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#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Mngt response	Owner	Submitted, updated by	Last Update	Status
				I = 2					
4	Stakeholders unwilling to participate	During Project preparation	Operational	Potential impacts on NSAP implementation P = 1 I = 3	PMO to encourage stakeholders to participate	PMO			
	Governments unwilling to actively engage the NGO community	During Project preparation	Operational	Potential limitation of stakeholder engagement P = 3 I = 2	PMO to encourage governments to engage NGOs in SAP implementation	PMO			
	Government Ministries/departments unwilling to share development and management plans	During Project preparation	Operational	Weak national co-ordination: unlikely given the history of prior collaboration P = 1 I = 2	PMO to discuss and encourage sharing of data and information at all levels	PMO			
	Government policy changes, making boat buyback a low priority.	During Project preparation	Political/Financial	This is unlikely to arise in China and ROK P = 1 I = 4	Potential countermeasures are beyond the competency of project management	PMO			
	Difficulties in negotiating the joint fisheries stock assessment, causes delay or cancellation	During Project preparation	Organisational	Low probability due to past success. P = 2 I = 2	PMO to allow sufficient lead time for negotiations	PMO			
	Mariculture enterprises unwilling to adopt integrated multi-trophic aquaculture (IMTA) in place of monoculture	During Project preparation	Operational	this is considered of low probability due to current efforts in introducing IMTA P = 2 I = 4	PMO and NCs to publicise the outcomes of prior demonstrations and assist with technical support where necessary	PMO& NCs			
	Possible risk of non-compliance by polluting enterprises	During Project preparation	Regulatory	considered a moderate risk in China P = 3 I = 3	National Co-ordinators to track situation continuously and seek assistance from PMO if situation beyond their	NCs and PMO			

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Mngt response	Owner	Submitted, updated by	Last Update	Status
					competence to address				
	New techniques for pollution reduction not widely adopted	During Project preparation	Operational	Pollution reduction targets not met P = 2 I = 3	PMO and NCs to publicise the outcomes of the demonstration	PMO and NCs			
	National, Provincial and Local Governments continue to encourage land reclamation.	During Project preparation	Organisational	This is considered a moderately high risk without strong project intervention P = 4 I = 3	PMO and NCs to continue publicising the environmentally damaging effects of land reclamation	PMO and NCs			
	Provincial and local governments may not agree to the establishment of new MPAs	During Project preparation	Organisational	Impacts on effectiveness of the MPA network P = 2 I = 3	PMO and NCs to provide evidence of cost effectiveness of MPA network establishment	PMO and NCs			

Annex 2: Co-financing Commitment Letters

The contents of this annex will be finalised once the substantive portions of the project document have been approved by the countries and will reflect the agreed co-financing.

- a) Co-financing Commitment Letter from China**
- b) Co-financing Commitment Letter from Republic of Korea**
- c) Co-financing Commitment Letter from WWF**
- d) Co-financing Commitment Letter from UNDP China**

a) **Co-financing Commitment Letter from China**



中华人民共和国国家海洋局
State Oceanic Administration (SOA)
The People's Republic of China

1 Fuxingmenwai Avenue
Beijing 100860, China
Tel: 86-10-68019791/ 68048053
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April 2, 2013

Mr. Yannick Glemarec
GEF Executive Coordinator
United Nations Development Programme

Subject: Co-financing Commitment Letter of Government of China on Implementation of the Yellow Sea LME Strategic Action Programme for Adaptive Ecosystem-Based Management

Dear Mr. Glemarec,

This is to confirm the support of the Government of China to the project entitled *Implementation of the Yellow Sea LME Strategic Action Programme for Adaptive Ecosystem-Based Management* focused on ecosystem-based approach to improve ecosystem services in the Yellow Sea Large Marine Ecosystem (YSLME) by implementing the Strategic Action Programme (SAP) of the Yellow Sea.

The Government of China highly satisfied with the outcomes and outputs of the first phase of the YSLME project, implemented by UNDP and executed by UNOPS, and fully committed to the implementation of the 2nd phase of the Project. We confirm that the Government of China will provide US\$ 92,655,060 in grant and in-kind contribution to the project.

We are looking forward to the commencement of the 2nd phase of the YSLME project, and good co-operation with UNDP.

Yours sincerely

Zhanhai Zhang
National Project Co-ordinator
Director-General
Department of International Co-operation

b) Co-financing Commitment Letter from Republic of Korea



MINISTRY OF FOREIGN AFFAIRS
REPUBLIC OF KOREA

24 May 2013

To: Yannick Glemarec
GEF Executive Coordinator
United Nations Development Programme

Subject: Co-financing Commitment Letter of Government of Republic of Korea on Implementation of the Yellow Sea LME Strategic Action Programme for Adaptive Ecosystem-Based Management

Dear Mr. Glemarec,

This letter is to confirm the support of the Government of Republic of Korea to the project entitled *Implementation of the Yellow Sea LME Strategic Action Programme for Adaptive Ecosystem-Based Management* focused on ecosystem-based approach to improve ecosystem services in the Yellow Sea Large Marine Ecosystem (YSLME) by implementing the Strategic Action Programme (SAP) of the Yellow Sea.

The Government of Republic of Korea satisfied with the outcomes and outputs of the first phase of the YSLME project, implemented by UNDP and executed by UNOPS, and fully committed to the implementation of the 2nd phase of the Project. We confirm that the Government of Republic of Korea will provide US\$ 129,334,706 in grant and in-kind contribution to the project.

We look forward to the commencement of the 2nd phase of the YSLME project, and good co-operation with UNDP.

Yours sincerely

A handwritten signature in black ink, appearing to read 'Yun, Hyunsoo', written over a horizontal line.

