

## **Terminal Evaluation Report**

for the Project for the Implementation of  
the Sustainable Development Strategy  
for the Seas of East Asia  
(SDS-SEA)

### EVALUATORS:

Mr. David A. LaRoche and  
Dr. Clive Wilkinson



**Partnerships in Environmental Management  
for the Seas of East Asia (PEMSEA)**

### **David A. LaRoche**

Mr. LaRoche is currently an independent consultant with over 35 years of experience in national and international project and programme monitoring and evaluation; institutional and organizational effectiveness; international environmental policy development and negotiations; project and programme management, and environmental NGO development and capacity building at national and international levels, project development and management; and executive-level legislative, regulatory and political experience.

His recent responsibilities include monitoring and evaluating the UNDP-GEF Agulhas and Somali Current Large Marine Ecosystems Project, which aims to achieve sustainable fisheries and marine biodiversity conservation in the western Indian Ocean region; and developing an M&E program and training for the World Bank-FAO Bay of Bengal Large Marine Ecosystem Project, which aims to develop an ecosystem approach to fisheries management in the Bay of Bengal.

He was also charged with undertaking a comprehensive institutional assessment of the Lake Chad Basin Commission and peer reviews of the Lake Tanganyika Strategic Action Programme..

Mr. LaRoche holds an Ed. M. in Organization Development from Harvard University and took AbD Counseling Psychology at George Washington University.

### **Clive Robert Wilkinson, Ph. D.**

Since 1996, Dr. Clive Robert Wilkinson serves as the global coordinator of the Global Coral Reef Monitoring Network, which aims to establish a global global monitoring network to determine status and change trends in coral reefs and related ecosystems.

He has extensive experience in Asia, especially within ASEAN where he served as chief technical advisor to the ASEAN-Australia Marine Science Project: Living Coastal Resources for five years in the 1990s, focusing on capacity building and information dissemination on coral reefs, mangrove forests, seagrass beds, associated fisheries, remote sensing and database management.

He authored and co-authored several publications, including "Status of Coral Reefs of the World" reports in 1998, 2000, 2002, 2004 and 2008; and reports on damage to coral reefs in the Indian Ocean from the 2004 tsunami and in the wider Caribbean from coral bleaching in 2005, among others.

Dr. Wilkinson holds a Doctor of Philosophy from the Department of Zoology, University of Queensland.

## TERMINAL EVALUATION

**PROJECT TITLE:** Implementation of the Sustainable Development Strategy for the Seas of East Asia (SDS-SEA)

**GEFSEC PROJECT ID:** 3469

**GEF AGENCY PROJECT ID:** 00057962

**EVALUATION TIMEFRAME:** September/October 2012

**DATE OF EVALUATION FINAL REPORT:** 2 November 2012

**COUNTRIES:** Cambodia, China, Indonesia, Lao PDR, Philippines, Thailand, Timor-Leste, Vietnam, Japan, Singapore, Republic of Korea

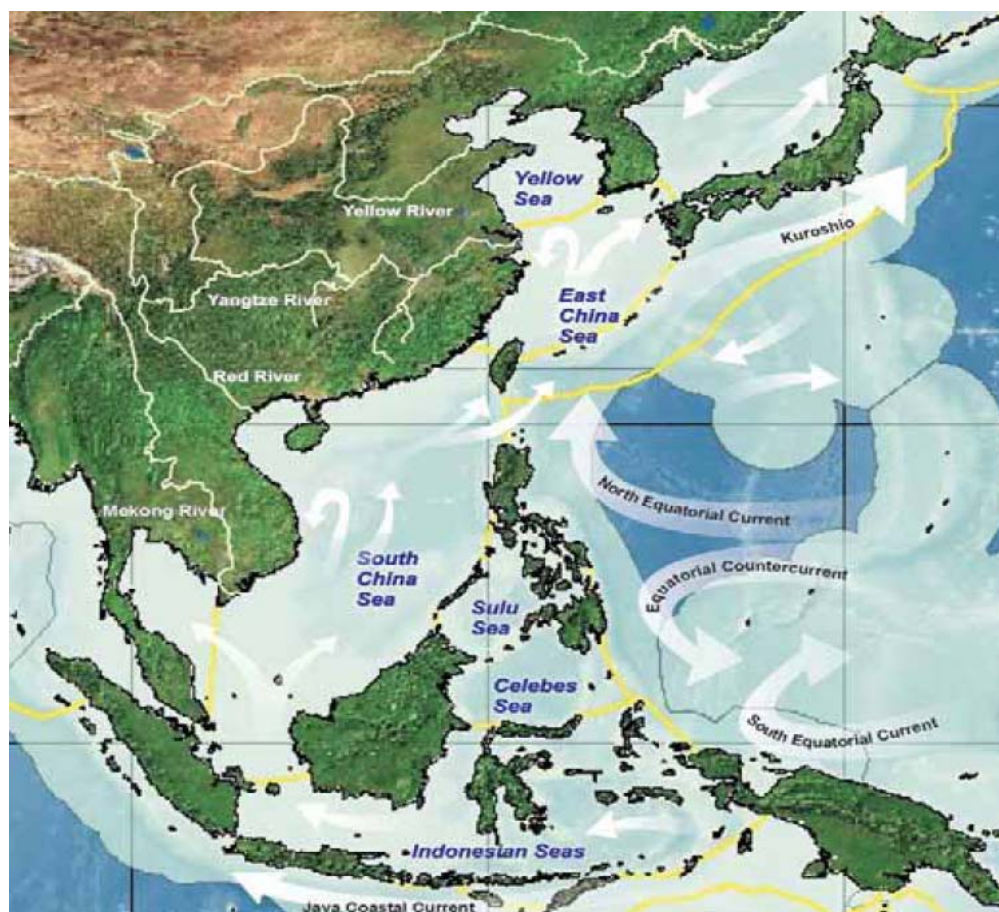
**GEF AGENCY:** UNDP

**GEF FOCAL AREA:** International Waters

**GEF-4 STRATEGIC PROGRAM:** SP-1: Restoring and sustaining coastal and marine fish stocks and associated biological diversity

**EXECUTING AGENCY/PARTNER:** UNOPS

**EVALUATORS:** Mr. David A. LaRoche and Dr. Clive Wilkinson



## **ACKNOWLEDGEMENTS**

The Evaluators would specifically like to thank the Acting Executive Director and staff of the PEMSEA secretariat office (the PEMSEA Resource Facility) in Manila for preparing the schedule, and for their attention to detail in arranging travel, interviews and meetings in five countries, and in general, their helpfulness in all aspects of our work and responsiveness to our many requests. The Evaluators also wish to thank interviewees, personnel of the Implementing and Executing Agencies (UNDP and the UNOPS), Project Management staff in the five countries visited, and the over 240 other individuals who provided valuable insights into the SDS-SEA project.

## LIST OF ACRONYMS

COBSEA	Coordinating Body for the East Asian Seas
CSA	Cost-sharing Agreement
CTO	Chief Technical Officer
EA	Executing Agency of the GEF
EAS	East Asian Seas
EBM	Ecosystem-based management
FAO	Food and Agricultural Organization of the United Nations
GEF	Global Environment Facility
IA	Implementing Agency of the GEF
ICM	Integrated Coastal Management
IFI	International Financial Institution
ILO	International Labor Organization
IMO	International Maritime Organization
IT	Information Technology
IW	International Waters
IW: LEARN	International Waters: Learning Exchange and Resources Network
LFA	Logical Framework Analysis
LME	Large Marine Ecosystem
LOI	Letter of Intent
MDGs	Millennium Development Goals
M&E	Monitoring and Evaluation
MOA	Memorandum of Agreement
MOU	Memorandum of Understanding
MSP	Medium-sized Project
MTE	Mid-term evaluation
NFP	National Focal Point
NGO	Nongovernmental Organization
NTF	National Task Force
PCC	Project Coordinating Committee
PDR	People's Democratic Republic
PEMSEA	Partnerships in Environmental Management for the Seas of East Asia
PNLG	PEMSEA Network of Local Governments for Sustainable Coastal Development
PPP	Public-Private Partnership
PIR	Project Implementation Review
PRF	PEMSEA Resource Facility
PRT	Project Replication Team
PSC	Programme Steering Committee
PSHEMS	Port Safety, Health, and Environmental Management System
PSSA	Particularly Sensitive Sea Area
QPR	Quarterly Project Review
RNLG	Regional Network of Local Governments Implementing Integrated Coastal Management

RO	Republic of
RPO	Regional Programme Office
RTF	Regional Task Force
SAP	Strategic Action Program
SBAA	Standard Basic Assistance Agreement
SDS-SEA	Sustainable Development Strategy for the Seas of East Asia
SGP	Small Grants Programme of GEF/UNDP
SMART	Specific, Measurable, Achievable, Relevant, Time-bound
SME	Small and medium-sized enterprises
SOC	State of the Coasts
STAP	Scientific and Technical Assessment Panel
TE	Terminal Evaluation
TOR	Terms of Reference
TPLM	Total Pollution Load Management
TPR	Tripartite Review
UN	United Nations
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNOPS	United Nations Office for Project Services
WB	World Bank
WSSD	World Summit on Sustainable Development

## TABLE OF CONTENTS

<b>ACKNOWLEDGEMENTS .....</b>	<b>2</b>
<b>LIST OF ACRONYMS .....</b>	<b>3</b>
<b>EXECUTIVE SUMMARY .....</b>	<b>8</b>
<b>Project Description .....</b>	<b>8</b>
Development Objective .....	8
Project Immediate Objectives .....	9
Evaluation Purpose and Objective .....	9
Methodology .....	9
<b>Major Conclusions .....</b>	<b>10</b>
Overall Conclusion .....	14
<b>Major Recommendations .....</b>	<b>14</b>
Overall Recommendation .....	15
<b>Rating Tables .....</b>	<b>16</b>
Evaluation Ratings: Development and Immediate Objectives .....	16
Evaluation Ratings: Project Components .....	16
Evaluation Ratings: Project Outcomes and Outputs .....	17
Evaluation Summary .....	20
Overall Rating .....	20
<b>1. MAIN REPORT .....</b>	<b>21</b>
Purpose of the evaluation .....	21
The Evaluators .....	22
Scope and Methodology .....	23
Structure of the evaluation report .....	24
<b>2. PROJECT DESCRIPTION AND DEVELOPMENT CONTEXT .....</b>	<b>24</b>
<b>Project Start and Duration .....</b>	<b>24</b>
Problems that the project sought to address .....	24
Development and Immediate Objectives of the Project .....	25
Baseline Indicators Established .....	25
Main Stakeholders .....	26
Expected Results .....	27
<b>3. FINDINGS .....</b>	<b>28</b>
<b>3.1 Project Design/Formulation .....</b>	<b>28</b>
Results Framework (Project logic /strategy/Analysis of LFA/indicators) .....	28
Were the Planned Outcomes of the Project <i>Specific</i> ? .....	28
Were the Planned Outcomes of the Project <i>Measurable</i> ? .....	29

Were the Planned Outcomes <i>Achievable</i> ?	29
Were the Planned Outcomes <i>Relevant</i> ?	29
Were the Planned Outcomes <i>Time-Bound</i> ?	29
<b>Indicators</b>	<b>29</b>
<b>Assumptions and Risks</b>	<b>29</b>
<b>Lessons from other Relevant Projects (e.g., same focal area) Incorporated into Project</b>	
<b>Design</b>	<b>30</b>
<b>Planned Stakeholder Participation</b>	<b>30</b>
<b>Replication approach</b>	<b>31</b>
<b>UNDP Comparative Advantage</b>	<b>32</b>
<b>Linkages Between Project and other Interventions within the Sector</b>	<b>33</b>
<b>Management Arrangements</b>	<b>33</b>
Management Organogram of the PEMSEA Project	34
<b>3.2 Project Implementation</b>	<b>35</b>
Adaptive management (changes to the project design and project outputs during implementation)	35
Partnership arrangements (with relevant stakeholders involved in the country/region) ...	35
Project Finance	35
<b>Co-Finance – Proposed, Actual and Projected to End-of-Project</b>	<b>36</b>
<b>Detailed Project Co-finance to 30 September 2012</b>	<b>37</b>
Monitoring and Evaluation: Design at Entry and Implementation (*)	39
Indicative Monitoring and Evaluation Plan and Corresponding Budget	40
Public Participation and Involvement (PPI)	42
UNDP and Implementing Partner Implementation/Execution (*) Coordination, and Operational Issues	44
<b>3.3 Project Results</b>	<b>44</b>
Relevance	44
Effectiveness & Efficiency	46
Country Ownership	48
Mainstreaming	49
Sustainability	50
Impact	51
<b>4. CONCLUSIONS, RECOMMENDATIONS AND LESSONS</b>	<b>52</b>
<b>Conclusions</b>	<b>52</b>
Overall Conclusion	56
<b>Recommendations</b>	<b>56</b>
Overall Recommendation	57
<b>Rating Tables</b>	<b>58</b>
Evaluation Ratings: Development and Immediate Objectives	58
Evaluation Ratings: Project Components	58
Evaluation Ratings: Project Outcomes and Outputs	59



Evaluation Summary.....	62
Overall Rating .....	62
Corrective Actions for the Design, Implementation, Monitoring and Evaluation of the Project .....	62
Actions to Follow-up or Reinforce Initial Benefits from the Project.....	63
Proposals for Future Directions Underlining Main (Immediate) Objectives .....	64
Best and Worst Practices in Addressing Issues Relating to Relevance, Performance and Success .....	64
<b>ANNEXES.....</b>	<b>65</b>
<b>Annex 1: Terms of Reference .....</b>	<b>65</b>
<b>Annex 2: Itineraries.....</b>	<b>70</b>
<b>Annex 3: List of Persons Interviewed or with whom Discussions were held .....</b>	<b>80</b>
<b>Annex 4: Summary of Field Visits .....</b>	<b>889</b>
<b>Annex 5: Document Review List .....</b>	<b>933</b>
<b>Annex 6: Questions Used .....</b>	<b>966</b>
<b>Annex 7: Team Work Plan .....</b>	<b>988</b>
<b>Annex 8: Annotated Logframe/Results Column Included.....</b>	<b>1000</b>
<b>Annex 9: PEMSEA/IA/EA Challenges.....</b>	<b>1333</b>
<b>Annex 10: Chonburi Case Study.....</b>	<b>1388</b>

## EXECUTIVE SUMMARY

### Project Description

The geographic scope of the Project is the six large marine ecosystems (LMEs) of the East Asian Seas and their associated watershed areas.

The Project's objective is to facilitate implementation of the Sustainable Development Strategy for the Seas of East Asia (SDS-SEA), as adopted by East Asian countries in December 2003, through the 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 and that of the UN Millennium Development Goals (MDGs).

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.

The Project is the Regional Component of a "two-project" package that was submitted to GEF Council for approval, namely, the UNDP/GEF project on Implementation of the SDS-SEA and the WB/GEF Partnership Investment Fund for Pollution Reduction in the LMEs of East Asia (i.e., the Investment Component). A Strategic Partnership among GEF, World Bank, UNDP and PEMSEA was focused on accelerating investments in pollution reduction facilities and services, through the development, implementation, demonstration and replication of innovative policies, procedures, technologies and financial and economic instruments to overcome barriers to investment by the public and private sectors.

The duration of the Project is 10 years, consisting of a transition period (2007-2010/Phase 1); a transformation period (2010-2013/Phase 2); and a sustainable operation period (2013-2017/Phase 3). The last two years of Phase 1 and the three-year period of Phase 2 (2008-2013) are the focus of the Project Document.

The current Project is organized around eight (8) Components, which are in turn separated into management, core operations and supporting activities categories.

### Development Objective

The development objective of the Project is:

*...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 the coastal and marine resources of the region and the development targets of the WSSD Plan of Implementation.*

## **Project Immediate Objectives**

1. The Project has three Immediate Objectives:

- (1) 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;
- (2) 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; and
- (3) 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 LMEs of East Asia.

## **Evaluation Purpose and Objective**

2. The purpose of the Terminal Evaluation (TE) has been to examine the progress and performance of the Project for part of the so-called transformation period and all of the transformation phase that began in 2010. The Evaluators recognize that this phase will end in June 2013, but that this TE will be completed at the end of October 2012. Consequently the evaluators have attempted, to the extent possible, to project what accomplishments will have been at the time the Project actually comes to closure. The evaluation also identifies and addresses causes and issues that may constrain the achievement of set targets.

3. The Terminal Evaluation is intended to:

- Identify weaknesses and strengths of project concept and design;
- Develop recommendations for any necessary changes in the overall design and orientation of the project by evaluating the adequacy, efficiency and effectiveness of its implementation, as well as assess Project outputs and outcomes to date;
- Evaluate the efficiency of Project management at regional, national and local governance scales, including the delivery of outputs and activities in terms of quality, quantity, timeliness and cost-efficiency;
- Detail some recommendations on the work plan for the period 2013–2017;
- Provide an opportunity to assess any signs of project success or failure and thereby enable the project to make necessary adjustments during the remaining months of project implementation;
- Determine the likely outcomes and impact of the Project in relation to the specified Project goals, outcomes, outputs and activities;
- Identify lessons learnt and best practices from the Project that could be applied to future and on-going projects; and, in general,
- Follow approaches adopted by GEF for the assessment of IW projects and UNDP M&E guidelines.

## **Methodology**

4. This Terminal Evaluation has been conducted in a participatory manner consistent with its essential objective to assess Project implementation and impacts.

5. The evaluation has included the following activities:

- Desk reviews of project documents, including, among others, past evaluations of UNDP-GEF funded PEMSEA projects, the SDS-SEA Project Document, the Project Inception Report, minutes of Project-related meetings, Project stakeholder consultation and involvement activities, content and use of the Project website, mandatory project reports, such as Project Implementation Reports (PIRs), Annual Project Reports (APRs), Quarterly Progress Reports (QPRs), and other internal documents including consultant and financial reports;
- Extended Missions by both Evaluators to the Region, with both combining for two evaluation visits to Manila;
- Numerous interviews and/or discussions (over 240) with project staff in the PEMSEA Project Resource Facility (PRF), representatives of the Implementing Agency (UNDP), the Executing Agency (UNOPS), the World Bank, and numerous stakeholders in the participating countries;
- Submission to UNOPS of a draft Executive Summary on 20 October 2012; and
- Provision of a Final Report on 2 November 2012.

## Major Conclusions

6. In general, consistent with emphases contained in UNDP evaluation guidelines, and based on a review of documentation and interviews and discussions with many Project stakeholders, the evaluators conclude that:

- **Re. GEF-4 Objectives for IW<sup>1</sup>** – The SDS SEA project conducted by PEMSEA has been successful in addressing many of the GEF-4 Objectives for the International Waters focal area. The principle activity has been to introduce integrated coastal management (ICM) to the participating countries in the Seas of East Asia region in an attempt to resolve conflicts in the use of coastal waters, to reduce pollution, to productively involve stakeholders at international, regional, national, and local levels, and implement more effective fisheries management.
- **Re. Country Ownership** – Based on extensive interviews of and discussions with over 440 officials and other stakeholders from the participating countries, it is clear that the countries feel a keen sense of ownership of the SDS-SEA project. The evaluators also conclude that this sense of ownership will continue to grow.
- **Re. Stakeholder Consultation** – The simultaneous focus on a “top down” and “bottom up” approach has been conducive to effective stakeholder involvement in PEMSEA-supported activities at international, regional, national, provincial and local levels. Well over 9,000 people — a conservative estimate<sup>2</sup> — in the region have been involved in PEMSEA related activities since Project implementation began in 2008.
- **Re. Sustainability** – Based on interviews and discussions undertaken, and documents reviewed, many of the national and local initiatives have, in the judgment of the evaluators, reached a point where they will be sustainable regardless of PEMSEA-

---

<sup>1</sup> This Project was approved under GEF-4.

<sup>2</sup> This constitutes the documented number of stakeholders involved in PEMSEA-supported workshops, meetings, and other PEMSEA supported events. The evaluators have found that many other meetings related to the activities of PEMSEA have taken place of which the PEMSEA Resource Facility is not aware.

continued involvement. However, the true test of PEMSEA sustainability will come during the sustainability phase of the Project, the period 2013-2017 when countries will have to decide whether and how they will ensure the continued financial and other support that will be necessary to PEMSEA's continuation as a legal entity.

- **Re. Monitoring and Evaluation** – The monitoring and evaluation plan contained in the project document is deemed by the evaluators to be thorough and consistent with UNDP-GEF standards. Further, the focus on provincial and local level demonstration projects as part of an ICM approach lends itself to the early identification of GEF stress reduction and environmental status indicators.
- **Re. Public Participation and Involvement** – Based on analysis of various Project-sponsored workshops, locally centered PEMSEA-related activities, and the extensive mission of the evaluators to PEMSEA-sponsored site activities, the evaluators conclude that stakeholder participation in PEMSEA-related activities is extensive and growing. Further, and based on a review of website development and use, the evaluators conclude that the Project website has been well-managed and an effective arm of Project communication.
- **Re. Implementing Agency Performance** – Based on interviews and the review of available information on the relationship of the Implementing Agency to the SDS-SEA project, the evaluators conclude that the existing Implementing Agency relationship to the needs of the PEMSEA, and to the participating countries, has been a productive and healthy one. However, the PEMSEA Resource Facility has identified 15 “challenges” of which 8 relate to varying degrees to the UNDP.
- **Re. Executing Agency Performance** – Based on interviews and the review of available information on the relationship of the Executing Agency to the SDS-SEA project, the evaluators conclude that the complexity of the PEMSEA project apparatus, existing as it has since 1996, presents challenges both to PEMSEA and to UNOPS. As above, the PEMSEA Resource Facility has identified 15 “challenges” of which they conclude 13 relate in varying degrees to UNOPS execution.
- **Re. Co-finance** – The level of verified co-finance has greatly exceeded the amount of co-finance foreseen as part of the project document. The evaluators conclude that is a sign of substantial country commitment, and augurs well for achieving long-term sustainability of project results.
- **Re. Cost-Efficiency** – The evaluators conclude, through an examination of project investment to co-finance at each level of project implementation (international, national, provincial and local), that the ratio of GEF funds to that of contributions from non-GEF sources demonstrates substantial efficiencies deriving from the GEF investment. Levels of country and other co-finance have substantially exceeded levels described in the Project Document. GEF finance to co-finance has often exceeded a ratio of 1:10. The result has been the leveraging of significant on-the-ground achievement of Outputs at relatively low GEF direct investment.

More specifically, the evaluators conclude that:

- **Re. Consistency** – Countries particularly appreciate Project consistency of effort and production of results since 1996. Since that year, there has been continual and consistent advice and assistance provided through three GEF interventions, and through what is, virtually without exception, praise for the efforts of what has now become the PEMSEA Resource Facility.

- **Re. Reliance on Regionally-based Resources** – What PEMSEA has deemed the “Asian Way” has provided considerable training, either through short courses within participating countries or through internships in Manila. Advice and training are consistently provided by regional staff that not only have good understanding of regional problems and mechanisms to approach solutions, but also are, and are seen to be, very knowledgeable in matters related to the participating countries generally, and the specific ministries, departments and other sectors involved in Project activities. One example is the intervention in ports through the Port Safety, Health and Environmental Management System (PSHEMS) approach, whereby PEMSEA, a small contributor in terms of the overall cost of the program, is seen as the catalyst for, and a critical contributor of technical training to, the overall and successful effort.
- **Re. Focus on Provincial and Local Government** – Many PEMSEA-run projects are specifically targeted at improving capacity of the provincial and local government, an iterative (bottom up) approach built on a recognition that this focus is necessary to solve problems that originate at the sub-national level. In the experience of the evaluators, few other projects or agencies have the capacity or are prepared to operate at the ‘coalface’ of local government.
- **Re. Networks of Provincial and Local Government** – In keeping with this focus on provincial and local governments, PEMSEA has developed the PEMSEA Network of Local Governments for Sustainable Coastal Development (PNLG) to permit leaders to meet on an annual basis to share experiences (both positive and negative lessons learned), often focused on a specific issue. The evaluators, through interviews and discussions with provincial and local government leaders and officials, have found that provincial and local officials are now recognized for their local knowledge and ability to implement change directly at the source of the problem. These local leaders report greater confidence in their approaches and actively seek to demonstrate success to other local governments ensuring replicability and aiding efforts aimed at sustainability.
- **Re. Community Level Involvement** – Related to the above conclusion, by working through local government, PEMSEA has often been able to interact directly with communities. There are numerous examples of communities that have combined to solve direct problems, such as replanting mangroves or removing solid wastes. There are many documented reports of communities becoming stronger as an indirect result of PEMSEA being involved in local government issues.
- **Re. Technical Advice** – National, provincial, and local level officials believe that PEMSEA advice and training in ICM and other matters was targeted at the correct level in each country. Many countries started with virtually no trained personnel and PEMSEA provided the first training to equip them to implement Project objectives. Training, by PEMSEA and increasingly through PEMSEA-provincial and local human resources, through a program of “training the trainers,” has then been ongoing to improve skills to tackle ICM objectives.
- **Re. Encouraging Self-Reliance** – In most PEMSEA-supported initiatives, the PEMSEA financial contribution has been modest, with a definite timeline for termination. Thus national, provincial and local governments are not only encouraged but also required to fund the activities to achieve sustainability, and in many cases have done so.
- **Re. Networking** – For more than 10 years, countries, country environmental departments, and individuals have been in a network of colleagues in their own and with other countries to share experiences, training, and lessons learned on best practices. The East Asian Seas Congresses (EAS Congress) is but one successful example

of PEMSEA-sponsored fora that have been created by PEMSEA to share lessons learned and best practices.

- **Re. Tackling Large and Difficult Problems** – PEMSEA has initiated projects in the most polluted, over-populated and degraded areas in Asia, with some success in many sites. Tackling the most polluted areas such as those of the Bohai Sea, Jakarta Bay and Manila Bay, which are virtually lifeless due to pollution, are tasks that few organizations are willing to attempt. Also, it is unusual for an environment-based organization like PEMSEA to tackle commercial port environments, although ports are recognized as major sources of pollution and damage to adjacent coastal areas, and are thus an important part of any attempt to initiate a fully integrated ICM program.
- **Re. State of the Coasts Reporting (SOC)** – Demonstration site coordinators and local governments at several sites have completed, or are preparing SOC reports and have found them useful in focusing on the status of coastal resources and the factors damaging those resources. The original guidelines recommended almost 70 parameters to be assessed, but this has been reduced to less than 40 to reduce workload.
- **Re. Private Sector Involvement** – While some progress has been made in this area, it is not as much as had been hoped as expressed in the project document and as also recognized by the PEMSEA Resource Facility.
- **Re. Flexibility and Efficiency in Funding Application Requests** – PEMSEA has shown particular skill and understanding by being able to catalyze action at many locations through the expenditure of small to modest amounts of money on direct on-ground activities, while realizing substantial levels of co-finance (in many cases 10:1 or more co-finance to GEF finance). These actions include beach management, mangrove replanting, solid waste collection, retraining at local level, small-scale sewage treatment or connection to sewerage lines, facilitating exchange visits between local government units, etc.
- **Re. Encouraging Devolution of Authority** – Many countries in the region are actively seeking to devolve authority to provincial and local governments to solve local problems, but progress has rarely been rapid. PEMSEA has interacted at the provincial and local level to build capacity and then encouraged national governments to pass authority and appropriate budgets to them to address local ICM issues and problems. Interviewees at the local and provincial levels were clear in complimenting PEMSEA for this support, and see PEMSEA as an important link in maintaining effective contact between local initiatives and central governments.
- **Re. Replicability** – PEMSEA has encouraged neighboring provinces and local governments to become involved in the SDS-SEA approaches of ICM, following success at initial demonstration sites. This is now evident in most countries whereby adjacent areas are joining in the SDS-SEA project stream either using their own funds or national budgets. PEMSEA, as suggested above, has been active in encouraging governments at the national level to in turn encourage provincial and local level officials to replicate successful PEMSEA-catalyzed initiatives.
- **Re. Replicability** – The project is progressively expanding the activities along the coast from the designated demonstration sites and into adjacent catchment areas, such that water quality in national, and eventually transboundary, water systems is, and will continue, to improve.
- **Re. Sustainability** – This particular PEMSEA project, the SDS-SEA component of the overall PEMSEA programme, has achieved limited sustainability, consistent with the Project Document stating that this phase of the overall PEMSEA project in the East Asian

Seas constituted a “transitional” period to full sustainability after the “sustainable operation period” from 2013 to 2017. The commitment of three countries — China, Japan, and RO Korea — to provide US\$ 400,000 to sustain the PRF goes part of the way to achieving full sustainability in the next phase of the project. The commitment by Timor-Leste, ranked at number 147 in the 2011 Human Poverty Index, of US\$100,000 annually since 2010 to ensure participation in the SDS-SEA Project is a further and special example of country commitment.

- **Re. Sustainability** – The next phase of the overall PEMSEA programme, the phase that is targeted to lead to full sustainability of PEMSEA, will be the true test of country commitment to build a lasting and self-financed institutional mechanism to continue to address the overall objectives of the PEMSEA programme.
- **Re. Oil Risk Spill Management** – An example is the three-state agreement (Cambodia, Thailand and Vietnam) to implement oil risk management procedures.
- **Re. Pollution Control** – The States involved in the SDS-SEA project have collectively agreed to improve pollution control and some have enacted specific national policy reforms. Throughout the region, there has been a major increase in capacity to manage coastal, and now catchment, ecosystems with a developing understanding of ecosystem-based management.
- **Re. the Sustainable Development Strategy for the Seas of East Asia (SDS-SEA) Implementation Plan – 2012 to 2016** – The evaluators conclude that this strategy offers an effective and comprehensive blueprint for activities that should be undertaken to further the Development and Immediate Objectives of the PEMSEA programme, and can also serve as a basis for defining the next phase of a possible GEF intervention and the recruitment of other bi-lateral and multi-lateral donors.

## Overall Conclusion

- Previous terminal evaluations have given PEMSEA highly satisfactory ratings. The result of this terminal evaluation is consistent with those previous conclusions.

## Major Recommendations

- **Re. PEMSEA Programmatic Approach** – It is recommended that PEMSEA, given its geographic coverage and experience in the region, the overall respect that it has generated among the participating countries, and its legal status achieved during implementation of the current project, through the PRF be given the ongoing responsibility for, and the funding necessary to, assure a programmatic approach for regionally-based activities in the Seas of East Asia region.
- **Re. PEMSEA’s Balance of “Top-Down” and “Bottom-up” Approaches** – PEMSEA has managed to combine elements of both a top-down and bottom-up approach. It is recommended that the PEMSEA continue to emphasize, in particular, its “bottom up” approach, i.e., its focus on local level, on-the-ground actions, as a principal means of meeting its expressed Development and Immediate Objectives, and its Outcomes and Outputs.
- **Re. Local Level and National Linkages** – It is recommended that PEMSEA increase its attention to serving as an effective and necessary link between locally driven efforts and policy level personnel in the respective central governments of the participating countries.



- **Re. Danger of a Funding Break between Phase 3 and Phase 4** – In anticipation of a possible gap in funding between Phase 3 (the transitional/transformation phase) and Phase 4 (sustainable operation period) of PEMSEA, it is recommended that the UNDP, as the Implementing Agency, and the PEMSEA jointly undertake contingency planning to assure that PEMSEA finance to sustain core staff and critical programme functions is maintained. It is recognized that the UNDP does not foresee such a gap. However, the evaluators believe that prudence dictates formulation of a “what if” contingency.
- **Re. PEMSEA Programme Sustainability** – It is recommended that the UNDP, as the Implementing Agency, work cooperatively with the PEMSEA in the next Project Phase to systematically work with the participating countries, potential donors, and other entities as necessary to successfully achieve full and regionally driven sustainability to the ongoing mission of the PEMSEA.
- **Re. Future Donor Conference** – It is further recommended that the UNDP, as the IA, work with PEMSEA, and other bi-lateral and multi-lateral donors as appropriate, to convene a donor conference to assist in the recruitment of donors that will help ensure the long-term sustainability of the PEMSEA.
- **Re. IA Implementation/EA Execution** – The evaluators recommend, as a priority matter, that PEMSEA, UNDP and UNOPS address the 15 “challenges” identified by the PEMSEA Resource Facility as issues that to varying degrees inhibit project progress.
- **Re. Improvements in M&E, Stakeholder Consultation, and Training Tracking Procedures** – It is recommended that the PEMSEA Resource Facility improve current M&E, stakeholder consultation, and training methodologies to more accurately capture GEF IW indicators, numbers of stakeholders involved in PEMSEA-related activities, and numbers of people trained as a result of PEMSEA activities, all of which seem to be currently under-reported.
- **Re. State of the Coast Reporting** – It is recommended to PEMSEA and to the participating countries that this activity become a permanent feature of PEMSEA activity, not only during the next phase of the programme, but also as an ongoing activity even after sustainability has been achieved.
- **Re. Future PEMSEA Programme Emphasis** – It is recommended that the focus of the further planned GEF intervention be on reinforcing and building upon the considerable number of successful, major initiatives that have characterized past interventions. The best example is PEMSEA focus on development and implementation of ICM to all levels of government within the participating countries.

### **Overall Recommendation**

- Given the high level of performance of the Project, and the very substantial level of country support for the work of PEMSEA, the evaluators recommend that PEMSEA and its supporting partners continue the combination of top-down and bottom-up approaches that have yielded substantial local, national, regional and global benefits.

## Rating Tables

### Evaluation Ratings: Development and Immediate Objectives

Objectives		Evaluation					
		H	S	M	M	U	H
<b>Development Objective</b>	Implementation of the Sustainable Development Strategy for the Seas of East Asia through mobilization of necessary partnership arrangements, operating mechanisms, intellectual capital, support services and resources for 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						
<b>Immediate Objective 1</b>	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 practices to reduce coastal and marine degradation						
<b>Immediate Objective 2</b>	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						
<b>Immediate Objective 3</b>	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/WB Pollution Reduction Investment Fund for the LMEs of East Asia						

### Evaluation Ratings: Project Components

Component		Evaluation					
		H	S	M	M	U	H
Component A	A functional regional mechanism for SDS-SEA implementation						
Component B	National policies and reforms for sustainable coastal and ocean governance						
Component C	Scaling up ICM programs						
Component D	Twinning arrangements for river basin and coastal area management						
Component E	Intellectual capacity and human resources						
Component F	Public and private sector investment and financing in environmental infrastructure projects and services						
Component G	Strategic partnership arrangements						
Component H	Corporate social responsibility for sustainable development of coastal and marine resources						

## Evaluation Ratings: Project Outcomes and Outputs

Outcomes/Outputs		Evaluation					
		H	S	M	M	U	H
<b>Outcome 1</b>	<b>An intergovernmental multisectoral EAS Partnership Council, coordinating, evaluating and refining the implementation of the SDS-SEA, and advancing the regional partnership arrangement to a higher level</b>						
Output A.1	A country-owned regional mechanism for SDS-SEA implementation						
Output A.2	A Plan of Action for transforming PEMSEA into a long-term, self-sustained regional implementing mechanism for the SDS-SEA						
<b>Outcome 2</b>	<b>National policies and programs on sustainable coastal and ocean development mainstreamed into social and economic development programs of participating countries</b>						
Output B.1	An agreed framework, methodology and indicators for assessing social and economic contributions of coastal and marine areas/sectors within the East Asian region						
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>Outcome 3</b>	<b>Integrated coastal management 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</b>						
Output C.1	Institutional arrangements for national ICM programs in place						
Output C.2	Capacity building strengthened for local government ICM programs						
Output C.3	An ICM code adopted by national and local governments for voluntary use as a standard for certification/recognition of ICM sites						
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)						

<b>Outcome 4</b>	<b>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</b>						
Output D.1	Regional twinning arrangements developed and implemented for site specific river basin and coastal area management programs						
<b>Outcome 5</b>	<b>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</b>						
Output E.1 DL	An enhanced technical support network for countries, comprised of a Regional Task Force and country-based National Task Forces						
Output E.2 CW	Areas of Excellence program and a regional network of universities/scientific institutions supporting SDS-SEA implementation at the national and local level						
Output E.3	Professional upgrade program, graduate scholarships and specialized training courses						
Output E.4	An internet-based information portal in place, building awareness and transferring knowledge and lessons-learned						
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 program and other community-based donor programs						
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 practice						
<b>Outcome 6</b>	<b>Public and private sector cooperation achieving environmental sustainability through the mobilization of investments in pollution reduction facilities and services</b>						
Output F.1	Innovative national investment and financing policies and programs for public and private sector investment in pollution reduction facilities						

<b>Outcome 7</b>	<b>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, program and projects under the framework of the SDS-SEA, thus promoting greater sustainability and political commitment to the effort</b>						
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 seas of East Asia						
<b>Outcome 8</b>	<b>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</b>						
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						
Output H.2	Corporate responsibility practices evaluated and recognized as a special relevance to achieving social, environmental and economic benefits in coastal communities						

## Evaluation Summary

Evaluation Issue	Rating
Achievement of objectives and planned results	<b>Highly Satisfactory</b>
Attainment of outputs and activities	<b>Highly Satisfactory</b>
Cost-effectiveness	<b>Highly Satisfactory</b>
Impact	<b>Highly Satisfactory</b>
Sustainability of the Project	<b>Satisfactory</b>
Stakeholder participation	<b>Highly Satisfactory</b>
Country ownership	<b>Highly Satisfactory</b>
Implementation on the ground and implementation	<b>Highly Satisfactory</b>
Financial Management and Planning	<b>Satisfactory</b>
Replicability	<b>Highly Satisfactory</b>
Monitoring and Evaluation	<b>Satisfactory</b>

## Overall Rating

Rating	Description
Highly Satisfactory (HS)	Project is expected to <b>achieve or exceed all</b> its major global environmental objectives, and yield substantial global environmental benefits, without major shortcomings. The project can be presented as “good practice.”
Satisfactory (S)	Project is expected to achieve <b>most</b> of its major global environmental objectives, and yield satisfactory global environmental benefits, with only minor shortcomings.
Marginally Satisfactory (MS)	Project is expected to achieve <b>most</b> of its major relevant objectives but with either significant shortcomings or modest overall relevance. Project is expected not to achieve <b>some</b> of its major global environmental objectives or yield some of the expected global environment benefits.
Marginally Unsatisfactory (MU)	Project is expected to achieve <b>some</b> of its major global environmental objectives with major shortcomings or is expected to achieve only <b>some</b> of its major global environmental objectives.
Unsatisfactory (U)	Project is expected <b>not to achieve most</b> of its major global environment objectives or to <b>yield any satisfactory</b> global environmental benefits.
Highly Unsatisfactory (HU)	The project has failed to achieve, and is not expected to achieve, <b>any</b> of its major global environment objectives with no worthwhile benefits.

