed by the STAP reviewer is well-appreciated. The project has been designed on the basis of best available scientific, technical and management information and expertise coming from projects and programs from around the region, as well as PEMSEA's experience over the past 12 years. However, recognizing that there are knowledge gaps with regard to ecosystem dynamics and structure across the region, and also acknowledging that ecosystems change as a consequence of natural and manmade disturbances, the project has also included a scientific component (Component E) dedicated to overcoming identified knowledge gaps, as well as providing policy-makers with a sound scientific basis for decision-making. In addition, Components A, C, and D will engage the scientific institutions, Areas of Excellence (AOEs) and government agencies in the development and implementation of a State of Coasts reporting system, including monitoring and assessment of key indicators of change in coastal and marine ecosystems (TER, Sub-sections 2.32, 2.33 and 2.34). |
| At what scale will participatory approaches be applied? The project will need to engender site-specific management in appropriate areas of concern working through local governments and stakeholders. It is not clear to what extent this will be possible given the broad focus of the project. | We agree with the comment from the STAP Reviewer concerning the importance of the participatory approach for stakeholder buy-in and commitment. The Stakeholder Involvement Plan in Annex 6 delineates how various stakeholders groups will be engaged in the planning and implementation of the SDS-SEA at the regional, national and local levels. The challenge is significant, but do-able. At the regional level, there is already a solid core of 16 multi-sectoral stakeholders that have supported the development of the SDS-SEA. In some participating countries, multi-sectoral coordinating mechanisms are already in place and addressing matters related to sustainable development. At the local level, a major process indicator in ICM program development is the organization of a multi-sectoral coordinating committee. The project builds upon these arrangements and mechanisms in order to promote a participatory approach among concerned sectors. Furthermore, by facilitating interaction among governments and sectors, and by documenting and disseminating the outcomes and benefits derived from multi-sectoral partnerships, the project will aid replication and strengthening of the approach at the respective levels (TER, Sub-section 3.1.3). |
| Can such a small project provide meaningful technical assistance in such broad fields of environmental management where watersheds are large and complex? In this respect, a more careful matching of the management issues to be addressed is needed with the proposed objectives, strategies and outcomes. | As stated earlier, it is not possible for the project to implement the SDS-SEA for the countries. Rather the project is designed to assist the different levels of government and their constituent stakeholders with the implementation of a management system and process for addressing complex situations in coastal and watershed areas in an integrated and comprehensive manner. Each sub-project will have its own set of challenges, as well as strengths and limitations with respect to the capacities of the concerned national and local governments and stakeholders. The project will support the implementation of these sub-projects with the transfer and application of integrated management approaches and processes. The management issues, priority areas and schedule for achieving time-bound targets will be early outputs of each sub-project, in line with the available and required capacities (TER, Lesson 1, para 6.3). |
| Use of technology: Should the training techniques used in PEMSEA be continued as such or have needs in the ICM demonstration sites evolved that require more diverse and specialized agendas? | We agree with the STAP Reviewer's comments. Training is not a static process, but one that must evolve to meet the demands of the countries. The project will provide a variety of capacity development opportunities to meet the diverse demands among countries and operating sites, including training-of-trainers, specialized skills training, internships, fellowships, study tours, and a graduate degree in ICM (Components C and E). The project will also collaborate with scientific and technical institutions, international agencies, donors, and other regional programs and projects to avail of training opportunities and/or conduct joint training initiatives to further meet the needs of countries and project implementers in the region, as well as outside the region (TER, Sub-sections 2.15 through 2.25). |

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| | ICM demonstration sites are an important part of the capacity development strategy. Not only does the project focus on augmenting the capacity of these sites to manage and implement ICM, but also to develop these sites as viable learning centers for national ICM programs (Component C). |
| Institutional arrangements: The value of investing in a regional body to oversee SDS with broad goals should be carefully weighed with the value of providing more focused technical assistance to particular countries in need. This body needs to be connected to other already existing regional bodies such as ASEAN or others that have a complementary agenda. | While the comments are appreciated, there is another perspective on the regional mechanism that has been adopted by the participating countries (TER, Sub-sections 2.45 through 2.49). The regional mechanism and its partnership arrangements are seen by countries as a major driving force for national implementation programs by providing: a) a means of raising ocean and coastal governance on national agenda; b) a forum for confirming priorities, coordinating response programs, and avoiding duplication of effort in addressing transboundary environmental concerns across the six LMEs of the region; c) a vehicle for reducing conflicts, and establishing/strengthening partnerships with regional and international agencies and organizations working within the framework of the SDS-SEA, including ASEAN, COBSEA, and others; d) a source of information and knowledge regarding good practices and experiences in sustainable development and management of coastal and marine resources; e) a channel for accessing technical assistance and capacity development for SDS-SEA implementation; and f) an instrument for availing innovative financing and investment mechanisms at a regional, sub-regional and/or national level. On this basis, and after almost three years of consultation and negotiation, the countries collectively agreed to move forward with the regional implementing mechanism for SDS-SEA. They have requested GEF support for the early start-up of the mechanism, but at the same time have committed considerable resources in support of the mechanism as well, including full financial support for the PRF Secretariat Services. |
| Demonstration sites: The project needs to group countries in learning networks. Or in some cases, it should just work in countries separately. | A fundamental principle of ICM is adaptive management, meaning learning-by-doing, but within the context of a 'plan-do-check-act' methodology (TER, Subsection 2.25). The methodology facilitates a recurring process of 'continual improvement', which means that countries and/or local governments with different political systems, at different stages of development, and with different capacities, can apply the same methodology. There is no doubt that some localities will proceed through each cycle of the ICM process more rapidly and with better results than others, due to a number of reasons. But from the perspective of sustainable development, the ICM process facilitates movement towards the shared goal.<br><br>The project recognizes the value of South-South cooperation and knowledge sharing, through the implementation of regional training programs, Regional Task Forces, EAS Congress, PNLG, etc. Sites that have progressed rapidly are able to share their lessons, outcomes, and impacts with other sites moving at a slower pace, thereby providing both incentive and guidance to their fellow practitioners/local government units. At the same time, the project has acknowledged the value of on-site training, capacity transfer and technical assistance. A training-trainers program will be implemented, along with the establishment of National ICM Task Forces and learning centers in selected countries. These are designed to provide on-site support to local governments for ICM implementation. |
| Global environmental benefits: PEMSEA accomplished most of its intermediate results but fell short in accomplishing outcomes measured in terms of environmental improvements and change. The degree to which the project can achieve global environment benefits/outcomes that are scientifically measurable is uncertain. | PEMSEA's Terminal Evaluation Report, Section 4, cites the contributions made by the PEMSEA Regional Programme to the GEF Operational Programme Objectives. Admittedly, most of these accomplishments are related to the development of partnerships, strategies, policies, capacities and awareness, at different levels of governance in the region, but nonetheless they have global benefit within the context of the WSSD POI and MDGs.<br><br>The uncertainty regarding the global environmental benefits that are scientifically measurable during a three-year project is well-recognized. The project will initiate a system of monitoring and reporting that develops the capacity of countries to participate in such a process. The idea is that within |