Yun, Hyunsoo
Director
Climate Change and Environmental Affairs Division
Ministry of Foreign Affairs

c) **Co-financing Commitment Letter from WWF**



WWF for a living planet®

WWF Japan

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105-0014 Japan

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To: Yannick Glemarec
GEF Executive Coordinator
United Nations Development Programme

March 29, 2013

Dear Mr. Glemarec,

Subject: **Co-financing Commitment Letter of Government of China on Implementation of the Yellow Sea LME Strategic Action Programme for Adaptive Ecosystem-Based Management**

This is to confirm the support of the WWF to the project entitled *Implementation of the Yellow Sea LME Strategic Action Programme for Adaptive Ecosystem-Based Management* focused on ecosystem-based approach to improve ecosystem services in the Yellow Sea Large Marine Ecosystem (YSLME) by implementing the Strategic Action Programme (SAP) of the Yellow Sea.

WWF-Japan highly satisfied with the good co-operation with YSLME project during its first phase, in particular with the biodiversity conservation through our Yellow Sea Ecoregion Planning Programme (YSEPP) and Yellow Sea Ecoregion Support Project (YSESP). We think that the valuable outcomes and outputs of the project will provide good benefits to the countries bordering the Yellow Sea. WWF-Japan has involved deeply in preparing the project's 2nd phase, and willing to further co-operate with and commit to the implementation of the 2nd phase of the Project through the Yellow Sea Ecoregion Support Project (YSESP) with total budget about US\$ 1,800,000.

We are looking forward to the commencement of the 2nd phase of the YSLME project, and good co-operation with the Project and UNDP.

Yours sincerely

Shigeki Yasumura
Yellow Sea Ecoregion Support Project Leader, WWF Japan

United Nations Development Programme

联合国开发计划署



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Resilient nations.

28 June 2013

Dear Ms. Dinu,

Subject: Co-financing Commitment Letter of Implementing the Strategic Action Programme for the Yellow Sea Large Marine Ecosystem: Restoring Ecosystem Goods and Services and Consolidation of a Long-term Regional Environmental Governance Framework

This is to confirm the support the UNDP China Country Office to the project *Implementing the Strategic Action Programme for the Yellow Sea Large Marine Ecosystem: Restoring Ecosystem Goods and Services and Consolidation of a Long-term Regional Environmental Governance Framework* focused on supports the states' efforts to halt the decline in biological resources and to restore depleted fish stocks in the Yellow Sea, through the implementation of agreed actions defined in the SAP. This project will integrate the strengths of UNDP and the State Oceanic Administration (SOA) of China. We confirm that the UNDP CO will contribute USD 1,692, 000 in grant co-financing to the project through "Improved Water Resource Management and Drinking Water Safety in Rural regions of China (IWRM)" Project (2010-2015).

We are earnestly looking forward to the commencement of the project.

Yours sincerely

A handwritten signature in black ink, appearing to read 'C. Bahuet', is written over a faint, larger version of the same signature.

Christophe Bahuet
Country Director

Adriana Dinu
Deputy GEF Executive Coordinator
United Nations Development Programme
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U.S.A.

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Annex 3: Terms of Reference for YSLME Commission and Subsidiary Bodies

3a. Preliminary Elements for the Terms of Reference for the Future YSLME Commission

Background

The Yellow Sea SAP aims to facilitate the protection of marine environment and sustainable use of the marine and coastal resources in the Yellow Sea. To achieve this objective, the SAP contains regional environmental targets and the management actions that are required to meet those targets by 2020.

One of the actions envisaged in the SAP is the establishment of the YSLME Commission as a permanent institutional framework to continue and expand current efforts made under the first phase of the UNDP/GEF YSLME Project. The Commission is envisaged as a soft, non-legally binding, and co-operation based institution that will co-ordinate and enhance regional and national efforts to apply ecosystem based management. With the participation of the Yellow Sea countries, it is proposed that the Commission consist of the following bodies:

- Management, Science and Technical Panel (MSTP);
- Regional Working Groups (RWGs);
- Inter-Ministry Co-ordinating Committee (IMCC);
- National Co-ordinator (NC);
- National Working Groups (NWGs); and
- Secretariat.

The UNDP/GEF SAP implementation project is envisaged as the mechanism through which the Commission is established, with negotiation mechanism, conflicts resolution procedure and its sustainable financing mechanism and agreement. During the period of SAP implementation it is envisaged that an Interim Commission will be established to serve as the mechanism for discussing and agreeing the final structure and details of the Permanent Commission and as the Project Board *sensu* UNDP.

Commission Bodies

*Interim Commission Council*¹, shall serve as the Project Board) responsible for making management decisions for a project in particular when guidance is required by the Project Manager. The Project Board plays a critical role in project monitoring and evaluation by quality assuring these processes and products, and using evaluations for performance improvement, accountability and learning. It ensures that required resources are committed and arbitrates on any conflicts within the project or negotiates a solution to any problems with external bodies. In addition, it approves the appointment and responsibilities of the Project Manager and any delegation of its Project Assurance responsibilities.

The Council membership shall consist of: participating countries represented by designated National Focal Points (NFPs) with assistance from the government officials of National Implementing

¹ Following the completion of the 2nd phase of the UNDP/GEF project, the Commission Structure may be modified to meet the new requirements.

Agencies and the IMCC chairpersons; representatives of UNDP/GEF, UNOPS, and other donor organisations; MSTP chairpersons; and representatives from the private sector and NGOs that are actively contributing to the implementation of the SAP. Regular meetings of the Council shall take place once a year. Special meetings may be convened as required. The Council provides overall strategic policy and management direction, and considers and approves regional activities and budgets suggested by the MSTP, and secures technical and financial resources necessary for implementing SAP management actions.

Management, Science and Technical Panel (MSTP), a permanent body, provides the RWGs with managerial, scientific, and technical guidance and the Interim Commission Council with managerial, scientific, and technical advice. The Panel shall consist of NCs, RWG chairpersons, selected regional experts, and representatives of the private sector and NGOs actively engaged in SAP implementation, together with the Project Manager. Regular meetings are organised once a year, preferably back-to-back with the Council meetings. The Panel co-ordinates regional activities across the RWGs; provides them with suggestions to improve the activities; considers budget allocations for each activity; and makes recommendations to the Council for their approval of budgets, work plans and the execution of activities.