# 1. MAIN REPORT

## Purpose of the evaluation

7. The UNDP/GEF Project on the Implementation of the Sustainable Development Strategy for the Seas of East Asia (SDS-SEA) is a GEF project being implemented by UNDP and executed by UNOPS. The countries bordering the EAS region — Cambodia, China, Indonesia, Japan, Lao PDR, Philippines, RO Korea, Singapore, Thailand, Timor-Leste, and Vietnam — endorsed the Project. The Project commenced in 2008 and will end in June 2013.
8. A terminal evaluation (TE) of the SDS-SEA project (Project) was conducted to:

*...assess the extent of progress, relevance, suitability, impact and effectiveness of the strategies, project design and management, implementation methodologies, communication and other related activities, and assess the likelihood of achieving the project's objectives upon project completion. The mid-term evaluation will take into consideration the project's continued relevance, efficiency levels, and effectiveness.*
9. In addition, the terminal evaluation was to provide recommendations to improve the execution and the likelihood of achieving the project's objectives.
10. A team of specialists was formed to conduct the evaluation. It consisted of an institutional, legal and government specialist and a coastal and ocean management specialist. The specialists were recruited to strike an appropriate balance of management and technical skills, shared vision, knowledge of the region, experience with multidisciplinary projects and good communication and interpersonal skills.
11. Specifically, the Institutional, Legal and Governance Specialist was to assess the impacts of PEMSEA as the regional implementing mechanism for the SDS-SEA, the effects of the PEMSEA transformation efforts into a long-term self-sustaining mechanism, the impacts of national policies and reforms in sustainable coastal and ocean governance, the scaling up of ICM efforts and codification of good practices, and the usefulness of the twinning arrangements for integrated river basin and coastal area management.
12. The Coastal and Ocean Management Specialist was directed to review the various capacity-building initiatives in line with the SDS-SEA implementation, the effectiveness of the PEMSEA Network of Local Governments for Sustainable Coastal Development (PNLG) in facilitating and advocating local government implementation of ICM programs; assess the effectiveness of strategic partnership arrangements in stimulating public and private sector investment and financing in environmental infrastructure projects and services; as well as in mainstreaming the SDS-SEA to programs of key international donor agencies, and impacts of integrating social responsibility of the corporate sector contributing to sustainable development of coastal and marine areas.
13. Based on guidance from the UNOPS and UNDP-GEF Terminal Evaluation (TE) Guidelines, the evaluation team has undertaken:

- Preparation of a team work plan and schedule. Coordination with the other team member in developing the team's work plan and schedule for the implementation of the TE. The Specialists were expected to attend meetings and participate in team discussions and provide technical inputs relevant to their field of expertise. The resulting product, the Team Work Plan, is attached as **Annex 7**.
- Data gathering. Data gathering through desk-top review of available and relevant documents, and conduct interviews/ field visits to a number of project sites and relevant offices.
- Analysis and evaluation. Evaluation of the effectiveness of overall programme management strategies, approaches and methodology adopted by PEMSEA in relation to the project development objectives and the overall global environmental goals. Special focus was placed on the activities relating to Immediate Objective 1 of the Project Document (Components A, B, C and D), with respect to the following:
  1. The effectiveness of the SDS-SEA and PEMSEA as the implementing mechanism in the region in establishing a coastal and ocean governance regime;
  2. The benefits of the PEMSEA transformation initiatives into a long-term self-sustained regional implementing mechanism for the SDS-SEA;
  3. The effectiveness of the joint planning and implementation by PEMSEA Country and Non-Country Partners and collaborators in SDS-SEA implementation;
  4. The extent to which the SDS-SEA has provided policy guidelines on various coastal and marine-related issues to the countries in the region and the level of acceptability and applicability of these policy guidelines to the specific conditions of each participating nation;
  5. The usefulness of the projects undertaken in pushing for the development of the coastal and marine policies at the national level;
  6. The usefulness of the reporting system on the State of the Coasts at the local ICM sites in assessing progress and influencing policy decisions and action planning at the local government level;
  7. The effectiveness of the ICM approach in promoting the sustainable development of coastal and marine resources;
  8. The effectiveness of the twinning arrangements for integrated river basin and coastal area management; and
  9. The extent of establishing partnerships among stakeholders at the local, national and regional levels.

### **The Evaluators**

14. The Final Evaluation for this project was co-developed by Mr. David A. LaRoche and Dr. Clive Wilkinson.
15. Mr. David LaRoche, the Institutional, the Legal and Government Specialist Evaluator, is based in the USA and Romania. Mr. LaRoche is an independent consultant with over 35 years of experience in national and international project and programme monitoring and evaluation; institutional and organizational effectiveness; international environmental policy development and negotiations; project and programme management; environmental NGO development and capacity building at national and international levels; project



development; and executive level legislative and political experience. Over the past 16 years he has been a consultant to the GEF Secretariat, the GEF Implementing Agencies, UNOPS, and the FAO. In each of those capacities, he has worked extensively on international waters issues, including contracts on international river basins, lakes, and large marine ecosystems. He has also been involved as a consultant to numerous non-profits, and as a programme level evaluator for the Pew Charitable Trusts (USA) and the Ivey Foundation (Canada); and as a programme level consultant to the Pew Charitable Trusts and the Pew Environment Group on wilderness protection, forestry, and global marine issues.

16. The Coastal and Ocean Management Specialist Evaluator, Dr. Clive R. Wilkinson, is based in Townsville, Australia. He is an expert in tropical coastal management after having spent 16 years coordinating the Global Coral Reef Monitoring Network that operates in 80+ countries and publishes the regular 'Status of Coral Reefs of the World' reports. The GCRMN interacted closely with numerous UN agencies, including UNEP, UNDP, the World Bank and GEF. Before that he was the Chief Technical Advisor of a coastal resource research program in five ASEAN countries (Indonesia, Malaysia, Philippines, Thailand and Singapore) that focused on capacity building in monitoring and research into coral reefs, mangrove forests, seagrass beds, water quality, information management and fisheries in these countries over a 10-year project life. In addition he was an active field ecologist on the Great Barrier Reef and other tropical countries at the Australian Institute of Marine Science. His BSc and PhD training in marine microbiology and ecology from the University of Queensland led to more than 20 books and 100 papers.

### **Scope and Methodology**

17. This Terminal Evaluation has been conducted in a participatory manner consistent with its essential objective to assess the project implementation and impacts.

The evaluation has included the following activities:

- Desk reviews of project documents, including, among others, past evaluations of UNDP-GEF funded PEMSEA projects, the SDS-SEA Project Document, the Project Inception Report, minutes of Project-related meetings, Project stakeholder consultation and involvement activities, content and use of the Project website, mandatory project reports, such as Project Implementation Reports (PIRs), Annual Project Reports (APRs), Quarterly Progress Reports (QPRs), and other internal documents including consultant and financial reports;
- Extended Missions by both Evaluators to the Region, with both combining for two evaluation visits to Manila. In addition, the Institutional, Legal and Government Evaluator, Mr. LaRoche, visited the Batangas demonstration site in the Philippines; Beijing to interview Government Officials and two field sites in China specifically Xiamin and Dongying; Hanoi to interview Government Officials and two demonstration sites in Vietnam, specifically Danang and Thua Thien Hue;
- The Coastal and Ocean Management Specialist Evaluator, Mr. Wilkinson, visited: the Guimaras demonstration site in the Philippines; Phnom Penh for meetings with Cambodian Government Officials and the demonstration site in Sihanoukville; followed by the demonstration site in Chonburi, Thailand, and meetings with Thai Government Officials in Bangkok;

- Numerous interviews and/or discussions (over 240) with project staff in the PEMSEA Resource Facility (PRF), representatives of the Implementing Agency (UNDP), the Executing Agency (UNOPS), the World Bank, and numerous stakeholders in the participating countries;
- Submission to UNOPS of a draft Executive Summary on 20 October 2012; and
- Provision of a Final Report on 2 November 2012.

18. Given the strong local level focus of the Project, a case study of a locally-based initiative has been included in this TE as **Annex 10**.

### **Structure of the Evaluation Report**

19. The structure of this TE follows UNDP-prescribed guidelines titled Project Level Evaluation, Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-Financed Projects, Evaluation Office, UNDP, 2012. The report is separated into the following major sections:

1. An Introduction;
2. An Executive Summary;
3. A Main Report; and
4. A Set of Annexes

## **2. PROJECT DESCRIPTION AND DEVELOPMENT CONTEXT**

### **Project Start and Duration**

20. The SDS-SEA project that is the subject of this evaluation began implementation in 2008 and was intended to end in March of 2011. However, the Project is now in the midst of a no-cost extension, and implementation will continue until December of 2013.

### **Problems that the project sought to address**

21. The Project is in part a barrier removal project aimed at addressing/resolving:

- Policy and administrative overlaps among the various sectoral agencies, which are responsible for management of coastal and marine resources.
- Lack of coordination among the many agencies, projects, levels of government and sectors with mandates and a stake in sustainability of the resources of concern.
- Limited understanding of coastal and marine ecosystems and the linkages between human activities in watershed areas, and the resulting impacts in estuaries, coastal areas and coastal seas.
- Inadequate management experience and capacities in ICM/ecosystem-based management among national and local governments, thereby limiting the ability to scale up integrated river basin and coastal area management efforts throughout the coastlines of the region.
- Limited public awareness and understanding of the importance of coastal and marine resources.
- Insufficient financial resources and/or lack of access to financing for the development and implementation of required environmental infrastructure, including the much-needed water, sewage and sanitation facilities and services.

- Lack of a regional mechanism and concrete, process-oriented agenda, focused on transboundary environmental and natural resource issues spanning the six LMEs of the region.

## **Development and Immediate Objectives of the Project**

22. The Development Objective of the Project is:

*...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 the coastal and marine resources of the region and the development targets of the WSSD Plan of Implementation.*

23. The Project has three Immediate Objectives:

- (1) 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;
- (2) 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; and
- (3) 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 LMEs of East Asia.

## **Baseline Indicators Established**

24. In describing the current Project, the PEMSEA concluded that despite efforts taken in arresting environmental degradation, without further governance improvement and capacity development, the implementation of the SDS-SEA remains tenuous. PEMSEA further concluded that:

- Without visible signs of progress, political interest and support begin to wane, and fiscal restraints among some EAS countries would result in reduced public environmental expenditures;
- Resource commitments would not likely increase commensurately with the need to address pressures on East Asia's natural resources;
- Threats to national and regional security might well be brought about by economic development and competition over limited resources (e.g., fisheries; mariculture; tourism; shipping; natural resource exploration/exploitation; coastal development) and result in increased transboundary political, social, cultural, economic and environmental risks that have negative consequences both within and beyond the region; and
- There would be no critical mass of partnership arrangements, across the bulk of the region, to maintain the awareness and momentum for change among the many sectors and key players.

25. PEMSEA also posited that the limited portfolio of investments in improved environmental infrastructure (i.e., water; sewage; sanitation; industrial and hazardous waste) among EAS countries continued to lack strategic channeling to address the pervasive and generally low public environmental expenditures. The role of the private sector, as a partner in investment, operation and management of environmental facilities and services remained ambiguous, not part of national policy and financing programs, and not designed to leverage such partnerships.
26. International financial institutions (IFI) continued to serve as a primary source of financing for environmental infrastructure in countries, but the pace of improvements was slow among the lesser-developed countries. Priority environmental infrastructure improvements continued to be identified by central governments in some countries, and funded through national government financing programs and/or IFI loans. Essential capacity building, scientific support, information gathering and knowledge transfer systems continued to be supported by donors and international agencies and organizations, albeit on an *ad hoc* basis.
27. For the most part, according to the PEMSEA project document, countries would continue to manage marine and coastal issues in a sectoral manner, and independently. Countries with the capacities and resources would progress towards sustainability of marine and coastal areas. Interagency and cross-sectoral conflicts would be resolved over time, as these countries begin to realize the benefits of an integrated management approach.
28. However, other less-developed countries would remain mired in a struggle to achieve economic growth and prosperity, in the face of overexploitation, destruction and degradation of natural resources, poverty and social discontent. The gap between the developed and the developing would widen. While established coordinating mechanisms within the region would begin to take up some of the objectives and action programs of the SDS-SEA, these intergovernmental bodies are unable to provide the coverage or comprehensive support that is required to address the interconnectivity characteristics and issues of the East Asian Seas.

### **Main Stakeholders**

29. Stakeholders targeted by the Project were intended to include the full array of potential stakeholders, including, at the national level:
- National ministries and agencies covering environment, agriculture, fisheries, health, education, transportation, energy, tourism, industry, foreign affairs, economic development, and finance. In addition to the public sector, national NGOs (e.g., scientific and technical societies; professional associations);
  - Sustainable development organizations; and
  - The private sector (i.e., Chambers of Commerce; financial institutions; industry organizations).
30. At the sub-national level, key targeted stakeholders are intended to be local governments implementing ICM programs. This implies that between 100 and 150 local governments will be initiating or implementing ICM programs over the life of the Project. Stakeholder groups were expected to vary from community to community but, in general, were to include:

- Local industry;
- Small to medium enterprises (SMEs); and
- Community-based organizations (e.g., fisherfolks, women's organizations, students, religious groups), educators, universities/academe, public healthcare providers, the media, and the private sector.

31. At the regional level, the EAS Partnership Council (i.e., part of the new regional partnership mechanism) was intended to be the main mechanism by which national and international stakeholders would interact and collaborate on the implementation of the SDS-SEA. The EAS Partnership Council was to be comprised of:

- Representatives from the national governments, local governments and communities;
- Nongovernmental organizations (NGOs);
- 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.

32. Last, the East Asian Seas (EAS) Congress was to be convened every three years to bring together stakeholders from different levels of government and sectors of society, from within and outside the region, for meaningful dialogue and knowledge exchange on progress, challenges, constraints and achievements concerning implementation of the SDS-SEA. In conjunction with the Congress, a Ministerial Forum was to be organized to evaluate the contributions of the partnership arrangement to SDS-SEA implementation, as well as to reconfirm country commitments to regional and national targets and program objectives.

### **Expected Results**

33. Results were expected to include:

- A functioning, multi-country/multisectoral regional mechanism for coordinating, implementing, monitoring and evaluating, and refining the implementation of the adopted SDS-SEA, including programs of work and time-bound pollution reduction targets;
- National legislation, policy, institutional arrangements and programs in support of scaling up ICM/ecosystem-based management (EBM) and pollution reduction investments in priority watersheds and coastal areas, targeting 20% coverage of the region's coastline with ICM programs by 2015;
- Strong focus on using governance reform and investments as tools to combat land-based pollution from nutrients and oxygen-depleting substances that cause anoxic coastal 'dead zones';
- An engagement of corporate sector/business community in Strategic Partnership arrangements with national and local governments, the World Bank, other international financial institutions (IFIs), and donors, to develop and demonstrate innovative cost-effective investment measures for reducing nutrient and oxygen demanding pollutants from the municipal, industrial and agricultural sectors in priority watersheds and coastal areas;

- South-South and North-South twinning arrangements in river basin and coastal area management, facilitating the transfer of knowledge, skills and technology and accelerating the implementation of EBM programs and investments in identified transboundary pollution hotspots of the region;
- Sustainable financing mechanisms established at the national and/or regional levels (i.e., outcomes of Strategic Partnership demonstrations), advancing the scaling up and replication of good practices in public and private sector investments for pollution reduction, conservation/restoration of habitats, and alternative livelihood programs in coastal communities; and
- A State of the Coasts reporting system, providing feedback on the social, economic and environmental changes in priority watersheds and coastal areas at the national and regional levels, occurring as a consequence of management interventions under the SDS-SEA program, and serving as a platform for sharing the region's lessons and experiences in achieving WSSD and MDG targets with other IW regions/projects.

### 3. FINDINGS

#### 3.1 Project Design/Formulation

##### Results Framework (Project logic /strategy/Analysis of LFA/indicators)

34. The Project Concept and Design, as captured in the Project Document, is being evaluated through the use of UNDP published criteria for evaluating UNDP-GEF projects. These criteria are summarized in the question as to whether the planned outcomes of the Project were **SMART**, where SMART stands for:

- |          |  |
|----------|--|
| <b>S</b> | <b>Specific:</b> Where Outcomes use change language, describing a specific future condition.   |
| <b>M</b> | <b>Measurable:</b> Where results, whether quantitative or qualitative, have measurable indicators, making it possible to assess whether they were achieved or not. |
| <b>A</b> | <b>Achievable:</b> Where Results are within the capacity of the partners to achieve.   |
| <b>R</b> | <b>Relevant:</b> Where the Results make a contribution to selected priorities of the national development framework.   |
| <b>T</b> | <b>Time-bound:</b> Where Results are not open-ended, i.e., where results are accompanied by an expected date of accomplishment.                                    |

##### Were the Planned Outcomes of the Project *Specific*?

35. The planned outcomes of the Project were specific, and described a future condition for the PEMSEA region, specific to the Development and Immediate Objectives of the Project and its eight Components. The future condition was described as one where there would be:

- A shared vision of sustainable use of the coastal and marine resources of the region;
- Implementation of action programmes of the SDS-SEA aimed at legal, policy, and institutional reforms and investments at local, national and regional levels with a specific focus on integrated coastal management;
- Verification, dissemination, and promotion of the replication of lessons learned and best practices; and

- 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 sector land-based pollution investments.

#### **Were the Planned Outcomes of the Project *Measurable*?**

36. The key Project feature that should capture the measurability of results is the Project Logical Framework Analysis, or logframe. In the case of the PEMSEA submitted project document for SDS-SEA, measurability was not only captured in the logframe but also throughout the text of the entire text of the submission.

The Project logframe clearly established measurable targets that have been tracked throughout implementation, using the original logframe as the standard of reference.

#### **Were the Planned Outcomes *Achievable*?**

37. The Indicators of the eight Project Outcomes were in many instances quantified, and Project results verify a high level of achievability of those quantitative targets.

A detailed description of deliverables based on the Project logframe, and evaluator comments on those deliverables, is included in this evaluation as **Annex 8**.

#### **Were the Planned Outcomes *Relevant*?**

38. The Project concept and design did identify considerable and detailed national priorities of the participating countries, and the concept and design addressed selected priorities of the respective national development frameworks. A major test of relevance is the extent to which the project is responsive to well defined and explicitly described country priorities, and in the judgment of the evaluator, each of the eight planned outcomes of the Project are indeed relevant to those country-expressed priorities.

#### **Were the Planned Outcomes *Time-bound*?**

39. Project Outcomes were in most instances time-bound. This has greatly assisted in measuring Project implementation progress in periodic updates of Project progress, including, among others, QPRs, PIRs, and this Final Evaluation.

### **Indicators**

40. Indicators as listed in the logical framework analysis are clearly and concisely expressed. Further, they are described consistent with GEF IW indicators of process (PI), stress reduction (SRI), and environmental status (ESI), making possible an evaluation of project results against those indicators.

### **Assumptions and Risks**

41. The assumptions in the logframe are also clearly and concisely expressed. However, risks are only generically described and the placement of risks into categories of low and medium, the only two categories used, lack substantive context.

## **Lessons from other Relevant Projects (e.g., same focal area) Incorporated into Project Design**

42. The Project Document does not contain a listing or an analysis of lessons learned from other GEF IW projects from the same focal area. This is not surprising to the evaluators, as the PEMSEA programme (suite of GEF IW projects) has not taken the more traditional TDA/SAP development route. In general, the PEMSEA emphasis on an integrated local, national to regional focus does not fully lend itself to extrapolating from the experience of other GEF IW projects.

## **Planned Stakeholder Participation**

43. Planning for stakeholder participation was comprehensive and a clearly established priority in project design, a design that is consistent with offering to evaluators the necessary frame of reference to evaluate results as compared to stated intentions. The Stakeholder Participation Plan (SIP) stated that the Project would:

- Ensure that program interventions and processes integrate public participation and stakeholder inputs;
- Support systematic mainstreaming and engagement of stakeholders in the process to maximize efficiency and consistency;
- Provide a means of defining and targeting specific capacity-building activities that will support effective engagement processes, such as providing access to information and capacity building;
- Institutionalize a mechanism to solicit inputs and insights and sharing of information; and
- Ensure meaningful participation and enlightened involvement in local, national and regional activities.

44. Further, the Project clearly demarcated stakeholder involvement objectives at regional, national and local levels.

45. At the regional level, efforts were to include:

- A PEMSEA portal that would comprise a number of sub-networks to include linkages with the local governments, scientific and technical institutions and organizations, marine affairs institutions, private sector, financial institutions, serving principally to facilitate the sharing of intellectual capital, technology, information and services on the implementation of the SDS-SEA;
- PEMSEA Programmes for Areas of Excellence with internationally and regionally recognized universities and research institutions in the region, to provide expert advice and scientific support to countries and their partners on specific issues of concern to SDS-SEA implementation;
- Regional Task Force and National ICM Task Forces mobilized to provide technical support to national and local governments in program development, project implementation and capacity building;



- Transformation of the PEMSEA Network of Local Governments for Sustainable Coastal Development (PNLG) into a self-sustaining local government-driven network as channels of information; and
- A triennial EAS Congress, organized for the primary purpose of knowledge-sharing and transferring experiences and good practices among governments and stakeholders within the region, and with national and regional programs outside of the region.

46. At the national level, efforts were to include:

- An assessment of the contributions made by the coastal and marine areas/sectors to overall social and economic development at the country and regional levels, with input from scientific, technical and legal organizations and associations, national donors, and international agencies and organizations universities, financial institutions, private sector groups, specialized international NGOs;
- Cross-sectoral coordinating mechanisms established within participating countries to facilitate flow of information to cooperating agencies to ensure harmonized and integrated activities and mitigate resource/multiple use conflicts and to provide and guide the monitoring framework for SDS-SEA implementation;
- ICM learning networks developed in three countries, to facilitate knowledge sharing among agencies, institutions, projects and programs at the national level, in order to develop/strengthen ICM training programs and provide on-the-ground capacity development and support services to implement ICM programs; and
- National coordinators identified to ensure transfer/access to information at the national and sub-national levels.

47. At the local level, efforts were to include:

- Knowledge sharing programs will function and operate through the PEMSEA portal and the GEF-IW: LEARN Resource Center (IWRC). ICM practices will be consolidated and shared;
- Knowledge management mechanisms will also support local governments in the development and issuance of local ordinances to complement national policies that recognize local level dynamics; and
- On-site training of local ICM managers, implementers and community participants will be undertaken, and the focus will be to forge partnerships with donors and international agencies and organizations, including the UNDP SGP, to strengthen local capacities and involvement in implementation of sustainable development activities at the local level.

## **Replication approach**

48. The project document contained a clear and concisely written replication strategy that lent itself to evaluation. The strategy basically contained three elements:

- **A Project Replication Team (PRT)**

49. The PRT was to be comprised of multi-disciplinary members of the Regional Task Force (RTF), as well as representatives of key regional entities and projects, including the GEF/UNEP South China Sea and the GEF/UNDP Yellow Sea LME projects. It was constructed to:

1. Evaluate sites/areas in the region as potential locations for replication and scaling up of good practices and technologies;
2. Assess the projects, technologies and practices being implemented under the framework of the SDS-SEA to determine their potential for replication;
3. Gauge the competency of local governments and potential partners for replication activities, including political, socioeconomic and governance characteristics, access to financing, creditworthiness, revenue sources, experience, capacities, partnership qualities; and
4. Provide technical assistance and advice in developing partnership arrangements for the implementation of replicable technologies and practices.

➤ **Within the PEMSEA Resource Facility, a Project Replication Unit**

50. The Project Replication Unit was to consist of a Project Replication Unit (PRU) coordinator, an information management/communication specialist, and a partnership-building specialist. Other expertise was to be contracted on a short-term basis as required, utilizing the Regional Task Force resource base. It was constructed to provide a range of administrative, technical, partnership development and other services to the PRT.

➤ **Use of the Strategic Partnership for Replication of Good Practices in Pollution Reduction**

51. The principal mechanism of the Strategic Partnership that was to be used for replication purposes was the Partnership's Investment Component, which was intended to:

1. Develop and demonstrate innovative policies, practices, technologies and services to overcome identified barriers and constraints to pollution reduction investments by the public and private sectors;
2. Document the results of the demonstrated good practices;
3. Identify replication opportunities within the area or country where the demonstration occurred; and
4. Disseminate the results of the demonstration projects to national, regional and global stakeholders.

### **UNDP Comparative Advantage**

52. The project document did not explicitly identify the UNDP comparative advantage. UNDP was mentioned as bringing a comparative advantage as a member of the Strategic Partnership, but the advantage was not described. In interviews and conversations undertaken during the evaluation, the UNDP comparative advantage was defined as contributing:

- Continuity as having been the IA since the early days of PEMSEA activity, dating back to at least 1996;
- Its long history of successful implementation in a large number of GEF IW interventions globally and regionally, including GEF IW projects in areas overlapped by PEMSEA such as the Yellow Sea, South China Sea, and the Sulu and Celebes seas; and
- The presence of Country Offices in each of the PEMSEA participating countries, which,

especially in the host country, the Philippines, has enabled on-the-ground assistance and administrative and financial assistance over the period of implementation.

### **Linkages between Project and other Interventions within the Sector**

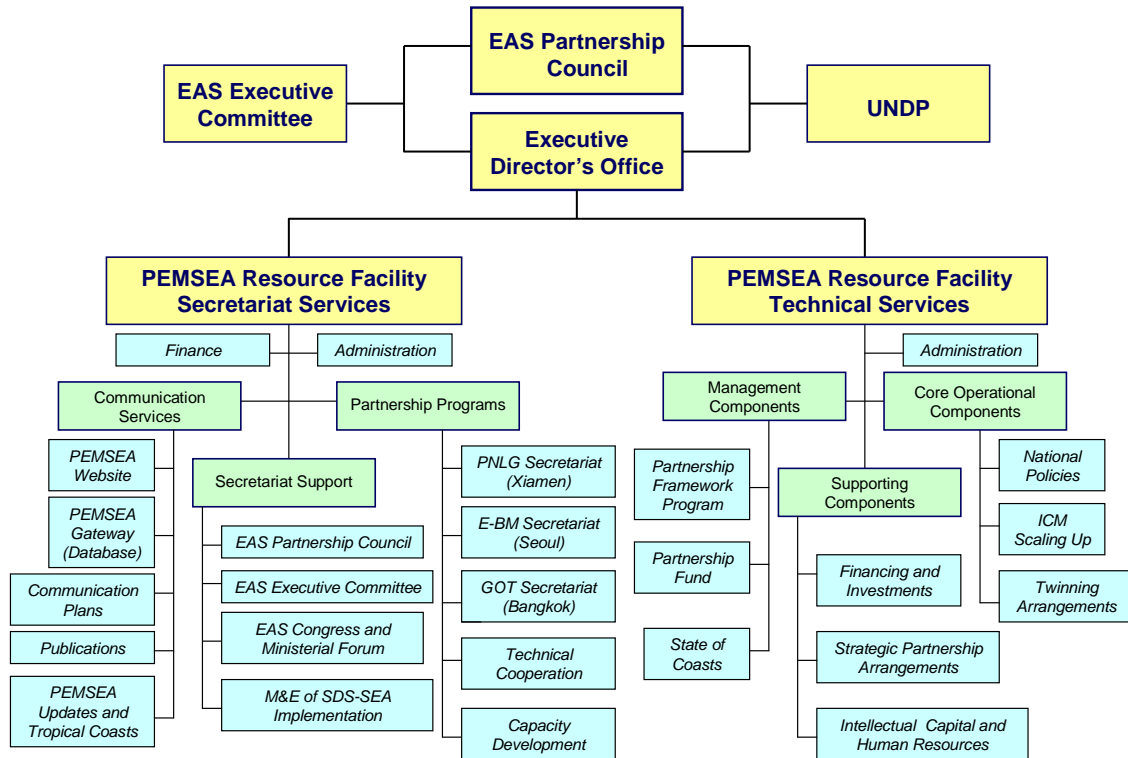
53. Linkages to other GEF projects, other relevant regional projects and activities, and key stakeholders were to be undertaken through the Strategic Partnership. The key activities of the Strategic Partnership, in relation to creating linkages were to include:

- A coordinating mechanism for Strategic Partners agreed to, and operating to develop, demonstrated and replicate innovative approaches for engaging the public and private sector in developing, financing, managing and operating affordable water, sewage and sanitation facilities and services;
- Five (5) good practices and case studies prepared and disseminated on demonstration projects, including an assessment of the replication potential, based on agreed indicators;
- Annual workshops and a mid-term stocktaking meeting on the demonstration of innovative policies, practices, technologies and financing and investment mechanisms for pollution reduction, and the progress and achievements in replicating successful demonstrations at the sub-national, national and sub-regional levels;
- A Strategic Partnerships website set up and operating in accordance with GEF IW:LEARN guidelines, transferring information and promoting replication of good practices and lessons learned from the Strategic Partnership;
- Presentation of Strategic Partnership outcomes to GEF-IW Portfolio Conference 2009 (one country representative and the CTO); and
- An expanded Strategic Partnership arrangement, encompassing Strategic Action Programs (SAPs) of sub-regional sea areas of the East Asian region.

### **Management Arrangements**

54. The description of management arrangements in the project document are detailed and inclusive, with the exception that UNOPS is not mentioned as the Executing Agency of the Project. The only mention of UNOPS that evaluators could find was in relation to audits. The management organogram for PEMSEA appears below. While UNOPS does not appear as the Executing Agency in the organogram, it is designated as a member of the EAS Partnership Council, along with the Implementing Agency, the UNDP.

## Management Organogram of the PEMSEA Project



## **3.2 Project Implementation**

### **Adaptive management (changes to the project design and project outputs during implementation)**

55. In general, successful implementation has resulted in low-level need to adaptively manage the Project. However, there has been one significant adaptation during Project implementation. The Project was originally intended to end in 2011. The first delay, from March of 2011 to 2012, was occasioned by PEMSEA having concluded that additional time was necessary to complete Project Outputs. The second delay was occasioned by uncertainty in the level and timing of replenishment for GEF-5, and thus the Implementing and Executing Agencies, as a matter of prudence, advised to extend the project termination date to mid-2013.

### **Partnership arrangements (with relevant stakeholders involved in the country/region)**

56. Partnership arrangements have been a cornerstone of the project. Currently, PEMSEA has 11 Country Partners and 20 Non-Country Partners.

### **Project Finance**

57. In terms of financial delivery, 87% of PEMSEA's budget for 2010 was used from July to December 2010 (including overhead cost), while about 45% of the budget for 2011 was expended from January to June 2011 (as determined in the 2011 PIR and including overhead cost). By June 2012, total project disbursements totaled US\$ 8,176,766, with the remainder of the GEF grant and continuing cash contributions by China, Japan, and South Korea of approximately US\$ 450,000 remaining available for the period 30 June 2012 to Project closure in June of 2013.

58. The Tables below describe proposed, actual and projected finance and co-finance to date. The first Table is the prescribed format of the UNDP, while the second is a more detailed Table of Project finance to co-finance to 30 September 2012 (the effective date of this evaluation).

## Co-Finance – Proposed, Actual and Projected to End-of-Project

Co-Finance (Type/Source)	IA		Government		Other Sources*		Total Co-finance to date		Est. To
	(million US\$)		(million US\$)		(million US\$)		(million US\$)		(million US\$)
	Proposed	To Date	Proposed	To Date	Proposed	To Date	Proposed	To Date	End of Project
Grant	10.876	8.176 <sup>3</sup>	.400	1.300 <sup>4</sup>					<b>12.176</b>
Credits									
Loans									
Equity									
In-kind			27.500	69.683 <sup>5</sup>	5.780	10.893	33.280	80.576	<b>85.000</b>
Non-grant Instruments*									
Other Types									
<b>TOTAL</b>	<b>10.87</b>	<b>8.176</b>	<b>27.900</b>	<b>70.983</b>	<b>5.780</b>	<b>10.893</b>	<b>33.280</b>	<b>80.576</b>	<b>97.176</b>

### Evaluator Notes:

1. To 30 September 2012 Project cash co-finance had increased 307% over the projected total as included in the project document.
2. To 30 September 2012 Project in-kind co-finance had increased 242% over the projected total as included in the project document.
3. To 30 June 2013 (anticipated closure date) overall projected project co-finance will have increased approximately 390% over the projected total as included in the project document.

<sup>3</sup> Cumulative disbursement to 30 September 2012.

<sup>4</sup> Cash contribution extrapolated to end of Project, 30 June 2013.

<sup>5</sup> Principal source of funding is through Memoranda of Agreement between the Project (now a legal entity) and the participating countries.

59. A more precise picture of project co-finance can be gleaned from the Table below. Figures in this table are calculated through 30 September 2012. As is evidenced in actual co-finance received to date in relation to expenditures from the GEF grant to date, there has been a better than 12:1 ratio of overall co-finance (participating countries and other partners) to GEF finance.

### Detailed Project Co-finance to 30 September 2012

#### CO-FINANCING 2008-2012

As of 30 September 2012

Country Partner	Pro Doc	MOA*	Actual		PEMSEA (GEF) Funding (US\$)
			Co-Financing (2008-2012)	EAS Congress	
Cambodia	720,000	847,481	853,481	6,000	555,900
China	9,006,200	10,021,685	10,021,685	5,500	691,000
Indonesia	2,250,000	557,550	557,550		587,000
Japan	125,000	625,000	700,600		
Philippines	2,088,200	13,761,879	14,022,645	321,725	967,165
RO Korea	11,085,520	326,087	2,696,717	2,200,000	
Thailand	2,276,000	30,917,634	30,937,334	4,700	214,000
Lao PDR		479,000	479,000		274,500
Singapore			250,000	200,000	
Timor Leste		250,000	550,000		274,500
Vietnam		5,865,000	5,877,000		207,000
Training & Capacity Building (Comp B - E)					2,376,968
	<b>27,550,920</b>	<b>63,651,316</b>	<b>66,946,012</b>	<b>2,737,925</b>	<b>6,148,033</b>
Others/MERIT	<b>5,780,000</b>		<b>5,780,000</b>		
<b>Non-Country Partner</b>					
ACB			5,900	5,900	
CI			5,930		
KEI			53,181	16,878	
KMI			226,102	52,600	
KORDI			69,568	49,500	

OPRF			166,251	99,136	
SENSA/SIDA			197,887	119,824	
SEI			15,000		
SGP			478,390	1,500	
UNEP/GPA			330,000	40,000	
			<b>1,548,209</b>	<b>385,337</b>	
<b>Co-Sponsor/Collaborator</b>					
Asean Foundation			39,635	39,635	
Bataan Foundation			6,522	6,522	
Chevron			5,000	5,000	
Equipe Costeau			18,730		
GTZ			31,050	1,050	
HP Printer			200	200	
IMO			562,520	10,370	
Infinity Travel			1,087	1,087	
KOEM			81,541	20,000	
PAL			70,000	70,000	
Petron Foundation			6,552	6,552	
San Roque			10,000	10,000	
Team Energy			10,870	10,870	
Total Philippines			7,250	7,250	
KEPCO			5,000	5,000	
KOICA			450,000		
Yeosu Expo			191,011	191,011	
			1,496,968	384,547	
<b>TOTALS</b>	<b>33,330,920</b>	<b>63,651,316</b>	<b>75,771,189</b>	<b>3,507,809</b>	<b>6,148,033</b>



### **Monitoring and Evaluation: Design at Entry and Implementation (\*)**

60. The project document contained a substantial section on monitoring and evaluation (M&E) that described a full range of M&E activities, including:

- An Inception Workshop and Report;
- Tripartite Review (TPR);
- Quarterly Operational Reports (QPRs);
- Harmonized Annual Project Report and Project Implementation Reviews, including a Project Terminal Report;
- Independent External Evaluation;
- Budget Revisions;
- Substantive Project Revisions; and,
- Audits consistent with and at the discretion of UNDP and UNOPS.

61. Each of the above has been undertaken by the project with the appropriate participation of the IA and EA. A Mid-term Evaluation (MTE) was not undertaken, and the Terminal Evaluation (TE), i.e., the evaluators do not have at their disposal the results of an MTE that serves to give Terminal Evaluation evaluators an important frame of reference, containing as it does an extensive set of conclusions and recommendations that can be referenced during the TE. Auditing has been done on an ongoing basis by UNOPS, and also by non-GEF bi-lateral and multi-lateral donors for their respective grants to the Project.

62. As part of submission of the project document to the GEF, an M&E Table was included summarizing the proposed M&E activities that would be undertaken during Project implementation. The evaluators have added a column to that Table summarizing progress that has been made for each M&E activity.

### Indicative Monitoring and Evaluation Plan and Corresponding Budget

Type of M&E Activity	Responsible Parties	Budget US\$ <i>Excluding Project Staff Time</i>	Timeframe	Evaluator Comments
Inception Report	<ul style="list-style-type: none"> <li>➤ PRF Technical Services</li> <li>➤ UNOPS</li> </ul>	Nil	Immediately following the first Project Steering Committee/EAS Partnership Council	Inception Workshop held, meeting report issued.
Development of fuller and more detailed set of indicators	<ul style="list-style-type: none"> <li>➤ PRF Technical Services</li> <li>➤ Regional Task Force on State of Coasts reporting (A.1.5)</li> <li>➤ National Task Forces on ICM reporting (C.1.3)</li> <li>➤ Strategic Partnership project indicators (G.1.3)</li> </ul>	125,000	Within 12 months of project start-up	The PEMSEA Council decided that the Project should focus on development of indicators at local level, and this has been the focus of PEMSEA efforts. However, the identification of SRIs and ESIs has lagged and is the subject of a recommendation of this TE.
Measurement of project progress and performance	<ul style="list-style-type: none"> <li>➤ Local, national, sub-regional and regional reporting system for the State of Coasts report</li> <li>➤ PRF Technical Services</li> </ul>	395,000	<p>State of Coast report will be published triennially</p> <p>Progress indicators/ performance indicators will be monitored annually and reported in APR/PIR, including catalytic impact.</p>	<p>State of the Coast Report completed, published. But, as above, identification of SRIs and ESIs has lagged and is the subject of a recommendation of this TE.</p> <p>Some SOC reports have been finished, some are in progress, and others are temporarily postponed.</p>
TPR and TPR Report	<ul style="list-style-type: none"> <li>➤ EAS Partnership Council - Intergovernmental Session</li> <li>➤ PRF Technical Services</li> <li>➤ UNOPS</li> <li>➤ UNDP GEF</li> </ul>	Nil	Annually	All reports have been done. There have been from time-to-time some delays in submission but, again, all reports have been submitted.
Quarterly Operational Reports	<ul style="list-style-type: none"> <li>➤ PRF Technical Services</li> <li>➤ UNDP PPRR</li> <li>➤ UNDP GEF</li> </ul>	Nil	Quarterly	Reports have been submitted and were reviewed by the evaluators.
APR/PIR	<ul style="list-style-type: none"> <li>➤ PRF Technical Services</li> <li>➤ UNDP PPRR</li> </ul>	Nil	Annually	Reports completed and made available to the Evaluators for review.