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| | three years, countries will have produced the first State of Coasts report for the region, providing a baseline for future reference across the region (Component A).<br><br>In preparing the Project Budget, 29% of the available GEF grant has been allocated to regional initiatives (Component A), whereas 70.5% has been allocated to national and sub-national initiatives (Components B to F); less than 0.5% has been allocated to the coordination of the Strategic Partnership between UNDP and the World Bank. The proposed budget and related activities in these five components emphasize the importance of national and local initiatives, set within the framework of a regional strategy. |
| Possible negative outcome might be in the relative amount of resource dedicated to regional activities, international travel, large conferences and other similar events as opposed to more focused national level activities that add value to national ICM programs. The management philosophy determines the direction and needs to be spelled out more clearly in the proposal. A bias toward more focused national activities might produce the measurable environmental outcomes desired. | |
| Regional context: Whether the scope is too large to be an effective mechanism to move forward with remains to be determined. Need for a balance of regional, national and sub-national activities to achieve useful results. | As noted previously, the participating countries have adopted the SDS-SEA as a platform for regional cooperation, and a framework for the development of national policy and programs for achieving sustainable development. The GEF project has been designed with these challenges in mind, and within the limitations of available resources. Achieving the vision of the SDS-SEA will take many years and considerable resources. This project will help countries put into place the core components for a sustainable, long-term program for SDS-SEA implementation at the regional, national and local levels (TER, Section 5, Recommendations). |
| Replicability and sustainability: Regional organizations are generally very poorly supported by their member countries despite the relative crisis in fisheries management in the region. In this regard the project needs to learn from other regional organizations and their challenges. Also, PEMSEA has had some difficulty in establishing lasting public private partnerships needed to assist with sustainability. | We agree with the comments of the STAP Reviewer concerning the history of regional organizations and their challenges. We would point out that these challenges are not unique to the East Asian region, but are common to many other region's of the world as well, both developed and developing. PEMSEA has studied the regional mechanisms extensively since the signing of the Putrajaya Declaration in 2003, both within and outside of East Asia, and facilitated the conduct of regional experts' forums, intergovernmental working group workshops, a Senior Government Officials meeting, and three intergovernmental Steering Committee meetings. In the end, presented with the options, and the respective benefits and constraints, the countries agreed that creating an intergovernmental/intersectoral regional mechanism, with a shared vision for development, which has been agreed to through consensus, remains a fundamental pillar for achieving sustainability(TER, Sub-section 3.1.4).<br><br>The approach delineated in the project design is already being replicated, i.e., the first phase of PEMSEA began with two ICM sites. There are now 26 ICM sites, 18 of which have been developed without financial assistance from GEF. Several of these sites (i.e., Batangas; Bataan, and Cavite (Philippines); Chonburi (Thailand); Sihanoukville (Cambodia); and Bali (Indonesia)) have benefited from public-private partnerships, primarily with the private sector undertaking specific roles and responsibilities in implementing the respective coastal strategies. For example, in the Bataan project, the private sector is providing 50% of the financing for the ICM program, the Provincial Government the balance. These relationships between the public and private sectors have proven to be sustainable, as noted in the TER (Sub-sections 2.40 to 2.42).<br><br>Another aspect of public-private partnership is private sector investment in environmental infrastructure, such as solid waste and sewage facilities. Admittedly, this has been a slow process, for a number of reasons, as spelled out in the TER (Para 2.29 to 2.31). However, progress is being made, and it is |

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| | anticipated that at least two investment projects will be implemented before the completion of the current phase. |
| Linkages to other focal areas, programs and action plans at regional or subregional levels: The project needs to focus on those focal areas and programs that will be mutually beneficial to communicate and cooperate with. | The SDS-SEA addresses the very point being emphasized by the STAP Reviewer, i.e., the efficacy of implementing international conventions and agreements in an integrated manner (see the IMPLEMENT strategy of the SDS-SEA). Furthermore, the SDS-SEA identifies specific action programs at the national, local and regional levels, designed to facilitate the integration of the principles and objectives of MEAs into operating programs. The project responds by assisting countries to develop the required reforms and capacities, as pertinent to their situation, including GPA, WSSD POI and MDG. |
| Stakeholder involvement: Stakeholders could be better defined. Does the project have the resources for adequate stakeholder involvement? More description of the engagement/involvement process is needed. | Stakeholder involvement is not a separate activity of the project, but an essential ingredient in each component, as stated in para. 58 of the Project Document. The TER refers to the 'inclusive partnerships' that PEMSEA has employed in engaging relevant stakeholder groups at various levels and in all aspects of the work, which are critical to effectiveness and sustainability (TER, Section 6, Lessons Learned). The Stakeholder Involvement Plan, Annex 6 of the Project Document, defines the stakeholders and explains the engagement processes used by PEMSEA at the regional, national and local levels, as requested by the STAP Reviewer. National and local government resources will be required to achieve the goals of the Stakeholder Implementation Plan, and appropriate co-financing commitments have been made by the concerned governments. |
| Capacity building: The proposal may be underestimating the resources needed to fully develop and implement ICM demonstrations to produce tangible outcomes. | Over the past 20 years, US$ 200 to 300 million have been spent by donors in Philippines and Indonesia alone, in an attempt to establish sustainable integrated coastal area management programs at the community level. This project builds in-country and in-region core capacity to scale-up ICM programs, strengthening community-based management through a formal ICM framework and demanding national and local government buy-in through commitments to invest time, as well as human and financial resources, in order to achieve sustainability through ICM.<br><br>PEMSEA's ICM demonstration phase has been completed; the project will use existing working ICM sites as learning centers for national ICM programs. The project's funding will be focused on building core of human resources, training materials, training programs, information networks, case studies, standards/codes, and incentives to encourage national and local governments to invest in ICM. The TER (paras 2.1 to 2.8) delineates the many tangible outcomes that can be achieved by providing local stakeholders with these necessary skills and tools. |
| Innovativeness: The project is innovative but lacks realism in how to accomplish goals and objectives. | The project design has been formulated on the basis of the experience of the PEMSEA Regional Programme. The realism questioned by the STAP Reviewer, has already been rated as highly satisfactory by the TER. Most importantly, countries have expressed their confidence in the PEMSEA approach by putting their co-financing into critical components of the project that will generate direct benefit at the national and local levels. |