Regional Working Groups (RWGs), The MSTP shall establish such regional working groups as are deemed necessary to effectively plan, co-ordinate and manage the various activities approved by the Interim Commission Council. Initially six such working groups will be established with responsibility for co-ordinating actions at the regional level focusing on: fish stocks (RWG-F); sustainable mariculture (RWG-M); habitat conservation (RWG-H); pollution reduction (RWG-P); monitoring/assessment (RWG-A), and sustainability (socioeconomics and governance (RWG-G). Each Working Group shall consist of experts nominated by the IMCC from each participating country², and representatives from the private sector and NGOs. Each RWG shall organise regular annual meetings to prepare work plans for consideration of the MSTP and approval by the Council. Following Council approval, the RWGs shall monitor and supervise activities, in accordance with the guidance provided by the MSTP. In addition, the RWGs shall provide technical guidance to relevant NWGs and shall provide advice within its sphere of competence to the MSTP through the RWG chairperson.

Inter-Ministry Co-ordinating Committee (IMCC) co-ordinates national activities among relevant national ministries and institutions to ensure smooth implementation of national efforts in line with regional directions and objectives. The IMCC membership shall include the NFP and representatives from relevant ministries in the country. The National Co-ordinator (NC) shall serve as the secretary to the IMCC, and regular meetings shall be convened at least once a year. If more than one meeting is convened in any one year then one of these shall be organised before the annual meeting of the Interim Commission Council. The IMCC reviews the work plans that the NWGs prepare and provides them with guidance for improvement when necessary. The IMCC chairperson serves as a member of the Council and the IMCC reports to the MSTP through the NC.

National Co-ordinator (NC), a full-time position appointed by the IMCC, the NC serves as the primary national contact for the RWGs and the Secretariat. The NC co-ordinates national activities among the NWGs under the direction of the IMCC; and serves as secretary to the IMCC. The NC assists the NFP in organising IMCC meetings and serves as a member of, and reports on national activities to the MSTP on behalf of the IMCC.

National Working Groups (NWGs), are established at the discretion of the IMCC, and are responsible for the design and implementation of management actions at the national level. Membership shall include environmental managers, scientists, and technical experts in the appropriate field of expertise.

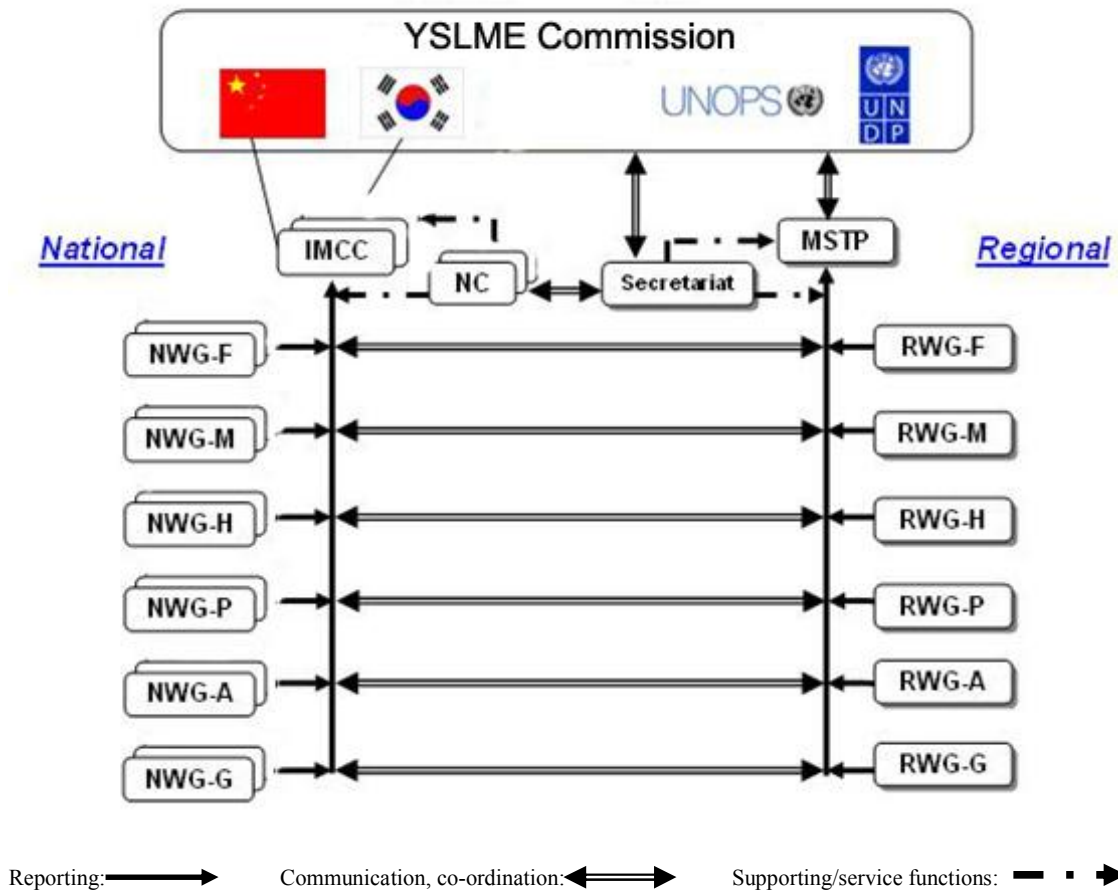
²Normally such individuals would be the Chairs of the appropriate National Working Group.

In close co-ordination with the respective RWG and the NWGs in other participating countries, each NWG shall prepare national work plans for the IMCC to consider and approve. The chairperson of each NWG reports on its activities to the IMCC.

Commission Secretariat, a permanent body, the Secretariat provides administrative support and regional co-ordination among the bodies of the YSLME Commission, such as the Council, the MSTP, the RWGs, and the NCs.