Type of M&E Activity	Responsible Parties	Budget US\$ <i>Excluding Project Staff Time</i>	Timeframe	Evaluator Comments
	<ul style="list-style-type: none"> <li>➤ UNOPS</li> <li>➤ UNDP GEF</li> </ul>			
Project Steering Committee meetings	<ul style="list-style-type: none"> <li>➤ EAS Partnership Council – Technical Session</li> <li>➤ PRF Technical Services</li> <li>➤ World Bank (Strategic Partnership)</li> <li>➤ UNDP PPRR</li> </ul>	Nil	Annually	The Council serves as the equivalent of the PSC. Annual meetings have been held.
Mid-term External Evaluation/Report	<ul style="list-style-type: none"> <li>➤ PRF Technical Services</li> <li>➤ UNDP PPRR</li> <li>➤ UNOPS</li> <li>➤ UNDP GEF</li> <li>➤ World Bank (Strategic Partnership)</li> <li>➤ External consultants</li> </ul>	30,000	At the mid-point of the project	MTE was not undertaken.
Final Terminal Evaluation/Report	<ul style="list-style-type: none"> <li>➤ PRF Technical Services</li> <li>➤ UNDP PPRR</li> <li>➤ UNOPS</li> <li>➤ UNDP GEF</li> <li>➤ World Bank (Strategic Partnership)</li> <li>➤ External Consultants</li> </ul>	42,858	At the end of project implementation	TE was contracted and Final Draft has been submitted to the UNOPS for distribution as appropriate.
Budget Revisions	<ul style="list-style-type: none"> <li>➤ PRF Technical Services</li> <li>➤ UNDP GEF</li> </ul>	Nil	Annually, but before June 10	Budget revisions have been undertaken consistent with UNDP and UNOPS procedures. There has been no significant shift of resources across Components.
Substantive Budget Revisions	<ul style="list-style-type: none"> <li>➤ PRF Technical Services</li> <li>➤ UNDP GEF Executive Coordinator</li> </ul>	Nil	As needed	As above
Financial Audit	<ul style="list-style-type: none"> <li>➤ PRF Secretariat Services</li> <li>➤ UNDP PPRR</li> <li>➤ UNOPS</li> </ul>	30,000	As required by the IA/EA	UNOPS audits project expenditures on an ongoing basis. Audits have occurred based on grants from other bi-lateral and multi-lateral organizations of their grants.

## Summary M&E Performance Ratings

Rating Project Performance		
Criteria	Comments	
<b>Monitoring and Evaluation:</b> Highly Satisfactory (HS), Satisfactory (S), Moderately Satisfactory (MS), Moderately Unsatisfactory		
Overall quality of M&E	<b>Moderately Satisfactory</b>	The project has not captured many stress reduction (SRIs) and environmental status indicators (ESIs) as may exist at a number of Project sites, such as, for example, Dongying (China), Hue (Vietnam), and Chonburi (Thailand)
M&E design at project start up	<b>Highly Satisfactory</b>	M&E design at startup is considered fully compatible with GEF IW standards.
M&E Plan Implementation	<b>Moderately Satisfactory</b>	As per above, evaluators conclude that SRIs and ESIs have not been fully captured

63. Given the above analysis, the evaluators conclude that the rating for Project M&E is **Moderately Satisfactory**.

## Public Participation and Involvement (PPI)

64. The evaluators have documented that the PEMSEA sponsored over 185 workshops, meetings, or other events that involved 8,250 stakeholders. Of this number, two Project-sponsored East Asian Seas Congresses involved 3,681 attendees.

65. While these numbers are by themselves impressive, not tabulated are many workshops, meetings and other Project-related events that are not officially communicated to the PEMSEA Resource Facility. For example, in Dongying, China, the annual meeting of the Women's Collective is briefed on PEMSEA-sponsored ICM activities, and each year the meeting has some 2,000 attendees. In Danang, Vietnam, there are many local meetings of sectoral interests (fishers, tourism operators, and others) that are driven by PEMSEA-related ICM work but that are not reported to, and therefore not documented by the PRF.

66. There are many other examples, across all of the participating countries, where PEMSEA-related activities are taking place but the PRF is not tracking, or has not been able to track attendance. Tracking attendance at all Project-related activities, given the local level emphasis of PEMSEA, would be difficult but, in the end, would reflect positively on both the level of effort and success of many local PEMSEA-related activities and the PEMSEA programme generally.

67. A related issue to PPI is the Project website. Since Project inception website development and activities have included:

- An average increase of 20% in visits per year since 2008. Average increase of 37% in visits for non-Congress years;

- An average increase of 37% in pageviews per year since 2008. Average increase of 56% in pageviews for non-Congress years;
- Activity peaks during Congress months, followed closely by months leading to the Congress; and
- Web activity from within the region remain strong, with more advanced economies within the region (Japan, RO Korea, Singapore, Thailand and PR China) as the top countries frequenting the site.

68. Other salient points regarding PEMSEA website development and use include:

- Revamping of the main PEMSEA website. The main PEMSEA website was revamped in 2011. The revamped website includes a wide array of new features and improvements, including a new, streamlined design built on top of a flexible, “future-proof” content management system, one-stop partner profiles, and localized search.
- Addition of Country, ICM site, and organization profiles. One-stop profiles were created for each country in the region, PEMSEA’s ICM sites, and Non-Country Partners. These profiles provide a convenient location for the site’s audience to learn about developments and updates about each country, site and organization.
- Creation of Microsites for EAS Congress 2009 and 2012. Microsites were created for the EAS Congresses held in 2009 and 2012. Featuring designs and architectures distinct from the main PEMSEA website, these microsites served as the online presence of the EAS Congress, serving to disseminate information before, during and after the events. The microsites also featured online registration systems for the various events held during the Congresses.
- Creation of a Microsite for SGP-PEMSEA Communiqué. A microsite for the SGP-PEMSEA Communiqué (<http://pemsea.org/sgp>) was created to disseminate information about the program. As the online presence of the communiqué, the microsite provided vital information and documents critical to the program. The microsite was also the main online channel for announcements about the communiqué.
- Creation of a Microsite for Strategic Partnerships. A microsite for strategic partnerships (<http://pemsea.org/strategic-partnerships>) was created to disseminate information about the strategic partnership fund. The microsite provides vital information about the projects under the investment fund, progresses made, and documents produced under the projects.
- Addition of an Integrated online bookstore. The PEMSEA website now includes an integrated shopping facility for purchasing publications. Purchase links will appear on publication pages that are still available on print, and visitors will be able to add these to a shopping cart. The bookstore automatically computes necessary shipping costs based on the order’s total weight and delivery address.
- Online payment system for EAS Congress 2012. The microsite for the EAS Congress 2012 featured an integrated online credit card payment facility. Participants in the international conference and exhibit were provided the convenience of paying the required fees after registering online.
- Social media channels. PEMSEA forayed into social media through three new channels, providing additional venues for spreading information about the organization and its partners. Featuring channels in Facebook, Scribd, and Vimeo, PEMSEA joined the ranks of other organizations that have taken advantage of the new venues for information dissemination made possible by these successful media platforms.

- Online Library Catalog. The library catalog was updated to include vertical files and other records encoded in other systems. This merging added more than 15,000 records files to the available searchable records in the catalog system. The catalog has also been made accessible online for the benefit of outside researchers.

### **UNDP and Implementing Partner Implementation/Execution (\*) Coordination, and Operational Issues**

69. PEMSEA is held in high regard among participating countries and major stakeholders, and has demonstrated the ability to meet Project objectives; however, the evaluators were informed of 15 execution and implementation issues regarded by PEMSEA as “challenges.” The PEMSEA Resource Facility states that their operations have been negatively affected, to varying degrees, by these issues that result from financial management arrangements with UNDP, UNOPS and PEMSEA. Their ability to manage continued activities of future SDS-SEA projects would be assisted if these could be rectified through more effective financial communication and cooperation between UNOPS, UNDP and PEMSEA.

70. The list of issues appears as **Annex 9** of this TE.

71. It is not important at this stage to determine responsibility for creating or addressing these issues. In the judgment of evaluators, it is far more important to determine more efficient mechanisms to avoid these ‘challenges’ in the future. Therefore, the evaluators conclude and recommend that PEMSEA, UNOPS and the UNDP begin immediate targeted discussions to seek the most efficient mechanism for making decisions on funding transfers and financial reporting mechanisms for future activities by PEMSEA within the SDS-SEA project framework.

72. Under these circumstances the evaluators would rate over all implementing and executing partner coordination and overall performance as, at best, **satisfactory**.

## **3.3 Project Results**

### **Relevance**

73. Based on extensive interviews and/or discussions with numerous officials at the national and local levels in five of the participating countries, and based on a review of the national priorities in all of the participating countries, the evaluators conclude that the project is highly relevant to expressed local and national development priorities and the organizational policies of PEMSEA participating countries.

74. In Cambodia, China, the Philippines, Thailand and Vietnam stakeholders were clear in expressing that ICM, a principal objective of the Project, is being rapidly integrated into local level activities and national level policy. For example, in Vietnam, the Ministry of Natural Resources has requested that US\$ 30 million be made available to establish a dedicated Directorate within the Ministry to implement ICM in all coastal areas of the country. Cambodia, China, and Thailand are also making explicit, and a growing number of commitments to ICM. And in the Philippines, ICM has been legislated as official government policy. There is also growing local and national level commitments to other priorities of the Project, that are demonstrably a result of PEMSEA influence, including: in areas of port

safety measures, cleanup of pollution hotspots, and formalization of an organization comprised of officials from, and dedicated to efforts of, local governments.

75. The 'bottom-up' approach adopted by PEMSEA has, according to interviewees, been very successful and is the key to sustainability and spreading the impact of the SDS-SEA project throughout the region. The approach has involved:

- Implementing ICM at one or several sites in each country where there are demonstrable examples of damage to the environment (e.g., from major port activities) and where there are competing stakeholders;
- Raising awareness among local stakeholders, especially the local government, on the need for coastal remediation by training in ICM principles and practical activities;
- Assisting local government with the development of regulations and local ordinances to assist in cleaning up damaged areas at the demonstration sites with the goal of more sustainable use of coastal resources;
- Providing local government and other stakeholders with seed funding to implement small-scale projects to demonstrate effective management of coastal resources as exemplified in the box below;
- Using the example demonstration sites to spread the effectiveness of coastal management to adjacent areas through exchanges and reciprocal visits; and

76. Moving from the local to the national, as is being done in Vietnam where initial ICM demonstration sites are driving an initiative to make ICM national policy for the entire coastal area of the country.

***The Danang Fishers "Club"***

*As part of PEMSEA-sponsored ICM demonstration site activities in Danang, and recognizing diminishing returns as coastal fishers, a cooperative of Danang-based fishers worked with the local People's Committee to make the transition from coastal fishers to tourism operators. The People's Committee arranged a micro-loan to the fishers to convert a fishing boat to a tourism vessel, and also provided for re-training of the fishers to become tourist guides. The enterprise has flourished and is being hailed as a model for other coastal areas in Vietnam.*

77. A Table in the Effectiveness and Efficiency portion of this TE further illustrates ICM progress made by the project during this Phase (Phase 3).

78. Based on interviews and discussions with UNDP personnel, and a review of relevant GEF IW Operational Programs and strategic priorities of the GEF IW portfolio, work undertaken by the Project to meet the Global and Immediate Objectives of the Project are squarely in line with GEF requirements.

79. More specifically, the SDS-SEA project has effectively addressed some of the key goals in GEF-4 IW in that the project has developed a multi-country and multi-agency partnership to address major pollution and overexploitation problems in seven LMEs of the Seas of East Asia region. This region not only contains a large proportion of the world's population, with significant poverty; but also, it is the global center of marine and terrestrial biodiversity.

80. The project is attempting to bring large areas of, if not all, the coast under integrated coastal management and extend this management into adjacent catchment areas. This addresses problems of transboundary pollution at the source. The critical need at the start of implementation was a major lack of capacity for ICM and policy development in many of the participating countries, and thus PEMSEA specifically focused on capacity building. The project is also targeting objectives of WSSD and the Millennium Development Goals.

81. Last, there have been no major changed circumstances that should have resulted in the need to change the Global or Immediate Objectives of the Project.

82. The evaluators thus conclude that in terms of relevance, the Project has performed at a level that is **Highly Satisfactory**.

### Effectiveness and Efficiency

83. The evaluation team has assessed the effectiveness and efficiency by analyzing the level at which Project Outputs, by Component, have been achieved. Of the seven Project Components, the following calculates the percentage of Outputs that have been achieved to date and the extent to which remaining Outputs will be achieved before end-of-project in June 2012:

**Component A:** A Functional mechanism for SDS-SEA implementation. The nine scheduled Outputs of Component A have been achieved.

**Component B:** National Policies and Reforms for Sustainable Coastal and Ocean Governance. The five scheduled Outputs of Component B have been achieved.

**Component C:** Scaling up ICM Programs. Eight of eleven of the Outputs of Component C have been achieved. This Component is perhaps the principal Component of the overall Project, and the extent of Phase 3 achievement is summarized in the Table below.

### Scaling up of ICM in the SEA Region

TOTAL PER PEMSEA PHASE			
Phase	Coastline (km) and (% Coverage)	Land Area (km <sup>2</sup> )	Population (2010)
1993-1999 (Phase 1)	326 (0.14%)	3,026.00	4,651,664
1999-2007 (Phase 2)	5,584 (0.30%)	68,307.67	59,626,735
2008-2011 (Phase 3)	27,318 (11.67%)	335,739.00	158,410,144
<b>Regional Figures</b>			
TOTAL Length of Coastline with ICM coverage (as of 2011)	27,318 (11.67%)		
TOTAL Length of the Regional Coastline (including islands)	234,000.00		
TOTAL Land Area of the Region	13,957,148.30		
TOTAL Population of the Region	2,080,790,000		



84. The SDS-SEA project is active in more than 50 ICM demonstration sites in the eight (8) partner countries (Cambodia, China, Indonesia, Laos, Philippines, Thailand, Timor-Leste, and Vietnam,) as well as sites in the four co-partner countries (Brunei Darussalam, Japan, Republic of Korea, and Singapore).

85. The Evaluators visited eight of these demonstration sites in Cambodia (1), China (2), Philippines (2), Vietnam (2) and Thailand (1), and have selected one example, Chonburi Province in Thailand to illustrate the initial commitment by local and provincial authorities in five municipalities, followed by expansions to include all 99 local government units including cities/municipalities/subdistrict administrative organizations and the provincial administrative organization in Chonburi. The evaluators found that the other seven demonstration sites could also be used as case studies as each has shown considerable progress in implementing ICM to clean up coastal resources.

**Component D:** Twinning Arrangements for River Basin and Coastal Management. The five Outputs of Component D have been achieved.

**Component E:** Intellectual Capacity and Human Resources. 17 of the 20 scheduled Outputs of Component E have been achieved.

**Component F:** Public and Private Sector Investment and Financing in Environmental Infrastructure Projects and Services. Two of the three scheduled Outputs for Component F have been achieved.

**Component G:** Strategic Partnership Arrangements. Three of the five scheduled Outputs for Component G have been achieved.

**Component H:** Corporate Social Responsibility for Sustainable Development and Coastal Marine Resources. Two of the six scheduled Outputs for Component H have been achieved.

86. In summary, of the 64 scheduled Outputs of the Project, 51 of the 64, or 80% have been achieved; of the remaining 13, 8 are scheduled to be achieved by end-of-project, which would result in an overall delivery of 59 of 64 Outputs, or 92%.

87. A Table listing each Project Component and status of each Output is described in **Annex 8**.

88. There are many examples of projects catalyzed by PEMSEA in local government areas whereby relatively small amounts contributed have resulted in magnified outcomes for the affected communities. The example below in Sihanoukville illustrates how small projects have tapped into community activities and have resulted in better economic outcomes and in the eventual operation of an expensive sewage treatment plant.

### ***Beach Remediation in Sihanoukville, Cambodia***

*The features that should attract tourists to the beaches were disappearing. So PEMSEA worked with local tourist operators and the ICM Project Coordination Committee (chaired by the Governor of Preah Sihanouk) to clean up the beaches. Preah Sihanouk is one of four coastal provinces in Cambodia and, after Siem Reap (Angkor Wat), its major tourist attraction.*

*When the Province joined the PEMSEA network in 2001, the main tourism beaches of Ochheuteal, Serendipity and Otrass were being overcrowded with a plethora of shabby huts, hawkers selling food and curios, and deck chairs. To address this problem, and stem tourist complaints, PEMSEA provided a fund to develop a tourism development and management plan, which includes zoning and improvement of facilities and structures. This led to the creation of set backs of 20-30 m and an improvement of huts, walkways and other tourist facilities. At first, there was strong resistance from owners of food and souvenir stalls, but they are now enthusiastic about the changes as tourists stay on the beach longer, with a resultant doubling or more of daily income. The offshore areas are now also safer because of zoning to separate swimmers from jet skis and boats. With the help of PEMSEA, Sihanoukville has become a member of the Club of the Most Beautiful Bays in the World.*

*A remaining issue to be addressed is that of sewage leaking out onto the beaches, affecting tourism. So PEMSEA has now provided a small seed fund to build an on-site wastewater facility in Occheuteal Beach and connect households to the wastewater treatment facility.*

89. Given the above, documented analysis the evaluators conclude that Project effectiveness and efficiency is **Highly Satisfactory**.

### **Country Ownership**

90. A major thrust of the Project has been to develop participatory networks of countries and country officials throughout the Seas of East Asia region. One public manifestation of these networks has been the East Asian Seas Congresses, held every three years. The Congresses attract participating country Ministers, Deputy Ministers, and Heads of Department who sign specific declarations solidifying and increasing government participation in, and support for, the general and specific objectives of PEMSEA, with special emphasis on establishing ICM as national policy, and following through with verifiable implementation. Since 2003 there have been four Congresses, involving over 5,000 attendees, and resulting in the formulation and endorsements of several important 'declarations' including:

- 'The Putrajaya Declaration of Regional Cooperation for the Sustainable Development of the Seas of East Asia' was signed in 2003 by senior officials, some at Ministerial rank, from 12 countries;
- The 'Haikou Partnership Agreement on the Implementation of Sustainable Development Strategy for the Seas of East Asia,' signed by representatives of 11 countries in 2006. The evaluator was informed that Thailand was unable to sign at the time due to changes in the government, and that the Agreement has been re-submitted to the relevant ministers for consideration;
- The 'Manila Declaration on Strengthening the Implementation of the Integrated Coastal Management for Sustainable Development and Climate Change Adaptation in the Seas of East Asia Region' was also signed by representatives of 11 nations in 2009; and
- The 'Changwon Declaration: Towards an Ocean-based Blue Economy: Moving Ahead

with the Sustainable Development Strategy for the Seas of East Asia' was recently signed (July 2012) by senior representatives of 10 countries of the region.

91. An increasing number of Congress participants are representatives of local government, and often attend using their own financial resources. For example, about 75% of the participants at the 2012 Changwon Congress in RO Korea represented local government.
92. The evaluators interviewed or had discussions with over 240 PEMSEA stakeholders in Cambodia, China, Philippines, Vietnam and Thailand. The response was uniform: stakeholders virtually, without exception, are supportive of PEMSEA objectives and participate in PEMSEA-initiated and supported activities.
93. Further, they uniformly agree that PEMSEA has been responsive to requests and questions, and that PEMSEA-supported training they have received, including the placement of participating country nationals in the PRF in Manila through internships, has been effective and resulted in improved participating country capacity as well as commitment to the Project, as these interns return to their countries to re-assume responsibilities in areas of work relevant to Project objectives.

### **Mainstreaming**

94. The SDS-SEA project operated by PEMSEA has effectively mainstreamed integrated coastal management (ICM) throughout the region by adopting a simultaneous strategy of operating both 'top-down' and 'bottom-up'. Based on extensive interviews and discussion and a review of documentation, the evaluators conclude that the 'top-down' approach has involved:
  - Engagement of the governments of the Seas of East Asian (SEA) region at the highest level possible (Ministers, Heads of Departments) on the need for ICM throughout the region, and to document this commitment through signed declarations;
  - Growing commitment on the part of the participating countries to include increasing amounts of the coastal zone of the SEA into the ICM framework. At present, 11.67% of the entire coastline has been placed into ICM status, and the eventual target, by 2015, is to have 20% coverage of coastlines among the participating countries;
  - Developing capacity by working through many government agencies, UN bodies, NGOs to implement sustainable practices for coastal resource management;
  - Engagement of the PEMSEA Resource Facility to assist participating country experts, who implement ICM training, with training packages developed on previously tested and successful participating country examples;
  - Assistance to the participating countries of the region to introduce or modify legislation to ensure the sustainable use of coastal resources through the ICM principles and work to reduce inter-sectoral disputes;
  - Creation of the PNLG, formally based in Xiamen, whose responsibility is to share lessons learned with other local government units in the EAS region;
  - PEMSEA became involved in port safety issues initially in Batangas, Philippines. The lessons learned from that initial demonstration site is now being mainstreamed in the Philippines and at ports in several of the other participating countries. An example from Thailand (*see box below*), demonstrates the extent of port activities being sponsored by PEMSEA; and

### ***A Focus on the Ports of EAS Countries — The Bangkok Example***

*As a result of a PEMSEA training intervention, senior health and safety officers at the port of Bangkok agreed that there was a major improvement in the thinking of the trained workers, who now consider all aspects of the port process and the tasks of their colleagues, rather than only concentrating on their own tasks. This is documented in fewer accidents, less spillage, less downtime for the port, and a more agreeable work environment. Bangkok is but one example.*

*PEMSEA has introduced PSHEMS training in ports throughout the Seas of East Asia region, in association with local port authorities and the German group, GIZ. The training applied by PEMSEA is through experienced Asian trainers, and thus resonates very well with the port workers. In Iloilo, Philippines, there has been, through port safety training catalyzed by PEMSEA, a major reduction in accidents and, importantly, fatalities; and the Sihanoukville Autonomous Port in Cambodia, in another PEMSEA venture, has joined with authorities in Thailand and Vietnam for a joint oil spill response network. These and other Port Authorities have requested continuing PEMSEA involvement to continue training of new staff, in partnership with the GIZ, and there is growing recognition among Port Authorities that in the future they will need to provide ongoing funding and coordination for the new training.*

- Part of mainstreaming has been PEMSEA's ability to attract and sustain a substantial number of partnerships within the region. In addition to 11 country partners there are 20 Non-Country Partners. Based on interviews and discussions undertaken by the evaluators, and review of extensive documentation, the evaluators conclude that PEMSEA partners are productively engaged in PEMSEA efforts on behalf of the participating countries.

### **Sustainability**

95. PEMSEA has made considerable progress in achieving overall sustainability, at both institutional and financial levels. In summary:

- At the institutional level, the project has now achieved full legal status, which will allow it to continue after GEF and other bi-lateral and multi-lateral donors have reduced or eliminated their funding to PEMSEA;
- The Project has Memoranda of Agreement with China, the RO Korea, and Japan that goes part of the way toward assuring long-term sustainability to the PEMSEA Resource Facility. The PRF is in discussions with other participating countries to build on the level of funding currently being provided by the initial three contributing countries;
- It is clear to the evaluators, based on extensive interviews and discussions with a large number of stakeholders, that PEMSEA enjoys broad and committed levels of support for its Global and Immediate Objectives;
- The Project emphasis on ICM has resulted in very substantial replication of what was in Phase 1 of the Project and the initial set of demonstration sites. The evaluators have detailed this finding in the Effectiveness and Efficiency section of this TE;
- The creation of the PNLG, now with an office (secretariat) in Xiamen, China, bodes well for the continuation of efforts to replicate local level success stories across the entire EAS region; and

- Since 1996, PEMSEA has supported 46 internships. Since the beginning of implementation of this project, it has supported 19 internships from 7 of the participating countries. Most often, these interns return to their home countries and resume the Project-related work they had been assuming before the internships, and, given the experience in the Manila PRF, often improve their chances of promotion, as illustrated in the example below.

***Building Capacity Through Internships***

*Capacity to implement integrated coastal management is limited the countries of the Seas of East Asia. PEMSEA recognized that a way to combat this was to base young potential staff from most of the countries at the headquarters in Manila for periods up to three months. A specific example is for Timor-Leste. The country paid from their own contribution to the SDS-SEA project for three young staff to come to Manila for three months: one who had a University degree from Indonesia has now been promoted to Secretary of State for Fisheries; and the other two as non-degree holders, now coordinate the PEMSEA Secretariat at the Ministry of Agriculture and Fisheries and the demonstration site in Manatuto.*

96. Given the above, achievement of overall project sustainability is seen to be **Likely**.

## **Impact**

97. The overall impact of the combined Project progress documented above leads to a conclusion on the part of the evaluators that the current PEMSEA project, in combination with the two previous Phases of the PEMSEA project activity has resulted in a positive and long-lasting impact in the SEA region. Examples of lasting impact include, among others:

- Documented regional level agreements and a network of senior officials across Asia;
- Creation of the PEMSEA Network of Local Governments that now has its formal operations centered in Xiamen, China and has a growing list of local governments as members;
- Documented, growing support for PEMSEA activities as evidenced by substantial increases in local, national, and regional level stakeholder involvement across a range of PEMSEA-led initiatives such as the EAS Congresses, local level ICM activities, and national level policy initiatives;
- A growing list of more than 50 sites throughout the SEA region that have become demonstration sites for ICM, many of which through the use of their own financial resources;
- The SDS-SEA project operated through PEMSEA has achieved major co-financing support from national and local governments, thereby indicating particularly strong support throughout Asia;
- Many commercial ports throughout the region that are now cooperating with their communities and local government authorities to reduce oil and chemical pollution;
- The commitment of China, RO Korea and Japan to begin contributing to the ongoing sustenance of the PEMSEA Resource Facility; and
- Measurable indicators of project success through the presence of the full range of GEF IW indicators.

## 4. CONCLUSIONS, RECOMMENDATIONS AND LESSONS

### Conclusions

98. In general, consistent with emphases contained in UNDP evaluation guidelines, and based on a review of documentation and interviews and discussions with many Project stakeholders, the evaluators conclude that:

- **Re. GEF-4 Objectives for IW<sup>6</sup>** – The SDS-SEA project conducted by PEMSEA has been successful in addressing many of the GEF-4 Objectives for the International Waters focal area. The principle activity has been to introduce integrated coastal management (ICM) to the participating countries in the Seas of East Asia region in an attempt to resolve conflicts in the use of coastal waters, to reduce pollution, to productively involve stakeholders at international, regional, national, and local levels, and implement more effective fisheries management.
- **Re. Country Ownership** – Based on extensive interviews of and discussions with over 440 officials and other stakeholders from the participating countries, it is clear that the countries feel a keen sense of ownership of the SDS-SEA project. The evaluators also conclude that this sense of ownership will continue to grow.
- **Re. Stakeholder Consultation** – The simultaneous focus on a “top-down” and “bottom-up” approach has been conducive to effective stakeholder involvement in PEMSEA-supported activities at international, regional, national, provincial and local levels. Well over 9,000 people in the region — a conservative estimate<sup>7</sup> — have been involved in PEMSEA-related activities since Project implementation began in 2008.
- **Re. Sustainability** – Based on interviews and discussions undertaken, and documents reviewed, many of the national and local initiatives have, in the judgment of the evaluators, reached a point where they will be sustainable regardless of PEMSEA continued involvement. However, the true test of PEMSEA sustainability will come during the sustainability phase of the Project, the period 2013-2017 when countries will have to decide whether and how they will ensure the continued financial and other support that will be necessary to PEMSEA’s continuation as a legal entity.
- **Re. Monitoring and Evaluation** – The monitoring and evaluation plan contained in the project document is deemed by the evaluators to be thorough and consistent with UNDP-GEF standards. Further, the focus on provincial and local level demonstration projects as part of an ICM approach lends itself to the early identification of GEF stress reduction and environmental status indicators.
- **Re. Public Participation and Involvement** – Based on analysis of various Project sponsored workshops, locally centered PEMSEA-related activities, and the extensive mission of the evaluators to PEMSEA-sponsored site activities, the evaluators conclude that stakeholder participation in PEMSEA-related activities is extensive and growing. Further, and based on a review of website development and use, the evaluators conclude that the Project website has been well-managed and an effective arm of Project communication.

---

<sup>6</sup> This Project was approved under GEF-4.

<sup>7</sup> This constitutes the documented number of stakeholders involved in PEMSEA-supported workshops, meetings, and other PEMSEA-supported events. The evaluators have found that many other meetings related to the activities of PEMSEA have taken place of which the PEMSEA Resource Facility is not aware.

- **Re. Implementing Agency Performance** – Based on interviews and the review of available information on the relationship of the Implementing Agency to the SDS-SEA project, the evaluators conclude that the existing Implementing Agency relationship to the needs of the PEMSEA, and to the participating countries, has been a productive and healthy one. However, the PEMSEA Resource Facility has identified 15 “challenges” of which 8 relate to varying degrees to the UNDP.
- **Re. Executing Agency Performance** – Based on interviews and the review of available information on the relationship of the Executing Agency to the SDS-SEA project, the evaluators conclude that the complexity of the PEMSEA project apparatus, existing as it has since 1996, presents challenges both to PEMSEA and to the UNOPS. As above, the PEMSEA Resource facility has identified 15 “challenges” of which they believe 13 relate to varying degrees to UNOPS execution
- **Re. Co-finance** – The level of verified co-finance has greatly exceeded the amount of co-finance foreseen as part of the project document. The evaluators conclude that is a sign of substantial country commitment, and augurs well for achieving long-term sustainability of project results.
- **Re. Cost-Efficiency** – The evaluators conclude, through an examination of project investment to co-finance at each level of project implementation (international, national, provincial and local), that the ratio of GEF funds to that of contributions from non-GEF sources demonstrates substantial efficiencies deriving from the GEF investment. Levels of country and other co-finance have substantially exceeded levels described in the Project Document. GEF finance to co-finance has often exceeded a ratio of 1:10. The result has been the leveraging of significant on-the-ground achievement of Outputs at relatively low GEF direct investment.

More specifically, the evaluators conclude that:

- **Re. Consistency** – Countries particularly appreciate Project consistency of effort and production of results since 1996. Since that year, there has been continual and consistent advice and assistance provided through three GEF interventions, and through what is, virtually without exception, praise for the efforts of what has now become the PEMSEA Resource Facility.
- **Re. Reliance on Regionally-based Resources** – What PEMSEA has deemed the “Asian Way” has provided considerable training, either through short courses within participating countries or through internships in Manila. Advice and training are consistently provided by regional staff that not only have good understanding of regional problems and mechanisms to approach solutions, but also are, and are seen to be, very knowledgeable in matters related to the participating countries generally, and the specific ministries, departments and other sectors involved in Project activities. One example is the intervention in ports through the Port Safety, Health and Environmental Management System (PSHEMS) approach, whereby PEMSEA, a small contributor in terms of the overall cost of the program, is seen as the catalyst for, and a critical contributor of technical training to, the overall and successful effort.
- **Re. Focus on Provincial and Local Government** – Many PEMSEA-run projects are specifically targeted at improving capacity of provincial and local government, an iterative (bottom up) approach built on a recognition that this focus is necessary to solve problems that originate at sub-national level. In the experience of the evaluators,

few other projects or agencies have the capacity or are prepared to operate at the 'coalface' of local government.

- **Re. Networks of Provincial and Local Government** – In keeping with this focus on provincial and local governments, PEMSEA has developed the PEMSEA Network of Local Governments for Sustainable Coastal Development (PNLG) to permit leaders to meet on an annual basis to share experiences (both positive and negative lessons learned), often focused on a specific issue. The evaluators, through interviews and discussions with provincial and local government leaders and officials, have found that provincial and local officials are now recognized for their local knowledge and ability to implement change directly at the source of the problem. These local leaders report greater confidence in their approaches and actively seek to demonstrate success to other local governments ensuring replicability and aiding efforts aimed at sustainability.
- **Re. Community Level Involvement** – Related to the above conclusion, by working through local governments, PEMSEA has often been able to interact directly with communities. There are numerous examples of communities that have combined to solve direct problems, such as replanting mangroves or removing solid wastes. There are many documented reports of communities becoming stronger as an indirect result of PEMSEA being involved in local government issues.
- **Re. Technical Advice** – National, provincial, and local level officials believe that PEMSEA advice and training in ICM and other matters was targeted at the correct level in each country. Many countries started with virtually no trained personnel and PEMSEA provided the first training to equip them to implement Project objectives. Training, by PEMSEA and increasingly through PEMSEA-trained provincial and local human resources, through a program of "training the trainers," has then been ongoing to improve skills to tackle ICM objectives.
- **Re. Encouraging Self-Reliance** – In most PEMSEA-supported initiatives, PEMSEA financial contribution has been modest, with a definite timeline for termination. Thus national, provincial and local governments are not only encouraged but also required to fund the activities to achieve sustainability, and in many cases have done so.
- **Re. Networking** – For more than 10 years, countries, country environmental departments, and individuals have been in a network of colleagues in their own and with other countries to share experiences, training, and lessons learned on best practices. The East Asian Seas Congresses (EAS Congress) is but one successful example of PEMSEA-sponsored fora that have been created by the PEMSEA to share lessons learned and best practices.
- **Re. Tackling Large and Difficult Problems** – PEMSEA has initiated projects in the most polluted, over-populated and degraded areas in Asia, with some success in many sites. Tackling the most polluted areas such as those of the Bohai Sea, Jakarta Bay and Manila Bay, which are virtually lifeless due to pollution, are tasks that few organizations are willing to attempt. Also it is unusual for an environment-based organization like PEMSEA to tackle commercial port environments, although ports are recognized as major sources of pollution and damage to adjacent coastal areas, and are thus an important part of any attempt to initiate a fully integrated ICM program.
- **Re. State of the Coasts Reporting (SOC)** – Demonstration site coordinators and local governments at several sites have completed, or are preparing SOC reports and have found them useful in focusing on the status of coastal resources and the factors damaging those resources. The original guidelines recommended almost 70 parameters to be assessed, but this has been reduced to less than 40 to reduce workload.



- **Re. Private Sector Involvement** – While some progress has been made in this area, it is not as much as had been hoped as expressed in the project document and as also recognized by the PEMSEA Resource Facility.
- **Re. Flexibility and Efficiency in Funding Application Requests** – PEMSEA has shown particular skill and understanding by being able to catalyze action at many locations through the expenditure of small to modest amounts of money on direct on-the-ground activities, while realizing substantial levels of co-finance (in many cases 10:1 or more co-finance to GEF finance). These actions include beach management, mangrove replanting, solid waste collection, retraining at local level, small-scale sewage treatment or connection to sewerage lines, facilitating exchange visits between local government units, etc.
- **Re. Encouraging Devolution of Authority** – Many countries in the region are actively seeking to devolve authority to provincial and local governments to solve local problems, but progress has rarely been rapid. PEMSEA has interacted at the provincial and local level to build capacity and then encouraged national governments to pass authority and appropriate budgets to them to address local ICM issues and problems. Interviewees at local and provincial level were clear in complimenting PEMSEA for this support, and see PEMSEA as an important link in maintaining effective contact between local initiatives and central governments.
- **Re. Replicability** – PEMSEA has encouraged neighboring provinces and local governments to become involved in the SDS-SEA approaches of ICM, following success at initial demonstration sites. This is now evident in most countries whereby adjacent areas are joining in the SDS-SEA project stream either using their own funds or national budgets. PEMSEA, as suggested above, has been active in encouraging governments at the national level to in turn encourage provincial and local level officials to replicate successful PEMSEA-catalyzed initiatives.
- **Re. Replicability** – The project is progressively expanding the activities along the coast from the designated demonstration sites and into adjacent catchment areas, such that water quality in national, and eventually transboundary, water systems is, and will continue, to improve.
- **Re. Sustainability** – This particular PEMSEA project, the SDS-SEA component of the overall PEMSEA programme, has achieved limited sustainability, consistent with the Project Document stating that this phase of the overall PEMSEA project in the East Asian Seas constituted a “transitional” period to full sustainability after the “sustainable operation period” from 2013 to 2017. The commitment of three countries — China, Japan and RO Korea — to provide US\$ 400,000 to sustain the PRF goes part of the way to achieving full sustainability in the next phase of the project. The commitment by Timor-Leste, ranked at number 147 in the 2011 Human Poverty Index, of US\$ 100,000 to ensure participation in the SDS-SEA Project is a further and special example of country commitment.
- **Re. Sustainability** – The next phase of the overall PEMSEA programme, the phase that is targeted to lead to full sustainability of PEMSEA, will be the true test of country commitment to build a lasting and self-financed institutional mechanism to continue to address the overall objectives of the PEMSEA programme.
- **Re. Oil Risk Spill Management** – An example is the three-state agreement (Cambodia, Thailand and Vietnam) to implement oil risk management procedures.
- **Re. Pollution Control** – The States involved in the SDS-SEA project have collectively agreed to improve pollution control and some have enacted specific national policy

reforms. Throughout the region, there has been a major increase in capacity to manage coastal, and now catchment, ecosystems with a developing understanding of ecosystem-based management.

- **Re. the Sustainable Development Strategy for the Seas of East Asia (SDS-SEA) Implementation Plan – 2012 to 2016** – The evaluators conclude that this strategy offers an effective and comprehensive blueprint for activities that should be undertaken to further the Development and Immediate Objectives of the PEMSEA programme, and can also serve as a basis for defining the next phase of a possible GEF intervention and the recruitment of other bi-lateral and multi-lateral donors.

## Overall Conclusion

- Previous terminal evaluations have given PEMSEA highly satisfactory ratings. The result of this terminal evaluation is consistent with those previous conclusions.

## Recommendations

- **Re. PEMSEA Programmatic Approach** – It is recommended that PEMSEA, given its geographic coverage and experience in the region, the overall respect that it has generated among the participating countries, and its legal status achieved during implementation of the current project, through the PRF, be given the ongoing responsibility for, and the funding necessary to assure a programmatic approach for regionally based activities in the Seas of East Asia region.
- **Re. PEMSEA's Balance of "Top-Down" and "Bottom-up" Approaches** – PEMSEA has managed to combine elements of both a top-down and bottom-up approach. It is recommended that PEMSEA continue to emphasize, in particular, its "bottom-up" approach, i.e., its focus on local level, on-the-ground actions, as a principal means of meeting its expressed Development and Immediate Objectives, and its Outcomes and Outputs.
- **Re. Local Level and National Linkages** – It is recommended that PEMSEA increase its attention to serving as an effective and necessary link between locally driven efforts and policy level personnel in the respective central governments of the participating countries.
- **Re. Danger of a Funding Break between Phase 3 and Phase 4** – In anticipation of a possible gap in funding between Phase 3 (the transitional/transformation phase) and Phase 4 (sustainable operation period) of PEMSEA, it is recommended that UNDP, as the Implementing Agency, and PEMSEA jointly undertake contingency planning to assure that PEMSEA finance to sustain core staff and critical programme functions is maintained. It is recognized that UNDP does not foresee such a gap. However, the evaluators believe that prudence dictates formulation of a "what if" contingency.
- **Re. Use of Core Funding** – As PEMSEA is currently operating on a no-cost extension, and remaining funds are dwindling, it is recommended that salaries of remaining PEMSEA employees be covered through project activity funds, rather than through core funding currently being provided by China, Japan and the Republic of Korea.
- **Re. PEMSEA Programme Sustainability** – It is recommended that the UNDP, as the Implementing Agency, work cooperatively with PEMSEA in the next Project Phase to systematically work with the participating countries, potential donors, and other entities as necessary to successfully achieve full and regionally driven sustainability to the ongoing mission of PEMSEA.

- **Re. Future Donor Conference** – It is further recommended that UNDP, as the IA, work with PEMSEA to convene a donor conference to assist in the recruitment of donors that will help ensure the long-term sustainability of PEMSEA.
- **Re. IA Implementation/EA Execution** – The evaluators recommend, as a priority matter, that PEMSEA, UNDP and UNOPS address the 15 “challenges” identified by the PEMSEA Resource Facility as issues that to varying degrees inhibit project progress.
- **Re. Improvements in M&E, Stakeholder Consultation and Training Tracking Procedures** – It is recommended that the PEMSEA Resource Facility improve current M&E, stakeholder consultation, and training methodologies to more accurately capture GEF IW indicators, numbers of stakeholders involved in PEMSEA-related activities, and numbers of people trained as a result of PEMSEA activities, all of which seem to be currently under-reported.
- **Re. State of the Coast Reporting** – It is recommended to PEMSEA and to the participating countries that this activity become a permanent feature of PEMSEA activity, not only during the next phase of the programme but as an ongoing activity even after sustainability has been achieved.
- **Re. Future PEMSEA Programme Emphasis** – It is recommended that the focus of the further planned GEF intervention be on reinforcing and building upon the considerable number of successful, major initiatives that have characterized past interventions. The best example is PEMSEA focus on development and implementation of ICM to all levels of government within the participating countries.