## Specific Comments

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| Title: Suggest a change in title that focuses more on marine and coastal management such as: "Implementation of a Strategy for Integrated Coastal Management within the Sustainable Development Framework for the Seas of East Asia". | The suggested title change is not consistent with the GEF objective of implementation of the SAP that has been developed and adopted by the countries during the current phase of PEMSEA. In this case, the SAP is the SDS-SEA, and ICM implementation is only one component of the strategy. The current title, Implementation of the SDS-SEA, is a reflection of the direction and program adopted by the countries over the next 10-years. |
| Project Context: Need to emphasize tangible successes based on actual coastal management projects to get the buy in of the countries of concern. | Agreed. The following sentence has been added to the second paragraph. "Progress made through the Programme included: the establishment of six new national demonstration sites; implementation of 18 voluntary parallel ICM sites; sustained public-private partnership arrangements; inclusion of ICM practices in regulatory frameworks at national and local levels; confirmation of institutional and community arrangements for coastal and marine environmental management; development of intellectual capacity, scientific and technical skills through training programs and linkages with universities and scientific and technical institutions; enhanced awareness of the socio-economic benefits of ICM; and public participation in planning improved environmental facilities and services." |
| The Current Situation:<br>➢ an excellent overview; key references would be useful in this section since there are many good studies that could be cited | Agreed. References have been added to the section. |
| ➢ discussion of the six LMEs is very brief and adds an element of scale that appears to be almost unmanageable. Working in one LME alone could easily consume the entire Project | Agreed. Annex 8, Situational Analysis of the LMEs in the East Asian Region provides more detail about each LME and its challenges. While the SDS-SEA covers the six LME's, the project is not focused on a specific LME. Rather emphasis is placed on helping governments to put in place the core capacities that will help them implement coastal and marine programs in a sustainable manner, and within the framework of the SDS-SEA. These core capacities will assist countries in implementing SAPs being developed by other GEF sub-regional programs, and other donors |
| ➢ some sense of focus is needed here and not all the LMEs can be treated equally within the Project | As stated above |
| ➢ also raises the questions about mixing the south and north LMEs in the same project. These are quite different and do not easily augment each other in terms of lessons, institutions and systems of management | As stated above |
| ➢ discussion on issues focuses mostly on the tropical coastal resources which is logical and could help focus the objectives of the Project | As stated above |

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| ➢ oil spills could mention the need to strengthen national regulations and control of private shipping companies | Agreed. The Gulf of Thailand initiative (Component D) will include this aspect. In fact, Cambodia is in the process of preparing a national regulation. |
| Institutional and Sectoral Context<br><br>➢ give credit to partners that assisted with some of the results. An example is the Presidential Executive Order (EO) signed in June 2006 adopting ICM as a national strategy in the Philippines. This EO was not initiated by PEMSEA but by the Coastal Resource Management Project supported by USAID over about 5 years through a series of workshops at the local and national levels<br><br>➢ the SDS-SEA partnership agreement will provide the needed regional institutional arrangements to consolidate gains and put implementation of the SDS-SEA on a self-sustaining path. This is a reasonable goal while the project should not be strictly tied to this outcome or to this mechanism since it may or may not prove to be an efficient mechanism. The Project also needs alternative paths to follow.<br><br>➢ the overall strategy of the Project needs to be focused on addressing some of these issues in real terms. General regional approaches to these issues will not necessarily solve them.<br><br>➢ Indonesia as an example highlights the need to fully understand its system before ICM can be furthered. | Agreed. We have added "donors" to list of partners in paragraph 24 b. The sentence now reads," Partnerships among coastal provinces, municipalities, cities, national governments, donors, and NGOs facilitated the adoption of the Manila Bay Coastal Strategy and Bohai Sea Sustainable Development Strategy, the Presidential Executive Order adopting ICM as a National Strategy to Ensure Sustainable Development of the Coastal and Marine Environment and Resources in the Philippines, and national legislation on the Bohai Sea."<br><br>The fact is, however, EO 533 as approved by the President, was initiated, prepared, promoted, revised and facilitated by the Philippines DENR and PEMSEA.<br><br>Agreed. Output A2: A Plan of Action for transforming PEMSEA into a long-term, self-sustained regional implementing mechanism for the SDS-SEA, is designed to evaluate, propose and build consensus on an appropriate path during the project.<br><br>Agreed. A new sentence will be added to para. 47, as follows: "The strategy of the project is to put into operation a core set of partnership arrangements, capacities and capabilities at the regional, national and local levels that will facilitate the expansion and sustainability of SDS-SEA implementation, including key issues such as development of national policies concerning sustainable development, pollution reduction, etc., the scaling up of ICM to 5% of the region's coastline, the development and implementation of investment plans for improved pollution reduction."<br><br>Agreed. Many valuable lessons have been learned from PEMSEA experience in Bali and Sukabumi. The national government has committed significant resources to scaling up ICM in Indonesia, and has indicated their desire to develop a National ICM Task Force to undertake the process. This project will provide the Task Force with the necessary skills and tools to proceed. |
| Under Baseline and Alternative Scenarios: | |