The YSLME Commission Secretariat shall create a “Management Advisory Roster” being an open ended database of regional environmental managers, scientists, and technical experts, nominated by the IMCCs in the respective countries. Individuals from this pool may be called upon from time to time to assist the Commission in the execution of activities to implement the SAP, including for example, serving as expert members on the various bodies of the Commission, or as consultants and advisors to the Secretariat for specific short term tasks. Considering the requirements of each regional working group, the Secretariat in close consultation with the NCs shall appoint appropriate persons from the roster, as expert members of each RWG. Considering the requirements of each national working group, NCs shall appoint appropriate persons as expert members of each NWG, and report such appointments to the appropriate regional bodies of the Commission.

Organisational Framework of the Yellow Sea Large Marine Ecosystem (YSLME) Interim Commission Bodies



NWG = National Working Groups; RWG = Regional Working Groups; IMCC = Inter-Ministry Co-ordination Committee; NC = National Co-ordinator; MSTP = Management Science and Technology Panel. National and Regional Working Groups include Fisheries = F; Mariculture = M; Habitats = H; Pollution = P; Assessment = A; and Governance = G.

3b. Preliminary Terms of Reference³ for the 2nd YSLME Project The YSLME Interim Commission Council

The Interim Commission Council is a body that serves as the supreme decision-making authority with respect to the implementation of SAP related activities. During the implementation of the UNDP/GEF SAP Implementation Project (the second phase of the YSLME Project), an Interim Commission Council will be established to serve as the Project Board. The following sections describe the membership, meetings, and functions of this body.

Membership

The Interim Commission Council shall consist of:

- Participating countries with assistance from GEF National Implementing Agencies and IMCC chairpersons of each participating country;
- Chairperson of the Management, Science and Technical Panel (MSTP);
- A representative of the UNDP/GEF;
- A representative of UNOPS;
- Representatives from private sector bodies actively engaged in SAP implementation
- Representatives from accredited NGOs actively engaged in SAP implementation⁴.

Additional members including representatives from other relevant government agencies in the participating countries may be added at the discretion of the Council. During the second phase of the YSLME Project, the Project Management Office shall serve as the Secretariat of the Council.

Meetings

Regular meetings of the Council shall be convened once a year. A chairperson and a vice-chairperson who shall be responsible for chairing the meetings shall be selected by the members from amongst the members, and shall serve until the commencement of the next regular meeting.

Special meetings may be convened by the chairperson: (i) when a majority of the Council members make a request for such a meeting to the Secretariat; and (ii) at the request of the Secretariat when circumstances demand.

The Council can invite other organisations and projects to attend the meetings as observers.

Tasks

- (1) Provide overall strategic policy and management direction in implementing the SAP and executing the UNDP/GEF SAP implementation Project;
- (2) Review, amend, and approve regional activities, work plans, and budgets for SAP implementation, that are suggested by the MSTP;

³All Terms of Reference under this Annex and Rules of Procedure should be considered indicative. Therefore, they will be discussed and finalized before the implementation of the 2nd YSLME project, preferably at the first meeting of the Interim YSLME Council.

⁴ The membership of the private sector and NGOs needs further consideration as concerns expressed on this issue.

- (3) Co-ordinate the work of the participating countries to ensure that the activities meet regional and national environmental concerns and priorities;
- (4) Secure technical and financial resources necessary to implement the activities;
- (5) Review the progress of the activities and provide guidance to the MSTP and the Secretariat for better management and co-ordination;
- (6) Facilitate necessary actions for policy reform to harmonise national legislation;
- (7) Promote co-operation with relevant international, regional, and national organisations and projects;
- (8) Facilitate the participation of the private sector and NGOs in SAP implementation;
- (9) Disseminate the findings and results of SAP implementation to broad audiences, within and outside the region;
- (10) The Interim Commission Council established at the commencement of the UNDP/GEF SAP Implementation Project shall finalise and arrange for national approval of all the Terms of Reference for the bodies deemed necessary for the Project including overall organizational structure of the bodies;; and,
- (11) Finalise and arrange for national approval of the membership and Terms of Reference for the permanent Commission Council to be established during the execution of the UNDP/GEF SAP Implementation Project

Other matters

Notwithstanding the membership and terms of reference specified in this document, the Interim Commission Council shall have the power to amend, from time to time, the membership and terms of reference of the Council.

3c. Preliminary Terms of Reference for the 2nd YSLME Project Management, Science and Technical Panel

The Management, Science and Technical Panel (MSTP), a permanent body, provides the Regional Working Groups (RWGs) with managerial, scientific, and technical guidance and the Interim Commission Council with managerial, scientific, and technical advice. The following sections describe the membership, meetings, and functions of this body.

Membership

The Panel shall consist of:

- The National Co-ordinators (NCs) from each participating country;
- The chairpersons of each Regional Working Group. The relevant expert on social economic and governance fields shall be invited as the member of the Panel;
- Leading regional experts, taken from the Management Advisory Roster, identified by the Secretariat;
- Representatives from private sector organisations actively engaged in SAP implementation;
- Representatives of NGOs actively engaged in SAP implementation; and
- The Project Manager.

During the second phase of the YSLME Project, the Project Management Office shall serve as the Secretariat of the Panel.

Meetings

Regular meetings shall be convened once a year preferably before the Interim Commission Council meetings. A chairperson and a vice-chairperson who are responsible for chairing the MSTP meetings shall be elected from amongst the members. The chairperson attends the Council meetings to present the recommendations and reports prepared by the Panel.

Tasks

- (1) Review and co-ordinate regional activities for SAP implementation, proposed by each RWG;
- (2) Provide the RWGs with technical guidance and suggestions to improve the activities where necessary;
- (3) Consider the recommendations of each RWG concerning proposed budget allocations for each activity;
- (4) Provide the Interim Commission Council with recommendations on proposed regional activities, work plans, and budgets;
- (5) Facilitate co-operation with relevant international, regional, and national organisations and projects to enhance the effectiveness and efficiency of SAP implementation;
- (6) Monitor the progress of the regional activities and ensure the quality of outputs; and,
- (7) Report to the Council through the MSTP chairperson on the progress of activities and SAP implementation.