#### **Overall Recommendation**

- Given the high level of performance of the Project, and the very substantial level of country support for the work of PEMSEA, the evaluators recommend that PEMSEA and its supporting partners continue the combination of top-down and bottom-up approaches that have yielded substantial local, national, regional and global benefits.

## Rating Tables

### Evaluation Ratings: Development and Immediate Objectives

Objectives		Evaluation					
		H	S	M	M	U	H
<b>Development Objective</b>	Implementation of the Sustainable Development Strategy for the Seas of East Asia through mobilization of necessary partnership arrangements, operating mechanisms, intellectual capital, support services and resources for 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						
<b>Immediate Objective 1</b>	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 practices to reduce coastal and marine degradation						
<b>Immediate Objective 2</b>	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						
<b>Immediate Objective 3</b>	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/WB Pollution Reduction Investment Fund for the LMEs						

### Evaluation Ratings: Project Components

Component		Evaluation					
		H	S	M	M	U	H
Component A	A functional regional mechanism for SDS-SEA implementation						
Component B	National policies and reforms for sustainable coastal and ocean governance						
Component C	Scaling up ICM programs						
Component D	Twinning arrangements for river basin and coastal area management						
Component E	Intellectual capacity and human resources						

Component F	Public and private sector investment and financing in environmental infrastructure projects and services						
Component G	Strategic partnership arrangements						
Component H	Corporate social responsibility for sustainable development of coastal and marine resources						

### Evaluation Ratings: Project Outcomes and Outputs

Outcomes/Outputs		Evaluation					
		H	S	M	M	U	H
<b>Outcome 1</b>	<b>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</b>						
Output A.1	A country owned regional mechanism for SDS-SEA implementation						
Output A.2	A Plan of Action for transforming PEMSEA into a long-term, self-sustained regional implementing mechanism for the SDS-SEA						
<b>Outcome 2</b>	<b>National policies and programs on sustainable coastal and ocean development mainstreamed into social and economic development programs of participating countries</b>						
Output B.1	An agreed framework, methodology and indicators for assessing social and economic contributions of coastal and marine areas/sectors within the East Asian region						
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>Outcome 3</b>	<b>Integrated coastal management 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</b>						
Output C.1	Institutional arrangements for national ICM programs in place						
Output C.2	Capacity building strengthened for local government ICM programs						

Output C.3	An ICM code adopted by national and local governments for voluntary use as a standard for certification/recognition of ICM sites						
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)						
<b>Outcome 4</b>	<b>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</b>						
Output D.1	Regional twinning arrangements developed and implemented for site specific river basin and coastal area management programs						
<b>Outcome 5</b>	<b>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</b>						
Output E.1	An enhanced technical support network for countries, comprised of a Regional Task Force and country-based National Task Forces						
Output E.2	Areas of Excellence program and a regional network of universities/scientific institutions supporting SDS-SEA implementation at the national and local level						
Output E.3	Professional upgrade program, graduate scholarships and specialized training courses						
Output E.4	An internet-based information portal in place, building awareness and transferring knowledge and lessons learned						
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 program and other community-based donor programs						

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 practice						
<b>Outcome 6</b>	<b>Public and private sector cooperation achieving environmental sustainability through the mobilization of investments in pollution reduction facilities and services</b>						
Output F.1	Innovative national investment and financing policies and programs for public and private sector investment in pollution reduction facilities						
<b>Outcome 7</b>	<b>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, program and projects under the framework of the SDS-SEA, thus promoting greater sustainability and political commitment to the effort</b>						
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 seas of East Asia						
<b>Outcome 8</b>	<b>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</b>						
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						
Output H.2	Corporate responsibility practices evaluated and recognized as relevant to social, environmental and economic benefits in coastal communities						

## Evaluation Summary

Evaluation Issue	Rating
Achievement of objectives and planned results	Highly Satisfactory
Attainment of outputs and activities	Highly Satisfactory
Cost-effectiveness	Highly Satisfactory
Impact	Highly Satisfactory
Sustainability of the Project	Satisfactory
Stakeholder participation	Highly Satisfactory
Country ownership	Highly Satisfactory
Implementation on the ground and implementation approach	Highly Satisfactory
Financial Management and Planning	Satisfactory
Replicability	Highly Satisfactory
Monitoring and evaluation	Satisfactory

## Overall Rating

Rating	Description
Highly Satisfactory (HS)	Project is expected to <b>achieve or exceed all</b> its major global environmental objectives, and yield substantial global environmental benefits, without major shortcomings. The project can be presented as “good practice”.
Satisfactory (S)	Project is expected to achieve <b>most</b> of its major global environmental objectives, and yield satisfactory global environmental benefits, with only minor
Marginally Satisfactory (MS)	Project is expected to achieve <b>most</b> of its major relevant objectives but with either significant shortcomings or modest overall relevance. Project is expected not to achieve <b>some</b> of its major global environmental objectives or yield some of the expected global environment benefits.
Marginally Unsatisfactory (MU)	Project is expected to achieve <b>some</b> of its major global environmental objectives with major shortcomings or is expected to achieve only <b>some</b> of its major global environmental objectives.
Unsatisfactory (U)	Project is expected <b>not to achieve most</b> of its major global environment objectives or to <b>yield any satisfactory</b> global environmental benefits
Highly Unsatisfactory (HU)	The project has failed to achieve, and is not expected to achieve, <b>any</b> of its major global environment objectives with no worthwhile benefits.

## Corrective Actions for the Design, Implementation, Monitoring and Evaluation of the Project

99. For a project that commenced in 1996 and has been in continuous operation for up to 16 years in many of the participating countries, most of the obvious ‘corrective actions’ have already been introduced. The evaluators encountered few aspects that required corrective action.



100. The latter phases of the SDS-SEA project have built on the successes of earlier phases, rather than attempt more innovative, but more risky procedures. Therefore, most of the current activities are built on the successes of previous efforts.
101. There are, however, two aspects that feature in the conclusions and recommendations:
- A need to improve the M&E accounting to better capture the many additional benefits to GEF objectives, including determining the large number of people who have been positively influenced through PEMSEA activities; and
  - Actions that will streamline the processing of GEF funds to accommodate the lack of experience in financial planning in some of the participating countries in the Seas of East Asia.

### **Actions to Follow up or Reinforce Initial Benefits from the Project**

102. As mentioned above, the SDS-SEA project has adopted a simultaneous 'bottom-up' and 'top-down' approach with success along the full spectrum of activities. Therefore the evaluators have recommended 'more of the same'.
103. More specifically, there has already been a distinct scaling up of ICM implementation along the coastlines of most participating countries in the PEMSEA-led project. This should be encouraged and more training implemented through the developing Centers of Excellence and ICM Training Centers. It is suggested that PEMSEA continue to encourage the local government authorities managing the demonstration sites to assist neighboring authorities in implementing their own ICM. Similarly, participating countries are recognizing the importance of implementing ICM along their coastlines and introducing ICM and EBM principles within national policy. PEMSEA should continue to encourage national governments to support local authorities with logistic and funding support.
104. The PNLG is seen as an excellent mechanism to build capacity and confidence in local government authorities to manage their problems through direct action and request more devolution of authority and funding for community-based activities. Other actions that could be taken to reinforce and build-upon initial benefits could include:
- A greater emphasis on documentation of lessons learned, perhaps through development and dissemination of case studies, to establish demonstration and parallel sites in adjacent regions; and
  - Efforts could be undertaken to ensure that ICM principles and practices are extended into catchment areas to tackle non-point sources of pollution. This may require modification of ICM guidelines to replace 'coastal' with 'catchment.'
105. Similarly, suggestions to extend into Burma, Sabah and Sarawak, and into the Pacific should be resisted unless there are clear promises of additional funding for staffing, operations and logistics.

**Proposals for Future Directions Underlining Main (Immediate) Objectives**

106. There have already been refinements to the mechanisms to achieve immediate and longer-term objectives in previous proposals and in the draft proposals for the next phase. The evaluators are unable to suggest additional proposals that have not already been implemented or proposed for the next phase.

**Best and Worst Practices in Addressing Issues Relating to Relevance, Performance and Success**

107. As mentioned above, parts of the M&E processes have not been undertaken in sufficient depth to capture all the benefits deriving from the SDS-SEA project directed by PEMSEA. An additional suggestion could better capture the lessons learned in establishing demonstration and parallel sites by documenting these in a book of short case studies to assist adjacent regions to establish their own ICM projects.

## **ANNEXES**

### **Annex 1: Terms of Reference**

#### **Terms of Reference**

(Individual Contractor Agreement)

Mr. Clive Wilkinson

Title: Coastal and Ocean Management Specialist

Project: PEMSEA/ 58926

Duty station: Qld, Australia

Section/Unit: EMO IWC

Contract/Level: International - Specialist ICA, Level 3

Duration: 27/08/2012 through 05/10/2012

Supervisor: Senior Portfolio Manager, Ms. Katrin Lichtenberg

#### **1. General Background**

The UNDP/GEF Project on Implementation of the Sustainable Development Strategy for the Seas of East Asia (SDS-SEA) is a GEF project being implemented by UNDP and executed by UNOPS. The countries bordering the EAS region — Cambodia, China, Indonesia, Japan, Lao PDR, Philippines, RO Korea, Singapore, Thailand, Timor-Leste, and Vietnam — endorsed the Project. The Project commenced in 2008 and will end in June 2013.

A mid-term evaluation will be conducted to assess the extent of progress, relevance, suitability, impact and effectiveness of the strategies, project design and management, implementation methodologies, communication and other related activities, and assess the likelihood of achieving the project's objectives upon project completion. The mid-term evaluation will take into consideration the project's continued relevance, efficiency levels, and effectiveness. In addition, the mid-term evaluation will provide recommendations to improve the execution and the likelihood of achieving the project's objectives.

A team of specialists will be formed to conduct the evaluation. It will consist of institutional, legal and government specialist and a coastal and ocean management specialist. The specialists will require an appropriate balance of management and technical skills, shared vision, knowledge of the region, experience with multidisciplinary projects and good communication and interpersonal skills.

Specifically, the Coastal and Ocean Management Specialist ("Specialist") will review the various capacity-building initiatives in line with the SDS-SEA implementation, the effectiveness of the PEMSEA Network of Local Governments in facilitating and advocating local government implementation of ICM programs, assess the effectiveness of strategic partnership arrangements in stimulating public and private sector investment and financing in environmental infrastructure projects and services, as well as in mainstreaming the SDS-SEA to programs of key international donor agencies, and impacts of integrating social responsibility of corporate sector contributing to sustainable development of coastal and marine areas.

## **2. Purpose and Scope of Assignment**

**A. Preparation of team work plan and schedule.** The Specialist will coordinate with the other team member in developing the team's work plan and schedule for the implementation of the mid-term evaluation. The Specialist is expected to attend meetings and participate in team discussions and provide technical inputs relevant to his field of expertise.

**B. Data gathering.** The Specialist will gather data through desktop review of the available and relevant documents, and conduct interviews/field visits to a number of project sites and relevant offices:

- PEMSEA project sites
- PEMSEA National Focal Agencies
- Relevant offices for the Gulf of Thailand Environmental Management Project
- Ports
- PNLG

### **C. Analysis and evaluation**

The Specialist will evaluate the effectiveness of the overall programme management strategies, approaches and methodology adopted by PEMSEA in relation to the project development objectives and the overall global environmental goals. He will focus on the activities under Immediate Objectives 2 and 3 (Components E, F, G, H) identified in the project document, with respect to the following:

- Effectiveness of the ICM approach in promoting the sustainable development of coastal and marine resources;
- Extent to which National and Regional Task Forces, ICM Learning Networks, AOE, and various training and internship activities contribute to capacity building and provide technical assistance in ICM scaling up and in tackling key issues related to coastal and ocean management and governance;
- Usefulness of the training procedures and manuals developed;
- Impact and sufficiency of ICM and specialized training courses to enhance the technical and management skills of government officials, trainers and concerned stakeholders;
- Usefulness and impacts of multimedia materials and other information tools to increase awareness and replication of ICM in the region;
- Applicability and acceptability of ICM as a post-graduate course;
- Extent to which community-based projects undertaken with GEF Small Grants Programme and other similar donor-supported projects helped in enhancing capacities of community groups and marginalized sectors;
- Extent of private sector engagement in environmental infrastructure projects and services;
- Effectiveness of the strategic partnership arrangements in coordinating strategic action plans, programs and frameworks of various international and regional partners under the SDS-SEA framework;
- Level of engagement and integration of social responsibility of corporate sector in sustainable development of coastal and marine resources and in the promotion of ICM practices.

**D. Preparation of Technical report.** The Specialist will prepare a technical report for incorporation into the Mid-Term Evaluation Report.

**E. Preparation of Mid-Term Evaluation Report.** After the review, the Specialist shall provide the technical inputs and address comments within the limits of his expertise which are necessary to complete and/or refine the Mid-Term Evaluation Report.

### **3. Monitoring and Progress Controls**

1. Team work plan, prepared in consultation with the team members.
2. Technical Report (Objectives 2 and 3; Components E, F, G and H)
3. Draft and Final Mid-Term Evaluation Report, prepared in consultation with the team members.

**TERMS OF REFERENCE**  
**(Individual Contractor Agreement)**  
**Mr. David A. LaRoche**

**Background**

The UNDP/GEF Project on Implementation of the Sustainable Development Strategy for the Seas of East Asia (SDS-SEA) is a GEF project being implemented by UNDP and executed by UNOPS. The countries bordering the EAS region — Cambodia, China, Indonesia, Japan, Lao PDR, Philippines, RO Korea, Singapore, Thailand, Timor-Leste, and Vietnam — endorsed the Project. The Project commenced in 2008 and will end in June 2013.

A mid-term evaluation will be conducted to assess the extent of progress, relevance, suitability, impact and effectiveness of the strategies, project design and management, implementation methodologies, communication and other related activities, and assess the likelihood of achieving the project's objectives upon project completion. The mid-term evaluation will take into consideration the project's continued relevance, efficiency levels, and effectiveness. In addition, the mid-term evaluation will provide recommendations to improve the execution and the likelihood of achieving the project's objectives.

A team of specialists will be formed to conduct the evaluation. It will consist of institutional, legal and government specialist and a coastal and ocean management specialist. The specialists will require an appropriate balance of management and technical skills, shared vision, knowledge of the region, experience with multidisciplinary projects and good communication and interpersonal skills.

Specifically, the Institutional, Legal and Governance Specialist ("Specialist") will assess the impacts of PEMSEA as the regional implementing mechanism for the SDS-SEA, the effects of the PEMSEA transformation efforts into a long-term self sustaining mechanism, the impacts of national policies and reforms in sustainable coastal and ocean governance, the scaling up of ICM efforts and codification of good practices, and the usefulness of the twinning arrangements for integrated river basin and coastal area management.

**Purpose and Scope of Assignment**

(Concise and detailed description of activities, tasks and responsibilities to be undertaken, including expected travel, if applicable)

1. **Preparation of team work plan and schedule.** The Specialist will coordinate with the other team member in developing the team's work plan and schedule for the implementation of the mid-term evaluation. The Specialist is expected to attend meetings and participate in team discussions and provide technical inputs relevant to his field of expertise.
2. **Data gathering.** The Specialist will gather data through desk-top review of the available and relevant documents, and conduct interviews/ field visits to a number of project sites and relevant offices:
  - PEMSEA project sites;
  - PEMSEA National Focal Agencies;
  - Relevant offices for the Gulf of Thailand Environmental Management Project; Ports
  -
3. **Analysis and evaluation.** The Specialist will evaluate the effectiveness of the overall
  - 
  -

programme management strategies, approaches and methodology adopted by PEMSEA in relation to the project development objectives and the overall global environmental goals. The Specialist will focus on the activities relating to Immediate Objective 1 of the Project Document (Components A, B, C and D), with respect to the following:

- Effectiveness of the SDS-SEA and PEMSEA as the implementing mechanism in the region in establishing a coastal and ocean governance regime;
  - Benefits of the PEMSEA transformation initiatives into a long-term self-sustained regional implementing mechanism for the SDS-SEA
  - Effectiveness of the joint planning and implementation by PEMSEA Country and Non-Country Partners and collaborators in SDS-SEA implementation;
  - Extent to which the SDS-SEA has provided policy guidelines on various coastal and marine-related issues to the countries in the region and the level of acceptability and applicability of these policy guidelines to the specific conditions of each participating nation;
  - Usefulness of the projects undertaken in pushing for the development of the coastal and marine policies at the national level;
  - Usefulness of the reporting system on the State of the Coasts at the local ICM sites in assessing progress and influencing policy decisions and action planning at the local government level;
  - Effectiveness of the ICM approach in promoting the sustainable development of coastal and marine resources;
  - Effectiveness of the codification and recognition system on ICM and Port Safety, Health and Environmental Management;
  - Effectiveness of the twinning arrangements for integrated river basin and coastal area management; and
  - Extent of establishing partnerships among stakeholders at the local, national and regional level.
4. **Preparation of Technical report.** The Specialist will prepare a technical report covering Components A, B, C, and D of the Project Document for incorporation into the Mid-Term Evaluation Report.
  5. **Preparation of Mid-Term Evaluation Report.** After the review, the Specialist shall provide the technical inputs and address comments within the limits of his expertise which are necessary to complete and/or refine the Mid-Term Evaluation Report.

#### **Monitoring and Progress Controls**

(Clear description of measurable outputs, milestones, key performance indicators and/or reporting requirements which will enable performance monitoring)

1. Team work plan, prepared in consultation with the team members.
2. Technical Report (Components A, B, C and D)
3. Draft and Final Mid-Term Evaluation Report, prepared in consultation with the team member

## Annex 2: Itineraries

### DETAILED SCHEDULE OF DAVID A. LAROCHE

DATE	TIME	ACTIVITY
15 September (Sat)	20:20	Arrival via CX913 (will be met by PEMSEA staff: Mr. Anthony Gutierrez) Mobile number: +63-9158668766 Hotel: Oakwood Premier Hotel 17 ADB Avenue, Ortigas Center Pasig City Tel: (632) 637-7888 Fax: (632) 706-777
18 September (Tue)	08:45	Hotel Pick-up (hotel lobby)
	09:30	Briefing of Schedule of Activities & Project Preparation of Team work plan and finalization of inception report
19 September (Wed)	08:15	Hotel pick-up to proceed to UNDP Manila
	09:00-11:00	Meeting with UNDP Environment Team composed of: Ms Amelia Supetran (Portfolio Manager) Ms. Imee Manal (Programme Analyst – Energy & Environment) Mr. Mike Jaldon Address: UNDP Manila 30th Floor, Yuchengco Tower, RCBC Plaza 6819 Ayala Avenue, 1226 Makati City
	11:00-11:30	Courtesy call with UNDP Country Director (Mr. Renaud Meyer)
20 September (Thu)	09:15	Hotel pick-up
	10:00	Meeting with Philippine National Focal Point & PEMSEA Executive Committee Co-Chair (Undersecretary Analiza Rebuelta-Teh) Venue: TBA
	16:00	Meeting with WorldBank Mr. Josefo Tuyor (Senior Operations Officer) Venue: Palawan Room, 20 <sup>th</sup> Floor The Taipan Place, F. Ortigas Jr. Road, Ortigas Center, Pasig City
21 September (Fri)	TBA	Hotel pick-up
	09:00	Briefing by Acting ED and Country Managers on NFP and ICM site visits (tentative)
	10:00	Meeting with Laguna Lake Development Authority Ms. Dolora Nepomuceno (Assistant General Manager) Venue: 4th Floor, Annex Building Sugar Regulatory Administration (SRA) Compound North Avenue, Diliman, Quezon City
	11:30	Depart for Philippine Ports Authority
	13:00-15:00	Meeting with Philippine Ports Authority Manager, Port Operations & Services Department (POSD) Marine Services Division POSD. Venue: Head Office, Bonifacio Drive, South Harbor Port Area, Manila
22 September (Sat)	09:00	Hotel pick-up
	09:30	Briefing by Acting ED and Country Managers on NFP and ICM site visits



DATE	TIME	ACTIVITY
		(tentative) Develop questionnaires for interview with NFPs, ICM site officers and staff, PNLG officers/members, etc Develop skeletal report
23 September (Sun)		Rest day
24 September (Mon)	6:00	Hotel pick-up Travel to Batangas (with Daisy Padayao)
	9:00 – 12:00	Presentation of PG-ENRO on Batangas ICM Program Meeting/interview with PG-ENRO and partners: Mr. Luis Awitan, Head, Batangas Provincial Government - Environment and Natural Resources Office Ms. Loreta Sollestre, Head of Planning, PG-ENRO Ms. Rochelle Amboya, PG-ENRO
	12:00-13:30	Lunch
	1:30 – 2:00	Presentation on Batangas Environment Laboratory (Evolution and sustainability) Ms. Mavic Esmas
	2:00 – 3:00	Visit Batangas Environment Laboratory
	3:00 – 4:00	Role of private sector in the ICM program (Mr. Noel Mendoza, BCRMF Coordinator/Mr. Bernardo Matibag, BCRMF President)
	4:00 – 5:00	Meeting with Mr. Felipe Baroja (Batangas City Administrator)
	5:00 – 8:00	Return to Manila
25 September (Tue)	09:00	Hotel pick-up (proceed to airport)
	12:30/14:40 17:00/20:25	Manila/Hong Kong (CX 900) Hong Kong/Beijing (CX 312) (will be met by Mr. Lu Xingwang of SOA)
		Hotel: TBA
26 September (Wed)	8:40	Hotel pick-up by Mr. Lu Xingwang
	9:30-11:40	Reporting and presentations, Chaired by Mr. Liang Fengkui, participated by Prof. Wen Quan, Prof. Mao Bin, Prof. Liu Yan, Dr. Zhang Zhaohui, Mr. Lu Xingwang, and representatives from Hebei, Liaoning and Tianjin
	9:30-9:40	Welcome address
	9:40-10:00	Presentation on Project implementation report, by Prof. Mao Bin
	10:00-10:20	Progress and impacts of IRBCAM, by Prof. Wen Quan
	10:20-10:30	Tea break
	10:30-10:50	Policy, legal and institutional development in relation to ICM/SDS-SEA, by Prof. Liu Ya
	10:50-11:10	Progress of SOC and achievements at parallel sites, by Dr. Zhang Zhaohui
	11:20-12:30	Questions, discussion and summary
	12:00-12:30	Lunch
	PM	Free Time
27 September (Thu)	6:00	Hotel pick-up for airport (to be accompanied by Prof. Mao Bin and Mr. Lu Xingwang)
	0725/0820	Beijing/Dongying (HU 7615) Hotel: Blue Ocean Hotel
	9:30 – 11:30	Reports by Dongying, participated by: Mr. Liu Qingbin (Vice Secretary General of Dongying Municipal Government), Mr. Yang Tonggeng (Director General of Dongying Ocean and Fishery Bureau, Wang Jinhe (Deputy Director General), Mr. Wang Shoutai (staff), Prof. Mao Bin, Lu Xingwang,
	11:30 – 14:30	Check in at Blue Ocean Hotel, lunch and rest

DATE	TIME	ACTIVITY
	14:30-15:00	Visit to Ocean monitoring center and marine environment monitoring and forecast center
	15:00-16:30	Visit to modern aquaculture demonstration zone
	16:30-17:00	Meeting with Mr. Yang Tongzhu, Vice Mayor of Dongying
	17:00	Dinner at Blue Ocean Hotel
28 September (Fri)	04:30	Hotel pick-up (accompanied by Prof Mao Bin)
	0800/1015	Jinan/Xiamen (CA 4959) - operated by Shandong Airlines
		<i>Detailed schedule to follow</i>
29 September (Sat)		
30 September (Sun)	0700/0805 0950/1045 1250/1405	Xiamen/Canton (CZ 5985) – operated by Xiamen Airlines Canton/Hanoi (CZ 3049) Hanoi/Danang (VN 7511) Note: will be met at the airport by Danang PMO staff
		Hotel Check-in Hotel: Indochine Danang Hotel 30 Ngo Thi Si, My An, Ngu Hanh Son District Danang City, Vietnam Phone: +84 511 398 5666 Fax: +84 511 398 5665 <a href="http://www.indochinedanang.com">www.indochinedanang.com</a> Rate: VND 800,000/night (De Luxe Room with 20% discount)
01 October (Mon)		Rest day
02 October (Tue)	7:30 – 9:30	Travel to Thua Thien Hue (by car)
	10:00 – 12:00	Meeting with the Provincial Agency of Seas, Islands and Lagoons, Department of Natural Resources and Environment Presentation on Thua Thien Hue ICM Program Mr. Le Van Thu Deputy Director Provincial Agency for Seas, Islands and Lagoons Mr. Nguyen Dinh Dau Director, DONRE Mr. Nguyen Van Ngoc Deputy Director, DONRE
	12:00 – 13:30	Lunch break
	13:30 – 16:00	Site visit Tam Giang-Cau Hai lagoon protected areas Tourism development in selected coastal area
	16:00 – 18:00	Travel to Danang
03 October (Wed)	8:30	Hotel pick up
	9:00 – 9:30	Courtesy call/meeting: People's Committee (to be confirmed) Mr. Van Huu Chien Chair, People's Committee Danang City
	9:30 – 11:30	Meeting/interview with PMO and partners Presentation on Danang ICM Program (Danang PMO) Department of Environment and Natural Resources Mr. Nguyen Dieu Director, DONRE
		ICM Project Management Office Staff

DATE	TIME	ACTIVITY
		Ms. Pham Thi Chin Mr. Do Manh Thang Mr. Truong Cong Hai Ms. Phan Thi Thu Thuy
	11:30-13:00	Lunch break
	13:00-17:00	Meeting/interview with partners: Representatives of Technical Working Groups for Coastal Use Zoning, State of the Coasts Reporting, Coastal Strategy Implementation and Governance System Dr. Vuong Nam Dan, Director, Center for Applied Technology of Labour Protection Dr. Huynh Ngoc Thach Director, Danang Research Center for Environment Dr. Tran Cat, Member, Central Committee of Vietnam
		Environmental Protection Agency/DONRE (Integrated Environmental Monitoring) Mr. Dang Quang Vinh Deputy Head Danang University of Technology (ICM Learning Center) Dr. Tran Van Quang/ Dr. Hoang Hai Faculty Danang University of Technology
04 October (Thu)	7:45	Hotel pick up
	8:00-11:30	Site visit and meeting/interview with partners and stakeholders Son Tra – Ngu Hanh Son Districts (Implementation of regulations on CUZ) Danang Farmer's Association, People's Committee of Quang Tho ward (Community club for sustainable coastal economic development model) Urban Environment Company (Landfill and municipal waste water treatment)
	11:30-13:00	Lunch break
	1300 – 1500	Gulf of Thailand Framework Programme Mr. Nguyen Huy Trong Permanent Deputy Director Vietnam National Southern Oil Spill Response Center
	15:00-16:00	Closing meeting
	1755/1905	Danang/Hanoi (VN 1516) Hotel: Authentic Hanoi Botique Hotel 13 Ly Thai To, Hoan Kiem District Ha Noi, Vietnam Tel: +84 43.9615 999 Fax: +84 043. 9352 583 <a href="http://www.authentichanoi.com">www.authentichanoi.com</a> Rate: USD 75/night (De Luxe Room)
05 October (Fri)	8:30	Hotel pick up
	9:00 – 11:00	Meeting/interview with National Focal Point and partners Vietnam Administration of Seas and Islands, Ministry of Natural Resources and Environment Dr. Nguyen Van Cu, Administrator, VASI Dr. Vu Si Tuan, Deputy Administrator, VASI Dr. Dang Huy Ram, Director, International Cooperation Dept, VASI

DATE	TIME	ACTIVITY
	11:30 – 13:00	Lunch break
	15:00-16:30	Vietnam Institute for Fisheries Economics and Planning, Ministry of Agriculture and Rural Development Ms. Cao Le Quyen, Deputy Director, VIFEP Ms. Nguyen Nhi Trang Nhung, Deputy Director, Fisheries Administration, MARD
	15:00 – 16:30	Institute of Environmental Technology, Vietnam Academy of Science and Technology Dr. Nguyen Minh Son, Deputy Director
06 October (Sat)	1035/13351 635/1840	Hanoi/Hongkong (KA296) HongKong/Manila (CX 903)
7 October (Sun)		
8 October (Mon)	AM	Debriefing on site visits
	PM	Teleconference with UNOPS, other NFPs and ICM sites
9 October (Tue)	Whole day	Teleconference with UNOPS, other NFPs and ICM sites
10 October (Wed)	Whole day	Preparation of individual Specialist Reports Prepare outline of the TE Report and Wrap up
11 October (Thu)	11:00	Depart Manila via CX906

### Detailed Schedule of Dr. Clive Wilkinson

DATE	TIME	ACTIVITY
17 September (Mon)	17:05	Arrival via QF19 (will be met by PEMSEA staff: Mr. Anthony Gutierrez) Mobile number: +63-9158668766 Hotel: Oakwood Premier Hotel 17 ADB Avenue, Ortigas Center Pasig City Tel: (632) 637-7888 Fax: (632) 706-777
18 September (Tue)	08:45 09:30	Hotel Pick-up (hotel lobby) Briefing of Schedule of Activities & Project Preparation of Team work plan and finalization of inception report
19 September (Wed)	08:15	Hotel pick-up to proceed to UNDP Manila
	09:00-11:00	Meeting with UNDP Environment Team composed of: Ms Amelia Supetran (Portfolio Manager) Ms. Imee Manal (Programme Analyst – Energy & Environment) Mr. Mike Jaldon  Address: UNDP Manila 30th Floor, Yuchengco Tower, RCBC Plaza 6819 Ayala Avenue, 1226 Makati City
	11:00-11:30	Courtesy call with UNDP Country Director (Mr. Renaud Meyer)
20 September (Thu)	09:15	Hotel pick-up
	10:00	Meeting with Philippine National Focal Point & PEMSEA Executive Committee Co-Chair (Undersecretary Analiza Rebuelta-Teh) Venue: TBA
	16:00	Meeting with WorldBank Mr. Josefo Tuyor (Senior Operations Officer) Venue: Palawan Room, 20 <sup>th</sup> Floor The Taipan Place, F. Ortigas Jr. Road, Ortigas Center, Pasig City
21 September (Fri)	TBA	Hotel pick-up
	09:00	Briefing by Acting ED and Country Managers on NFP and ICM site visits (tentative)
	10:00	Meeting with Laguna Lake Development Authority Ms. Dolora Nepomuceno (Assistant General Manager) Venue: 4th Floor, Annex Building Sugar Regulatory Administration (SRA) Compound, North Avenue, Diliman, Quezon City
	11:30	Depart for Philippine Ports Authority
	13:00-15:00	Meeting with Philippine Ports Authority Manager, Port Operations & Services Department (POSD) Miss Nelia Cable, Manager, Marine Services Division POSD. Venue: Head Office, Bonifacio Drive, South Harbor, Port Area, Manila
22 September (Sat)	09:00	Hotel pick-up
	09:30	Briefing by Acting ED and Country Managers on NFP and ICM site visits (tentative)
		Develop questionnaires for interview with NFPs, ICM site officers and staff,

		PNLG officers/members, etc Develop skeletal report
	14:00	Dr. Lemuel Aragon, Scientific Advisor and Coordinator of the Special Projects of the Province of Guimaras on Post-Oil Spill Monitoring
23 September (Sun)		Rest day
24 September (Mon)	06:30	Hotel pick-up
	08:20/09:35 10:00 – 11:00	Manila-Iloilo (PR141) Note: will be met at the airport by staff of Guimaras PMO and transfer to ferry station  Iloilo-Guimaras (boat ride)
	11:30	Hotel check-in  Hotel: Zemkamps Chalet Provincial Highway, New Site, San Miguel Jordan, Guimaras Phone: +63 33 237-1388 Rate: PHP1,600 per night
	12:00 – 13:00	Lunch at GENRO
	13:00 – 14:00	Courtesy call Governor's Office Gov. Felipe Hilan Nava Governor, Guimaras President, PEMSEA Network of Local Governments
	14:00 – 16:30	<u>Meeting/interview with PMO and partners</u> Presentation on Guimaras ICM Journey: 2008-2012 (Guimaras PMO) Guimaras Environment and Natural Resources Office Mr. Gualberto Galia Provincial ENR Officer, Guimaras Environment and Natural Resources Office Director, ICM Project Management Office
		ICM Project Management Office staff <ul style="list-style-type: none"> <li>• Ms. Arlette Depamaylo</li> <li>• Ms. Juneline de la Cruz</li> <li>• Ms. Nory Zamora</li> <li>• Ms. Rose Jane Sablon</li> <li>• Mr. Leonard Pasiderio</li> </ul>
		Philippine Business for Social Progress (NGO partner) Mr. Dennis Huervana Program Officer
	18:00 – 19:30	Dinner with Governor Felipe Nava
25 September (Tue)	07:45	Hotel pick up
	8:00-15:00	Site visit and meeting/interview with partners and stakeholders  Nueva Valencia Municipal Agriculture Office Mr. Oliver Chavez Municipal Agriculture Officer
		Katilingban sang Magagmay nga Mangingisda sa Dolores (KAMAMADO) (CBO partner) Mr. Warlito Garonita Chairperson
	15:30 – 16:30	Closing Meeting (PMO)
		Guimaras – Iloilo (boat ride)

	19:50/2050	Iloilo – Manila (PR146) Hotel: Oakwood Premier
26 September (Wed)	09:30  1305/1520 1815/1925	Hotel pick-up (for airport)  Manila – Bangkok (TG621) Bangkok – Phnom Penh (TG584)  Hotel: Intercontinental Hotel 296 Boulevard Mao Tse Toung Phnom Penh, Cambodia Tel: +855-23-424888 Fax: +855-23-424885
27 September (Thu)	8:30	Pick up at hotel lobby
	8:30 – 11:30	Land trip to Sihanoukville
	11:30 – 13:00	Lunch at New Beach Hotel
	13:00 – 14:30	Check in at the Independence Beach Hotel and rest  Hotel details: Independence Beach Hotel Street 2 Thnou, Sangkat No: 03, Khan Mittapheap, Sihanoukville Kingdom of Cambodia Tel: (+855) 34 934 300 info@independencehotel.net
	14:45	Pick up from the hotel to the PMO office for the briefing  Preah Sihanouk Integrated Coastal Management (ICM) Site Project Management Office Preah Sihanouk Provincial Hall, Vithei Krong, Mondol 3 Sangkat3 Sihanoukville Municipality, Preah Sihanouk Province, Cambodia; Phone/Fax: (855) 34 933 996 Mobile: 016 348017/011 789 222 Email: visalpmo@yahoo.com/sallynay@gmail.com
	14:50 – 17:45	Discussion with PMO; key agencies to be invited (DOE, Fisheries, Tourism, Port Authority) Briefing on the Preah Sihanouk ICM Program: Progress, Outputs, Outcomes and Challenges in PMO office
	17:45 – 18:30	Trip around the city
	18:30 – 20:00	Welcome dinner with PMO Director, Director of Department of Environment, PMO staff
28 September (Fri)	8:30	Pick up at hotel lobby
	8:30 – 11:30	Discussion and site visits on specific projects being implemented Beach management – Tourism Task Team Zoning Task Team – Tourism and fisheries task team Waste management – Technical Working Group  Fishery management (optional trip to Stung Hav or Kampong Smach for the Projects on Habitat and Water Management but this may take a while and trip will be considerably longer esp for Kampong Smach)
	11:30-13:00	Lunch

	13:00-14:30	Back to the hotel for a rest
	14:45	Pick up from the hotel to meet with Sihanoukville Port Authority
	14:45-16:45	Meeting with Sihanoukville Port Authority
	16:45-17:30	Back at the PMO office for the de-briefing; clarifications and information requirements if any
29 September (Sat)	08:30-12:00	Travel to Phnom Penh Check in at the Intercon and lunch
	12:00-18:30	Rest at the hotel
	18:30-20:00	Dinner with Mr. Long Rithirak and staff  Mr. Long Rithirak Director General, Ministry of Environment PEMSEA National coordinator, Cambodia <a href="mailto:longrithirak@yahoo.com">longrithirak@yahoo.com</a>
30 September (Sun)		
01 October (Mon)	09:00 – 11:30	National level activities: Meeting with NFP and Sec of State <ul style="list-style-type: none"> <li>Ministry of Environment (National ICM Scaling Up)</li> <li>Discussion on capacity development activities which was initiated with the provinces</li> <li>5 year ICM Scaling up plan</li> </ul>
	11:30 – 13:00	Lunch
	13:00 – 14:30	Meeting with the Merchant Marine Department on Oil Spill Contingency Plan
	14:30 – 16:30	Phnom Penh Port
	16:30 – 5:30	UNDP GEF SGP (Ms. Ngin Navirak)
02 October (Tue)	10:05/11:10	Phnom Penh – Bangkok (TG 581)
	12:00 – 1:00	Land travel to Chonburi Check in at hotel  Hotel: Tao-Thong Hotel Operation Center Burapha University 169 Long-Hard Bangsan Road. Tambon Saensuk, Amphur Muang Chonburi 20131 Thailand Tel. 038-056666-9 Fax. 038-0566683 E-Mail : <a href="mailto:taothonghotel@gmail.com">taothonghotel@gmail.com</a>
	1:00 – 2:00	Lunch
	2:00 – 6:00	Courtesy call to Vice-Governor (waiting on fixed time)
	6:00 – 8:00	Dinner
03 October (Wed)	8:00 – 12:00	Meeting with ICM Secretariat and key partners  Presentation covering key activities and achievements, challenges, future plans Discussion
	12:00 – 1:00	Lunch
	1:30 – 3:00	Meeting with ICM Secretariat and key partners (continue)
	3:00 – 5:00	Site visit: Mangrove conservation area at Klong Tamru SAO
04 October (Thu)	8:00 – 4:00	Site visits: Habitat restoration at Bangsaen Municipality Carbon Footprint program at Nong Tanlung Municipality; non-coastal member



	4:00 – 5:00	Wrap up discussion with ICM Secretariat
	5:00 – 7:00	Travel to Bangkok  Check in at hotel  Hotel: Miracle Grand Hotel 99 Kamphaeng Phet 6 Road, Talad-Bangkhon, Laksi, Bangkok 10210, Thailand Tel : +66 (0) 2575-5599 Fax :+66 (0) 2575-5555 Email: info@miraclegrandhotel.com Rate: 2,900 bht/room incl. breakfast
05 October (Fri)	8:30 – 9:30	Travel from hotel to DMCR office
	9:30 –	Meeting with DMCR, Marine Department and Port Authority of Thailand (Note: A separate meeting with the Bangkok Port was conducted in line with the interview on Port Safety, Health and Environmental Management System)  DMCR Office, Bangkok  Presentations related to: 5-year SDS-SEA Plan Gulf of Thailand Partnership on Joint Oil Spill Preparedness and Response Port Safety, Health and Environmental Management System
	PM	Back to hotel
06 October (Sat)	3:30 – 4:30	Travel from hotel to airport
	0740/1155	Bangkok-Manila (TG620)
7 October (Sun)		
8 October (Mon)	AM	Debriefing on site visits
	PM	Teleconference with UNOPS, other NFPs and ICM sites
9 October (Tue)	Whole day	Teleconference with UNOPS, other NFPs and ICM sites
10 October (Wed)	Whole day	Preparation of individual Specialist Reports Prepare outline of the TE Report and Wrap up
11 October (Thu)	16:30	Hotel pick-up (transfer to airport)
	20:25	Depart Manila via QF20