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| ➢ the baselines are being affected by many coastal management projects in each country that could be mentioned.<br><br>➢ Although partnership building is a key strategy among countries, the real partners in coastal management are the large donor projects supported by the Asian Development Bank, the World Bank, USAID in Philippines and Indonesia, and other bilateral donors. | Agreed. PEMSEA has undertaken a review of national, bilateral and multilateral coastal and marine management projects being undertaken in each country. More than US$ 43 billion are being committed across the participating countries, as noted in Annex 2. This baseline information can be accessed from PEMSEA's website.<br><br>Disagree. The agencies identified are providing the funding, much of which goes to high-priced consultants who leave when the project is over. They are partners, but the partnership is short-term. The real partners are those who are in for the long-term; those who live with the risks, benefits, shortcomings and impacts of coastal management day-after-day, year-after-year, in an effort to continually improve the system in order to achieve sustainability. The real partners come from the local community, industry, media, religious organizations, fisherfolks, etc. No donor is willing or able to make such a commitment. |
| Project Rationale and Conformity:<br><br>➢ What works in China is a contrast to what works in Indonesia or Philippines. Although there are lessons to be shared, there is certainly no one recipe that will fit all. Alluding to an "adaptive management" process might serve the Project better. | Agreed. Para 58 *bis* has been added, as follows: "Adaptive management underpins the various components of the project's work program, in recognition of the many different and complex issues in coastal areas across the region. For example, the processes in each component are flexible and gradual; outputs serve as guideposts that may need to be realigned or at least rescheduled depending on the local situation; and progress is always measurable but the rate of progress is relative to capacity. These aspects of adaptive management, and others, will be applied throughout the implementation of the work program." |
| Scaling up ICM<br><br>➢ this needs to be within countries and built on systems that are working in each country. In the larger countries, there is a process of devolution of authority and jurisdictions to local governments. This is where the largest challenges lie to make ICM effective through building capacities of local governments. | Component C, ICM Scaling Up, focuses on setting in place the core capacities in selected countries to address these very issues. Establishing national policy, National ICM Task Force, ICM learning centers, and training programs and materials, are elements of the strategy to provide local governments with the necessary support to effectively develop and implement ICM. |
| Investments of GEF in PEMSEA should also be contrasted with investments of other donors in the countries of operation. This is especially important when one considers that many of the achievements of PEMSEA have been in association with and partly dependent on the other donor programs. | As noted above some US$ 43 billion in funding is being allocated to coastal and marine related projects in the region. This information is available on PEMSEA's website. |

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| Project Goal and Objectives<br><br>➢ Need to be more specific and doable. The Goal and Objectives now read like a vision. They are not measurable through a system of indicators. A simple result and indicator matrix for the Project would give perspective and be helpful in project planning. | The developmental objective is visionary, but this does not mean that it progress cannot be measured. The Project Logical Framework, Annex 3, cites three process indicators that can be used to specifically measure progress towards the developmental objective, as follows:<br><br>➢ EAS Partnership Council meeting a regular intervals, guiding and coordinating the regional framework of partnership programmes for SDS-SEA implementation;<br>➢ Countries committing high-level officers to participate in the EAS Partnership Council;<br>➢ Plan of Action adopted by the EAS Partnership Council transforming the regional partnership mechanism in a long-term, sustainable mechanism for SDS-SEA implementation.<br><br>In addition, each of the outcomes and outputs of the project contribute to the developmental objective, thereby providing a comprehensive assessment of just how far the partnerships have progressed, and what their impact has been. |
| Strategic Partnerships:<br><br>➢ key organizations with similar goals and objectives is needed in the design. An example would be to combine international conferences instead of having large conferences wholly supported by PEMSEA. | The EAS Congress is a good example of PEMSEA's strategy of combining the resources and capacities of international agencies and organizations, national governments, international NGOs, etc. The Partnership Operating Arrangements, developed under the EAS Partnership Council, facilitate closer working arrangements among international partners, thereby avoiding duplication of effort, and wasting of resources. |
| Regional State of the Coasts reporting system<br><br>➢ a regional report will say little to national policy makers unless there is a complete country report within the regional report. | The State of Coasts reporting system is being developed around national reporting systems. The national systems will generate the input to the regional SOC report (Activity A.1.5). |
| Plan of Action for transforming PEMSEA<br><br>➢ need to fully consider the challenge of long-term sustainability.<br><br>➢ Mechanism needs to operate together with and in consideration of the UN agencies and their mandates in the countries. Presently, most other UN environmental regional bodies are quite weak.<br>➢ | Agreed. A consultative process will be employed to achieve consensus on the Plan of Action for a long-term sustainable regional mechanism, including the role and interactions with UN, international and regional bodies.<br><br>As above |
| Output B.2: National policy, legislative and institutional reforms… will be a very useful activity. This could produce | Agreed |

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| important results for the Project. | |
| ICM Code<br><br>➢ may not be the best direction to move since each country will need an appropriate system.<br>➢ Principles can be the shared but a code for any one country will need to be differentiated | Disagree. ISO standards are a good example of how internationally recognized elements/processes for effective management can be applied across organizations in different countries, with different political structures, and under different social, economic and environmental circumstances. Likewise, the ICM Code will be designed to enable a local government in any country to develop and implement ICM policy and processes, take action as necessary to improve its performance, and demonstrate conformity with the Code and national regulations through appropriate controls and documentation, all within the context of relevant national policy and legislation. |
| Twinning Arrangements for Ecosystem-based management<br><br>➢ agreements with international organizations and the private sector will need to bring funding<br><br>➢ ecosystems being discussed are large and complex and the institutions required for their management are mostly not yet existent.<br><br>➢ Each LME could be a whole project in itself. | Not necessarily. Knowledge and skills transfer would be a valuable contribution to such projects as well. These are long-term projects, and the basic need is to enrich local understanding and capacity to implement.<br><br>As stated earlier, the project is not focused on LMEs. Other sub-regional initiatives are being/will be undertaken on an LME level (e.g., South China Sea; Yellow Sea; Sulu-Sulawesi Seas)<br><br>Agreed. There are three ongoing projects in the region that are focused on specific LMEs. The project will attempt to partner with these projects and others, in order to share resources, capacities and knowledge (Component D). |
| Training and Scholarship programs<br><br>➢ needed and can help build professional capacity<br><br>➢ Adequate resources should be allocated for this activity. | Agreed<br><br>Agreed. The Programs for Areas of Excellence (Component E) is designed to set in place agreements with internationally and regionally recognized institutions in order to facilitate professional upgrading, using available resources/scholarship opportunities. |
| Websites are useful depositories<br><br>➢ local stakeholders do not always use these means of obtaining information so there is still a need for other means of disseminating important documents. | Agreed. There are situations where local partners do not have easy access to websites, do not have computer skills, or are unable to read documents in English. Components C, D and E adopt a multi-media approach in information dissemination. In addition to internet, the project will assist with the establishment of ICM learning centers in selected countries, with the mission of information- and knowledge-sharing and transferring ICM skills to local governments and ICM practitioners within the milieu and language that are most acceptable and beneficial. The project will also facilitate twinning arrangements, national workshops and forums, ICM training manuals, practical guides, case studies, etc., as well as conduct training-trainers workshops, to facilitate training in local languages at the national and sub-national levels. Finally, the project will develop National ICM Task Forces in selected countries, to make possible in-country technical assistance and advice that is accessible by local stakeholders. |
| small grants program<br><br>➢ another excellent way to build local capacity in ICM by | Agreed. The project has developed a partnership arrangement with the GEF/UNDP Small Grants Programme, wherein US$ 1 million in grants have |