Other matters

Notwithstanding the membership and terms of reference specified in this document, the MSTP may make recommendations to the Interim Commission Council, to amend, from time to time, the membership and terms of reference of the Panel.

3d. Preliminary Terms of Reference for the 2ndYSLME Project Regional Working Groups

The Management, Science and Technical Panel (MSTP) shall establish such Regional Working Groups (RWGs) as are deemed necessary to effectively manage and execute the various activities approved by the Interim Commission Council. Initially six working groups will be established with responsibility for co-ordinating actions at the regional level focusing on: fish stocks (RWG-F); sustainable mariculture (RWG-M); habitat conservation (RWG-H); pollution reduction (RWG-P); monitoring/assessment (RWG-A), and sustainability (socioeconomics and governance (RWG-G)). The following sections describe the membership, meetings, and functions of each regional group.

Membership

Each RWG shall consist of:

- Representatives from each participating country, nominated by the IMCCs, normally such individuals shall be the chairpersons of the equivalent National Working Groups.
- Leading regional experts in an appropriate discipline of natural and/or social science selected from the Management Advisory Roster and appointed by the Secretariat; and
- Representatives from the private sector; and,
- NGO representative.

During the second phase of the YSLME Project, the Project Management Office shall serve as the Secretariat of the RWGs. Each Working Group shall elect its own Chairperson and other officers from amongst the members.

Meetings

Each RWG shall organise its regular meetings once a year. The chairperson attends the MSTP meetings to present recommendations and activity reports prepared by the RWG.

Tasks

- (1) Prepare regional activities with work plans to implement the SAP for consideration by the MSTP and approval by the Interim Commission Council;
- (2) Monitor, supervise, and amend approved regional activities for better implementation, as necessary, following the guidance and suggestions provided by the Council and the Panel;
- (3) Co-ordinate the work of the NWGs and provide them with guidance for national activities to meet national and regional environmental concerns and priorities as described in the SAP;
- (4) Report to the Panel through the RWG chairperson on the progress of the regional activities.

Major responsibilities of individual RWGs

RWG-F Fish stocks: Provide guidance and co-ordination for regional activities to improve Ecosystem Carrying Capacity (ECC) with respect to provisioning services by recovering and enhancing depleted fisheries stocks.

RWG-M Sustainable mariculture: Provide guidance and co-ordination for regional activities to improve the ECC with respect to provisioning services by enhancing mariculture production and quality and by reducing and controlling pollutant discharge from mariculture.

RWG-H Habitat conservation: Provide guidance and co-ordination for regional activities to improve the ECC with respect to supporting services by conserving biological diversity and maintaining current areas of habitats.

RWG-P Pollution reduction: Provide guidance and co-ordination for regional activities to improve the ECC with respect to regulating and cultural services by reducing pollutant levels and strengthening legal and regulatory processes.

RWG-A Monitoring and assessment: Provide guidance and co-ordination for regional activities to improve the ECC with respect to supporting services by mainstreaming adaptive management to meet potential challenges, including the climate change impacts on ecosystem processes.

RWG-G Sustainability (socioeconomics and governance): Provide guidance and co-ordination for regional activities to improve regional environmental governance by strengthening institutional, legislative, and financial capacities of the region and the countries.

Other matters

Notwithstanding the membership and terms of reference contained in this document, the RWG may recommend to the MSTP for decision, amendments to the membership and terms of reference of the RWG.

3e. Preliminary Terms of Reference for the 2ndYSLME Project Inter-Ministry Co-ordinating Committee

The Inter-Ministry Co-ordinating Committee (IMCC) co-ordinates national activities among relevant national ministries and institutions to ensure smooth implementation of national efforts in line with regional directions and objectives. The following sections describe the membership, meetings, and functions of this body.

Membership

The IMCC shall consist of:

- Government executive officials at the GEF National Focal Agency (i.e., GEF National Operational Focal Point [NFP]), the GEF National Implementing Agency, and all the other relevant ministries that have responsibilities in marine and coastal issues in the Yellow Sea;
- National Working Group (NWG) chairpersons; and
- Representatives from private sector organisations actively engaged in NSAP implementation; and,
- Representatives of NGOs actively engaged in NSAP implementation.

The National Co-ordinator (NC) serves as a secretary to the IMCC.

Meetings

Regular meetings shall be convened at least once a year. If more than one meeting is convened in any one year then one of these shall be organised before the annual meeting of the Interim Commission Council. A chairperson and a vice-chairperson responsible for chairing the IMCC meetings are elected from amongst the members. The IMCC chairperson serves as a member of the Council. The IMCC reports to the Management, Science and Technical Panel (MSTP) through the NC.

Tasks

- (1) Prepare, on behalf of the government, the national positions on policy issues for the Interim Commission Council to consider and present the positions to the Council through the IMCC chairperson;
- (2) Nominate regional environmental managers and science and technical experts for inclusion in the Management Advisory Roster;
- (3) Establish the NWGs with leading experts in the country in line with the requirements, focal areas, and activities of the RWGs;
- (4) Appoint the NC and the NWG chairpersons based on nominations by the GEF National Focal Agency (i.e., NFP) and the GEF National Implementing Agency;
- (5) Review and co-ordinate national activities under the NSAP implementation, that the NWGs propose;
- (6) Provide the NWGs with guidance and suggestions to improve the national activities to meet national and regional environmental concerns and priorities;
- (7) Secure technical and financial resources necessary to implement the national and regional activities;
- (8) Monitor the progress of the national activities and ensure the quality of outputs;

- (9) Facilitate co-operation with relevant national organisations and projects to enhance the effectiveness and efficiency of the national activities;
- (10) Report to the MSTP through the NC on the progress of the national activities;
- (11) Facilitate the participation of the private sector and NGOs in SAP/NSAP implementation;
and
- (12) Disseminate the findings and results of NSAP implementation to broad audiences, nationally, regionally, and internationally.

Other matters

Notwithstanding the membership and terms of reference contained in this document, the IMCC shall have the power to amend, from time to time, the membership and terms of reference. Such amendments shall be reported to the next meeting of the YSLME Interim Commission Council.