## Annex 3: List of Persons Interviewed or with whom Discussions were held

### **CAMBODIA**

#### **Ministry of Environment**

1. H.E. Khong Samnoun  
Secretary of State
2. H.E. Vann Monneyneath  
Deputy Director-General  
National Committee for Management and  
Development of Cambodian Coastal Zone
3. H.E. Tin Ponlok  
Deputy Director General  
Climate Change Department
4. H.E. Mr. Long Rithirak  
Deputy Director,  
Ministry of Environment and  
National Coordinator, ICM Programme  
Cambodia

#### **Sihanoukville**

5. H.E. Prak Sihara  
PMO Director and Deputy Governor
6. Mr. Hun Phy  
Director  
Department of Land Management, Urban  
Planning and Construction
7. Mr. Hem Sareoun  
Director, Department of Environment
8. Mr. Sin Sotharath  
Deputy Director  
Fishery Administration Cantonment
9. Mr. Samuth Sotherith  
Deputy Director  
Department of Environment
10. Mr. Khuth Man  
Deputy Director  
Department of Water Resources and  
Meteorology
11. Mr. Tep Sinora  
Vice Chief  
Office of Pollution Control  
Department of Environment, Laboratory
12. Mr. Prak Visal  
ICM Coordinator  
Preah Sihanouk Province
13. Ms. Sally Nay  
Staff, ICM Project Management Office
14. Ms. Im Chantha  
Deputy Director, Department of Tourism

15. Mr. Oer Vibol  
Chief Office of Community-based Eco-  
tourism
16. Mr. Ly Chet Niyum  
Chief  
Office of Economic of Inter-Sectoral  
Division
17. Mr. Prak Keth  
Vice Chief  
Office of Land Management and Cadastre
18. Mr. Ros Enghong  
Head, Sangkat 4 Police
19. Mr. Bun Cheang  
Vice Chief, Office of Tourist Police
20. Mr. Phol Phorsdta  
Police officer
21. Mr. Sen Rorn  
Staff, ICM Project Management Office
22. Mr. Sem Sokun  
Owner of stall 999  
Ochheateal Beach

#### **Sihanoukville Autonomous Port**

23. Mr. Chhun Hong  
Director, G.cargo Operation Department
24. Mr. May Samaun  
Team Leader  
Port Safety, Health and Environmental  
Management System (PSHEM) Core Team
25. Mr. Men Chann  
Assistant to H.E Chairman & CEO
26. Mr. You Leng  
Chief, Warehouse Office
27. Mr. Leng Mao  
Director, Machinery Department
28. Mr. Chey Chetha  
Staff of Administration
29. Mr. Hen Pakdey  
Staff of Administration
30. Mr. Sovanrith Ou  
Admin-Personnel Official
31. Mr. Neak Sophyan  
Chief of Research Study  
Machinery Department

#### **Royal University of Phnom Penh**

32. Mr. Sour Sethy  
Regional Task Force

33. Dr. Neth Baromey  
Department of Tourism
34. Mr. Seak Sophat  
Department of Environmental Science

**UNDP GEF Small Grants Programme,  
Cambodia**

35. Mr. Ngin Navirak  
National Coordinator

**Ministry of Public Works and Transport**

36. Mr. Mak Sideth  
Director  
Merchant Marine Department  
General Department of Transport

**CHINA**

**State Oceanic Administration**

37. Mr. Liang Fengkui  
Deputy Director-General, Department of  
International Cooperation
38. Mr. Mao Bin  
Professor and Senior Ocean Management  
Consultant, Department of International  
Cooperation
39. Mr. Wen Quan  
Researcher, National Marine  
Environmental Monitoring Center
40. Dr. Zhang Zhaohui  
Research Associate, First Institute of  
Oceanography
41. Ms. Fu Yu  
Research Associate, China Institute for  
Marine Affairs
42. Mr. Lu Xingwang  
Program Officer
43. Mr. Xu Xiaohong  
Assistant Researcher, Hebei Geography  
Research Institute
44. Mr. Tao Gang  
Bureau of Ocean, Tianjin City
45. Dr. Yu Hang  
Tianjin Research Institute for Water  
Transport Engineering
46. Ms. Tian Hailan
47. Hebei Geography Research Institute

**Dongying**

48. Liu Qingbin  
Deputy secretary-general of Dongying  
Government
49. Mr. Wang Jinhe  
Deputy Director, Oceans and Fisheries  
Bureau of Dongying
50. Mr. Guo Dongsheng  
Deputy Director, Oceans and Fisheries  
Bureau of Dongying
51. Mr. Wang Shoutai  
Deputy Director, Oceans and Fisheries  
Bureau of Dongying
52. Mr. Mao Bin  
Professor and Senior Ocean Management  
Consultant, Department of International  
Cooperation
53. Mr. Wen Quan  
Researcher, National Marine  
Environmental Monitoring Center
54. Dr. Zhang Zhaohui  
Research Associate, First Institute of  
Oceanography
55. Dr. Wang Shouqiang  
Assistant Researcher, First Institute of  
Oceanography
56. Mr. Lu Xingwang  
Program Officer
57. Mr. Li Weixiang
58. Oceans and Fisheries Bureau of Dongying
59. Dr. Liu Yanfen  
Oceans and Fisheries Bureau of Dongying
60. Mr. Xu Guizhong  
Oceans and Fisheries Bureau of Dongying

**Xiamen**

61. Mr. Pan Shi Jian  
Vice Chairman and Senior Engineer, The  
Chinese People's Political Consultative  
Conference, Xiamen Municipal  
Committee
62. Dr. Xiong-Zhi Hue  
Executive Director, Coastal and Ocean  
Management Institute and  
Xiamen International Training Center for  
Coastal Sustainable Development
63. Dr. Zhou Lu Min  
Vice Director-General, Oceans and  
Fisheries Bureau of Xiamen
64. Mr. Huang Chaoqun

- Director  
Division of Sea area and Sea Island,  
Oceans and Fisheries Bureau of Xiamen
65. Ms. Ye Qing  
Division of Sea area and Sea Island,  
Oceans and Fisheries Bureau of Xiamen
66. Mr. Zhang Lifeng  
Division of Resource and Environment,  
Oceans and Fisheries Bureau of Xiamen
67. Ms. Zeng Jinji  
Translator  
Foreign Affairs Office, Xiamen
68. Ms. Liu Xuan  
Division of International Cooperation,  
Oceans and Fisheries Bureau of Xiamen

## **PHILIPPINES**

### **Department of Environment and Natural Resources**

69. Atty. Analiza Rebuelta-Teh  
Undersecretary and Chief of Staff and  
PEMSEA National Focal Point in the  
Philippines
70. Ms. Jeslina Gorospe  
Foreign Assisted and Special Programs  
Office

### **Philippine Ports Authority**

71. Ms. Nelia Cable  
Manager  
Marine Service Division, Port Operations  
and Services Department
72. Ms. Ruby Follosco  
Chief Safety Officer  
Safety and Environmental Management  
Division  
Port Operations and Services Department
73. Ms. Maria Christine Manalo Bautro  
Safety Specialist, Safety and  
Environmental Management Division  
Port Operations and Services Department

### **Laguna Lake Development Authority**

74. Mr. Neil Varcas  
Development Management Office (DMO)  
II  
Project Development & Monitoring  
Evaluation Division

75. Ms. Rochelle Ivy Reyes  
Engineer II  
Project Development & Monitoring  
Evaluation Division
76. Engr. Jocelyn Sta. Ana  
OIC  
Environmental Laboratory and Research  
Division
77. Ms. Ma. Carolane Gonzales  
Project Evaluation Officer (PEO) II  
Project Development & Monitoring  
Evaluation Division

### **Guimaras**

78. Gov. Felipe Hilan Nava  
Governor, Guimaras and  
President, PEMSEA Network of Local  
Governments
79. Dr. Lemuel Aragones  
Scientific Advisor and Coordinator  
Special Projects of the Guimaras Province  
on Post-Oil Spill Monitoring
80. Mr. Oliver Chavez  
Municipal Agriculture Officer  
Nueva Valencia Municipal Agriculture  
Office
81. Mr. Warlito Garonita  
Chairperson  
*Katilingban sang Magagmay nga  
Mangingisda sa Dolores (KAMAMADO)*

### **Guimaras PMO**

82. Mr. Gualberto Galia  
Provincial ENR Officer  
Guimaras Environment and Natural  
Resources Office and  
Director, ICM Project Management Office
83. Ms. Arlette Depamaylo
84. Ms. Juneline de la Cruz
85. Ms. Nory Zamora
86. Ms. Rose Jane Sablon
87. Mr. Leonard Pasiderio
88. Mr. Dennis Huervana  
Program Officer

### **Batangas**

89. Mr. Luis Awitan  
Department Head  
Provincial Government- Environment and  
Natural Resources Office

90. Ms. Loreta Sollestre  
Senior Environmental Management  
Specialist and Head- ENR Planning and  
Environmental/ Coastal Section
91. Ms. Marivic Esmas  
Head, Batangas Environment Laboratory
92. Ms. Rochelle P. Amboya  
Environmental Management Specialist  
Provincial Government-Environment and  
Natural Resources Office
93. Ms. Divinia Mercado  
Environmental Management Specialist  
Provincial Government-Environment and  
Natural Resources Office
94. Mr. Noel Mendoza  
Coordinator  
Batangas Coastal Resources Management  
Foundation

**United Nations Development Programme,  
Manila**

95. Ms. Amelia Supetran  
Team Leader
- Environment and Energy Unit**
96. Ms. Imee Manal  
Programme Manager  
Energy and Environment Unit
97. Mr. Michael Joseph Jaldon  
Programme Assistant  
Environment and Energy Unit

**The World Bank Group in the Philippines**

98. Mr. Joe Tuyor  
Senior Operations Officer  
Philippines Sustainable Development Unit

**THAILAND**

**Department of Marine and Coastal  
Resources**

99. Mr. Sakanan Plathong  
Lecturer  
Department of Biology, Faculty of  
Science  
Prince of Songkla University
100. Mrs. Sukanjanawadee Maneeratana  
Plan and Policy Analyst, Senior  
Professional Level  
Office of Marine and Coastal Erosion

- Prevention Management
101. Mrs. Daorung Tubtim  
Forestry Technical Officer, Senior  
Professional Level  
Office of Mangrove Resources  
Conservation
102. Mrs. Suhatai Praisankul  
Marine Biologist, Practitioner Level  
Institute for Research and  
Development  
of Marine and Coastal Resources
- Ms. Natnapat Thongbai  
Marine Biologist, Practitioner Level

**Office of Marine and Coastal Resources  
Conservation**

103. Mr. Pramote Hanwilai  
Forestry Technical Officer,  
Professional Level, Planning Sub-  
Division,  
Planning Division
104. Ms. Saowalak Winyoonantakul  
Foreign Relations Officer,  
Professional Level  
Foreign Affair Sub-Division,  
Planning Division
105. Mr. Podjana Boonyanate  
Marine Biologist, Professional Level  
Eastern Marine and Coastal  
Resources  
Research Center
106. Ms. Anchalee Jankong  
Marine Biologist, Professional Level  
Eastern Marine and Coastal  
Resources  
Research Center
107. Acting Second Lt. Widsanupong  
Wichianrattanakul  
Marine Officer, Operational Level  
Marine and Coastal Resources  
Conservation Center No.1
108. Ms. Ornuma Janyapiyapong  
Foreign Relations Officer, Practitioner  
Level, Foreign Affair Sub-Division,  
Planning Division
109. Mr. Amares Wannawan  
Foreign Relations Officer  
Foreign Affair Sub-Division,  
Planning Division
110. Mr. Supan Tosuk

- Foreign Relations Officer  
Foreign Affair Sub-Division,  
Planning Division
111. Ms. Wanakamol Pluemjai  
Administration Officer  
Foreign Affair Sub-Division,  
Planning Division
- Marine Department**
112. Ms. Dolhathai Totanakun  
Environmental Specialist,  
Professional Level  
Marine Department
113. Mr. Suppakit Jiarasuwan  
Environmental Specialist, Practitioner  
Level  
Marine Department
- Chonburi Provincial Administrative  
Organization**
114. Mr. Vitaya Khunplome  
Chief Executive, Provincial  
Administrative Organization of  
Chonburi and Director, ICM Program  
Chonburi
115. Mr. Chumpol Chitwiset  
Chief Administrator  
Provincial Administrative  
Organization of Chonburi
116. Mr. Pinit Rachawat  
Deputy Chief Administrator  
Provincial Administrative  
Organization of Chonburi
117. Mr. Chatchai Thimkrajang  
President  
Chonburi Fisheries Association/  
Former ICM Program Director
118. Dr. Praparsiri Barnette  
Professor, Burapha University and  
Technical Adviser for Chonburi ICM  
Program
119. Mr. Weera Thongprapai  
Director  
Natural Resources and Environment  
Office of Chonburi Province
120. Mr. Rangsak Kowvaravan  
Natural Resources and Environment  
Office of Chonburi Province
121. Mr. Thanapong Rattanavutinun  
Natural Resources and Environment
- Office of Chonburi Province
122. Mrs. Suwadee Sornsritthong  
Provincial Administrative  
Organization of Chonburi
123. Mrs. Nisakorn Wiwekwin  
Sanitation Researcher/ ICM Program  
Coordinator
124. Ms. Artika Thongmak  
ICM Chonburi Assistant
125. Mr. Tanee Ratananont  
Mayor  
Sriracha Municipality
126. Mr. Chatmongkhon Homlirdnalin  
Director  
Public Health and Environment  
Chonburi Municipality
127. Mrs. Natchaporn Srinoparatanakul  
Chief  
Subdivision of Pulic Health and  
Environment  
Chonburi Municipality
128. Ms. Montha Sringoen  
Chonburi Municipality
129. Ms. Yuwadee Baengklink  
Chonburi Municipality
130. Ms. Oravee Boonkulya  
Bansuan Municipality
131. Mrs. Supaporn Arnmanee  
Bansuan Municipality
132. Ms. Namphueng Nanna  
Bansuan Municipality
133. Mr. Torsak Tragoontongchai  
Secretary to the Mayor  
Sattahip Municipality
134. Mrs. Aoy Pleejarean  
Director  
Public Health and Environment  
Sattahip Municipality
135. Mr. Purinwat Penphum  
Pattaya City
- Klongtamru Sub-District Administrative  
Organization**
136. Mr. Nopphadon Bunchuai  
Chief Executive
137. Mrs. Supap Tara  
Deputy Chief Executive
138. Mr. Arnon Thanachaleamsaen  
Deputy Chief Executive
139. Mr. Kittisak Wachirawithaya

140. Chief Administrator  
Mr. Chatchai Saensuk  
Deputy Chief Administrator
141. Ms. Kitsana Soponchewin  
Deputy Chief Administrator
142. Mr. Aitthasap Aryucharean  
Chair of the Executive Council
143. Mrs. Pikun Deeraksa  
Community Development Officer
144. Mr. Samit Tara  
Chair of Mangrove Conservation  
Groups
145. Mr. Sanae Ninwong  
Committee of Mangrove  
Conservation Groups
146. Ms. Chanthana Waiyawong  
Committee of Mangrove  
Conservation Groups
147. Mrs. Pinkeaw Thongyu  
Committee of Mangrove  
Conservation Groups
148. Mr. Samrua Meesuk  
Committee of Mangrove  
Conservation Groups
149. Mrs. Nisakorn Wiwekwin  
Sanitation Researcher/ ICM Program  
Coordinator

#### **Saensuk Municipality**

150. Mr. Narongchai Khunpluem  
Mayor
151. Ms. Rattana Chuklin  
Director  
Public Health and Environment
152. Dr. Praparsiri Barnette  
Professor  
Burapha University

#### **Nong Tumlueng Municipality**

153. Mr. Niran Ritnapha  
Mayor
154. Mr. Sansoen Chonamnui  
Vice Mayor
155. Mr. Samian Hongthong  
Secretary to the Mayor
156. Mr. Preecha Lawanwong  
Chair, Executive Council
157. Mrs. Nutnapin Sukprasert  
Municipal Clerk
158. Mrs. Em-Orn Maingam

159. Deputy Municipal Clerk  
Ms. Nat Chat-In
160. Deputy Municipal Clerk  
Mrs. Suppanat Tanavorarat  
Director  
Public Health and Environmental  
Division
161. Mrs. Pimporn Wutpanyarattanakun  
Chair, Women's Groups
162. Mrs. Chantira Lokanit  
Volunteer
163. Mrs. Somthawin Santipitak  
Volunteer
164. Ms. Nangnoi Srisaard  
Volunteer
165. Ms. Somjai Mueangsamai  
Volunteer
166. Ms. Chanram Wongmuk  
Volunteer
167. Ms. Rabiap Saesue  
Volunteer

#### **Port Authority of Thailand**

168. Mr. Komol Sribangplenoi  
Director  
Shio and Cargo Operations  
Department  
Bangkok Port
169. Mr. Tawatchai Wittayorangowit  
Deputy Director  
Ship and Cargo Operations  
Department  
Bangkok Port

#### **Laemchabang Port**

170. LT.JG. Yutana Mokekhaow, RTN.  
Director  
Marine Service Division

#### **VIETNAM**

#### **Vietnam Administration of Seas and Islands (VASI)**

171. Dr. Nguyen Van Cu  
Administrator
172. Dr. Vu Si Tuan  
Deputy Administrator
173. Dr. Vu Thanh Ca  
Director  
Research Institute for the

- Management of Seas and Islands
174. Mr. Hua Chien Thang  
Deputy Director  
Center for Marine and Coastal  
Planning and Studies
1756. Mr. Hoang Duy Dong  
Deputy Director  
Bureau of Seas and Island Use  
Management
176. Dr. Dang Huy Ram  
Acting Director  
Department of International  
Cooperation, Science and Technology  
(DICST)
177. Mr. Nguyen Van Thuong  
Official, DICST-VASI
178. Ms. Vu Thi Hai Van  
Official, DICST-VASI
179. Ms. Vu Thi Mai Lan  
Official, DICST-VASI
180. Mr. Tran Van Hung  
Official, DICST-VASI
181. Mr. Bui Quy Duong  
Official, DICST-VASI

**Ministry of Natural Resources and  
Environment**

182. Ms. Nguyen Thu Trang  
Official  
Department of International  
Cooperation  
Ministry of Natural Resources and  
Environment

**Vietnam Institute for Fisheries and  
Economics and Planning**

183. Ms. Cao Le Quyen  
Deputy Director  
Vietnam Institute of Fisheries  
Economics and Planning  
Ministry of Agriculture and Rural  
Development

**Institute of Environmental Technology**

184. Dr. Nguyen Minh Son  
Deputy Director  
Institute of Environmental  
Technology  
Vietnam Academy of Science and  
Technology

**Hanoi University of Science**

185. Dr. Nguyen Chu Hoi  
Professor, Faculty of Environment  
Hanoi University of Science

**National Southern Oil Spill Response Center**

186. Mr. Nguyen Huy Trong  
Permanent Deputy Director  
The National Southern Oil Spill  
Response Center

**Thua Thien Hue Province**

187. Mr. Nguyen Van Ngoc  
Deputy Director  
Department of Natural Resources and  
Environment (DONRE)
188. Mr. Dang Xuan Dung  
Director  
Provincial Agency of Seas, Islands and  
Lagoon (PASIL)  
DONRE
189. Mr. Le Van Thu  
Deputy Director, PASIL  
DONRE
1901. Mr. Tran Viet Luc  
Director  
Tourism Planning and Development  
Unit  
Department of Culture, Sports and  
Tourism
191. Ms. Bui Thi Hai Yen  
Director, Cultivation Unit  
Department of Agriculture and Rural  
Development (DARD)
192. Mr. Phan Van Hoa  
Deputy Director  
Provincial Hydrometeorology Centre
193. Mr. Le Dien Minh  
Deputy Director  
Flood and Storm Control Unit  
DARD
194. Mr. Ho Hoang Tung  
Official, Transport Management Unit  
Department of Transport
195. Ms. Vo Thi Tuyet Hong  
Former Director, Aquaculture Unit  
DARD
196. Mr. Tran Anh Tuan  
Official, Administration Office



197. Department of Planning and Investments  
Mr. Pham Tang Doan  
Chair  
Phu Dien Commune People's Committee
198. Mr. Hoang Trong Doai  
Vice Chair  
Phu Dien Commune People's Committee
199. Ms. Le Thi Thanh Huong  
Staff, PASIL DONRE
- Danang City**
200. Mr. Nguyen Dieu  
Director  
Department of Natural Resources and Environment (DONRE)
201. Mr. Pham Minh Ngoc  
Director, Agency for Seas and Islands  
DONRE
202. Ms. Pham Thi Chin  
Deputy Director  
Agency for Seas and Islands  
DONRE
203. Prof. Dr. Tran Cat  
Head  
ICM Program Technical Advisory Group
204. Mr. Nguyen Van Chung  
Deputy Head  
Institute of Urban Planning
205. Mr. Dang Cong Thang  
Deputy Head  
Danang Farmer's Association
206. Ms. Le Thi Cam Thao  
Specialist, Division of Natural Resources and Environment  
Son Tra District
207. Mr. Hoang Bach Viet  
Head  
Division of Natural Resources and Environment  
Ngu Hanh Son District
208. Mr. Nguyen Dinh Vuong  
Deputy Chair  
People's Committee of Tho Quang Commune
209. Mr. Bui Tan Tai  
Chair  
Farmer's Association of Tho Quang Commune
210. Mr. Huynh Ba Nen  
Deputy Chair  
Farmer's Association of Tho Quang Commune
211. Ms. Le Thi Kim Phuong  
Deputy Chair  
Farmer's Association of Tho Quang commune
212. Mr. Nguyen Dinh  
Head  
Sustainable Economic Development Club
213. Mr. Nguyen Van Lan  
Deputy Head  
Sustainable Economic Development Clun
214. Mr. Tran Van Tan  
Deputy Head  
Sustainable Economic Development Clun
215. Mr. Do Long  
Deputy Head  
Farmer's Association of Danang City
216. Ms. Phan Thi Thu Thuy  
Danang Project Management Office Staff
217. Mr. Do Manh Thang  
Danang Project Management Office Staff
218. Mr. Truong Cong Hai  
Danang Project Management Office Staff
- PEMSEA Resource Facility**
219. Stephen Adrian Ross  
Acting Executive Director/Chief Technical Officer
220. Nancy A. Bermas  
Senior Country Programme Manager
221. Anna Rita Cano  
Communications Associate
222. Renato Cardinal  
Programme Manager
223. Kathrine Rose Gallardo  
Secretariat Coordinator
224. Cristine Ingrid Narcise  
Country Programme Manager
225. Belyn Rafael

- Country Programme Manager
226. Daisy Padayo  
Technical Assistant for Project  
Development
227. Dr. Chua Te Eng  
Former Executive Director
228. Rafael Lotilla  
Former Executive Director
229. Caroline Velasquez  
Executive Assistant
230. Rachel Josue  
Senior Administrative Assistant
231. Mary Ann dela Pena  
Finance Specialist

**UNDP- Asia-Pacific Regional Centre**

232. Dr. Jose Erez Padilla  
Regional Technical Advisor  
Marine, Coastal and Island  
Ecosystems  
UNDP- Asia-Pacific Regional Centre

**UNOPS**

233. Ms. Katrin Lichtenberg  
Senior Portfolio Manager  
UNOPS

## Annex 4: Summary of Field Visits

The evaluators were able to visit 8 field sites during the 24 days spent in Asia; specifically demonstration sites in Cambodia (1), China (2), Philippines (2), Vietnam (2) and Thailand (1). One of these is written up in detail as a case study representative of the other 7: Chonburi Province in Thailand. This case study illustrated commitments by local and provincial authorities in coastal municipalities, followed by expansions to include another 73 non-coastal municipalities in Chonburi. The evaluators found that the other seven demonstration sites could also be used as case studies as each has shown considerable progress in implementing ICM to clean up coastal resources.

During each site visit the evaluators met with many national and local officials listed in Annex 3 above.

**David LaRoche**, the Institutional, Legal and Government Evaluator, visited the Batangas demonstration site in Philippines, where he participated in;

- Presentation of PG-ENRO on Batangas ICM Program;
- Meetings and interviews with PG-ENRO and partners (Mr. Luis Awitan, Head, Batangas Provincial Government - Environment and Natural Resources Office; Ms. Loreta Sollestre, Head of Planning, PG-ENRO; Ms. Rochelle Amboya, PG-ENRO)
- A presentation on Batangas Environment Laboratory (Evolution and sustainability with Ms. Mavic Esmas);
- Discussed the role of private sector in the ICM program (Mr. Noel Mendoza, BCRMF Coordinator/Mr. Bernardo Matibag, BCRMF President)
- Had a meeting with Mr. Felipe Baroja (Batangas City Administrator)

**David LaRoche** then went to China. In Beijing, he had interviews with Government Officials and visited two field sites in China specifically Xiamin and Dongying. Specifically:

- In Beijing, he was met by Mr. Lu Xingwang of State Ocean Authority (SOA)
- There was reporting and presentations, chaired by Mr. Liang Fengkui, participated by Prof. Wen Quan, Prof. Mao Bin, Prof. Liu Yan, Dr. Zhang Zhaohui, Mr. Lu Xingwang, and representatives from Hebei, Liaoning and Tianjin
- There was a presentation on the Project implementation report, by Prof. Mao Bin, followed by progress and impacts of IRBCAM, by Prof. Wen Quan, policy, legal and institutional development in relation to ICM/SDS-SEA, by Prof. Liu Ya, and Progress of SOC and achievements at parallel sites, by Dr. Zhang Zhaohui;
- He visited the Xiamen demonstration site
- At the Dongying demonstration site, there were reports by: Mr. Liu Qingbin (Vice Secretary General of Dongying Municipal Government), Mr. Yang Tonggeng (Director General of Dongying Ocean and Fishery Bureau), Wang Jinhe (Deputy Director General), Mr. Wang Shoutai (staff), Prof. Mao Bin, Lu Xingwang,
- There was a visit to the Ocean monitoring center and marine environment monitoring and forecast center;
- A visit to modern aquaculture demonstration zone
- A meeting with Mr. Yang Tongzhu, Vice Mayor of Dongying.

**David LaRoche** went to Hanoi, Vietnam to interview Government Officials and two demonstration sites in Vietnam, specifically Danang and Thua Thien Hue, specifically:

- A meeting with the Provincial Agency of Seas, Islands and Lagoons, Department of Natural Resources and Environment;
- A presentation on Thua Thien Hue ICM Program by Mr. Le Van Thu, Deputy Director;
- A Site visit to Tam Giang-Cau Hai lagoon protected areas for discussions on tourism development in selected coastal areas
- He made a courtesy call on the People's Committee specifically to meet Mr. Van Huu Chien, Chair, People's Committee, Danang City
- There were meetings with the PMO and partners and a presentation on Danang ICM Program (Danang PMO);
- Discussions were held in the Department of Environment and Natural Resources with Mr. Nguyen Dieu, Director, DONRE; ICM Project Management Office Staff, Ms. Pham Thi Chin, Mr. Do Manh Thang, Mr. Truong Cong Hai and Ms. Phan Thi Thu Thuy;
- Meetings/interviews were held with partners and representatives of Technical Working Groups for Coastal Use Zoning, State of the Coasts Reporting, Coastal Strategy Implementation and Governance System; Dr. Vuong Nam Dan, Director, Center for Applied Technology of Labour Protection; Dr. Huynh Ngoc Thach Director, Danang Research Center for Environment; and Dr. Tran Cat, Member, Central Committee of Vietnam;
- Discussions were held in the Environmental Protection Agency/DONRE (Integrated Environmental Monitoring) with Mr. Dang Quang Vinh, Deputy Head;
- He made a visit to Danang University of Technology (ICM Learning Center) with Dr. Tran Van Quang; Dr. Hoang Hai of the faculty at the Danang University of Technology
- Site visit and meetings/interviews with partners and stakeholders Son Tra – Ngu Hanh Son Districts (Implementation of regulations on CUZ); Danang Farmer's Association, People's Committee of Quang Tho ward (Community club for sustainable coastal economic development model); Urban Environment Company (Landfill and municipal waste water treatment); Gulf of Thailand Framework Programme, Mr. Nguyen Huy Trong, Permanent Deputy Director, Vietnam National Southern Oil Spill Response Center
- Meetings/interviews with National Focal Point and partners at the Vietnam Administration of Seas and Islands, Ministry of Natural Resources and Environment, Dr. Nguyen Van Cu, Administrator, VASI; Dr. Vu Si Tuan, Deputy Administrator, VASI; Dr. Dang Huy Ram, Director, International Cooperation Dept, VASI
- Another visit was made to the Vietnam Institute for Fisheries Economics and Planning, Ministry of Agriculture and Rural Development with Ms. Cao Le Quyen, Deputy Director, VIFEP; Ms. Nguyen Nhi Trang Nhung, Deputy Director, Fisheries Administration, MARD
- Institute of Environmental Technology, Vietnam Academy of Science and Technology
- Dr. Nguyen Minh Son, Deputy Director

**Clive Wilkinson**, the Coastal and Ocean Management Specialist Evaluator, visited Guimaras, another demonstration site in the Philippines. Then went to Cambodia to Phnom Penh for meetings with Cambodian Government Officials and the demonstration site in Sihanoukville; followed by the demonstration site in Chonburi, Thailand, and meetings with Thai Government Officials in Bangkok.

For the Guimaras demonstration site in the Philippines, **Clive Wilkinson**:

- Met Dr. Lemuel Aragon, Scientific Advisor and Coordinator of the Special Projects of the Province of Guimaras on Post-Oil Spill Monitoring;
- Had a 1 hour courtesy call at the Governor's Office, Gov. Felipe Hilan Nava, Governor, Guimaras and President, PEMSEA Network of Local Governments. The Governor hosted dinner that night;
- There was a meeting and interviews with PMO and partners and a presentation on Guimaras ICM Journey: 2008-2012 (Guimaras PMO) at the Guimaras Environment and Natural Resources Office by Mr. Gualberto Galia, Provincial ENR Officer, Guimaras Environment and Natural Resources Office, and Director, ICM Project Management Office; with ICM Project Management Office staff: Ms. Arlette Depamaylo; Ms. Juneline de la Cruz; Ms. Nory Zamora; Ms. Rose Jane Sablon; Mr. Leonard Pasiderio;
- Another meeting was held with the Philippine Business for Social Progress (NGO partner), Mr. Dennis Huervana, Program Officer;
- A site visit and meeting and interviews with partners and stakeholders was to the Nueva Valencia Municipal Agriculture Office, hosted by Mr. Oliver Chavez, Municipal Agriculture Officer;
- Another site visit and meeting and interviews with a community NGO, Katilingban sang Magagmay nga Mangingisda sa Dolores (KAMAMADO) (CBO partner), hosted by Mr. Warlito Garonita, Chairperson.

**Clive Wilkinson** travelled to Cambodia specifically for:

- Discussions at the Preah Sihanouk Integrated Coastal Management (ICM) Site Project Management Office, Preah Sihanouk Provincial Hall;
- Discussion were held with PMO and key agencies (DOE, Fisheries, Tourism, Port Authority) for a briefing on the Preah Sihanouk ICM Program: Progress, Outputs, Outcomes and Challenges in PMO office and their 5 year plan;
- There was a welcome dinner with PMO Director, Director of Department of Environment, PMO staff;
- Further discussion and site visits on specific projects were conducted, specifically the beach management project with the Tourism Task Team; the Zoning Task Team with the Tourism and fisheries task team; and Waste management with the Technical Working Group;
- Fishery management was discussed during a side trip to Stung Hav for the Projects on Habitat and Water Management;
- There was a meeting with Sihanoukville Port Authority and many of the staff.
- In Phnom Penh a dinner was held with Mr. Long Rithirak Director General, Ministry of Environment and PEMSEA National coordinator, Cambodia and staff;
- There were also discussions in Phnom Penh on National level activities with a meeting with NFP and Sec of State in the Ministry of Environment (National ICM Scaling Up);

- Discussions were held on capacity development activities which was initiated with the provinces and with the UNDP local office staff;
- Five-year ICM Scaling up plan as well as a meeting with the Merchant Marine Department on the Oil Spill and Contingency Plan.

In Thailand, **Clive Wilkinson** made:

- A courtesy call to Vice Governor Pakarathorn Thienchai, who is responsible for environmental management in the Province, for discussions on the Chonburi environment strategy;
- There was a long and detailed meeting with ICM Secretariat and key partners chaired by Vitaya Khunplome the Chief Executive Officer of the Chonburi Provincial Administrative Organization and Director of the Chonburi ICM Program Management Office (PMO) and Mayor Chatchai Thimkrajang, former Director of the Chonburi ICM PMO and head of the Chonburi Fisheries Association. The presentations covered key activities and achievements, challenges, future plans, followed by a long discussion. A discussion with an officer of Laem Chabang Port was also held concerning the Port Safety, Health and Environmental Management System (PSHEMS) established at Laem Chabang Port;
- A site visit was made to the community driven project in a mangrove conservation area at Klong Tamru SAO;
- Another site visit on habitat restoration at Bangsaen Municipality was made hosted by the Mayor and key staff;
- A third site visit examined a Carbon footprint program at Nong Tanlung Municipality; a non-coastal municipality where there was very active community involvement.
- In Bangkok a meeting was held with DMCR, Marine Department and at the DMCR Office, Bangkok;
- There were presentations related to: 5-year SDS-SEA Plan; Gulf of Thailand Partnership on Joint Oil Spill Preparedness and Response; and discussions on Thailand signing up to PEMSEA declarations.

## **Annex 5: Document Review List**

### **Annotated List of Publications**

1. PEMSEA Top 10 Achievements Brochure
2. PEMSEA Portfolio
3. Policy Brief: Achieving Sustainable Development Targets in a Changing Climate: How Can ICM Help?
4. Brochure - ICM Code
5. Brochure - Model Courses on ICM
6. Brochure - Port Safety, Health and Environment Management System
7. Brochure - State of the Coasts Reporting System
8. Case Study Vol. 1, No. 1: Keeping the Essentials Flowing: Promoting Food Security and Sustainable Livelihood through Integrated Coastal Management (Batangas, Philippines)
9. Case Study Vol. 1, No. 2: Xiamen's Transition to Orderly Seas
10. Case Study Vol. 1, No. 3: Public-Private Partnership in Sustainable Development: The Case of Puerto Galera
11. Case Study Vol. 1, No. 4: Environmental Rehabilitation in a Rapidly Developing Urban Area (Xiamen, PR China)
12. Case Study Vol. 1, No. 5: Beyond Survival: Engaging Communities on Coastal and Marine Management in Stung Hav, Preah Sihanouk, Cambodia
13. Case Study: Catching the Burgeoning Wave of Corporate Responsibility for Manila Bay
14. Case Study: Xiamen
15. State of the Coasts of Batangas Province
16. Manuscript Series: PEMSEA's Experience in the Use of Data/Information in ICM
17. Manila Declaration on Strengthening the Implementation of ICM for Sustainable Development and Climate Change Adaptation in the Seas of East Asia Region
18. Policy Brief: Achieving Sustainable Development Targets in a Changing Climate: How can ICM Help?
19. Policy Brief: Targetted Research and Monitoring Programs for Enhanced Management of the Seas of East Asia and Southeast Asia
20. PEMSEA Accomplishment Report 2020-2011: Partnerships in Action
21. Briefing Note: PEMSEA's Transformation... Why is it important?
22. Regional Review: Implementation of the Sustainable Development Strategy for the Seas of East Asia (SDS-SEA) 2003-2011
23. Reprint: Sustainable Development Strategy for the Seas of East Asia (SDS-SEA)
24. Integrating Climate Change and Disaster Risk Scenarios into Coastal Land and Sea Use planning in Manila Bay
25. State of the Coasts Guidebook
26. State of the Coasts of Guimaras
27. PSHEMS Code
28. PSHEMS Guide
29. PSHEMS Brochure
30. Good Practices in Governance, Food Security and Habitat Management Vol. 17, No. 1
31. Good Practices in Water Management and Climate Change, Vol. 16 No. 2
32. The Marine Economy in Times of Change, Vol. 16 No 1.
33. Coastal Resources: Productivity and Impacts on Food Security, Vol. 15 No. 2
34. Public-Private Partnership (PPP) Terminal Report
35. Proceedings of the Twinning Workshop on Total Maximum Daily Load
36. Proceedings for the Fifth Twinning Workshop

37. Proceedings for the Sixth Twinning Workshop
38. Proceedings of the 2010 PNLG Forum
39. Proceedings of the National Workshop for Local Governments implementing ICM in China
40. Proceedings of the Third EAS Partnership Council Meeting
41. Proceedings of the Second EAS Partnership Council Meeting
42. Proceedings of the Tenth Executive Committee Meeting
43. Proceedings of the Ninth Executive Committee Meeting
44. Proceedings of the Eighth Executive Committee Meeting
45. Proceedings of the Seventh Executive Committee Meeting
46. Proceedings of the Sixth Executive Committee Meeting
47. Proceedings of the Fifth Executive Committee Meeting
48. Proceedings of the Fourth Executive Committee Meeting
49. Proceedings of the Third Executive Committee Meeting
50. EAS Congress Programme
51. EAS Congress Exhibit Directory
52. EAS Congress Brochure
53. EAS Congress Poster
54. EAS Congress/WP/2010/04 Proceedings of Theme 1 Workshop 4 on Addressing Transboundary Issues through Regional/Subregional Seas Cooperation: Initiatives in East Asia
55. EAS Congress/WP/2010/05 Proceedings of Theme 1 Workshop 5 on the Science in Ecosystem-based Management
56. EAS Congress/WP/2010/06 Proceedings of Theme 1 Workshop 6 on Land and Sea-use Zoning: Challenges and Opportunities
57. EAS Congress/WP/2010/07 Proceedings of Theme 1 Workshop 7 on Mainstreaming Marine and Coastal Issues into National Planning and Budgetary Processes
58. EAS Congress/WP/2010/08 Proceedings of Theme 2 Workshop 1 on Government and Industry Partnerships for Effective and Consistent Preparedness Response to Marine Pollution in East Asia
59. EAS Congress/WP/2010/10 Proceedings of Theme 2 Workshop 3 on the Impacts of Climate Change at the Coastal and Ocean Areas of the East Asian Seas Region
60. EAS Congress/WP/2010/11 Proceedings of Theme 2 Workshop 4 on Development and Advances on Marine Biosafety in the Context of the CBD
61. EAS Congress/WP/2010/12 Proceedings of Theme 3 Workshop 1 on Networking of Marine Protected Areas: Benefits, Good Practices, Standards and Next Steps
62. EAS Congress/WP/2010/13 Proceedings of Theme 4 Workshop 2 on Indigenous Approaches to Habitat Protection and Restoration: Experiences in Sato-Umi and Other Community Initiatives
63. EAS Congress/WP/2010/14 Proceedings of Theme 4 Workshop 1 on Alternative Energy: A Solution for Energy Security for Islands and Remote Areas
64. EAS Congress/WP/2010/15 Proceedings of Theme 4 Workshop 2 on Addressing Water Crisis in Rapidly Growing Cities
65. EAS Congress/WP/2010/16 Proceedings of Theme 5 Workshop 1 on Addressing Food Security through Sustainable Aquaculture
66. EAS Congress/WP/2010/17 Proceedings of Theme 5 Workshop 2 on the Future Role of Fisheries in an Urbanized World
67. EAS Congress/WP/2010/18 Proceedings of Theme 5 Workshop 3 on Livelihood Management and Sustainable Coastal Tourism
68. EAS Congress/WP/2010/19 Proceedings of Theme 6 Workshop 1 on Transboundary Pollution Reduction in River Basins and Coastal Areas
69. EAS Congress/WP/2010/20 Proceedings of Theme 6 Workshop 2 on Innovative Policies and Practices in Water Supply, Sanitation and Pollution Reduction
70. EAS Congress/WP/2010/21 Proceedings of the Special Session on Disaster Management



71. EAS Congress/WP/2010/22 Proceedings of the Workshop on Local Action, Global Contribution: Best Practices in Community-based Approaches to Sustainable Coastal and Marine Ecosystems Management
72. EAS Congress/WP/2010/23 Proceedings of the Seminar-Workshop on Green Ports in the ASEAN Region
73. EAS Congress/WP/2010/25 Proceedings of the Workshop on Meeting Human Resources Requirements in Coastal and Ocean Governance
74. EAS Congress/WP/2010/26 Report of the Outputs and Outcomes of the Second East Asian Seas (EAS) Youth Forum
75. EAS Congress/WP/2010/27 Proceedings of Public Private Partnerships (PPP) for the Rehabilitation of Manila Bay: A Corporate Social Responsibility (CSR) Forum
76. YF Toolkit
77. EAS Congress 2012 Brochure
78. EAS Congress Poster
79. EAS Congress Sponsorship Prospectus
80. EAS Congress programme
81. Youth Forum Handbook
82. EAS Congress Exhibit Directory
83. All Quarterly Progress Reports
84. All Project Implementation Reviews
85. All Annual Project Reviews
86. Terminal PEMSEA Project Evaluation - 2006

## Annex 6: Questions Used

Questions used during the evaluation were both generic and specific. The evaluators note that information related to the generic questions, which tended to be what we would term “insider specific,” were not the kinds of questions that national, provincial, and local officials and other stakeholders were knowledgeable. Evaluators found that, generally, respondents and discussants in the field were extremely knowledgeable of the project Components and Outputs in which they were directly involved, but not by Component or Output name as described in project documents.