| STAP Review Specific Comments | Response |
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| funding local projects and organizations | been earmarked for the inclusion of local organizations/community groups in project development and implementation, in support of sustainable development of marine and coastal areas. Other donors/organizations will be invited to participate in these community projects as well (Component E). |

## ANNEX F: RESPONSE TO COMMENTS FROM OTHER REVIEWS

1. UNEP

| **UNEP comments on the project proposal: Implementation of the Sustainable Development Strategy for the Seas of East Asia** | **Response:** |
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| In paragraph 31 of the project document, the UNEP/GEF project: Reversing Environmental Degradation Trends in the South China Sea and Gulf of Thailand. Although this paragraph indicates, "Building on the past and ongoing national, regional and international efforts in the region, the SDS-SEA implementation project will facilitate further interaction and partnership arrangements among these efforts, addressing those environmental and resource use issues that cut across geographic, administrative and disciplinary boundaries in particularly", there is not further information how this can be done.<br><br>In the mentioned UNEP/GEF project for South China Sea and Gulf of Thailand, a Strategic Action Programme (SAP) is being developed with focus on the priority transboundary international waters concern of degradation of critical habitats. The SAP will present a set of regionally agreed actions to be implemented under a specific institutional framework and financial arrangements for its implementation, both of which will be agreed upon at the time of SAP adoption.<br><br>No information is presented in the project document, as to how the implementation of the SAP can be made in partnership with and based on the SDS-SEA framework. | The achievements of the SDS-SEA will be measured from the aggregate of all of the successes and impacts derived from the implementation of the sub-regional SAPs, other national and local initiatives, and the efforts of international organizations, corporate sector, etc. The impact of the SDS-SEA as a whole will be seen by knitting these achievements together. National policy and reforms in coastal and ocean governance are increasing throughout the region, The outcome is expected to inspire and encourage national and local leaders to take more proactive roles in addressing cross-boundary environmental and resource use issues at the regional and sub regional levels,<br><br>When it comes to implementation of SAPs, governments are challenged on several fronts, not the least of which is the capacity to transform the SAPs into effective country programs. The SDS-SEA facilitates this process by providing countries with an integrated management framework and approach to overcoming destructive and conflicting uses of natural resources in river basins and coastal sea areas. The ICM approach has been demonstrated in East Asia at the local, national and sub-regional levels under the GEF-supported PEMSEA regional project, and has been recommended for country application in both the WSSD POI and Agenda 21. Note that scaling up national ICM programs is a key component of the country-driven SDS-SEA implementation project (Component C)<br><br>Component A of the UNDP Project Document is designed to catalyze the operation of a regional partnership mechanism by which national, sub-regional and international stakeholders will interact and collaborate on the implementation of the SDS-SEA. As described in Component A, the regional mechanism consists of six elements, namely: a) the EAS Partnership Council; b) the PEMSEA Resource Facility; c) the Regional Partnership Fund; d) the EAS Congress; e) the Ministerial Forum; and f) the State of Coasts reporting system. The regional mechanism and the cooperative, overarching framework of the SDS-SEA are the means by which the implementation of the SAPs being developed under the SCS and YS LME projects, as well as those being planned in the Sulu and Sulawesi Seas, and Arafura and Timor Seas, can be facilitated and strengthened through information and knowledge sharing and technical assistance. |
| | |
| Paragraph 192 g. indicates, "Consultations have been undertaken with the two GEF regional projects (i.e., GEF/UNEP South China Sea LME | Since the adoption of the SDS-SEA, the implementation of the regional strategy has been the subject of extensive consultations at the country and regional levels, including presentations and discussions during meetings of the South |