3f. Preliminary Terms of Reference for the 2ndYSLME Project
National Co-ordinator

The National Co-ordinator (NC), a full-time position appointed by the Inter-Ministry Co-ordinating Committee (IMCC), shall serve as the primary national contact for the RWGs and the Secretariat. The following section describes the functions of this individual.

Tasks

- (1) Serve as a secretary to the IMCC, assisting the National Operational Focal Point in organising IMCC meetings;
- (2) Assist the IMCC to review and co-ordinate national activities under the NSAP implementation, secure technical and financial resources necessary to implement the national activities, and monitor the progress of the activities to ensure the quality of outputs;
- (3) Compile a register of national management, scientific and technical experts in maritime affairs for consideration by the IMCC as nominated members of the Management Advisory Roster;
- (4) Recommend appropriate national experts from the Management Advisory Roster as NWG members to the IMCC;
- (5) Co-ordinate the national activities among the NWGs under the direction of the IMCC;
- (6) Report to the Management, Science and Technical Panel (MSTP) on behalf of the IMCC on the progress of national activities;
- (7) Serve as a member of the MSTP, contributing to the regional co-ordination, the provision of guidance to the RWGs, and the preparation of regional work plans and budgets;
- (8) Liaise closely with the Secretariat, supporting it on matters regarding SAP/NSAP implementation;
- (9) Assist the IMCC to facilitate the participation of the private sector and NGOs in SAP/NSAP implementation and to disseminate the findings and results of the implementation to broad audiences; and
- (10) Such other tasks as the IMCC shall from time to time decide.

3g.Preliminary Terms of Reference for the 2ndYSLME Project National Working Groups

National Working Groups (NWGs) shall be established at the discretion of the Inter-Ministry Co-ordinating Committee (IMCC), and are responsible for the design and implementation of management actions at the national level. The NWGs are organised in line with the requirements, focal areas, and activities of the RWGs. The following sections describe the membership, meetings, and functions of such bodies.

Membership

Each NWG shall consist of:

- A chairperson nominated by the GEF National Focal Agency (i.e., National Operational Focal Point [NFP]) and the GEF National Implementing Agency and appointed by the IMCC;
- Leading experts in the relevant fields of natural and social science nominated by the IMCC and appointed by the National Co-ordinator (NC); and
- Representatives from the private sector and NGOs.

The NC shall serve as the Secretariat of the NWG.

Meetings

Each NWG shall organise its regular meetings as necessary, but at least once a year. The meeting shall preferably be held in advance of the RWG meetings. The chairperson of the NWG attends the IMCC meetings and the RWG meetings, to present recommendations and activity reports prepared by the NWG.

Tasks

- (1) Prepare, in close co-ordination with the respective NWGs in other participating countries, national activities with work plans to implement the NSAP for the respective RWG to consider and agree upon;
- (2) Monitor and evaluate the progress of national activities and amend them, as necessary, in consultation with the RWG;
- (3) Report to the IMCC through the NWG chairperson on the progress of the national activities;
- (4) Report to the RWG through the NWG chairperson on the execution of national activities; and,
- (5) Facilitate the execution at national level of activities identified by the RWG as appropriate to implement the regional SAP, in addition to those activities relevant to the implementation of the NSAP.

Other matters

Notwithstanding the membership and terms of reference contained in this document, the IMCC, has the power to amend, from time to time, the membership and terms of reference of the NWG, and shall report such amendments to the MSTP.

3h.Preliminary Terms of Reference for the 2ndYSLME Project Secretariat

YSLME Interim Commission Council Secretariat, a permanent body that provides administrative support and regional co-ordination among: the Interim Commission Council; the Management, Science and Technical Panel (MSTP); the Regional Working Groups (RWGs); and the National Co-ordinators (NCs). During the second phase of the YSLME Project, the Project Management Office (PMO) headed by the Project Manager shall serve as the Secretariat, facilitating regional and national efforts relevant to SAP/NSAP implementation. The following section describes the functions of this body.

Tasks

- (1) The Secretariat assists in organising all the regional meetings of the YSLME Interim Commission Council and other subsidiary bodies as well as other activities relevant to the implementation of the SAP management actions.
- (2) The Secretariat reports to the Council and the MSTP through the Project Manager.
- (3) Serve as a secretary to the meetings of the Council, the MSTP, and RWGs, liaise with, and provide administrative support to these bodies in the execution of their responsibilities;
- (4) Draft policy, managerial, and technical papers on SAP implementation in co-operation with the RWGs and NCs as part of the preparation for the Council and MSTP meetings;
- (5) Prepare and present activity implementation reports to the Council and the MSTP through the Project Manager;
- (6) Appoint regional experts as RWG members from the Management Advisory Roster;
- (7) Assist in organising all the regional meetings, including the ones mentioned above in Terms of References for Council, MSTP, and RWGs, as well as other regional co-ordination activities relevant to the implementation of the SAP;
- (8) Administer contracts for consulting services under SAP implementation, following U.N. rules;
- (9) Monitor the progress of all regional activities of the YSLME Interim Commission Council and other subsidiary bodies to ensure that activities are implemented in line with the strategic policy and management direction provided by the Council, and that high quality outputs are secured on time and within budget;
- (10) Liaise closely with the NCs to ensure smooth implementation of national efforts in line with regional efforts and objectives;
- (11) Assist the Council and the MSTP in promoting the co-operation with relevant organisations, including the private sector and NGOs; and
- (12) Assist in disseminating the findings and results of SAP/NSAP implementation to broad audiences nationally, regionally and internationally.

Other matters

Notwithstanding the terms of reference contained in this document, the Interim Commission Council has the power to amend, from time to time, the terms of reference of the Secretariat.