The list of generic questions included those suggested in UNDP TE guidelines and included:

- *Were the project’s objectives and components clear, practicable and feasible within its time frame?*
- *Were the capacities of the executing institution(s) and its counterparts properly considered when the project was designed?*
- *Were lessons from other relevant projects properly incorporated in the project design?*
- *Were the partnership arrangements properly identified and roles and responsibilities negotiated prior to project approval?*
- *Were counterpart resources (funding, staff, and facilities), enabling legislation, and adequate project management arrangements in place at project entry?*
- *Were the project assumptions and risks well articulated in the PIF and project document?*

Other generic questions, developed by the evaluators included:

*Could you please briefly describe your background (training and experience, including your current position), and your history of, and current connection to the PEMSEA project?*

The Development Objective of the PEMSEA project is:

*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.*

*Based on your experience with, and observations of the project, what do you feel have been the major, specific contributions of the project to:*

- *The extent to which partnership arrangements have been formulated;*

- *The effectiveness of PEMSEA operating mechanisms;*
- *Provision of support services and other resources for achievement of a shared vision of sustainable use of coastal and marine resources and development targets of the WSSD Plan of Action; and*
- *In general, the overall effectiveness of the project in efforts to achieve sustainability of results?*

There are three immediate objectives of the PEMSEA, these include:

1. 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 practices to reduce coastal and marine degradation.
2. 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.
3. 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/WB Pollution Reduction Investment Fund for the LMEs of East Asia.

*Given your experience with the workings of the project, to what extent do you feel the project has been successful in the achievement of these three immediate objectives?*

*Based on your experience with, and observations of the project:*

- *What specific policy reforms in your country, or at regional and local levels, has the project been fully or partly responsible for leveraging?*
- *To what extent have key stakeholders been involved?*
- *What other specific actions, related to the Development and Immediate Objectives of the project Objective at country or regional and local levels, do you feel the project has been partly or fully responsible for leveraging?*

*Could you please identify what you believe to be the two or three most significant accomplishments of the project to date?*

*What do you see as principal weaknesses and/or constraints to progress, if any, regarding project implementation to date?*

*What would you see as the most significant challenges to the future success of the project, particularly, although not exclusively, with regard to the long-term sustainability of project results.*

## **Annex 7: Team Work Plan**

### **TERMINAL EVALUATION: Work Plan**

**UNDP/GEF Project on Implementation of the Sustainable Development Strategy for the Seas of East Asia (SDS-SEA)**, conducted by  
**PEMSEA - Partnerships in Environmental Management for the Seas of East Asia**

#### **A. Evaluation conducted by:**

Mr. David LaRoche, Institutional, Legal and Government Specialist (team leader) and Dr. Clive Wilkinson, Coastal and Ocean Management Specialist

#### **B. Evaluation Schedule:**

The two evaluation consultants, David LaRoche and Clive Wilkinson, will conduct the Terminal Evaluation of the SDS-SEA project according to the attached schedule prepared by PEMSEA, the Executing Agency based in Quezon City, the Philippines (Annex I). The evaluation will be conducted within the period 10 September to 29 October 2012.

It should be noted that the Evaluation Consultants were originally contracted in December 2011 to undertake a Mid-Term Evaluation of this project, which was to be completed in early 2012. However considerable delays have been encountered such that it was decided in February 2012 to merge the Mid-Term and Terminal Evaluation into one process with the dates for completion being progressively rescheduled from May to the current period of September and October. Thus, the Evaluation Consultants have undertaken considerable logistic work outside the contract period.

#### **C. SDS-SEA Project for Evaluation**

The project period under review covers 2010 to 2013 of a project that owes its inception to decisions made within the East Asian Seas (EAS) region, GEF and UNDP in 1999 and following earlier successful projects, the current project has an anticipated span of 10 years within 3 phases:

- 2007-2010 as the initial transition period;
- 2010-2013 as the transformation period and focus for this evaluation; and
- 2013-2017 sustainable operation period, subject to negotiations and agreements between the major stakeholders.

The Final Evaluation will be undertaken consistent with:

1. Terms of Reference (TOR) forwarded to the consultants from UNOPS, and attached as Annex 1 to this Project Inception Report.
2. UNDP guidance for Final Evaluations, also forwarded to the consultants by the UNOPS and also attached as Annex II to this Project Inception Report.

The Terminal Evaluation Consultants understand that the SDS-SEA projects have been coordinated by PEMSEA to operate throughout the East Asian Seas region, and specifically in the principal participating countries: Cambodia, China, Indonesia, Lao PDR, Philippines, Thailand,

Timor-Leste, and Vietnam; along with parallel integrated catchment management projects in partner countries in Brunei-Darussalam, Japan, RO Korea and Singapore. The consultants understand that activities and outputs have been operational across the East Asian Seas region as well as within each participating country.

#### **D. SDS-SEA Project Evaluation Methods**

The Terminal Evaluation Consultants will spend approximately this percentage time in the following locations:

- Manila Philippines – 30.0%;
- Provinces in the Philippines – 8.9%;
- Site visits to Cambodia, China, Thailand and Vietnam – 24.4%;
- Travel to and from the main evaluation location – 5.6%; and
- Home based evaluation and report writing – 31.1%

The Consultants will conduct face-to-face interviews with key project staff at PEMSEA and National Focal Points and project implementers for Cambodia, China, the Philippines, Thailand and Vietnam. Other contacts in Manila may also be interviewed from UNDP, GEF, ADB, World Bank and port authorities, depending on time availability during the course of the PEMSEA arranged Mission. A draft of the PEMSEA arranged Mission schedule appears as Annex 3 to this Project Inception Report.

If possible, selected NGO staff and others involved in, or aware of, the PEMSEA project will also be interviewed, either face-to-face or through use of a questionnaire. Contact will be made with key staff from UNDP, GEF, UNOPS, World Bank and especially National Focal Points for Indonesia, Lao PDR, and Timor-Leste, current members of the PEMSEA Executive Committee and with NFPs from Brunei-Darussalam, Japan, RO Korea and Singapore.

Interviews, questionnaire results, document reviews and observations during site visits will comprise the bulk of data and information to be used in the Final Evaluation.

#### **E. SDS-SEA Project Evaluation Timetable**

The evaluation will follow closely to the following timetable:

- Completion of initial desk review – 14 September 2012
- Completion of 1<sup>st</sup> round of Manila based interviews – 21 September 2012
- Completion on Philippine site visits – 25 September 2012
- Completion on Cambodia, China, Thailand, Vietnam site visits – 05 October 2012
- Completion of Mission to the region – 11 October 2012
- Draft of initial terminal evaluation report submitted to UNOPS – 19 October 2012
- UNDP, GEF, UNOPS, PEMSEA review of draft terminal evaluation report – 24 October 2012
- Completion of Final Evaluation – 29 October 2012.

David LaRoche and Clive Wilkinson,  
18 September 2012

## Annex 8: Annotated Logframe/Results Column Included

Narrative Summary	Indicators	Means of Verification	Status/Outputs (as of July 2012)	Status of Target Completion
<b>COMPONENT A: A FUNCTIONAL REGIONAL MECHANISM FOR SDS-SEA IMPLEMENTATION</b>				
<b>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.</b>				
<b>Output A.1: A country-owned regional mechanism for SDS-SEA implementation</b>				
A.1.1 6-year framework of partnership programs established	✓ (P) 6-year framework of partnership programs adopted by the EAS Partnership Council	<ul style="list-style-type: none"> <li>✓ Proceedings of EAS Partnership Council meetings from 2007 through 2012.</li> <li>✓ Proceedings from Executive Committee meetings 2008 through 2012</li> <li>✓ Sustainable Development Strategy for the Seas of East Asia (SDS-SEA) Implementation Plan 2012-2016</li> </ul>	✓ 5-year regional SDS-SEA Implementation Plan (adopted thru Changwon Declaration, July 2012)	<ul style="list-style-type: none"> <li>✓ Completed</li> <li>✓ PEMSEA-led initiative</li> </ul>
A.1.2 Voluntary regional Partnership Fund developed and operational	✓ (P) Partnership Fund adopted by the EAS Partnership Council	<ul style="list-style-type: none"> <li>✓ UNDP Project Document on PRF Secretariat Services</li> <li>✓ Annual Status reports 2008 through 2011</li> <li>✓ Annual Work Plans for Secretariat Services 2008 through 2012</li> </ul>	✓ Regional Partnership Fund established and managed by UNDP Manila Annual reports on the Partnership Fund, and the use of funds prepared and submitted to contributing countries 2008 through 2011	<ul style="list-style-type: none"> <li>✓ Completed</li> <li>✓ PEMSEA assisted initiative</li> </ul>
A.1.3 Sustainable PRF Secretariat supported by countries and other partners	✓ (P) Cost-Sharing Agreements signed with countries and partners providing funding and in-kind support for the operation of the regional mechanism	✓ Cost-sharing Agreements between UNDP Manila and China, Japan and RO Korea	<ul style="list-style-type: none"> <li>✓ Cost-Sharing Agreements (CSA) signed with China (2006), Japan (2006) and ROK (2007)</li> <li>✓ Annual contribution received</li> <li>✓ Annual accomplishment and financial report submitted to 3 countries by UNDP Manila</li> </ul>	<ul style="list-style-type: none"> <li>✓ Completed</li> <li>✓ PEMSEA assisted initiative</li> </ul>
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.	<ul style="list-style-type: none"> <li>✓ Proceedings of EAS Partnership Council meetings in 2008, 2010 and 2011</li> <li>✓ Proceedings of Executive Committee meetings 2008 through 2012</li> <li>✓ EAS Congress 2009 website</li> <li>✓ Tropical Coasts publications Vol</li> </ul>	<ul style="list-style-type: none"> <li>✓ EAS Congress 2009 and 2012 conducted,</li> <li>✓ EAS Congress 2009 proceedings published</li> <li>✓ EAS Congress 2012 workshop recommendations and International Conference overall recommendations and</li> </ul>	<ul style="list-style-type: none"> <li>✓ Completed</li> <li>✓ PEMSEA-led initiative</li> </ul>

Narrative Summary	Indicators	Means of Verification	Status/Outputs (as of July 2012)	Status of Target Completion
		16 No.2 and Vol 17 No. 1 (EAS Congress 2009) ✓ EAS Congress 2012 website ✓ MOAs. between host governments and PEMSEA (Philippines 2009; RO Korea 2012)	conclusions available in EAS Congress website ✓ Ministerial Declarations from EAS Congresses 2009 (Manila Declaration) and 2012 (Changwon Declaration) signed	
A.1.5 State of Coasts reporting system in place	✓ (P) EAS Partnership Council adopts the State of Coasts reporting system; ✓ (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 ✓ (P) Regional State of Coasts report submitted to EAS Congress/Ministerial Forum 2009	✓ Proceedings of EAS Partnership Council of 2007 and 2011 ✓ Dongying Declaration of the PEMSEA Network of Local Governments (2011) ✓ Guidebook on State of the Coasts reporting for Local Governments in the East Asian Seas region (2011) ✓ Regional Review: Implementation of the Sustainable Development Strategy for the Seas of East Asia (SDS-SEA) 2003-2011	✓ EAS Partnership Council Meeting #1 (2007) decides to focus SOC reporting on local governments implementing ICM programs ✓ EAS Partnership Council Meeting #4 adopts the SOC Guidebook for Local Governments, July 2011 ✓ PEMSEA Network of Local Governments commits to 100 percent SOC reporting system among membership by 2015 (Dongying Declaration 2011) ✓ Regional review of SDS-SEA implementation and national SDS-SEA implementation completed, published and disseminated during EAS Congress, July 2012	✓ Completed ✓ PEMSEA-led initiative
<b>Output A.2: A Plan of Action for transforming PEMSEA into a long term, self-sustained regional implementing mechanism for the SDS-SEA</b>				
A.2.1 Benefits and constraints of different operating and administrative arrangements reviewed and discussed among countries, with recommendations to be considered by countries	✓ (P) Series of seminars/ consultations involving Foreign Affairs, National Focal Agencies and other stakeholder groups from participating countries	✓ Proceedings of the EAS Partnership Council 2007 through 2011 ✓ Proceedings of the Executive Committee 2008-2012	✓ EAS Partnership Council Meetings #1 through #4 explore options and make decisions regarding PEMSEA's transformation. ✓ Agreement Recognizing the International Legal Personality of PEMSEA signed by 8 countries	✓ Completed ✓ PEMSEA-led initiative

Narrative Summary	Indicators	Means of Verification	Status/Outputs (as of July 2012)	Status of Target Completion
and their partners for transformation to a long term, self-sustained regional implementing mechanism for the SDS-SEA.			(November 2009) ✓ Headquarters Agreement (HQA) signed by Department of Foreign Affairs (July 2012) ✓ PEMSEA Transformation Plans and Road Maps (PRF Re-engineering Plan; Financial Sustainability Plan; Advocacy and Communication Plan adopted October 2011) ✓ PEMSEA Governance and By-Laws with Annexes 1-6 adopted (October 2011); Annexes 7-10 being developed target completion October 2012.	
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	✓ Agreement Recognizing the International Legal Personality of PEMSEA ✓ Headquarters Agreement (HQA)		
A.2.3 Plan of Action endorsed by the EAS Partnership Council 2008	✓ (P) Plan of Action adopted and incorporated into the work program of EAS Partnership Council	✓ Proceedings of the EAS Partnership Council meeting July 2011 ✓ Meeting documents		✓ Completed ✓ PEMSEA-led initiative
A.2.4 Plan of Action initiated, including preparation of working documents for the PEMSEA transformation.	✓ (P) Drafting of working documents initiated	✓ Proceedings of Executive Committee October 2011 ✓ PEMSEA Transformation Plans and Road Maps (PRF Re-engineering Plan; Financial Sustainability Plan; Advocacy and Communication Plan) ✓ PEMSEA Governance and By-Laws with Annexes 1-6		✓ Completed ✓ PEMSEA-led initiative
<b>COMPONENT B: NATIONAL POLICIES AND REFORMS FOR SUSTAINABLE COASTAL AND OCEAN GOVERNANCE</b>				
<b>Outcome 2: National policies and programs on sustainable coastal and ocean development mainstreamed into social and economic development programs of participating countries</b>				
<b>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>				
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	✓ Proceedings of the Regional Workshop on Contributions of Marine Economic Sectors (EAS Congress 2009 WP/2010/02) ✓ Tropical Coasts publication Vol.16 No.1, July 2009	✓ Regional Workshop on Contributions of Marine Economic Sectors to Regional and National GDP in an Uncertain Climate conducted at EAS Congress 2009 (November 2009) and Report available in PEMSEA/Congress website	✓ Completed ✓ PEMSEA-led initiative
B.1.2 Two (2) national assessments of the social and economic contributions of coastal	✓ (P) Philippines and RO Korea reports prepared/published	✓ Tropical Coasts publication Vol.16 No.1, July 2009 ✓ China report on contributions of coastal and marine	✓ Tropical Coasts issue "The Marine Economy in Times of Change" published including national assessments of	✓ Completed ✓ PEMSEA-led initiative



Narrative Summary	Indicators	Means of Verification	Status/Outputs (as of July 2012)	Status of Target Completion
and marine areas/sectors in participating countries.		areas/sector, 2010	Malaysia, Thailand, RO Korea, Vietnam, Japan, Indonesia, Philippines, China) (July 2009) ✓ China update report on contributions of coastal and marine areas/sector developed (2010)	
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	✓ Report of the Regional Workshop on Contributions of Marine Economic Sectors (EAS Congress 2009 Workshop Proceedings/2010/02) ✓ Conclusions and Recommendations of Subtheme 1: Nurturing Coastal and Ocean Based Blue Economies in ppt – EAS Congress 2012 website (July 2012)	✓ Subtheme 1 workshops on Blue Economy, EAS Congress 2012 conclusions and recommendations available in EAS Congress website (July 2012)	✓ Completed ✓ PEMSEA-led initiative
<b>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>				
B.2.1 Two (2) participating countries develop, adopt and implement, and three (3) countries initiate: a. national SDS-SEA policy and national multi-sectoral and interagency coordinating mechanisms for the implementation of the SDS-SEA; and b. 6-year framework plans for the implementation of the SDS-SEA, including ICM scaling-up programs, strategies, time-bound management targets,	✓ (P) RO Korea and Vietnam adopt and implement policy reforms for integrated management of coastal and marine areas ✓ (P) China, Philippines and Thailand initiate policy reforms for integrated management of coastal and marine areas ✓ (P) Interagency and multi-sectoral coordinating mechanisms established and operating in RO Korea and Vietnam to coordinate the implementation of the SDS-SEA ✓ (P) 6-year framework plans adopted in RO Korea and Vietnam, with relevant agencies allocating resources and	✓ Regional Review: Implementation of the Sustainable Development Strategy for the Seas of East Asia (SDS-SEA) 2003-2011, including policies/legislations and institutional arrangements on coastal and ocean development and management in EAS countries ✓ Draft 5-year SDS-SEA Implementation Plans for Cambodia, China, Indonesia, Lao PDR, Philippines, Thailand, Timor Leste and Vietnam	✓ China, Japan, RO Korea, Singapore, and Vietnam develop policy/legislation (Regional Review 2012) ✓ Cambodia, Indonesia, Thailand, Timor Leste with policy being developed (Regional Review 2012) ✓ 5-year SDS-SEA Implementation Plans adopted in China (2012); ✓ RO Korea adopted and initiated Ocean Korea 21, Basic Plan for Ocean and Fisheries Development (2011-2020) ✓ Cambodia; Indonesia; Lao PDR; Philippines; Thailand; Timor Leste; and Vietnam develop 5-year SDS-SEA Implementation Plans	✓ Completed ✓ PEMSEA assisted national governments to develop and adopt national SDS-SEA policy and programs in 8-GEF eligible countries ✓ Japan and Singapore developed policy and programs in parallel to PEMSEA and in support of SDS-SEA objectives ✓ PEMSEA-assisted initiative on 5-year SDS-SEA Implementation Plans in China, Cambodia, Indonesia, Philippines, Lao PDR,

Narrative Summary	Indicators	Means of Verification	Status/Outputs (as of July 2012)	Status of Target Completion
priority actions and implementing arrangements for the implementation of SDS-SEA, in consultation with stakeholders.	assigning managers and staff to implement work programs		<ul style="list-style-type: none"> <li>✓ Cambodia, DPR Korea, Indonesia, Japan, Lao PDR, RO Korea, Singapore, Thailand, Timor Leste; Vietnam with interim interagency arrangements</li> <li>✓ RO Korea with 2<sup>nd</sup> ICM Plan 2011-2020 and 1<sup>st</sup> Marine Ecosystem Conservation and Management Plan</li> <li>✓ Singapore Sustainable Blueprint (2009)/Singapore Green Plan 2012, IUCM Plan (2009), Strategies for Sustainable Growth (2010-2030)</li> </ul>	<ul style="list-style-type: none"> <li>✓ Thailand, Timor Leste and Vietnam</li> <li>✓ PEMSEA-assisted initiative to set up interim institutional mechanisms in China, Timor Leste, Vietnam</li> </ul>
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	<ul style="list-style-type: none"> <li>✓ Proceedings of the regional workshop on Coastal/Ocean Policy and Legislation: Implementation and New Initiatives (EAS Congress/WP/2010/01)</li> <li>✓ Conclusions and Recommendations of the Regional Workshop on Consolidation and Replication of ICM –EAS Congress 2012 website (EAS Congress, July 2012)</li> </ul>	<ul style="list-style-type: none"> <li>✓ Regional workshop on Coastal /Ocean Policy and Legislation: Implementation and New Initiatives conducted (EAS Congress, November 2009)</li> <li>✓ Regional workshop on Consolidation and Replication of ICM Lessons and Good Practices conducted (EAS Congress, July 2012)</li> </ul>	<ul style="list-style-type: none"> <li>✓ Completed</li> <li>✓ PEMSEA-led initiative</li> </ul>
<b>COMPONENT C: SCALING UP ICM PROGRAMS</b>				
<b>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.</b>				
<b>Output C.1: Institutional arrangements for national ICM programs in place</b>				
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	<ul style="list-style-type: none"> <li>✓ Proceedings of Leadership Forums in Indonesia (December 2010) and Vietnam (June 2011)</li> <li>✓ Reports of national consultations on SDS-SEA and 5-Year</li> </ul>	<ul style="list-style-type: none"> <li>✓ Indonesia and Vietnam leadership forums conducted and reports prepared (December 2010; and June 2011)</li> <li>✓ National consultation reports in</li> </ul>	<ul style="list-style-type: none"> <li>✓ 90% complete</li> <li>✓ PEMSEA-assisted initiative</li> <li>✓ National consultations to adopt 5-year implementation plans in</li> </ul>

Narrative Summary	Indicators	Means of Verification	Status/Outputs (as of July 2012)	Status of Target Completion
	✓ (P) Plan of action for policy development/reform	Implementation Plan in Cambodia, China, Indonesia, Lao PDR, Philippines, Thailand, Timor Leste and Vietnam	Cambodia, China, Indonesia, Lao PDR, Philippines, Thailand, Timor Leste and Vietnam (SDS and 5-year plan consultations)	the 4 <sup>th</sup> quarter of 2012.
C.1.2 Two (2) participating countries to develop, adopt and implement, and 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.	✓ (P) ICM policies/legislation and 6-year action plans for ICM implementation adopted and implemented in China and the Philippines, and initiated in Cambodia, Indonesia and Vietnam; ✓ (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	✓ Regional Review: Implementation of the Sustainable Development Strategy for the Seas of East Asia (SDS-SEA) 2003-2011 ✓ Policies/legislation on coastal and ocean development and management in EAS countries ✓ National medium-term development plans: <ul style="list-style-type: none"> <li>- Cambodia National Green Growth Roadmap</li> <li>- China's Twelfth Five Year Plan (2011-2015)</li> <li>- Indonesia National Medium-Term Development Plan 2010-2014</li> <li>- Japan 5<sup>th</sup> Comprehensive National Development Plan Grand Design for the 21<sup>st</sup> Century</li> <li>- Lao's Seventh Five-Year National Socio-Economic Development Plan (2011-2015)</li> <li>- Philippine Development Plan 2011-2016</li> <li>- ROK National Green Growth Strategy</li> <li>- Singapore Green Plan</li> <li>- Thailand Summary of Eleventh National Economic and Social Development Plan (2012-2016) –Summary</li> <li>- Timor Leste Strategic Development Plan (2011-</li> </ul>	✓ ICM identified in policies and plans of countries ✓ Coastal Management Act (revision 2009) in RO Korea to include climate and disaster issues ✓ RO Korea adopts and initiates 2 <sup>nd</sup> Integrated Coastal Management Plan (2011-2020) ✓ Basic Plan on Ocean Policy (2008) adopted by Japan ✓ National Marine Development Program (2008) adopted in China ✓ China 5-year SDS-SEA Implementation Plan adopted (2012) ✓ Cambodia, Indonesia, Philippines, Timor Leste, Vietnam 5-year national ICM Plan and program developed; adoption pending ✓ National medium-term development plans with coastal and ocean governance objectives adopted in China, Cambodia, Indonesia, Lao PDR, Philippines, Thailand, Timor Leste, Vietnam	✓ Completed ✓ PEMSEA-assisted initiatives for SDS-SEA implementation plans in 8 GEF-eligible countries ✓ Japan, Singapore and RO Korea developed policy and programs in parallel to PEMSEA and in support of SDS-SEA objectives

Narrative Summary	Indicators	Means of Verification	Status/Outputs (as of July 2012)	Status of Target Completion
		2030) - Vietnam Five Year Socio-Economic Development Plan 2006-2010		
C.1.3 Systematic process for monitoring, evaluating and reporting the effectiveness of national and local ICM programs implemented.	<ul style="list-style-type: none"> <li>✓ (P) Systematic monitoring, evaluation and reporting system for ICM adopted and implemented in Cambodia, China, Indonesia, Philippines and Vietnam</li> <li>✓ (P) Regional State of Coasts report submitted to EAS Congress/Ministerial Forum 2009</li> <li>✓ (SR) 5% of the region's coastline confirmed to be initiating or implementing ICM programs</li> <li>✓ (ESSI) Increased stakeholder participation in coastal governance at the local and country levels</li> <li>✓ (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 and/or undergoing restoration; improvements in fishery management and stabilization of some coastal fish stocks and alternate increase in biomass.</li> </ul>	<ul style="list-style-type: none"> <li>✓ State of Coasts reports (11 ICM sites)</li> <li>✓ Dongying Declaration on Building a Blue Economy through Integrated Coastal Management (PNLG Forum, July 2011)</li> <li>✓ Regional Review: Implementation of the Sustainable Development Strategy for the Seas of East Asia (SDS-SEA) 2003-2011</li> </ul>	<ul style="list-style-type: none"> <li>✓ PEMSEA Accomplishment reports</li> <li>✓ Regional SDS-SEA review 2003-2011</li> <li>✓ State of Coasts (SOC) Reports in ICM sites</li> <li>✓ SOC reporting system adopted by PNLG Forum 2010 through Dongying Declaration, with target application of SOC in 100% of PNLG members by 2015</li> </ul> <p>SOC reports prepared:</p> <ul style="list-style-type: none"> <li>✓ Batangas- published (2008)</li> <li>✓ Guimaras- published (2012)</li> <li>✓ Xiamen - draft</li> <li>✓ Sihanoukville -draft</li> <li>✓ Danang -draft</li> <li>✓ Chonburi -draft</li> <li>✓ Liquica -draft</li> <li>✓ Manatuto -draft</li> <li>✓ Sedone -draft</li> <li>✓ Dongying -draft</li> <li>✓ Changwon (Masan)-draft</li> <li>✓ (SR) Exceeded target</li> <li>✓ (Target: 5% of ICM coverage of the region's coastline) (Actual: 10-11% covered by ICM)</li> </ul>	<ul style="list-style-type: none"> <li>✓ 90% complete</li> <li>✓ PEMSEA-led initiative</li> <li>✓ Publications of draft SOC reports in 4<sup>th</sup> quarter 2012</li> <li>✓ Stress reduction has been documented in some SOC reports. However, most reports detail baseline information in ICM sites just starting their programs</li> <li>✓ ESSI indicators documented in SOC reports</li> <li>✓ Will achieve some robust documented data on stress reduction and environmental status indicators for some ICM programs (e.g. Batangas, Bohai Sea, Xiamen )</li> </ul>
<b>Output C.2: Capacity building strengthened for local government ICM programs</b>				
C.2.1 Existing ICM sites	✓ (P) Coastal strategies adopted	✓ Case studies	✓ Case Studies published	✓ Completed

Narrative Summary	Indicators	Means of Verification	Status/Outputs (as of July 2012)	Status of Target Completion
operating as working models and supporting their respective national ICM programs	and implemented by local governments (Cambodia, China, Indonesia, Philippines, Thailand, Vietnam) ✓ (P) Good practices and case studies documented for replication/use in national scaling up programs	<ul style="list-style-type: none"> <li>- Bali, Vol. 3, No.3. July 2012</li> <li>- Batangas Vol. 1, No. 1 Oct. 2009</li> <li>- Chonburi Vol. 3, No. 2 July 2012</li> <li>- Sihanoukville Vol. 1 No. 5 June 2010</li> <li>- Xiamen Vol. 1 No. 2 Nov. 2009</li> <li>- Xiamen Vol. 1, No. 4 Nov. 2009</li> <li>- Danang (draft)</li> <li>- Occheateal Beach (draft)</li> </ul> <ul style="list-style-type: none"> <li>✓ Coastal strategies/updated ICM implementation plans</li> <li>- Batangas Strategic Environmental Management Plan 2005-2020</li> <li>- Xiamen 2<sup>nd</sup> cycle ICM Strategic Environmental Management Plan</li> <li>- Chonburi updated implementation plan 2008-2011 and 2012-2014</li> <li>- Sihanoukville updated implementation plan</li> </ul>	<ul style="list-style-type: none"> <li>(Batangas; Xiamen (2); Bali; Chonburi; Danang; Sihanoukville)</li> <li>✓ Coastal strategies/ICM implementation plans updated (Batangas; Chonburi; Sihanoukville; Xiamen)</li> </ul>	✓ PEMSEA-assisted initiative
C.2.2 ICM learning networks and training programs set up in 3 countries	<ul style="list-style-type: none"> <li>✓ (P) Learning networks incorporated into national ICM scaling up programs in Indonesia, Philippines and Vietnam</li> <li>✓ (P) National Task Forces for ICM set up in China, Indonesia, Philippines and Vietnam, and providing technical assistance to local government units</li> </ul>	<ul style="list-style-type: none"> <li>✓ MOAs/agreements with ICM Learning Centers</li> <li>- De la Salle (Oct. 2008)</li> <li>- RUPP (Feb. 2009)</li> <li>- Danang (March 2009)</li> <li>- Bogor (July 2009)</li> <li>- UP Visayas (Aug. 2010)</li> <li>- Xiamen (Feb. 2011)</li> <li>- Xavier (April 2011)</li> <li>- DPRK (Nov. 2003)</li> <li>✓ Concept paper of ICM Learning Network in Indonesia</li> <li>✓ Certificate of Accreditation to RTFs and NTFs</li> </ul>	<ul style="list-style-type: none"> <li>✓ 8 ICM Learning/training centers established (China, Cambodia, Indonesia, Philippines, Vietnam, DPR Korea)</li> <li>✓ National Task Forces in Cambodia, China, Indonesia, Philippines, Thailand, Vietnam)-from Learning Centers, from ICM sites and National agencies</li> </ul>	<ul style="list-style-type: none"> <li>✓ 90% complete</li> <li>The adoption of national ICM programs wherein ICM learning networks are incorporated are targeted by end of 2012 to complete the target.</li> <li>✓ PEMSEA-led initiative</li> <li>✓ Learning centers/networks identified in national ICM training programs in Indonesia and Philippines; adoption of national ICM programs pending 4<sup>th</sup> quarter 2012</li> </ul>
C.2.3 ICM training manuals, practical guides and case	✓ ICM training manual developed and published	✓ Training manuals/programs published/developed:	✓ ICM training manuals/materials developed (include translated	<ul style="list-style-type: none"> <li>✓ Completed</li> <li>✓ PEMSEA-led initiative</li> </ul>

Narrative Summary	Indicators	Means of Verification	Status/Outputs (as of July 2012)	Status of Target Completion
<p>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-national level.</p>	<p>✓ (P) 10 trainers accredited for ICM training</p> <p>✓ (P) 200 newly trained ICM practitioners engaged in ICM programs</p>	<p>- ICM Course 1 Manual (2010)</p> <p>- ICM Manual (Korean, 2011; Chinese, )</p> <p>- ICM materials in ppt (Vietnamese; Bahasa)</p> <p>- SOC training materials (Bahasa)</p> <p>- SOC Guidebook (English, Dec. 2011; Chinese)</p> <p>- PDM training materials in ppt</p> <p>- CLSUZ Course 1 Instructor's Guide (2010)</p> <p>- CUZ 2 Instructor's Manual</p> <p>- Fisheries Zone Development and Management Training Course Manual</p> <p>- Tourism Zone Development and Management Level 2 Course 1 Instructor's Manual</p> <p>- PEMSEA's Guide to Developing a Coastal Strategy (2008)</p> <p>- IIMS Guide (Vietnamese)</p> <p>✓ Certificate of Accreditation to RTFs and NTFs</p> <p>✓ Training List of Participants 2008-2012</p> <p>✓ ICM Practitioners Awarded with Certificate of Accreditation 2008-2012</p>	<p>versions-Chinese, Korean, Vietnamese, Bahasa)</p> <p>✓ Special skills training manuals (CUZ; Fisheries; Conservation, Tourism)-drafts developed</p> <p>✓ Training materials on SOC,IIMS,PSHEM,PDM developed</p> <p>✓ 62 ICM and specialized training courses conducted</p> <p>✓ 1,900 individuals trained</p> <p>✓ 4 ICM core courses developed and disseminated</p> <p>✓ 60 RTF and NTF mobilized</p> <p>✓ Exceeded targets (Target: 10 trainers) (Actual: 60RTF and NTF mobilized for various trainings/workshops/ Technical support)</p> <p>(Target: 200 newly trained) (Actual:1,900 individuals trained)</p>	
<p>C.2.4 ICM Good Practices Award developed, recognizing local governments that have displayed commitment and achievement in the implementation of ICM programs.</p>	<p>✓ (P) EAS Partnership Council establishes ICM Awards Committee and Good Practices Award eligibility criteria and operating modality established</p> <p>✓ (P) Awards presented to local governments</p>	<p>✓ ICM Good Practice General Criteria</p> <p>✓ ICM Good Practices Recognition Criteria Checklist</p> <p>✓ ICM Certificates and List of Awardees (2009)</p>	<p>✓ Trial run at EAS Congress 2009 of ICM Awards and Good Practices Award eligibility criteria and operating modality (criteria, process and awardees, certificates)</p>	<p>✓ Completed</p> <p>✓ PEMSEA-led initiative</p> <p>✓ Follow-on activity integrated with Output C.3, ICM Code and Recognition System</p>

Narrative Summary	Indicators	Means of Verification	Status/Outputs (as of July 2012)	Status of Target Completion
<b>Output C.3: An ICM Code adopted by national and local governments for voluntary use as a standard for certification/recognition of ICM sites</b>				
C.3.1 ICM Code, audit guide and training program tested/verified	<ul style="list-style-type: none"> <li>✓ (P) Peer Review Group, comprised of national and international specialists in ICM, organized to guide and review Code development</li> <li>✓ (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.</li> </ul>	<ul style="list-style-type: none"> <li>✓ ICM Code Experts Review Comments - 8 reviews (2009)</li> <li>✓ ICM Code (2009, 2010 and 2012 versions)</li> <li>✓ Dongying Declaration of the PEMSEA Network of Local Governments (2011)</li> </ul>	<ul style="list-style-type: none"> <li>✓ ICM Code of Good practice developed in 2009</li> <li>✓ Expert review conducted in 2010</li> <li>✓ ICM Code and Recognition System finalized in 2012</li> <li>✓ PNLG Dongying Declaration (2011)-commitment for ICM Code implementation in 50% of member sites by 2015</li> </ul>	<ul style="list-style-type: none"> <li>✓ 80% complete</li> <li>Testing of ICM Code to be undertaken in Dongying, China (Nov. 2012); Code to be finalized based on the result in Dongying; Adoption of the ICM Code and Recognition System by the EAS Partnership Council in 2013.</li> <li>✓ PEMSEA-led initiative</li> <li>✓ ICM Code and Recognition System to be tested, demonstrated and presented to EAS Partnership Council in June 2013</li> </ul>
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.	<ul style="list-style-type: none"> <li>✓ (P) ICM certification/recognition system tested at 2 ICM sites</li> <li>✓ (P) ICM Certification/Recognition service prepared by PRF</li> </ul>	<ul style="list-style-type: none"> <li>✓ Proposed Training Workshop programme- ICM Code Orientation and Initial Status Review (Dongying, China)</li> </ul>	<ul style="list-style-type: none"> <li>✓ Plan for ICM Code and recognition System</li> <li>✓ Proposed programme Work plan and budget for roll out in Dongying, PR China, October 2012-April 2013</li> <li>✓ Sharing of experience at PNLG meeting, July 2013 (future activity)</li> </ul>	
<b>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)</b>				
C.4.1 PSHEM Code recognized by international agencies, authorities and associations with concerns/focus on port development and operations.	<ul style="list-style-type: none"> <li>✓ (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</li> </ul>	<ul style="list-style-type: none"> <li>✓ PSHEM Code (May 2012)</li> <li>✓ PSHEMS Development and Implementation Guideline (May 2012)</li> <li>✓ PSHEM Code submission to IMO (2012)</li> <li>✓ MOAs/agreements signed: <ul style="list-style-type: none"> <li>- LOC with GTZ (March 2010)</li> <li>- MOA Port Authority of Thailand (Oct. 2008)</li> <li>- MOA Phnom Penh Autonomous Port (Nov. 2011)</li> <li>- MOA Port Authority of the</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>✓ PSHEM Code adopted by Executive Committee on behalf of the Council (October 2011)</li> <li>✓ Submission to IMO Council regarding PSHEM Code and Recognition System (2012)</li> <li>✓ MOAs between PEMSEA, GTZ (March 2010), and national port authorities in Philippines, Thailand, Cambodia; and Sihanoukville</li> <li>✓ MOA between PEMSEA and Yeosu/KOICA regarding</li> </ul>	<ul style="list-style-type: none"> <li>✓ Completed</li> <li>✓ PEMSEA-led initiative</li> </ul>