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| project; and GEF/UNDP Yellow Sea LME project) to identify where and how the SDS-SEA can serve as a platform for stronger cooperation." However, as far as UNEP is concerned, any prior consultation did not lead to the identification of where and how the SDS-SEA can contribute to the UNEP/GEF project on South China Sea and Gulf of Thailand and resulting implementation of the SAP to be finalized very soon. UNEP is implementing the above-mentioned GEF project for South China Sea and Gulf of Thailand. The project implementation is based on the UNEP network of government institutions, research/scientific institutions as well as experts, organized under the Coordination Body of the Seas of East Asia (COBSEA), which is the very reason and justification for UNEP implementing the project. If there is a specific action to take place in support of a future SAP implementation for the South China Sea and Gulf of Thailand, and if GEF would take an approach of coordination of implementation of the actions agreed upon and expressed in the SAPs in the target region of the proposed SDS-SEA project, UNEP would propose that UNEP would co-implement part of the proposed activities, particularly pertaining to the South China Sea and Gulf of Thailand. | China Sea project, the Yellow Sea project, and COBSEA. In addition, all three regional organizations/projects were invited to participate in the annual meetings of the PEMSEA PSC, as well as to become partners in the recently established EAS Partnership Council. Thus far, the YS LME project has confirmed its partner status in the Council.<br><br>The SDS-SEA embodies the priority issues and concerns of the countries with regard to the sustainable development of the six LMEs of the East Asian Seas, as well as the strategies, objectives and action programs for addressing those issues. The SDS-SEA has incorporated existing regional plans of action, programs and agreements, available scientific information, as well as relevant global environmental instruments and objectives into a comprehensive and practical management framework.<br><br>However, as SAPs are developed for the individual LMEs or sub-regional sea areas within the region, it is expected that more detail on the root causes of priority problems, capacities and expectations of country and local stakeholders will be identified and employed to formulate site specific management response programs. Narrowing the geographic (and perhaps functional) scope of management programs should result in a focused definition of institutional, policy, regulatory, environmental, social and/or economic objectives and targets of the government and non-government stakeholders.<br><br>The South China Sea is part of the seas of East Asia and the key issues are how the countries sharing these waterbodies can jointly and individually manage these large water bodies in a sustainable manner. The integrated coastal management approach does not exclude the management of habitats. In fact ICM is an important strategic policy and management framework for habitat management. The ICM approach provides the governance framework to ensure effective interventions to reverse the level of environmental degradation including habitats, water quality control, conflict resolution, natural hazard management, etc. at both local and regional level. The SDS-SEA on the other hand provides a broader sustainable development framework to address many of the issues that the GEF-UNEP SCS project also seeks to address. For example, the "Sustain", "Preserve" and "Protect" strategies of SDS/SEA cover similar activities that the current SCS project has been working on. The specific approach and management orientation will be subject to specific geographical and habitat considerations. Irrespective of whatever interventions are to be undertaken, the governance framework is basically the same. |
| | |
| Lastly, this project constitutes part of the 'strategic partnership' between the presently proposed project and the World Bank project. The latter World Bank project only deals with the land-based sources of pollution while the proposed UNDP project endeavors to cover a wider range of issues than land- | Every effort has been made to distil lessons learned from the Black Sea-Danube Strategic Partnership in developing the East Asian Sea Strategic Partnership, including participation in the GEF-sponsored conference in Moldova, entitled Nutrient Pollution Control in the Danube-Black Sea Basin, in October 2006. This was a very helpful experience, for it allowed interaction between the implementers in the Danube-Black Sea Basin and the planners in the East Asian Seas region. |

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| based sources of pollution. In fact very little information on actual mechanism for the coordination between the two projects has been presented in the project document. It is quite apparent any lessons learnt from the Black-Sea Danube Strategic Partnership have been used in the development of this proposal. | The regional framework does not require any project to be subsumed under another project; instead it provides a framework and a platform through which all the concerned projects can work together, sharing information, replicate best practices and help each other in achieving the overall sustainable development goals that we all share.<br><br>Component G and Annex 7 of the UNDP Project Document have been reworded to strengthen this intent. |

## Annex G: International Consultants for Project Management

### 1. International Consultant: Executive Director, PEMSEA Resource Facility

Duration: 156 weeks

Under the guidance of the EAS Partnership Council and the Implementing Agency, the Executive Director will perform the following duties and responsibilities:

a) Manage the development and operation of PRF Secretariat and Technical Services, ensuring the coordination between the two services particularly in terms of programme development and implementation as related to the SDS-SEA;
b) Serve as Executive Secretary to the EAS Partnership Council and its Executive Committee and ensuring the implementation of their decisions, including the monitoring, review and evaluation of progress, constraints, outcomes and impacts of the programme implementation, as well as reporting them to the EAS Partnership Council for the purpose of implementation improvement;
c) Undertake dialogue, consultation and consensus building with high level policy and decision makers and other stakeholders on the national, regional and global levels with regard to the SDS-SEA implementation, particularly the transformation of PEMSEA to a long term self-sustained regional implementing mechanism for the implementation of SDS-SEA;
d) Build linkages and partnership arrangements with concerned international organizations, programs and projects, governmental and non-governmental organizations, particularly the collaborators in the SDS-SEA implementation and GEF international water initiatives in the Seas of East Asia region, including their involvement in the formulation and implementation of a regional rolling 6-year framework of partnership programme for the implementation of the SDS-SEA;
e) Explore possible options for the establishment of the regional EAS Partnership Fund and in close consultation with the Implementing Agency and the EAS Partnership Council, facilitating its establishment including identification of financial sources and fund management; and
f) Advise Governments and other stakeholders on the changes on the status of coastal and marine environment and natural resources through preparation and dissemination of a regular regional State of Coast report, and make recommendations on programme improvement based on the feedback received.

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## Annex H: International and Local Consultants Technical Assistance Component

### A) GEF-Supported Consultants and Personnel

**1. International Consultant: Technical Services Coordinator**
Duration: 156 weeks

Under the general supervision of Executive Director and with high degree of initiative and interpersonal skills, the Technical Services Coordinator will perform the following duties and responsibilities:

a) Manage and coordinate the technical implementation of the GEF project;
b) Liaise directly with the PEMSEA National Focal Points (NFPs), non-government Partners of the EAS Partnership Council, as well as other national and international collaborators, regarding the technical implementation of the annual work plan and budgetary commitments of the GEF project;
c) Manage the PRF Technical Services, its staff and budget and the day-to-day operations of project activities;
d) Oversee and ensure timely implementation of the project work plan and budget, as approved by the EAS Partnership Council;
e) Prepare the annual work plan and budget of the project, in close collaboration with the Executive Director, PEMSEA NFPs, partners, donors and collaborators, and within the framework of the approved Project Document; and
f) Mobilize a broad based stakeholder participation in the SDS-SEA implementation and country support via co-financing, cost sharing and counterpart funding arrangements;
g) Pursue collaboration and partnerships with national and international financing institutions, donor agencies, corporate and private sector entities with respect to resource mobilization and fund raising for the implementation of SDS-SEA and creation of opportunities for investments in environmental facilities. Oversee and ensure timely submission of all required financial and operational reports on the project, as required by the EAS Partnership Council, GEF and UNDP;
h) Over see the monitoring and evaluation of the project's performance (progress, outputs, outcomes ) of the 7 project components in accordance with the Project Document and approved work plans;
i) Guide the preparation of monthly, quarterly, annual and other reports, as required by UNDP and GEF, in accordance with UNDP and GEF reporting criteria for presentation/review; and
j) Conduct annual work planning meetings for the project and support the preparation of revised work plans and budgets.