3i. Preliminary Elements of Rules of Procedure for the Interim YSLME Commission Council

Rule 1: Membership

1. The Interim Commission Council shall consist of: representatives from the countries participating in the UNDP/GEF Yellow Sea Project (hereinafter called the “Yellow Sea countries”), the chairperson of the Management, Science and Technical Panel (MSTP), one representative each from UNDP/GEF and UNOPS, and representatives of the private sector and NGOs actively engaged in SAP implementation⁵.
2. Each Yellow Sea country shall be represented by: the GEF National Operational Focal Point (NFP) assisted by the Chairperson of the Inter-ministry Co-ordinating Committee (IMCC) and a Government Official(s) from National Implementing Agency designated by the NFP.
3. The Interim Council may decide by consensus that other organisations become Council Members.
4. Notwithstanding the Rules contained in this document, the Council has the power to amend, from time to time, the membership of the Council.

Rule 2: Meetings

1. The Interim Commission Council shall hold regular meetings once a year, upon convocation by the Council Chairperson. At each regular meeting, the Council shall decide on the dates and venue of the next meeting. For the role of the Chairperson, see Rule 4 in this document.
2. Special meetings may be convened by the Chairperson: (i) when a majority of the Council members make a request for such a meeting to the Secretariat; and (ii) at the request of the Secretariat when circumstances demand. The Secretariat shall circulate the request for holding a special meeting to all Members and each country’s National Co-ordinator (NC) with a deadline for response. The Secretariat shall inform the Members of the consensus response.
3. The Chairperson shall decide on the dates and venue of a special meeting in consultation with the NCs and the Secretariat.

Rule 3: Agenda

1. The Secretariat shall prepare the agenda for each meeting in consultation with the Chairperson.
2. The agenda for a regular meeting shall include *inter alia*, the following items:
 - a. Adoption of the agenda;
 - b. Activity report of current year (progress report);
 - c. Proposed work plan and budget for the subsequent year and onwards;
 - d. Any other items the inclusion of which has been decided at a previous meeting;
 - e. Items proposed by any Member;
 - f. Outstanding and arising issues and
 - g. Adoption of the report of the meeting.
3. The agenda for a special meeting shall consist only of those items that are proposed for consideration in the request to convene the meeting.
4. The Secretariat shall circulate a provisional agenda with supporting documents to the Members at least two weeks before the opening of the meeting.

Rule 4: Chairperson

⁵ *The membership of the private sector and NGOs needs further consideration as concerns expressed on this issue.*

1. The Chairperson of the Interim Commission Council shall be selected from each Yellow Sea country in rotation, in alphabetical order.
2. A Chairperson and a Vice-chairperson who shall be responsible for chairing the meetings shall be selected by the members from amongst the members, and shall serve until the commencement of the next regular meeting. If the Chairperson cannot preside at a meeting or any part thereof, the Vice-Chairperson shall act as the Chairperson with the same powers and duties.
3. The Chairperson shall serve for a period of one year.
4. In addition to exercising the powers and duties conferred upon him/her elsewhere in the Rules, the powers and duties of the Chairperson shall be to:
 - a. Ensure that all the tasks of the Council, as described in the Terms of Reference, are fully carried out;
 - b. Convene regular and any special meetings;
 - c. Declare the opening and closing of each meeting;
 - d. Preside at all meetings: direct discussion, accord the right to speak, and announce decisions;
 - e. Call a speaker to order if their remarks are not relevant to the subject under discussion;
 - f. Ensure observance of the Rules described in this document; and
 - g. Make such decisions and give such directions to the Secretariat, that ensure the business of the Council is carried out efficiently and in accordance with its wishes.

Rule 5: Secretariat

1. The Project Management Office serves as the Secretariat during the bridging period and second phase of the YSLME Project.
2. In addition to exercising the powers and duties conferred upon it elsewhere by the Rules, the Secretariat shall:
 - a. Issue the invitations to the meetings;
 - b. Prepare the provisional agenda for the meetings in accordance with Rule 3;
 - c. Make all necessary arrangements, including secretarial assistance, for the meetings of the Council and its regional subsidiary bodies;
 - d. Prepare the progress report, work plan, and budget;
 - e. Prepare meeting reports; and
 - f. Perform other functions and tasks, as described in the Terms of Reference, or entrusted to the Secretariat by the Council.

Rule 6: Conduct of business

1. A majority of the Members shall constitute a quorum.
2. Proposals from any members shall be introduced in writing and submitted prior to the meeting for the Secretariat to circulate to the Members.
3. The decisions of the meetings shall be made by consensus.
4. Where consensus cannot be achieved during a meeting, the Secretariat in consultation with the Chairperson shall facilitate negotiations to seek resolution during the subsequent inter-sessional period. The Secretariat shall report the results of the negotiations to the Members.
5. The Interim Commission Council may adjourn the discussion of any issue on which a consensus cannot be reached and refer it to a working group of the Council. The working group shall be charged with resolving the issue and be required to report the outcome of their work to the Council when the discussion resumes.
6. The record of the meeting, including all the decisions made, shall be kept by the Secretariat which shall circulate the record to the Members in the form of a draft report before the closure of the meeting. Any Member who disagrees with any part of the report may propose an amendment for consideration by all members during the adoption of the report.
7. The Secretariat shall distribute the final version of the report to the Members within two weeks following the closure of the meeting.

8. Between meetings, any proposal for a decision falling within the competence of the Interim Commission Council shall be circulated in writing by the Secretariat to the Members with a specified deadline for reply. On the basis of the responses the Secretariat will inform members in writing of the views expressed and the consensus position.

Rule 7: Subsidiary bodies

1. The subsidiary bodies of the Interim Commission Council shall consist of the regional bodies (MSTP and Regional Working Groups), the national bodies (IMCC and National Working Groups), and the Secretariat.
2. The membership, meetings, and tasks of each subsidiary body shall be defined in their Terms of Reference.
3. The Rules of Procedure of each subsidiary body shall follow those of the Council.

Rule 8: Language

The working language of the Interim Commission Council shall be English.

Rule 9: Participation of observers

1. The Interim Commission Council may invite observers to participate in its meetings.
2. Upon the invitation of the Chairperson, observers may participate in the discussion of issues within their competence or scope of activities, without the right to participate in decision-making.
3. Observers may, upon invitation of the Chairperson, submit written statements that shall be circulated by the Secretariat to the members of the Council or to the concerned subsidiary bodies.