Narrative Summary	Indicators	Means of Verification	Status/Outputs (as of July 2012)	Status of Target Completion
		Philippines (Port of Cagayan de Oro) (Oct. 2011) - MOA Port Authority of the Philippines (Port of Iloilo) (Aug. 2010) - MOA Sihanoukville Autonomous Port (Dec. 2009) - Funding Agreement Regarding the Implementation of the Yeosu Project on PSHEMS (January 2012) - Subcontract Korea Maritime University on PEMSEA Yeosu PSHEM Project (May 2012) - Conclusions and Recommendations of Workshop on Green Ports: Gateway to a Blue Economy in ppt (EAS Congress 2012 website, July 2012)	governance system development and implementation (January 2012) ✓ Green Ports workshop conclusions and recommendations EAS Congress 2012	
C.4.2 PSHEMS initiated in three (3) ports, building capacity within the region/ports on PSHEMS application.	✓ (P) Training on PSHEMS implementation cost-shared with port authorities and companies operating in ports	✓ MOAs same as C.4.1 ✓ Mission reports on trainings/workshops/audits on PSHEMS in ports: - Port of Cagayan de Oro (Dec 2011; March 2012; July 2012) - SHV Port (May 2009; Feb 2010; March 2010; Sep 2011; Feb 2012) - Phnom Penh Port (Feb 2010; Feb 2012; May 2012) - Iloilo Port (Jan 2010; May 2011; Sept; 2011; Nov 2011; May 2012) - Laemchabang Port (Sep 2008; Oct 2008; March 2009; May 2009; July 2009) - Bangkok Port (Dec 2007; Oct 2008; March 2009; July 2009) - Port Authority of Thailand (Jan 2009; Jan 2010)	✓ PSHEMS agreement with Iloilo (Aug.2010); SHV(Dec.2009) and Phnom Penh (Nov.2011);Cagayan De Oro (Oct.2011) ✓ Training reports from PSHEMS workshops at the sites ✓ Exceeded target (Target: PSHEMS initiated in 3 ports) (Actual: PSHEMS initiated in 4 ports)	✓ Completed ✓ PEMSEA-led initiative



Narrative Summary		Indicators	Means of Verification	Status/Outputs (as of July 2012)	Status of Target Completion
			<ul style="list-style-type: none"> <li>- Saigon Port (Feb 2010)</li> <li>- Tanjung Perak Port (March 2010)</li> <li>- Project inception workshop ASEAN-GTZ (Jan 2010)</li> </ul>		
C.4.3	PSHEMS Certification/Recognition system set in place, in collaboration with national governments, private sector, donors, and other concerned stakeholders.	<ul style="list-style-type: none"> <li>✓ (SR) PSHEMS Certification/Recognition issued to port authorities and companies operating in ports</li> <li>✓ (SR) Reductions in the number of accidents/ environmental incidents</li> <li>✓ (SR) PRF providing PSHEM Certification/Recognition service</li> </ul>	<ul style="list-style-type: none"> <li>✓ PEMSEA EC Meeting Report #9 (October 2011)</li> <li>✓ Certificates of Recognition issued: <ul style="list-style-type: none"> <li>- Bangkok Port-Provision of Port Operations (Certificate No. PEMSEA 110824MY0002)</li> <li>- Bangkok Port- Provision of Dangerous Goods Handling (Certificate No. PEMSEA 091124MY0002)</li> <li>- Laemchabang Port- Provision of Port Management, Control and Operation (Certificate No. PEMSEA 091124MY0003)</li> <li>- Port of Tanjung Pelepas-Provision of Terminal Operations Services, Marine Services and Free Zone Services (Certificate No. PEMSEA 091124MY0001)</li> <li>- Funding Agreement Regarding the Implementation of the Yeosu Project on PSHEMS (January 2012)</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>✓ PSHEM Code and PSHEMS Development and Implementation Guideline approved as PEMSEA-certified document by 9<sup>th</sup> EC Meeting (Oct. 2011)</li> <li>✓ PSHEM Code and PSHEMS Development and Implementation Guideline published (May 2012)</li> <li>✓ Recognition certificates issued in Bangkok, Laemchabang (Thailand) and PTP (Malaysia)</li> <li>✓ Annual surveillance reports in Bangkok, Laemchabang and PTP</li> <li>✓ Case studies from Bangkok and Laemchabang</li> <li>✓ Support from Yeosu Fund and GTZ to scale up the application of PSHEMS among ASEAN ports (ongoing)</li> </ul>	<ul style="list-style-type: none"> <li>✓ Completed</li> <li>✓ PEMSEA-led initiative</li> </ul>
<b>COMPONENT D: TWINNING ARRANGEMENTS FOR RIVER BASIN AND COASTAL AREA MANAGEMENT</b>					
<b>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</b>					
<b>Output D.1: Regional twinning arrangements developed and implemented for site-specific river basin and coastal area management programs</b>					
D.1.1	Capacity building and training, staff exchanges, internships/on-the-job training, study tours/site visits, technology	<ul style="list-style-type: none"> <li>✓ (P) Twinning and partnership arrangements negotiated and signed between the interested sites, institutions and/or programs for the application of</li> </ul>	<ul style="list-style-type: none"> <li>✓ Agreements signed: <ul style="list-style-type: none"> <li>- MOU University of Maryland (Oct 2009)</li> <li>- MOA State Oceanic Administration, China (June</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>✓ MOAs with Maryland University, LLDA/Pasig River, Bohai Sea sites</li> <li>✓ Twinning Workshops organized and implemented in Manila (2009) Jakarta (2010) and Dalian</li> </ul>	<ul style="list-style-type: none"> <li>✓ Completed</li> <li>✓ PEMSEA-led initiative, with financial support from MLTM/RO Korea</li> </ul>

Narrative Summary	Indicators	Means of Verification	Status/Outputs (as of July 2012)	Status of Target Completion
transfer, and technical cooperation and assistance.	ecosystem management approaches and for the strengthening of marine protected areas	2009) - MOU DENR, Laguna Lake Development Authority and Pasig River Rehabilitation Commission (July 2010) ✓ Proceedings of Twinning Workshop on TMDL (PEMSEA/WP/2009/23) ✓ Proceedings of the Fifth Regional Twinning Workshop on IRBCAM (PEMSEA/WP/2010/24) ✓ Proceedings of the Sixth Twinning Workshop on IRBCAM (PEMSEA/WP/2011/26)	(2011)	
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	✓ MOA on Establishment of the Secretariat for PEMSEA IRBCAM Network (June 2008) ✓ LOA with KMI (Dec 2008) ✓ Extension of Agreement with MLTM and KMI (Dec 2010)	✓ MOA with MLTM/KMI establishing the Twinning Secretariat (June 2008) ✓ Agreement with KMI for Twinning workshops (Dec.2008 and Dec. 2010)	✓ Completed ✓ PEMSEA-assisted initiative
D.1.3 Site specific river basins and coastal seas management programs established in: a. Bohai Sea; b. Manila Bay; c. Gulf of Thailand; d. Jakarta Bay; and e. Masan-Chinhae Bay.	✓ (SR) a management 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 ✓ (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	✓ Integrated Ciliwung River Basin and Marine Coastal of Jakarta Bay Strategic Plan 2010 - MOU (in Bahasa) ✓ Guangli River Watershed and Dongying Integrated Coastal Zone Management Project Report (Dec 2010) ✓ Guangli baseline report (in Chinese) ✓ Guangli River Report (in Chinese) ✓ Luanhe River Basin Pollution Load Report ✓ Xiao Qinghe Report (in Chinese) ✓ Mission report on Bohai Sea Project's mid-term assessment and planning workshop (Sep 2010) ✓ Supreme Court Decision on	✓ Indonesia: Jakarta Bay Coastal Strategy and Declaration completed in 2010; implementation initiated ✓ China: Total Pollutant Load studies in 4 river basins Bohai Sea (2012); investment plan completed in Guangli River watershed; WB Strategic Partnership incorporates Guangli River into investment project ✓ Philippines: - Supreme Court decision for Manila Bay (2008) directs national agencies to implement Operational Plan Manila Bay Coastal Strategy; revised	✓ Completed ✓ PEMSEA-assisted initiatives

Narrative Summary	Indicators	Means of Verification	Status/Outputs (as of July 2012)	Status of Target Completion
	<ul style="list-style-type: none"> <li>✓ Sewerage Project; (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;</li> <li>✓ (SR) A river basin-coastal area ecosystem-based management strategy for sustainable development of a watershed area in Jakarta Bay.</li> <li>✓ (P) Case studies on the experience and lessons gained from the development of a total pollution load management (TPLM) plan for Masan-Chinhae Bay</li> </ul>	<ul style="list-style-type: none"> <li>Manila Bay (2008)</li> <li>✓ Revised Manila Bay Coastal Strategy Operational Plan (2011)</li> <li>✓ Total Pollution Loading Study in the Laguna de Bay- Pasig River-Manila Bay watershed</li> <li>✓ Integrating Climate Change and Disaster Risk Scenarios into Coastal Land and Sea Use Planning in Manila Bay (June 2012)</li> <li>✓ Manila Bay Oil Spill Contingency Plan (Nov 2006)</li> <li>✓ Report of Inception Workshop and First Project Steering Committee Meeting of the UNEP/GEF Project “Global Foundations for Reducing Nutrient Enrichment and Oxygen Depletion from Land-based Pollution in Support of Global Nutrient Cycle” (March 2012)</li> <li>✓ Project document on Global foundations for reducing nutrient enrichment and oxygen depletion from land based pollution, in support of Global Nutrient Cycle (2012)</li> <li>✓ MOA- Project on Strengthening Oil Spill Preparedness and Response in a Subregional Sea Area: Environmental Sensitivity Mapping in GOT (March 2012)</li> <li>✓ National Policy and Guidelines on the Use of Chemical Dispersants in Cambodia</li> <li>✓ Sub-regional Guideline on the Use and Application of Chemical Dispersants for Oil Spills in GOT</li> <li>✓ Oil Spill Contingency Plan Chonburi Province (2010)</li> </ul>	<ul style="list-style-type: none"> <li>Operational Plan prepared in 2011</li> <li>-TPL for Laguna Lake-Pasig River-Manila Bay (2012); WB Strategic Partnership incorporates Manila Bay into investment project</li> <li>- Macro-scale zoning for climate change and disaster risk reduction in Manila Bay (2012)</li> <li>- UNEP/GEF Nutrient Management Project developed and initiated in Manila Bay</li> <li>✓ Gulf of Thailand: <ul style="list-style-type: none"> <li>- Oil spill contingency plans (Chonburi; Manila Bay; Cambodia; Vietnam)</li> <li>- Draft Guideline on use of chemical dispersants in GOT</li> <li>- Investments in oil spill response in GOT (Vietnam country report)</li> <li>- Yeosu Project on Sensitivity Mapping GOT</li> </ul> </li> </ul>	

Narrative Summary	Indicators	Means of Verification	Status/Outputs (as of July 2012)	Status of Target Completion
		<ul style="list-style-type: none"> <li>✓ Contingency Plan for Oil Spill Response in Cambodia (Feb 2005)</li> <li>✓ Oil Spill Contingency Plan South Vietnam (Sep 2008)</li> <li>✓ Reports of Subregional Meetings on the Implementation of the the Framework Programme for Joint Oil Spill Preparedness, Response and Cooperation in GOT (2008, 2009, 2011)</li> <li>✓ PPT on Vietnam's Actions on Implementing Joint Statement in GOT (Oct 2011)</li> </ul>		
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.	<ul style="list-style-type: none"> <li>✓ (P) Agreements on twinning and partnership arrangements negotiated and signed with the interested sites.</li> </ul>	<ul style="list-style-type: none"> <li>✓ Jiulong River-Xiamen Bay Ecosystem Management Strategic Action Plan (June 2012)</li> <li>✓ ICM Leaders' Seminar and Study Tour Provisional Programme</li> </ul>	<ul style="list-style-type: none"> <li>✓ Xiamen Bay-Jiulong River Management Plan prepared and published in 2012</li> <li>✓ XWOW training workshop for local government leaders being organized (schedule: November 2012)</li> </ul>	<ul style="list-style-type: none"> <li>✓ Completed</li> <li>✓ PEMSEA provided funding for the preparation/publication of the strategic plan ; Xiamen government funded the project</li> <li>✓ Local Chief Executives Forum, co-organized by PEMSEA and the PNLG, scheduled in 4<sup>th</sup> quarter 2012, to share lessons and experience of integrated river basin and coastal area management in Xiamen.</li> </ul>
D.1.5 One regional workshop conducted to evaluate the results of the twinning activities, and the potential for replication in other areas.	<ul style="list-style-type: none"> <li>✓ (P) Regional workshop attended by twinning partners during the EAS Congress 2009</li> <li>✓ (P) Replication plan developed and endorsed by the Regional Workshop to the EAS Partnership Council</li> </ul>	<ul style="list-style-type: none"> <li>✓ Proceedings Workshop on Transboundary Pollution Reduction in River Basins and Coastal Areas (EAS Congress/WP/2010/19)</li> <li>✓ Report of Inception Workshop and First Project Steering Committee Meeting of the UNEP/GEF Project "Global Foundations for Reducing</li> </ul>	<ul style="list-style-type: none"> <li>✓ EAS Congress workshop 2009</li> <li>✓ UNEP/GEF Manila Bay Nutrient Management Project 2012 :Inception workshop report</li> <li>✓ World Bank/GEF Program Framework Document on Scaling Up Partnership Investments for Sustainable Development of the Large Marine Ecosystems of East Asia and their Coasts including</li> </ul>	<ul style="list-style-type: none"> <li>✓ Completed</li> <li>✓ PEMSEA-led initiative to engage the UNEP/GEF nutrient management project in the Manila Bay</li> <li>✓ PEMSEA-assisted initiative to develop the GEF/WB PFD</li> </ul>

Narrative Summary	Indicators	Means of Verification	Status/Outputs (as of July 2012)	Status of Target Completion
		<p>Nutrient Enrichment and Oxygen Depletion from Land-based Pollution in Support of Global Nutrient Cycle" (March 2012)</p> <p>✓ Proceedings of the Fourth EAS Partnership Council Meeting July 2011 (PEMSEA Meeting Report 10)</p> <p>✓ PFD GEF/WB Scaling up Partnership Investments for Sustainable Development of the LMEs of East Asia and their Coasts (2011)</p>	<p>investment project in Manila Bay (Manila Bay Integrated Water Quality Management Project)</p> <p>✓ World Bank PFD endorsed by the 4<sup>th</sup> Meeting of the EAS Partnership Council (2011)</p>	
<b>COMPONENT E: INTELLECTUAL CAPACITY AND HUMAN RESOURCES</b>				
<b>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</b>				
<b>Output E.1: An enhanced technical support network for countries, comprised of a Regional Task Force (RTF) and country-based National Task Forces (NTF)</b>				
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>✓ (P) Agreements signed with RTF members and members of 3 NTFs (Indonesia, Philippines, and Vietnam).</p> <p>✓ (P) RTF/NTF Training programs implemented</p> <p>✓ (P) System in place for monitoring and evaluating RTF and NTF members, and for recognizing their contributions.</p>	<p>✓ PRF Re-Engineering Plan (Oct 2011)</p> <p>✓ MOAs/agreements with ICM Learning Centers (same as C.2.2)</p> <p>✓ Training Report on the Integrated Coastal Management (Level 1) Training of Trainers Course (Oct 2008)</p> <p>✓ Report on the Regional Training Course on Integrated Coastal Management (Course 1) (May 2011)</p> <p>✓ Report on the Trainings of Trainers Course on ICM for the China ICM NTF (Nov 2011)</p> <p>✓ Report on the ICM Training of Trainers Course in DPR Korea (April 2011)- funded by SIDA</p>	<p>✓ PRF Re-engineering Plan ANNEX H: GUIDE TO RTF/NTF NETWORK OPERATIONS</p> <p>✓ MOUs w/ICM Learning Centers</p> <p>✓ Training of Trainers workshops (Xiamen; Danang)</p> <p>✓ Trainings of Trainers Course on ICM for the China ICM NTF conducted (Nov 2011)</p>	<p>✓ Completed</p> <p>✓ PEMSEA-led initiative</p>

Narrative Summary	Indicators	Means of Verification	Status/Outputs (as of July 2012)	Status of Target Completion
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	✓ Certificates of Accreditation to RTFs and NTFs ✓ Training Reports 2008-2012	✓ 24 NTFs mobilized	✓ Completed ✓ PEMSEA-led initiative
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 Report on the Integrated Coastal Management (Level 1) Training of Trainers Course (Oct 2008) ✓ Report on the Regional Training Course on Integrated Coastal Management (Course 1) (May 2011) ✓ Report on the Trainings of Trainers Course on ICM for the China ICM NTF (Nov 2011)	✓ List of RTF and NTF members, along with matrix of trainings (received and delivered), as well as other technical support services ✓ Training reports produced ✓ Technical reports produced (SOC; IIMS; Waste management in Lao; CUZ; rapid appraisal Timor; livelihood scoping Timor) ✓ Exceeded target (Target: 50 RTF and NTF) (Actual:60 RTF and NTF)	✓ Completed ✓ PEMSEA-led initiative
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; ✓ (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	✓ Training Reports 2008-2012 ✓ Certificates of Accreditation to RTFs and NTFs ✓ List of Technical Outputs 2008-2012. Technical outputs from various trainings (under various components, i.e., SOC, CUZ, etc.)	✓ 8 Regional training workshops w/RTF participation (includes trainings/workshops on twinning) ✓ 5 Sub-regional training workshops w/RTF participation ✓ 12 national and 40 workshops/site workshops with RTF/NTF participation (including trainings in ports) ✓ Exceeded target	✓ Completed ✓ PEMSEA-led initiative

Narrative Summary	Indicators	Means of Verification	Status/Outputs (as of July 2012)	Status of Target Completion
	✓ (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			
<b>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</b>				
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.	✓ PEMSEA's Regional Centers of Excellence (RcoE) Program ✓ Letter to MERIT (Sep 2008) ✓ Acceptance Letter from MERIT (Oct 2008) ✓ Letter to UP MSI (Aug 2012) ✓ Peer Review of MERIT as RcoE-evaluation forms from 4 experts ✓ Proceedings of the Second EAS Partnership Council Meeting July 2010 (PEMSEA Meeting Report 8)	✓ PEMSEA Regional Centers of Excellence Programme (Concept on RCOE) ✓ Formal designation of MERIT as RcoE by 2 <sup>nd</sup> PC (2008) ✓ Collaborative activities undertaken with MERIT ✓ Consultation with UP/MSI for RCOE ongoing ✓ Collaborative activities initiated with MSI in relation to Manila Bay, pending recognition as RCOE	✓ 90% completed The final and formal designation of UP-MSI as second AoE by the EAS Partnership Council in 2013 ✓ PEMSEA-led initiative ✓ Signing of RCOE with UP MSI scheduled for July 2013, EAS Partnership Council
E.2.2 Linkages with national universities and donors strengthened to augment scientific support to national ICM programs and ecosystem-based management of	✓ (P) Agreements signed with national universities, 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	✓ Agreements signed with ICM Learning Centers (same as C.2.2) ✓ Agreements signed with Non-Country Partners: - ACB (Aug 2009; March 2011) - CI (Dec 2006; Nov 2010) - CMC (Dec 2006; Nov 2010) - EMECS (Dec 2006; Nov 2010)	✓ (linked to Comp. C) Agreements with ICM Learning Centers, SOA institutes etc. ✓ MOU/LOAs with Non Country Partners, ✓ Technical reports/outputs from the various projects/agreements	✓ Completed ✓ PEMSEA-led initiative

Narrative Summary	Indicators	Means of Verification	Status/Outputs (as of July 2012)	Status of Target Completion
watersheds and coastal areas.	and coastal areas.	<ul style="list-style-type: none"> <li>- IOC WESTPAC (Dec 2006;</li> <li>- IOI ( Dec 2006; Nov 2010)</li> <li>- IUCN-ARO (Dec 2007; Dec 2010)</li> <li>- KEI (Oct 2008; Sep 2009; Dec 2009)</li> <li>- KMI (Dec 2008; July 2009; Aug 2010; Sep 2011)</li> <li>- KORDI (March 2008; Nov 2009)</li> <li>- KOEM (Aug 2010; July 2011)</li> <li>- NOWPAP (July 2007; May 2010)</li> <li>- OSRL (Apr 2008)</li> <li>- PNLG (Nov 2009)</li> <li>- PML (Sep 2005)</li> <li>- SENSE (May 2007)</li> <li>- YSLME (Dec 2006;</li> </ul> <p>✓ List of Technical Outputs 2008-2012. Technical outputs from various trainings (under various components, i.e., SOC, CUZ, etc.)</p>		
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 AOE under the theme, Applying Management-Related Science and Technology to SDS-SEA implementation, at EAS Congress 2009	<p>✓ Training Summary Report-Regional Training on Novel Technology for Environmental Management (pre-EAS Congress 2009 trainings) (Nov 2009)</p> <p>✓ Training Summary Report-Regional Training Course on Eutrophication, Harmful Algal Blooms, and Environmental Impact Assessment (July 2009)</p> <p>✓ 6<sup>th</sup> International Conference on Marine Pollution and Ecotoxicology- abstracts of presentations (May-June 2010)</p> <p>✓ Project proposal on demonstration of artificial mussels for heavy metal monitoring in Manila Bay</p>	<p>✓ Regional Training Course on Novel Technology for Marine Environmental Management (Manila, Nov. 2009)</p> <p>✓ Regional Training Course on Eutrophication, HABs &amp; EIA (China, July 2009)</p> <p>✓ 6th International Conference on Marine Pollution and Ecotoxicology (Hong Kong, May31-June3, 2010)</p> <p>✓ New project on demonstration of artificial mussels for heavy metal monitoring in Manila Bay, involving the two AOE (MERIT and MSI)</p>	<p>✓ Completed</p> <p>✓ PEMSEA-assisted initiative; MERIT played lead role in conduct of workshops</p>



Narrative Summary	Indicators	Means of Verification	Status/Outputs (as of July 2012)	Status of Target Completion
<b>Output E.3: Professional upgrade program, graduate scholarships and specialized training courses</b>				
E.3.1 Internships, senior fellowships and specialized training opportunities provided in cooperation with PEMSEA Partners, AoEs, and collaborating institutions and organizations.	<ul style="list-style-type: none"> <li>✓ (P) Agreements signed with collaborating institutions and organizations</li> <li>✓ (P) Training modules/ programs prepared, addressing priority needs/capacity disparities</li> <li>✓ (P) Training schedules promoted, providing capacity development opportunities at national and sub-national levels</li> </ul>	<ul style="list-style-type: none"> <li>✓ Internship programs/TORs 2009-2012</li> <li>✓ Internship contracts/ acceptance letters 2009-2012</li> <li>✓ Internship output reports 2009-2012</li> <li>✓ Monthly accomplishment reports (Fellowship) (Apr 2010; Oct-Dec 2011; Jan-March 2012)</li> </ul>	<ul style="list-style-type: none"> <li>✓ 19 Interns trained at PRF (Cambodia, China, DPR Korea, Indonesia, Lao PDR, Timor Leste, Vietnam)</li> <li>✓ 1 fellowship completed</li> <li>✓ Training modules and programs developed and completed</li> <li>✓ Outputs/reports from internships/fellowships</li> </ul>	<ul style="list-style-type: none"> <li>✓ Completed</li> <li>✓ PEMSEA-led initiative</li> </ul>
E.3.2 Standardization of a post-graduate ICM curriculum promoted amongst participating universities in the region.	<ul style="list-style-type: none"> <li>✓ (P) Agreements signed with collaborating universities</li> <li>✓ (P) Post graduate ICM curriculum developed and professional upgrade program established facilitating the process of graduate scholarships, international internships and senior fellowships within and outside the region.</li> </ul>	<ul style="list-style-type: none"> <li>✓ Report of Workshop on Meeting Human Resources Requirements in Coastal and Ocean Governance: Short-term Training and Degree-granting Education (EAS Congress/WP/2010/25)</li> <li>✓ Conclusions and Recommendations of Workshops on Meeting Institutional and Individual Skills and Capacities for Integrated Coastal and Ocean Governance (EAS Congress 2012 website)</li> <li>✓ Highlights of Discussions-Workshop on Development of ICM Postgraduate Curriculum (Nov 2009)</li> <li>✓ Draft ICM Post Graduate Course syllabus: <ul style="list-style-type: none"> <li>- Principles and Practice of ICM</li> <li>- Coastal and Ocean Governance</li> <li>- Structure and Function of Coastal Ecosystems</li> <li>- Theory and Practice of Planning as Applied in Coastal Ecosystems</li> </ul> </li> <li>✓ PEMSEA Concept Paper:</li> </ul>	<ul style="list-style-type: none"> <li>✓ EAS Congress workshops conducted: Workshop on Meeting Human Resource Requirements in Coastal and Ocean Governance (Nov.2009) and Workshops on Meeting Institutional and Individual Skills and Capacities for Integrated Coastal and Ocean Governance (July 2012)</li> <li>✓ Workshop on the Development of the ICM Postgraduate Curriculum (Xiamen, Nov. 2009)</li> <li>✓ Post graduate curriculum/syllabus (draft) prepared</li> <li>✓ Concept paper on certification of ICM professionals (core competencies; levels of certification and certification process)</li> </ul>	<ul style="list-style-type: none"> <li>✓ 75% complete</li> <li>✓ PEMSEA-led initiative</li> <li>✓ Not likely to be 100 % complete by end of project; carry-over to the next phase of PEMSEA</li> <li>✓ Target will require additional time and support from external sources in order to confirm adoption of ICM course in universities and establishment of ICM professional certification</li> </ul>

Narrative Summary	Indicators	Means of Verification	Status/Outputs (as of July 2012)	Status of Target Completion
		Investing in our Future by investing in "New Breed" of Coastal Leaders Now: Certifying Leaders in Integrated Coastal and Ocean Governance in EAS region. (June 2012)		
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	✓ List of specialized trainings conducted 2008-2012 ✓ Specialized Training reports (2008-2012) ✓ Specialized training manuals/materials: - SOC training materials (Bahasa) - SOC Guidebook (English, Dec. 2011; Chinese) - PDM training materials in ppt - CLSUZ Course 1 Instructor's Guide (2010) - CUZ 2 Instructor's Manual - Fisheries Zone Development and Management Training Course Manual - Tourism Zone Development and Management Level 2 Course 1 Instructor's Manual - PEMSEA's Guide to Developing a Coastal Strategy (2008) - IIMS Guide (Vietnamese)	✓ (Note: Under Comp. C Specialized training) Training modules for specialized training courses (SOC; IIMS; CUZ; fisheries; conservation; tourisms) ✓ Summary specialized trainings conducted since 2008 ✓ Training workshop reports ✓ Exceeded target (Target: 10 specialized trainings; 90 trainees) (Actual: 43 specialized trainings; 1,244 trainees)	✓ Completed ✓ PEMSEA-led initiative
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	✓ Assessment reports from specialized training workshops (incorporated in training workshop reports 2008-2012)	✓ Assessment reports from specialized training workshops (part of training workshop reports)	✓ 50% complete ✓ PEMSEA-led initiative ✓ Regional survey to be conducted in 2013 to determine impact of PEMSEA training and capacity enhancement opportunities , gaps and strategies for improvement
<b>Output E.4: An internet-based information portal in place, building awareness and transferring knowledge and lessons learned</b>				

Narrative Summary	Indicators	Means of Verification	Status/Outputs (as of July 2012)	Status of Target Completion
E.4.1 PEMSEA's internet portal ( <a href="http://www.pemsea.org">www.pemsea.org</a> ) operating as an information node of the PEMSEA Regional Programme	<ul style="list-style-type: none"> <li>✓ (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.</li> </ul>	<ul style="list-style-type: none"> <li>✓ PEMSEA website <a href="http://www.pemsea.org">www.pemsea.org</a></li> <li>✓ Summary of Changes and Improvements in PEMSEA website</li> <li>✓ Salient points in website activity 2008-2012</li> <li>✓ Analytics Report-PEMSEA website 2008-2012</li> </ul>	<ul style="list-style-type: none"> <li>✓ Revamp of main PEMSEA website (2011)</li> <li>✓ Microsites for streamlined information dissemination</li> <li>✓ Integrated online bookstore</li> <li>✓ Summary report on website changes/updates and website use/hits, Website linkages/networking changes</li> </ul>	<ul style="list-style-type: none"> <li>✓ Completed</li> <li>✓ PEMSEA-led initiative</li> </ul>
E.4.2 Develop and implement information dissemination and knowledge sharing systems using four principal channels:	<ul style="list-style-type: none"> <li>✓ (P) Agreement signed/implemented with GEF IW:LEARN, regarding disseminating regional lessons and case studies to International Waters program;</li> <li>✓ (P) EAS Congress organized, and providing a venue for monitoring, reporting and evaluating progress in SDS-SEA implementation</li> <li>✓ (P) PRF knowledge-sharing conducted, through training programs, investment projects, and networking arrangements</li> <li>✓ (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.</li> </ul>	<ul style="list-style-type: none"> <li>✓ EAS Congress website (2009) <a href="http://pemsea.org/eascongress">http://pemsea.org/eascongress</a> (2012) <a href="http://eascongress.pemsea.org/">http://eascongress.pemsea.org/</a></li> <li>✓ PNLG website <a href="http://pemsea.org/about-pemsea/network/pnlg">http://pemsea.org/about-pemsea/network/pnlg</a></li> <li>✓ World Bank sub-website <a href="http://beta.pemsea.org/strategic-partnerships">http://beta.pemsea.org/strategic-partnerships</a></li> <li>✓ SGP-PEMSEA website <a href="http://pemsea.org/sgp">http://pemsea.org/sgp</a></li> <li>✓ List of PEMSEA publications 2008-2012</li> <li>✓ PEMSEA Facebook page <a href="http://www.facebook.com/pemsea">http://www.facebook.com/pemsea</a></li> <li>✓ PEMSEA Scribd <a href="http://www.scribd.com/PEMSEA">http://www.scribd.com/PEMSEA</a></li> <li>✓ PEMSEA Vimeo <a href="http://vimeo.com/pemsea">http://vimeo.com/pemsea</a></li> </ul>	<ul style="list-style-type: none"> <li>✓ PEMSEA key publications shared to IW:Learn and disseminated in various conferences/events</li> <li>✓ EAS Partnership Council and Executive Committee meeting documents available in PEMSEA website</li> <li>✓ PEMSEA technical publications available in PEMSEA website (more than 90 publications available)</li> <li>✓ Two EAS Congresses organized and conducted (2009 and 2012); more than 2,800 participants; 2 Youth Forums; 2 Ministerial Forums: reports available in PEMSEA and Congress website</li> <li>✓ PNLG and World Bank sub-websites established for promoting ICM programs and investments at the local level</li> <li>✓ Small Grants Program website established to promote good practices and lessons from community-based projects in support of ICM programs at the local level</li> <li>✓ PEMSEA participated in three biennial GEF IW Conferences (2008 through 2012)</li> <li>✓ PEMSEA's online outreach activities (via Vimeo, Scribd, and Facebook)</li> </ul>	<ul style="list-style-type: none"> <li>✓ Completed</li> <li>✓ PEMSEA-led initiative</li> </ul>

Narrative Summary	Indicators	Means of Verification	Status/Outputs (as of July 2012)	Status of Target Completion
			<ul style="list-style-type: none"> <li>✓ PEMSEA monthly e-updates/newsletter released regularly</li> <li>✓ Online library catalog developed</li> </ul>	
<b>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</b>				
E.5.1 Partnerships/ working arrangements established with donor-supported programs for SDS-SEA implementation	<ul style="list-style-type: none"> <li>✓ (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</li> </ul>	<ul style="list-style-type: none"> <li>✓ Joint Communique PEMSEA and SGP Partnership on Community Participation in the Management of the Seas of East Asia (Oct 2004)</li> <li>✓ Operational Guideline Implementation of the SGP-PEMSEA Joint Communique</li> <li>✓ Agreements signed with SGP and sites on approved projects: <ul style="list-style-type: none"> <li>- MOA Chonburi (2007-2009)</li> <li>- MOA Ruam Paed Pattana Community (2007-2009)</li> <li>- MOU Stung Hav (2007-2009))</li> <li>- MOU Stung Hav (2008-2010)</li> <li>- MOA KAMAMADO Guimaras (2010-2012)</li> </ul> </li> <li>✓ List of web links to Reports and Summary Activities of SGP Country Portfolio and SGP-PEMSEA Joint Projects</li> <li>✓ Report of Workshop on Local Action, Global Contribution (EAS Congress/WP/2010/22)</li> <li>✓ Conclusions and Recommendations of Workshop on Sustaining Community Livelihoods and Ecosystem Services (EAS Congress 2012 website)</li> </ul>	<ul style="list-style-type: none"> <li>✓ (Note: Joint Communique with SGP was signed in 2004 and implementation of the agreement is continuing)</li> <li>✓ EAS Congress workshops conducted with SGP focusing on community-based initiatives (Workshop on Livelihood Management and Sustainable Coastal Tourism, Nov 2009 and Workshop on Sustaining Community Livelihoods and Ecosystem Services, July 2012)</li> <li>✓ SGP-PEMSEA Meetings conducted in Nov. 2009 and July 2012</li> </ul>	<ul style="list-style-type: none"> <li>✓ Completed PEMSEA-assisted initiative; UNDP SGP is coordinating agency</li> </ul>
E.5.2 Projects proposals	<ul style="list-style-type: none"> <li>✓ (SR) At least 6 site-specific and</li> </ul>	<ul style="list-style-type: none"> <li>✓ Summary list and tracking of</li> </ul>	<ul style="list-style-type: none"> <li>✓ MOAs/MOUs signed with 12 sites</li> </ul>	<ul style="list-style-type: none"> <li>✓ Completed</li> </ul>

Narrative Summary	Indicators	Means of Verification	Status/Outputs (as of July 2012)	Status of Target Completion
facilitated, aimed at mobilizing community groups in the implementation of coastal strategies and actions plans.	<ul style="list-style-type: none"> <li>✓ (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.</li> </ul>	<ul style="list-style-type: none"> <li>approved projects (2008-2012)</li> <li>✓ List of web links to Reports and Summary Activities of SGP Country Portfolio and SGP-PEMSEA Joint Projects</li> <li>✓ Case Study Vol. No. 5 June 2010</li> <li>✓ PPT Presentation of Community-based water use and supply management and habitat restoration and management experience in Stung Hav (Global Conference on Land-Ocean Connections, Jan 2012)</li> </ul>	<ul style="list-style-type: none"> <li>with approved projects (6 SGP project completed, 6 projects ongoing)</li> <li>✓ Project reports and case studies developed</li> <li>✓ Increased socio-economic and environmental benefits, and benefits to women and children documented</li> <li>✓ Exceeded target (Target: 6 site/projects) (Actual:12 projects)</li> </ul>	<ul style="list-style-type: none"> <li>✓ PEMSEA-assisted initiative; PEMSEA works with community groups/ICM project offices to develop and strengthen project proposals</li> </ul>
E.5.3 Capacity building activities for community groups implementing projects in support of coastal strategies	<ul style="list-style-type: none"> <li>• (SR) Increased access to training and capacity building within communities at PEMSEA sites</li> <li>• (SR) Increased funding allocation and support for project proposals by women, youth, IPs and other marginalized sectors.</li> </ul>	<ul style="list-style-type: none"> <li>✓ Case studies (linked to C.2.1)</li> <li>✓ List of web links to Reports and Summary Activities of SGP Country Portfolio and SGP-PEMSEA Joint Projects</li> </ul>	<ul style="list-style-type: none"> <li>✓ (Note: linked to Comp. C) Case studies from SGP supported initiatives</li> <li>✓ Reports from SGP (note: regional report also to be developed in collaboration with SGP)</li> </ul>	<ul style="list-style-type: none"> <li>✓ Completed</li> <li>✓ PEMSEA-assisted initiative; UNDP SGP coordinates the program</li> </ul>
E.5.4 National and regional forums for NGO/community groups organized	<ul style="list-style-type: none"> <li>• (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.</li> </ul>	<ul style="list-style-type: none"> <li>✓ SGP-PEMSEA website <a href="http://pemsea.org/sgp">http://pemsea.org/sgp</a></li> <li>✓ Report of Workshop on Local Action, Global Contribution (EAS Congress/WP/2010/22)</li> <li>✓ Conclusions and Recommendations of Workshop on Sustaining Community Livelihoods and Ecosystem Services (EAS Congress 2012 website)</li> </ul>	<ul style="list-style-type: none"> <li>✓ EAS Congress workshops (2009; 2012)</li> <li>✓ National/site workshop reports (Philippines, Indonesia, Lao)</li> <li>✓ SGP-PEMSEA website updated regularly</li> </ul>	<ul style="list-style-type: none"> <li>✓ Completed</li> <li>✓ PEMSEA-led initiative</li> </ul>
<b>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</b>				
E.6.1 Capacity enhancing seminars and workshops conducted by PNLG	<ul style="list-style-type: none"> <li>✓ (P) Senior local government officials participating in seminars and workshops</li> </ul>	<ul style="list-style-type: none"> <li>✓ Proceedings of PNLG Forums (2008-2011; 2012 report being prepared)</li> </ul>	<ul style="list-style-type: none"> <li>✓ PNLG Forum 2008 (Sihanoukville), 2009 (Bataan), 2010 (Chonburi),</li> </ul>	<ul style="list-style-type: none"> <li>✓ Completed</li> <li>✓ PEMSEA-assisted initiative in support of PNLG Secretariat</li> </ul>

Narrative Summary	Indicators	Means of Verification	Status/Outputs (as of July 2012)	Status of Target Completion
	✓ (SR) 100% increase in the number of local governments participating in PNLG and committed to implementing ICM programs	✓ EAS Congress list of participants	2011(Dongying), 2012 (Changwon) ✓ PNLG members participated in EAS Congress 2009 and 2012	
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.	✓ The Charter of the PNLG ✓ Annual Reports of PNLG Secretariat in ppt (2008-2012) ✓ PNLG Executive Committee Meetings Summary Reports (Nov 2007; Aug 2010; March 2012)	✓ PNLG Charter (Xiamen as location of PNLG principal office) ✓ Annual reports of PNLG secretariat to PNLG Forum (2008-2012) ✓ PNLG Executive committee meetings	✓ Completed ✓ PEMSEA-assisted initiative in support of PNLG Secretariat
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.	✓ XWOW Summary Reports (2008-2011) ✓ XWOW Scientific Committee Meeting (August 2012) ✓ Presentations at PNLG Workshop at XWOW 2010 ✓ Mission reports on XWOW participation	✓ XWOW conducted annually (2008-2011) PEMSEA mission reports available ✓ PEMSEA participated in Scientific Committee for XWOW (August 2012)	✓ Completed ✓ PEMSEA-assisted initiative, providing speakers/resource persons and organizing side events (workshops)
<b>COMPONENT F: PUBLIC AND PRIVATE SECTOR INVESTMENT AND FINANCING IN ENVIRONMENTAL INFRASTRUCTURE PROJECTS AND SERVICES</b>				
<b>Outcome 6: Public and private sector cooperation achieving environmental sustainability through the mobilization of investments in pollution reduction facilities and services.</b>				
<b>Output F.1: Innovative national investment and financing policies and programs for public and private sector investment in pollution reduction facilities</b>				
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	✓ Case studies: - Xiamen Vol. 1 No. 2 Nov 2009 - Puerto Galera Vol. 1 No. 3 Nov 2009 - Sihanoukville Vol. 1 No. 5 June 2010 ✓ Papers submitted to OCM Journal: - Nutrient enrichment and N:P Ratio Decline in Coastal Bay-River System in Southeast China - Analysis of Phosphorus Concentration in a Subtropical River in Southeast China - Empirical Appraisal of Jiulong River Watershed Management	✓ Papers submitted to OCM for publication, related to river basin management ✓ Case Study-Puerto Galera, Xiamen, Sihanoukville published ✓ Case study on Ningbo Artificial Wetland scheduled for 4 <sup>th</sup> Quarter 2012. ✓ Other projects under Strategic Partnership delayed	✓ 90% Complete (Printing and Publication of the Case Studies) ✓ PEMSEA-assisted initiative in support of Strategic Partnership Investment Fund of GEF/WB ✓ Case studies in 4 <sup>th</sup> quarter 2012 and in 2013.