**2. International Consultant: Institutional Specialist**
Duration: 88 weeks

The Institutional Specialist will be contracted to provide technical advice and assistance in completing Components A and B of the project, including:

a) formulating 6-year national and regional partnership framework programs;
b) putting in place national policies/strategies on coastal and ocean governance and multi-sectoral coordinating mechanisms in support of SDS-SEA implementation;
c) developing national ICM policy, strategies and legislations for ICM scaling up initiatives;

d) identifying and evaluating potential institutional arrangements for the PEMSEA transformation, and preparing a draft Plan of Action for consideration by the EAS Partnership Council;
e) organizing national and regional consultations on policy and institutional reforms.

**2. International Consultant: ICM Specialists**
Duration: 244 weeks

The ICM specialists will be contracted to provide technical advice and assistance in the completion of Components C and E of the project, including:

a) organizing ICM learning networks within countries;
b) organizing and conducting national leadership forums regarding ICM scaling up programs;
c) developing ICM training materials, manuals, and training workshop programs;
d) conducting ICM training-trainer workshops, as well as training of RTF and NTF members;
e) developing and demonstrating the application of the ICM Code and the ICM Recognition System among national and local governments;
f) formulating and implementing a monitoring and reporting system for ICM projects at the sub-national level, and for ICM programs at the national level.

**3. International Consultant: Integrated River Basins and Coastal Seas Management**
Duration: 88 weeks

The international consultant for integrated river basins and coastal seas management will be contracted to provide advice and assistance in completion of Component D of the project, including:

a) developing integrated river basin and coastal seas management programs at three selected sites in the region;
b) identifying potential twinning partners to assist local stakeholders in the implementation of their programs;
c) forging south-south and north-south twinning partnerships in support of integrated river basin and coastal seas management;
d) conducting training workshops among the sites to build capacities and share experiences and knowledge

**4. International Consultants: Investment and Financing**
Duration: 156 weeks

The international consultants for investment and financing will provide technical assistance and advice in the completion of Components F and G of the project including:

a) developing partnership agreements between the public sector (national and local governments) and the corporate and business sector for ICM programs and investments in pollution reduction facilities and services;
b) formulating policy, economic and financial reforms to leverage increased investment in pollution reduction facilities among national and local governments;
c) assessing investment opportunities among priority sites and supporting the development and adoption of investment plans for pollution reduction;

d) evaluating innovative policies, technologies and financing mechanisms being demonstrated under the Partnership Investment Fund and identifying locations/conditions for replication;
e) promoting replication of good practices among government and non-government stakeholder in priority sites, financial institutions, donors and the private sector;
f) designing the one-stop PPP support service for the PRF, in support of the Project Preparation revolving Fund.

**5. Local Consultants: Technical Officers** Duration: 936 weeks

The technical officers will be providing technical assistance and support to national and local governments in the implementation of the 7 components of the projects. Major technical assistance initiatives of the technical officers will be:

a) preparation of national and regional State of Coasts reports;
b) completion of two country reports on social and economic contributions of coastal and marine sectors;
c) development and implementation of national ICM training programs;
d) scaling up of ICM programs among local government units and stakeholders through training, coaching and technical advice;
e) Monitoring and evaluation of ICM initiatives, and rolling the information into the State of Coasts reports;
f) Documenting and promoting the replication of good practices in ICM and pollution reduction policies and programs;
g) Preparing case studies and lesson learned on the various ICM and river basin/coastal seas projects, for knowledge sharing;
h) Conducting national ICM training workshops and supporting NTFs in ICM;
i) Supporting project proponents in the preparation of project proposals for investors, donors and the private sector concerning pollution reduction facilities;
j) Evaluating sub-projects of the Partnership Investment Fund in accordance with agreed procedures and criteria, for determining replicability and scalability potential;
k) Promoting good practices in ICM and pollution reduction among national and local governments.

**B) Consultants and Personnel Supported by Government Co-Financing of the PEMSEA Resource Facility Secretariat Services (Project Component A)**

**1. International Consultant: Senior Programme Officer, Secretariat Services**
Duration: 156 weeks

Under the guidance and direction of the Executive Director, the Senior Programme Officer, Secretariat Services is responsible for ensuring that Secretariat Services are provided to the EAS Partnership Council, EAS Congress, Ministerial Forum, and Executive Committee in a timely, competent and efficient manner, particularly in the implementation of the ten-year rolling programme for the implementation of the SDS-SEA.

He/She works closely with all the members of the PRF Secretariat Services, and coordinates with the PRF Technical Services and PEMSEA Partner Organizations, Collaborators and Networks as may be necessary to attain the objective, including:

a) Leads, supervises, and carries out activities related to the provision of secretariat support to the EAS Partnership Council and Executive Committee, as well as the preparation of substantive managerial and financial reports for submission to Council;
b) Holds substantive discussions and liaises directly with the PEMSEA National Focal Points (NFPs), non-government/stakeholder Partners of the EAS Partnership Council, as well as other national and international collaborators, regarding the implementation of the annual work plan and budgetary commitments of the Council;
c) Supports the Executive Director in promoting the SDS-SEA externally, and mobilizing funds from participating countries, international agencies and organizations, donors and the private sector to assist with SDS-SEA implementation;
d) Provides day-to-day guidance on operationalization of the decisions of the EAS Partnership Council, including the various program and project commitments being undertaken and/or financed by Strategic Partners, as outlined in the respective Strategic Partnership Arrangements;.

The Senior Programme Officer for Secretariat Services promotes a client, quality and results-oriented approach. He/She ensures that the resources of the PRF Secretariat Services are used optimally and in accordance with the appropriate policies and procedures.

**2. International Consultant: Programme Officer, Partnership Programmes (Project Component A)**
Duration: 156 weeks

Under the supervision of the Executive Director, the Programme Officer, Partnership Programmes is responsible for developing work programs, collaborative activities and capacity-building activities with the PEMSEA Partners towards the implementation of the 6-year rolling work plan for the implementation of the SDS-SEA, including:

a) Conducts capacity need assessments in coastal and ocean management in the region with special focus on the implementation of the SDS-SEA;
b) Formulates programmes of action and proposals that facilitate south-south and north south cooperation and support for capacity development among developed, developing and least developed nations to overcome issues and areas of concern that constrain the implementation of the SDS-SEA;
c) Promotes technical cooperation and assistance among Partners and Collaborators to reduce capacity disparities among and within Partner Countries for the effective implementation of the SDS-SEA.

He/She works closely with all the members of the PRF Secretariat Services and Technical Services and colleagues from PEMSEA Partner Organizations, Collaborators and Networks as may be necessary to attain the objective.

The Programme Officer for Partnership Programmes ensures a good working relationship with the PEMSEA Partners, collaborators and other clients.

**3. Local Consultant: Technical Officer, Event Management and SDS Monitoring**
Duration: 156 weeks

Under the general guidance and supervision of the Executive Director and the direct supervision of the Senior Programme Officer, Secretariat Support, the Technical Officer for Event Management and SDS Monitoring is responsible for the organization of the EAS Congress, including the Ministerial Forum, in close cooperation with the PRF Technical Services, as well as the conduct of regular monitoring and evaluation of the progress in the implementation of programs of national governments and partners related to the SDS-SEA. The incumbent will also assist the Senior Programme Officer in the conduct of the meetings of the EAS Partnership Council and Executive Committee.

He/She works closely with all the members of the PRF Secretariat Services Staff, and coordinates with the PRF Technical Services Staff and project staff in other organizations, colleagues from PEMSEA Partner Organizations, Collaborators and Networks as may be necessary to attain the objective, including:

a) Assists in the coordination of the SDS-SEA implementation by liaising with the PEMSEA National Focal Points (NFPs), non-government/stakeholder Partners of the EAS Partnership Council, as well as other national and international collaborators, regarding the implementation of the annual work plan and budgetary commitments of the Council;
b) Provides secretariat support to the EAS Partnership Council and Executive Committee; assisting in the preparation of meetings, including communication with Council and Committee members and taking active role in participation and documentation at meetings;
c) Provides day-to-day support to the Senior Programme Officer, Secretariat Support on the operationalization of the decisions of the EAS Partnership Council, including the various program and project commitments being undertaken and/or financed by Strategic Partners, as outlined in the respective Strategic Partnership Arrangements;
d) Coordinates, in close consultation with the Senior Programme Officer for Secretariat Support, the planning, development, implementation of the tri-annual EAS Congress and Ministerial Forum;
e) Performs all other auxiliary functions required in the pursuit of the unit's functions and the organization's thrusts and objectives in general, including the assistance in the preparation of annual and quarterly work plans and budgets, and annual progress reports related to the implementation of the SDS-SEA.

The Technical Officer, Event Management and SDS Monitoring, promotes a client, quality and results-oriented approach. He/She ensures that the resources of the PRF Secretariat Services are used optimally and in accordance with the appropriate policies and procedures.

**4. Local Consultant: Technical Officer for Communications**
Duration: 156 weeks

Under the general guidance and supervision of the Executive Director, the Technical Officer for Communications shall be responsible for planning, coordinating, operationalizing and monitoring the implementation of the COMMUNICATE strategy of the SDS-SEA.

The incumbent will coordinate with partners, collaborators, donors and other organizations on the development and implementation of the action plan, including:

a) In consultation with concerned partners, collaborators and other organizations, and the PRF Technical Services, plans and develops the action plan in accordance with the COMMUNICATE strategy of the SDS-SEA;

b) Organizes and coordinates a working group for the development of the action plan;
c) Ensures the implementation of the action plan by identifying potential participants and service providers, and developing project proposals;
d) Coordinates with partners, collaborators and other participants as well as with Technical Services in the implementation of the projects related to the action plan;
e) Creates and maintains a monitoring mechanism for the implementation of the action plan;
f) Identify areas for improvement in the strategy for communications and advocacy and action plan, and updates the same as needed or as called for by new developments;
g) Prepares and disseminates information materials on the PEMSEA Resource Facility as needed.

He/She will identify areas for improvement and facilitation of information exchange and networking among partners and participants in the implementation of the SDS-SEA, including countries of the region, UN and international agencies, regional programs and projects, IFIs, scientists, non-governmental organizations and the public at large.

**5. Personnel: Senior Administrative Assistant**
Duration: 156 weeks

Under the direct supervision and guidance of the Executive Director, the Senior Administrative Assistant will manage the administrative services of the PRF Secretariat and Technical Services, including but not limited to recruitment, personnel administration and documentation, secretarial services, purchasing, supplies coordination, transport, equipment maintenance and repair, shipping, logistics support, documents reproduction, housekeeping, and office security.

He/she shall serve as the focal point in the execution of administrative actions and therefore is responsible for overseeing ongoing activities in several administrative areas in support of substantial programme activities. He/she shall have extensive external contacts required for negotiation and maintenance of the provision of administrative services.

The Senior Administrative Assistant promotes a client, quality and results-oriented approach. He/she ensures that the resources of the PRF Secretariat and Technical Services are used optimally and in accordance with the appropriate policies and procedures.

**6. Personnel: Accountant**
Duration: 156 weeks

Under the direct supervision and guidance of the Executive Director, the Accountant shall perform general accounting and financing (budgeting) services for the PRF Secretariat and Technical Services, including the various activities and events of the EAS Partnership Council, EAS Congress, Ministerial Forum and Executive Committee.

He/she shall handle bank transactions, monitor contracts, assist in the preparation of annual budgets, process requests for payments, generate monthly financial reports, and prepare annual financial reports to the Executive Committee for endorsement to the EAS Partnership Council.

The Accountant promotes a client, quality and results-oriented approach. He/she ensures that the resources of the PRF Secretariat Services are used optimally and in accordance with the appropriate policies and procedures.

**7. Personnel: Programme Assistant**
Duration: 156 weeks

Under the general supervision and guidance of the Executive Director and the direct supervision of the Senior Administrative Assistant, the Programme Assistant will provide effective support services to the PRF Secretariat and Technical Services in such concerns as documentation, clerical efficiency, guest relations, correspondence and records management, proceedings/action items from in-house meetings, engagements coordination, communications, travel and accommodation arrangements, office housekeeping and such other administrative support services.

The Programme Assistant promotes a client, quality and results-oriented approach. He/she ensures that the resources of the PRF Secretariat Services are used optimally and in accordance with the appropriate policies and procedures.

## Annex I: Letters of Co-Financing Commitment

## (attached files)