Narrative Summary	Indicators	Means of Verification	Status/Outputs (as of July 2012)	Status of Target Completion
		Program - Quantifying Land-based Pollutant Loads in Coastal Area with Sparse Data		
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).	<ul style="list-style-type: none"> <li>✓ (P) Policy reforms developed, adopted and implemented at ICM sites</li> <li>✓ (SR) Increased investment in pollution reduction facilities and services among ICM sites and pollution hotspots</li> <li>✓ (SR) Increased jobs/formal employment opportunities created in the environmental industry sector</li> </ul>	<ul style="list-style-type: none"> <li>✓ Development and Demonstration of a Methodology for Preparing an Integrated River Basin-Coastal Area Investment Plan for Pollution Reduction (March 2009)</li> <li>✓ Report of Workshop on Innovative Policies and Practices in Water Supply, Sanitation and Pollution (EAS Congress/WP/2010/20)</li> </ul>	<ul style="list-style-type: none"> <li>✓ Development and Demonstration of a Methodology for Preparing and Investment Plan for Wastewater Treatment as a Pollution Reduction Strategy in an Integrated River Basin Coastal Area (February 2009)</li> <li>✓ Regional workshop on innovative policies and practices in water supply, sanitation and pollution reduction conducted (EAS Congress, November 2009)</li> <li>✓ Case studies/good practices under Partnership Investment Fund</li> </ul> <p>(Note: Outputs are associated with Comp. D on IRBCAM and TPL workshops and others with Comp. G)</p>	<ul style="list-style-type: none"> <li>✓ Completed</li> <li>✓ PEMSEA-led initiative</li> </ul>
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	<ul style="list-style-type: none"> <li>✓ (P) One-stop public-private partnership support service for local governments and the private sector established and operating within the PRF.</li> </ul>	<ul style="list-style-type: none"> <li>✓ Policy Brief on an Investment Vehicle for Environmental Infrastructure Projects (July 2009)</li> <li>✓ PEMSEA Financial Sustainability Plan and Road Map (October 2011)</li> <li>✓ MSP on Applying Knowledge Management to Scale up Partnership Investments for Sustainable Development of Large Marine Ecosystems of East Asia and their Coasts (January 2012)</li> </ul>	<ul style="list-style-type: none"> <li>✓ Policy Brief on an Investment Vehicle for Environmental Infrastructure Projects (July 2009)</li> <li>✓ Sustainable Financing Plan for the PRF (2011)</li> <li>✓ KM project proposal (2012) prepared for funding under the World Bank/GEF Program framework Document on Scaling Up Investments</li> </ul>	<ul style="list-style-type: none"> <li>✓ Completed</li> <li>✓ PEMSEA-led initiative</li> <li>✓ Funding from external sources is required to implement the proposal; an MSP was prepared and approval is pending from World Bank and GEF Secretariat</li> </ul>

Narrative Summary	Indicators	Means of Verification	Status/Outputs (as of July 2012)	Status of Target Completion
management programs.				
<b>COMPONENT G: STRATEGIC PARTNERSHIP ARRANGEMENTS</b>				
<b>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.</b>				
<b>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.</b>				
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	✓ Report of the Strategic Partnership for the SDS-SEA Organizational Workshop (June 2008) ✓ Letter to Department of Finance from WB Country Director on the cancellation of the Revolving Fund (April 2009) ✓ MOU between IBRD, IDA/WB and PEMSEA (Nov 2009) ✓ Progress Report on Implementation of the SDS-SEA Component G Strategic Partnership Arrangements Investment in Pollution Reduction in the LMEs of East Asia (Nov 2010) ✓ East Asian Seas Stocktaking Meeting: Chair's Summary (September 2011)	✓ Organizational meeting with WB/GEF conducted (2008) ✓ WB cancelled the Revolving Fund project (April 2009) ✓ MOU between WB and PEMSEA signed (November 2009) ✓ Strategic Partnership Projects Investment Fund Progress Report (2010) ✓ GEF Stocktaking Meeting among Implementing Agencies, Executing Agencies, participating countries and Project Management Offices organized and conducted; meeting report (2010)	✓ Completed ✓ PEMSEA-led initiative
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	✓ (P) Communication plan developed/implemented among Partners	✓ Appendix B: Communication Strategy for the Strategic Partnership (part of the Report of the Strategic Partnership for the SDS-SEA Organizational Workshop, June 2008) ✓ SP website <a href="http://beta.pemsea.org/strategic-partnerships">http://beta.pemsea.org/strategic-partnerships</a> ✓ PPT presentations/case studies from the Workshop on	✓ Communication Plan developed (2008) ✓ SP website established <a href="http://beta.pemsea.org/strategic-partnerships">http://beta.pemsea.org/strategic-partnerships</a> ✓ Case study on Yantai; Ningbo; Shanghai presented (EAS Congress 2009- ppts) ✓ EAS Congress workshop on Innovative policies and practices in water supply, sanitation and	✓ Completed ✓ PEMSEA-led initiative



Narrative Summary	Indicators	Means of Verification	Status/Outputs (as of July 2012)	Status of Target Completion
projects and sub-projects, and to promote the replication of good practices across the region.		<p>Innovative Policies and Practices in Water Supply, Sanitation and Pollution Reduction (EAS Congress 2009)</p> <p>✓ Report of the Workshop on Innovative Policies and Practices in Water Supply, Sanitation and Pollution Reduction (EAS Congress/WP/2010/20)</p>	pollution reduction (November 2009)	
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>✓ (P) M&amp;E program conducted by PRF, in collaboration with World Bank, using agreed environmental and socio-economic indicators</p> <p>✓ (SR) Project Preparation Revolving Fund developed and implemented in one country</p> <p>✓ (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.</p>	<p>✓ Appendix C: Monitoring and Evaluation of the Strategic Partnership for Sustainable Development of the Seas of East Asia (part of the Report of the Strategic Partnership for the SDS-SEA Organizational Workshop, June 2008)</p> <p>✓ PFD Annex D Investment Fund for Pollution Reduction in the LMEs of East Asia Progress Report (Nov 2010)</p> <p>✓</p>	<p>✓ Agreed indicators (June 2008 Inception workshop)</p> <p>✓ 5 of 7 investment projects started (Manila, Vietnam 3 coastal cities, Shandong, Laioning, Shanghai, Huai); one project completed (Ningbo) (May 2012);</p>	<p>✓ 50% Complete</p> <p>✓ PEMSEA-assisted initiative in support of GEF/WB Strategic Partnership Investment Fund</p> <p>✓ Only one of 7 investment projects completed;</p> <p>✓ Possible that 2 other projects will be completed before the end of the current phase of PEMSEA (2013);</p> <p>✓ PEMSEA will continue to monitor projects and report on good practices as part of knowledge management and scaling up ICM programs</p> <p>✓ Case study of completed project scheduled in 4<sup>th</sup> quarter of 2012</p>
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	<p>✓ (P) Five (5) good practices and case studies prepared by SPTT and disseminated</p> <p>✓ (P) Workshops and seminars held at the national (5) and regional levels promoting replication of good practices</p> <p>✓ (P) IT network for promoting replication opportunities set up</p> <p>✓ (P) Virtual market place for</p>	<p>✓ SP website <a href="http://beta.pemsea.org/strategic-partnerships">http://beta.pemsea.org/strategic-partnerships</a></p> <p>✓ PFD GEF/UNDP Reducing Pollution and Rebuilding Degraded Marine Resources in the East Asian Seas through Implementation of Intergovernmental Agreements and Catalyzed Investments</p> <p>✓ PFD GEF/WB Scaling Up</p>	<p>✓ Progress reports completed on investment projects and uploaded onto website</p> <p>✓ Project delays as noted above</p> <p>✓ GEF/WB and GEF/UNDP PFDs prepared focused on implementation of investments; PEMSEA requested to implement knowledge management component of PFD's</p>	<p>✓ 50% complete</p> <p>✓ PEMSEA-assisted initiative in support of GEF/WB Strategic Partnership Investment Fund</p> <p>✓ Because of project delays, high likelihood of carryover into next phase of PEMSEA scaling up</p>

Narrative Summary	Indicators	Means of Verification	Status/Outputs (as of July 2012)	Status of Target Completion
and international forums.	sites and partners wishing to replicate good practices established	Partnership Investments for Sustainable Development of the Large Marine Ecosystems of East Asia and their Coasts ✓ GEF/WB/PEMSEA MSP on Applying Knowledge Management to Scaling up Partnership Investments for Sustainable Development of LMEs of East Asia and their Coasts		
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	✓ East Asian Seas Stocktaking Taking Meeting: Chair's Summary (September 2011) ✓ PFD GEF/UNDP Reducing Pollution and Rebuilding Degraded Marine Resources in the East Asian Seas through Implementation of Intergovernmental Agreements and Catalyzed Investments ✓ Yeosu Fund/PEMSEA project initiative on Sustainable Operation of Ports through the Development and Implementation of a Port Safety Health And Environmental Management Code ✓ Yeosu Fund/IMO/PEMSEA project initiative on Strengthening Oil Spill Preparedness and Response in a Subregional Sea Area: Environmental Sensitivity Mapping in the Gulf of Thailand	✓ GEF stocktaking report and meeting organized and conducted (2010) ✓ YSLME, Western and Central Pacific Fisheries Commission, Arafura Timor Seas and PEMSEA included as partners in in GEF/UNDP Program Framework Document ✓ Contract issued through KOICA for the Yeosu/PEMSEA PSHEMS project; project launched at EAS Congress 2012 ✓ MOA signed between IMO and PEMSEA for the start-up of the GOT project; project launched at EAS Congress 2012	✓ Completed ✓ PEMSEA-assisted initiative in support of GEF and its Implementing Agencies; PEMSEA served as secretariat for organization and conduct of the stocktaking ✓ New projects initiated using non-GEF funding
<b>COMPONENT H: CORPORATE SOCIAL RESPONSIBILITY FOR SUSTAINABLE DEVELOPMENT OF COASTAL AND MARINE RESOURCES</b>				
<b>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.</b>				
<b>Output H.1: Partnership arrangements established and implemented between multinational and national corporations, industry, local governments and communities for sustainable</b>				

Narrative Summary		Indicators	Means of Verification	Status/Outputs (as of July 2012)	Status of Target Completion
<b>development of marine and coastal resources.</b>					
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.	✓ (P) CEOs attend seminars/forums to learn about corporate experience in ICM program development and implementation	<ul style="list-style-type: none"> <li>✓ Roundtable Discussion on CSR</li> <li>✓ Workshop Report on Public-Private Partnerships for the Rehabilitation of Manila Bay: A Corporate Social Responsibility Forum (EAS Congress/WP/2010/27)</li> <li>✓ Case Study Vol. 2 No. 1 June 2011 (Catching the Burgeoning Wave of Corporate Responsibility for Manila Bay)</li> <li>✓ Conclusions and Recommendations of the Workshop on CSR Impacts: Collaborations towards an Ocean-based Blue Economy (EAS Congress 2012 website)</li> </ul>	<ul style="list-style-type: none"> <li>✓ Roundtable Discussion on Corporate Social Responsibility for the Coastal and Marine Area and the Sustainable Development of Manila Bay (October 2009)</li> <li>✓ CSR Forum EAS Congress 2009</li> <li>✓ CSR Forum EAS Congress 2012</li> <li>✓ Case studies on CSR (Philippines)</li> </ul>	<ul style="list-style-type: none"> <li>✓ Completed</li> <li>✓ PEMSEA-led initiative</li> </ul>
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	✓ (SR) At least 50 companies and firms sign agreements and implement ICM or environmental projects with local government	<ul style="list-style-type: none"> <li>✓ Project Briefs prepared: <u>Bataan:</u> <ul style="list-style-type: none"> <li>- Development of Balanga City Wetland and Nature Park</li> <li>- Concrete Artificial Reef Project</li> <li>- Bantay Bakawan Alay sa Lawa ng Kamaynilaan</li> </ul> </li> <li><u>Bulacan:</u> <ul style="list-style-type: none"> <li>- Ilog Mo, Ilog Ko Project</li> </ul> </li> <li><u>Cavite:</u> <ul style="list-style-type: none"> <li>- Bakawan: KKK</li> <li>- Establishment of Waste Trap in Barangay San Jose</li> </ul> </li> <li>Pampanga: <ul style="list-style-type: none"> <li>- Mangrove Reforestation</li> </ul> </li> <li><u>NCR:</u></li> </ul>	<ul style="list-style-type: none"> <li>✓ CSR Project briefs/Flagship project development in Manila Bay prepared</li> <li>✓ Corporate sponsors EAS Congress 2009 and 2012</li> <li>✓ Case studies from Indonesia, Thailand, RO Korea, Philippines, China at EAS Congress 2012 (Shiwa Lake; PAT; Bali Tourism; Manila Water; Sinopec; WOC; PAL; Masan Bay)</li> <li>✓ Aide memoire for the PEMSEA Corporate Network developed with the Center for Social Responsibility University of Asia and the Pacific Manila</li> </ul>	<ul style="list-style-type: none"> <li>✓ 50% complete</li> <li>✓ PEMSEA-led initiative</li> <li>✓ Corporate network criteria and operating mechanism to be developed and launched 2012-2013</li> </ul>

Narrative Summary	Indicators	Means of Verification	Status/Outputs (as of July 2012)	Status of Target Completion
communities.		<ul style="list-style-type: none"> <li>- Navotas Mangrove Reforestation</li> <li>- Mga Ilog Ng QC Buhayin, Balingsa Creek Sagipin</li> <li>- Lunas sa Maytunas</li> <li>✓ CSP Corporate Sponsors List and Invitations (2012)</li> <li>✓ Case Studies/PPT presentation at the Workshop on CSR Impacts: Collaborations towards an Ocean-based Blue Economy (EAS Congress 2012 website)</li> <li>✓ Aide memoire for the PEMSEA Corporate Network</li> </ul>		
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.).	<ul style="list-style-type: none"> <li>✓ (P) Agreement with corporate champion</li> <li>✓ (SR) Demonstration project implemented in collaboration with local government and other partners</li> </ul>	<ul style="list-style-type: none"> <li>✓ Report on Current and Existing CSR Recognition System (Nov 2010)</li> <li>✓ The PEMSEA-ICM CSR Awards (Concept Paper)</li> <li>✓ Note to File: CSR Recognition Meeting with Petron Foundation (Dec 2011)</li> </ul>	<ul style="list-style-type: none"> <li>✓ Criteria process established for demonstration of recognition system</li> <li>✓ Agreement with Petron Corporation to serve as pilot for demonstration of CSR recognition in ICM implementation in Bataan</li> </ul>	<ul style="list-style-type: none"> <li>✓ 75% complete</li> <li>✓ PEMSEA-led initiative</li> <li>✓ Pilot demonstration to be initiated in 4<sup>th</sup> Quarter 2012</li> </ul>

Narrative Summary		Indicators	Means of Verification	Status/Outputs (as of July 2012)	Status of Target Completion
<b>Output H.2: Corporate responsibility practices evaluated and recognized as a special relevance to achieving social, environmental and economic benefits in coastal communities.</b>					
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.	<ul style="list-style-type: none"> <li>✓ (P) Methodology developed</li> <li>✓ (P) Regional workshop conducted, consensus achieved</li> </ul>	<ul style="list-style-type: none"> <li>✓ The ICM-CSR Code and Guidelines</li> <li>✓ The PEMSEA-ICM CSR Awards (Concept Paper)</li> </ul>	<ul style="list-style-type: none"> <li>✓ CSR Concept paper for Recognition System developed</li> </ul>	<ul style="list-style-type: none"> <li>✓ 50% complete</li> <li>✓ PEMSEA-led initiative</li> <li>✓ Target in 2013: Development of a communication/ advocacy strategy for the adoption and implementation of the CSR Code and Recognition System among PEMSEA Country Partners (4th Qtr 2012 to 1st Qtr 2013)</li> </ul>
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.	<ul style="list-style-type: none"> <li>✓ (P) Evaluation conducted in collaboration with corporate sector, at an existing project site</li> </ul>	<ul style="list-style-type: none"> <li>✓ Note to File: CSR Recognition Meeting with Petron Foundation (Dec 2011)</li> </ul>	<ul style="list-style-type: none"> <li>✓ Agreement with Petron Foundation to test the recognition system</li> <li>✓ Scale up to other industry in the Bay in 2013</li> </ul>	<ul style="list-style-type: none"> <li>✓ 25% complete</li> <li>✓ PEMSEA-led initiative</li> <li>✓ Scale up results from Petron demonstration; field test evaluation/ recognition in Manila Bay, as part of ICM scaling up program among local governments</li> </ul>
H.2.3	Implement a corporate responsibility recognition system, in collaboration with national governments, private sector, donors, and other concerned stakeholders, to	<ul style="list-style-type: none"> <li>✓ (P) Regional workshop/forum conducted, consensus achieved on recognition system</li> <li>✓ (P) Recognition system tested/demonstrated at selected sites</li> </ul>	<ul style="list-style-type: none"> <li>✓ Conclusions and Recommendations of the Workshop on CSR Impacts: Collaborations towards an Ocean-based Blue Economy (EAS Congress 2012 website)</li> </ul>	<ul style="list-style-type: none"> <li>✓ Incorporated CSR/PPP into ICM orientation workshops with local governments and in SDS-SEA/ICM joint planning sessions in Philippines and Indonesia; case studies presented for Manila Bay and Jakarta Bay</li> <li>✓ Regional workshop on CSR</li> </ul>	<ul style="list-style-type: none"> <li>✓ Completed</li> <li>✓ PEMSEA-led initiative</li> </ul>

Narrative Summary	Indicators	Means of Verification	Status/Outputs (as of July 2012)	Status of Target Completion
promote and encourage private sector participation, resource commitments and investments in support of social, economic and environmental goals and benefits of coastal communities.			conducted during EAS Congress 2012; workshop conclusions and recommendations available on website	

## Annex 9: PEMSEA/IA/EA Challenges

### TERMINAL EVALUATION OF THE GEF/UNDP PROJECT ON IMPLEMENTATION OF THE SDS-SEA

#### SUMMARY OF ACTIVITIES UNDERTAKEN WITH UNDP AS IMPLEMENTING AGENCY AND UNOPS AS EXECUTING AGENCY AND CHALLENGES PRESENTED

ACTIVITY/INTERACTION	RESPONSIBILITY CENTRE/SERVICES PROVIDED	CHALLENGES
<b>FINANCE</b>		
(1) Bank Float	UNOPS	In 2008, UNOPS allowed PEMSEA to have US\$250,000 as bank float, but this was decreased to US\$60,000 in 2009. The current process for bank float is: (1) For payments to countries: A request is made to the UNDP Treasury Account for payments and UNDP Treasury transfers the payment directly; (2) Operational Advance for trainings/meetings: Request has to be made 2 weeks prior to the activity. This item is related to the next challenge as well.
(2) Contract Payment	UNOPS & PEMSEA	In line with item #1, difficulties were encountered in the transfer of payment from UNDP Treasury to China and Indonesia in view of the bank details that are not compatible with the ATLAS system (i.e., very long bank details). It took 4 months before the transfer of payment was resolved. To address the problem, PEMSEA had to transfer the payment manually using the project bank account. Currently, payments made to China & Indonesia are manually transferred by PEMSEA using project bank account and other country payments are made thru the UNDP Treasury Account.
(3) Operational Cash Advance	UNOPS & PEMSEA	In 2009, PEMSEA was allowed to submit projected cash flow to justify additional float in the bank, which was often used to fund expenses for trainings/ workshops. At the end of each activity, whenever necessary UNOPS deducts the excess fund in the project account to maintain its level of US\$60,000. This practice worked well. However in the latter part of 2011, UNOPS issued a new Administrative Guidelines on Operational Cash Advance. The new process requires the person in charge of the activity to submit a request to UNOPS two weeks prior to the activity. However upon approval by UNOPS, cash advance is

		<p>deposited to the personal account of the staff in charge of the activity.</p> <p>Under this new process, difficulties were encountered particularly in December 2011 and March 2012 wherein transfer of cash advance was delayed. To address this, PEMSEA has to advance the payment using the PEMSEA Trust Fund account and reimburse later on upon receipt of the cash advance from UNOPS.</p>
(4) Petty Cash Fund	UNOPS issues petty cash through the personal account of the designated cash custodian	<p>From 2008 to January 2011, PEMSEA followed the UNOPS policy on petty cash using the imprest system. However, in 2011 a new regulation was issued on Petty cash; Petty cash is treated as cash advance subject to liquidation after 90 days. Any balance in the fund should be deposited at the end of 90 days; and request for another petty cash for the next 90 days is subject to the same procedure.</p> <p>Beginning February 2011, the PRF has not had any petty cash from UNOPS as the process restricts PRF's day-to-day operation. To address this, PRF advances the petty cash from the PEMSEA Trust Fund and then submits expenses to UNOPS on reimbursement basis. The reimbursement is made payable to the petty cash custodian and not to the project. PEMSEA has now addressed this issue through an internal mechanism thus apparently obviating the issue.</p>
(5) ATLAS	UNDP/UNOPS	<p>Payments are processed using the ATLAS system. From 2008 to 2011, upon preparation of disbursement voucher PEMSEA was able to edit/encode correct budget codes to match with the approved budget. However, beginning 2012, UNOPS issued a new list of catalogue items in compliance with IPSAS requirements. The new list/codes are totally different from the budget codes that PEMSEA is using. At the same time, the ATLAS system no longer allows editing of budget codes. In view of this, PEMSEA cannot encode the budget code anymore and will have to select the closest applicable budget code from the list, which is not similar to the codes used in the approved budget.</p>
(6) UNOPS Intranet	UNDP & UNOPS	<p>For financial reporting, data are downloaded from UNOPS Intranet and subsequently reconciled with PEMSEA's internal accounting system. However, reports on salaries of UN fixed term staff are not uploaded on time. The usual delay is one month before the report is uploaded onto the net.</p>
<b>ADMINISTRATION</b>		
<b>Contracts Approval</b>		
(1) MOAs with countries on project implementation	UNOPS	<p>For the past four years, there have been regular delays in the review and approval of contracts by UNOPS due to changing policies, templates, etc. At the onset, country MOAs were considered part of standard procurement practice where PRF had to explain that countries are the beneficiaries of the fund support per project document with counterpart contribution. UNDP's written confirmation had to be sought for every</p>



		country. UNOPS Legal has changed the format of MOA to Grant Agreement and then very recently to a Project Cooperation Agreement. The changing documents cause delays since countries will again have to review, agree to, and conform to the new template and clauses. This task, and the burden it entails, falls to PEMSEA to explain and justify the changes. PEMSEA believes the changes do not add value to the contracting process or to the project.
(2) Administration and management of national fixed-term staff	UNDP by authority of UNOPS	While the PRF facilitates personnel requirements, UNDP Country Office, by authority of UNOPS, administers and manages the payroll, benefits, leaves and separation of PRF national fixed-term staff. However, it seems that UNOPS itself is not aware of this arrangement (i.e., UNOPS would often request PRF to update leave record of staff in ATLAS system when this process is administered by UNDP). This suggestive of the need for better communication between UNOPS and UNDP on the issue.
(3) Contract of former Executive Director (ED)	UNOPS	The former Executive Director's contract technically expired in May 2012, but was extended till end of July 2012. The PRF did not receive copy of appointment extension from UNOPS, nor official notification as regards the extension, despite the request from PRF. This posed risk on the PRF as the former ED's authority to represent PRF and sign contracts would have been questioned/could be questioned. UNOPS recently informed PRF that they do not have a copy of the appointment extension and suggested for PRF to request directly with the Office of Human Resources in UNDP Headquarters. There is also no record of turnover report.
(4) Online performance assessment	UNOPS	PRF personnel contracted by UNOPS have not had online performance assessment for the past 3 years (although assessments were submitted manually by the PRF to UNOPS) since its introduction.
(5) Official Confirmation of Acting Executive Director	UNOPS	Thus far, PRF has not received any official confirmation from UNOPS as to the appointment of Mr. S. Adrian Ross as acting Regional Programme Director for the SDS-SEA project nor has a turnover document been provided.
<b>MONITORING AND REPORTING</b>		
<b>A. Managing the Cost-Sharing Agreement (CSA) with China, Japan and RO Korea (mainly in support of the PRF Secretariat Services operations)</b>		
(1) Preparation and submission of Annual Accomplishment Report and Financial Report to the 3 donor countries	- UNDP Manila (with inputs from PRF)	UNDP Manila is sometimes delayed in preparing/submitting the report to the 3 countries (i.e., 2010 and 2011 reports were combined because the 2010 report was not submitted in 2010). The timely submission of this report is important to the PEMSEA. Also important is the need for the timely transfer of funds from UNDP to the contracting of PEMSEA staff.

(2) Hiring of international officers for PRF Secretariat Services (2 posts: Programme Specialist for Secretariat Services and Programme Specialist for Partnership Programs)	UNDP Manila in coordination with UNDP Headquarters	The issue was reported at the 4 <sup>th</sup> EAS Partnership Council Meeting in 2011. The new recruitment requirements of UNDP Headquarters (i.e., verification of credentials) caused extensive delay in the recruitment process despite the fact that the persons offered the positions were already coming from UN projects/programmes. The delay caused negative impacts on PRF operation and the qualified candidates were no longer available when the offer was made. The opportunity to engage qualified individuals has been foregone along with time and resources of the PRF. At the end, only the Partnership Programs position was filled. Timely recruitment is essential to meet delivery of project outputs.
<b>B. GEF/UNDP Project on Implementation of the SDS-SEA</b>		
(1) Preparation of Annual Workplans (AWP) and Budget	<ul style="list-style-type: none"> <li>- PRF</li> <li>- National Economic Development Authority (NEDA) of the Philippines and UNDP Manila (for approval)</li> <li>- UNDP Manila (for uploading in UNDP ATLAS)</li> <li>- UNOPS (for approval and to mirror in ATLAS)</li> </ul>	<p>Submission is every December of each year or early January of each year.</p> <p>The approval process takes time considering the requirements for the AWP and budget to be approved by NEDA before UNDP approval and UNOPS final approval/uploading in ATLAS.</p> <p>The uploading of information in ATLAS is often delayed particularly in the part of UNOPS. On several occasions, the budget reflected by UNOPS in the ATLAS was not similar to the budget submitted by PRF. In some cases, the information uploaded is the old version of the budget, which has caused delays in PRF transactions and release of payments and salaries.</p>
(2) Monitoring of the project on quarterly and annual basis	<ul style="list-style-type: none"> <li>- PRF (prepares and submits quarterly monitoring reports and APR/PIR to UNDP)</li> <li>- Internally, PRF conducts regular Technical Committee meetings to review and assess progress of project implementation and remaining challenges.</li> <li>- UNDP Manila and</li> </ul>	The templates, particularly for APR/PIR, are often modified and some of them have encoded wrong information on the project. These changes make the reporting requirement more onerous than necessary.

	UNDP/GEF Bangkok provide their assessment/rating of the project performance	
(3) Conduct of Mid-term and Terminal Evaluation	<ul style="list-style-type: none"> <li>- PRF prepared draft TORs and schedule for the evaluation and coordinates with UNOPS and UNDP</li> <li>- UNOPS managed the announcement, selection and contracting of evaluators</li> </ul>	<p>Delays to contract the evaluators for the Mid-Term Evaluation resulted to the decision to merge the Mid-Term with the Terminal Evaluation.</p> <p>UNOPS handling of the process of selection and contracting took more than 1.5 years.</p> <p>UNOPS personnel assigned to handle the process was not very careful in the review and releasing of information/documents to evaluators (i.e., some documents released were not updated) despite the submission of revised TORs etc, by the PRF to UNOPS.</p>

## **Annex 10: Chonburi Case Study**

### **Case Study: Chonburi Province, Thailand**

#### **Project Description and Development Context**

##### Project start and duration

Chonburi is one of 24 coastal provinces in Thailand (including Bangkok). Due to its proximity to Bangkok and the large centers of industry and tourism in the province, Chonburi is one of the major economic centers in the country. Five central municipalities of the Province were nominated by Thailand to join the PEMSEA network project, the five central municipalities of the Province were nominated by Thailand to join the PEMSEA network project, the GEF/UNDP/IMO Regional Programme on Building Partnerships in Environmental Management for the Seas of East Asia, in 2001 as a demonstration site.

##### Problems that the project seeks to address

The growing population of 1,155,000 people live predominantly along the coast, with larger numbers of visitors from Bangkok, elsewhere in Thailand and overseas coming in peak tourism periods and at weekends. This is resulting in major coastal degradation with solid and liquid wastes, over development along the coast that sometimes occupies public lands or encroaches on the coastal resources, and the potential for oil and chemical pollution from the two large ports.

With PEMSEA, the local government authorities identified the critical problems of the Province and municipalities: lack of national focus on coastal resources, especially mangroves; lack of coherent planning for coastal development across the Province; declining status of coral reefs and fisheries; major solid waste problems; inadequate sewage treatment; potential for serious damage from oil spills and other chemicals; and development encroaching on public lands.

##### Immediate and development objectives of the project

The immediate task was to raise awareness and capacity within all sectors of Chonburi Province through introducing Integrated Coastal Management (ICM). Then use the capacity developed to progressively clean up these five municipalities as pilot sites with the objective of involving the adjacent municipalities in the Province.

##### Main stakeholders

Chonburi is adjacent to Bangkok with large centers of industry, including the deep water ports of Sriracha and Laemchabang, oil refineries, major tourism infrastructure, fishing and agriculture with a range of crops and animals raised.

#### **Project Results**

##### Attainment of objectives

The history of the project indicates clearly that there has been major progress:

- 2001 – 5 coastal municipalities in Chonburi Province listed as ICM Site (Sriracha, Lamchabang, Saensuk, Chaophrayasurasak, Koh Sichang);
- 2006 – 5 more coastal Chonburi municipalities signed as being ICM sites;

- 2007 – 12 more coastal Chonburi local government units (including cities/municipalities and provincial and subdistrict administrative organizations) signed as being ICM sites;
- 2008 – final 4 coastal Chonburi local government units (including cities/municipalities and provincial and subdistrict administrative organizations) signed as being ICM sites;
- 2010 – all 73 non-coastal local government units (including cities/municipalities and provincial and subdistrict administrative organizations) signed as being ICM sites.

#### Country ownership

The SDS-SEA project has established 2 major multidisciplinary committees: the ICM Provincial Coordination Committee (chaired first by the Vice Governor and recently by the Governor of Chonburi) with representatives from Thai national and provincial government departments, the private sector, Universities in Chonburi, and NGOs; and the ICM Program Management Office that includes a Local Government Consulting Committee with heads of Local government, a Secretariat and four planning sub-committees: planning; technical information and services; financial management; and monitoring and evaluation. Scientific and technical guidance is provided by Burapha and Kasetsart Universities, and an NGO, the Thailand Environment Institute.

The Department of Marine and Coastal Resources (DMCR) within the Ministry of Natural Resources and Environment have both recognized the considerable progress in cleaning up the environment in Chonburi and Ministers frequently bring visitors to these demonstration sites to show the effectiveness of local action.

#### Mainstreaming

The ICM and SDS-SEA project is now directed out of the Chonburi Provincial offices. Vice Governor Pakarathorn Thienchai, who is responsible for environmental management for Chonburi Province was particularly impressed with the networking arrangements implemented by PEMSEA in Chonburi. The emphasis has been on bringing all sectors of the Province together such that the original ICM involvement has now extended to the whole Province including municipalities remote from the coast. The networking also extends to better communication by the Province with the National Government in Bangkok and to linking the Province to many others throughout the East Asian Seas region to share experiences. The Vice Governor also appreciated PEMSEA bringing technical expertise into the Province. He indicated that the Provincial Government would continue to fund ICM and would be willing to assist other provinces provided that some support came from the National government. The most obvious evidence of PEMSEA involvement has been major replanting of mangroves to rehabilitate failed shrimp ponds and a major emphasis on cleaning up solid wastes.

The Project Management Office (PMO) and technical working group are chaired by Vitaya Khunploeme, the Chief Executive Officer of the Chonburi Provincial Administrative Organization and ICM PMO Director, with advice from Chonburi Province, and Mayor Chatchai Thimkrajang, former ICM PMO Director, who also heads the Chonburi Fisheries Association. PEMSEA was particularly acknowledged for recognizing the needs of local and provincial governments and providing ICM advice, training, technical support and seed funding to initiate activities. However, most activities now are funded directly from Provincial and local budgets. Chonburi Province was pleased to be nominated as the Thailand demonstration site in 2001; evidence of their subsequent success is that all 99 local government units in the Province have joined in the

SDS initiative with modifications of the interpretation of coastal in ICM for non-coastal municipalities. Now ICM is part of all municipality and provincial meetings and adopted as policy throughout the Province. The critical difference is that the Province and municipalities work cooperatively to solve problems; and also talk with one voice in seeking assistance and budgets from National government departments. The CEO emphasized the provincial networking role of PEMSEA with all agencies cooperating to solve problems with staff now having received necessary capacity training.

Major Chatchai has been in the PEMSEA project since 2001 and continues to be enthusiastic. Before ICM, each municipality attempted to solve problems without considering downstream municipalities; examples were coastal erosion and waste management. Now all have joint environmental management strategies to handle such problems in cooperation with neighbors. Mayor Thanapong Rattavutinun, of the Natural Resources and Environment Office of Chonburi Province, reports that PEMSEA capacity and confidence building has enabled municipalities to control unsustainable tourism and industrial developments that were destroying government coastal land and polluting environments. They now enforce breakages to their own laws by bringing all stakeholders together around the same table.

A major project catalyzed by PEMSEA was raising awareness about the problems of solid wastes and implementing mechanisms to remove them from all areas. Municipalities now apply recycling programs with the production of compost and recycling of plastic, paper and metals. The effects are dramatic: virtually no litter occurs on streets and in canals; overflowing bins are not evident; and the impression is of considerable cleanliness. The beaches to the north of Chonburi receive enormous volumes of waste from more northern Provinces, particularly coming from Bangkok and through the Bang Pakong River during the wet season. This waste is removed regularly to ensure tourist amenity, but at large financial cost to the municipalities.

#### Sustainability and Catalytic Role

The PEMSEA SDS-SEA project has expanded from the original 5 municipalities to all 99 in the province as recognition of the benefits these local governments are gaining from ICM training and implementation. Moreover, the Province is prepared to assist other coastal provinces of Thailand with the implementation of ICM to correct some of their evident problems.

#### Impact

Mr. Vitaya: National government has recognized the ICM demonstration in Chonburi, and representatives from ministries have joined meetings in Chonburi to discuss problems, which has led to central government providing budget allocation to Chonburi for developing an integrated coastal erosion master plan. Other provinces such as Trang Province are now also interested to adopt ICM. PEMSEA has applied small amounts of seed funding to create some significant changes, especially solid waste treatment, ICM strategies for coastal development, abatement of coastal erosion, and strong community awareness and participation.

The Port Authority of Laem Chabang joined the partnership with PEMSEA with two particular objectives: introduce training in Port Safety, Health and Environmental Management System (PSHEMS); and develop oil spill contingency plans (Note: this is different from the Oil Spill Contingency Plan or OSCP developed for the Chonburi Province). Unlike other ports, the oil spill plan is active with several exercises and actual oil clean-ups occurring every year. All staff have been trained in PSHEMS, either directly from PEMSEA, or as a result of train-the-trainer

assistance to staff. The Port is audited regularly and training is ongoing. Port management staff participate in provincial decisionmaking with the ICM Management Committee and technical working groups.

Before the ICM project, each municipality tried to solve problem on its own; with the ICM project, local governments are able to collectively solve problems and share resources, e.g., municipalities that do not have wastewater treatment plants are able to share/connect with the WWT facilities of other municipalities.

### **Conclusions, recommendations & lessons**

#### Corrective actions for the design, implementation, monitoring and evaluation of the project

This Chonburi demonstration site project appears to be running well with no need to change direction or augment their current approaches. As many other municipalities have been progressively added during the 13 years since the start, it is now possible to assess how rapidly changes can be implemented once there are clear demonstration sites and people with the experience and enthusiasm willing to project their success to other areas. This could be an area for analysis to develop best practice examples of how to expand ICM implementation as rapidly as possible.

#### Actions to follow up or reinforce initial benefits from the project

The adjacent Provinces of Rayong, Chanthaburi and Trat have requested assistance from Chonburi to join in the SDS-SEA project with PEMSEA. The Chonburi Provincial Administration has expressed a strong willingness to assist their neighbors through the development of a training center in association with Burapha University. This, however, can only proceed if specific budget allocations are provided from the National Government.

In Summary, the Chonburi Provincial and Municipality officials are particularly thankful of PEMSEA for:

- Continuing support and provision of technical advice for more than 11 years;
- Linking all governments in the Province, including inland municipalities, into a single action and lobbying force, able to better negotiate with the National Government;
- Making solid waste management a major priority such that the result of a cleaner province is clearly evident;
- Ensuring that water pollution is a whole of province problem that needs combined action to clean up;
- Fisheries management has improved with the establishment of protected areas and implementation of stronger enforcement for transgressions; and
- Implementing oil spill remediation and improved port management procedures in the province, with the Port authorities now being partners in solving wider problems.

#### Proposals for future directions underlining main objectives

In the future the Chonburi Provincial ICM committees want to strengthen internal institutional strengthening for the ICM Secretariat and 99 LGUs, in terms of collaborative planning and technical skills. In particular, they want to enhance the capacity and involvement of non-coastal LGUs. Further they want to:

- Develop more and stronger public-private partnerships to control pollution and implement coastal erosion strategies that are effective and do not transfer the problem further along the coast;
- Continue to raise awareness throughout the community of ICM principles, including a major emphasis on schools and religious bodies;
- Although Chonburi Province is continuing to promote ICM to other provinces, they hope that the National Government will take the lead/coordinate ICM scaling up efforts to other provinces.

Best and worst practices in addressing issues relating to relevance, performance and success

- Involved all stakeholders in the Province in seeking solutions;
- Applied a whole of government approach to solving coastal problems;
- Integrated non-coastal municipalities in the ICM processes, such that there may be a need to redefine ICM to include all aspects pertinent to 'catchment management';
- The Thai Government is strongly supportive of the PEMSEA SDS-SEA project and they established a Subcommittee on Marine and Coastal Resources to avoid inter-sectoral disputes and implement effective zoning of coastal and marine areas. Their immediate goal is to have 50% of the Thai coastline under sustainable management with active ICM plans;

One example is that Thailand did not sign the Haikou Declaration in 2006 and subsequent declarations due to government instability. This is impeding discussions on including Thailand in future tranches of funding from GEF through PEMSEA. Although senior government officials strongly recommended signing the Haikou Declaration, and have recently re-introduced the PEMSEA agreements, there appears to be reluctance to push for official permission.