Rule 10: Amendments and suspension

Any Rules contained in this document may be amended or suspended by the Interim Commission Council.

Annex 4. Terms of Reference for Key Project Staff

1. Chief Technical Advisor (CTA) (Project Manager)

Overall Responsibilities:

The CTA shall be responsible for the overall coordination, management, monitoring and supervision of all aspects of the GEF Yellow Sea LME Project entitled *Implementing the Strategic Action Programme for the Yellow Sea Large Marine Ecosystem: Restoring Ecosystem Goods and Services and Consolidation of a Long-term Regional Environmental Governance Framework* (YSLME), under the policy/technical guidance of the Interim Commission Council. He/she shall liaise directly with the Governments of the participating countries and the National Project Coordinators (NPCs) and the representatives of the GEF partners, in order to develop the annual and quarterly work plans and budgets for the project. He/she shall explore all the possibilities in involve all the coastal countries in the YSLME project if the geopolitical situation allows.

He/she shall carry out all necessary political and technical negotiations to ensure the establishment of the YSLME Commission. He/she shall provide necessary political and technical options to the governments of the participating countries and other project partners to facilitate necessary agreements reached necessary for establishing the Commission, including the agreement reaching, conflict solving and sustainable financing mechanisms, based on the agreements of the Interim Commission Council.

He/she shall be responsible for all substantive, managerial and financial monitoring and reporting of the Project. He/she will provide overall supervision for all staff in the Project Management Office (PMO) as well as guiding and supervising all external policy relations. He/she is responsible for the coordination and monitoring of international inputs. While he/she is directly accountable to UNOPS, the CTA shall consult with, coordinate closely with, and report as appropriate to the Principal Project Resident Representative (PPRR), and the UNDP/GEF Task Manager. He/she will also seek additional funding and partners, and integrate their inputs to project workplans and budgets. Funding could be cost-shared or in parallel. He/she should closely liaise with other complementary or parallel initiatives to ensure maximum complementarities.

Duties:

The CTA will have the following specific duties:

(1) Project implementation and management:

- to prepare the annual and quarterly workplans and budgets of the Project on the basis of the Project Document, in close consultation and coordination with the National Project Coordinators, Regional and National Working Group Chairs to coordinate and monitor the activities described in the work plans, and ensure timeliness and quality of outputs;
- to review the annual and quarterly workplans and budgets of Regional Working Groups (RWGs), and collate them into overall workplans and budgets;
- to coordinate and oversee the implementations of the workplans as approved by the Interim Commission Council, in close consultation with the Chairpersons of RWGs;
- to prepare all the progress and financial reports of the project implementation and submit them to the Interim Commission Council for considerations and approvals;

- to maintain the overall responsibility for the efficient, cost-effective use of project funds, in accordance with UNDP/GEF rules and regulations;
- to prepare and oversee the development of Terms of Reference for consultants and contractors, select in consultations with UNDP PPR, NPCs, the international consultants and contractors; and

(2) Supervisory functions:

- to supervise the work of all other PMO staff, project consultants (long-term and short-term) to be recruited for the project implementation, and the project staff seconded by the governments of the participating countries;
- to manage the offices of the PMO, their staff, budgets, and the imprest accounts established under the project for implementing the project activities;

(3) Coordinating functions:

- to liaise with the GEF National Focal Points (NFPs), the National Project Coordinators (NPCs), UNDP (both the country office in China and UNDP/GEF), UNOPS and GEF;
- to liaise with other organization and projects to ensure maximum synergy, avoid duplication with existing efforts and initiatives. To ensure proper coordination and cooperation with other relevant organization and project in implementing the activities within the framework programme for the East Asian Seas region
- to act as Secretary for the Interim Commission Council for its annual and special, whenever necessary, meetings, including preparing all the meeting documents and the reports of the meetings;
- to represent the project at the events when deemed necessary, and to liaise with IW Learn to share project experiences and information.

Skills and Experience Required

a. Education

-
- Post-graduate degree in marine science, environmental management or a directly related fields

b. Work Experience

-
- At least 10 years of experience in the fields related to the assignments, preferably within the UN system, and at least five years experience at a senior project management level.

c. Key Competencies

-
- Proven political and technical knowledge in the region of the region, and in particular, of the Yellow Sea coastal countries would be a strong asset;
 - Familiarity with the goals and procedures of UNDP and other international organizations, preferred;
 - Demonstrated advanced diplomatic and negotiating skills and excellent interpersonal skills with sensitivity to cultural and political differences;
 - Good knowledge and skill in multilateral co-operation, in particular the skill in initiation and negotiation of regional co-operation;
 - Demonstrated skill in understanding the roles of local governments in the region and working with them to achieve project objectives assigned tasks and skill to work with the local governments in implementing the project activities;
 - Fluency in spoken and written English necessary, good knowledge on one of the languages of the coastal countries of the Yellow Sea is an asset.

2. Environment Officer

Overall Responsibilities:

Under direct supervision of the CTA (Project Manager), the Environment Officer will be responsible for the implementation of the project activities based on the workplans approved by the Interim Commission Council, including information capture, exchange and networking between a wide range of participants in the YSLME including government officials, scientists, non-governmental organizations and the public at large. He/she will work closely with the Chairperson of the Regional Working Groups (RWGs) and other project partners to prepare workplans, to manage the implementation of the relevant project activities, prepare reports of the implementation and deliver all the necessary outcomes and outputs.

Duties

The Environment Officer will have the following specific duties:

- to coordinate and supervise the implementation of the project of those components relevant to natural sciences, including preparing workplans and budgets for each components, coordinating implementation of the activities within the workplans; preparing the reports of the implementation and deliver in the appropriate forms of the project outcomes and outputs;
- to liaise with other regional organizations and projects, such as WWF, PEMSEA, UNEP/NOWPAP, IW Learn, and other organizations involved in establishing and management of marine resources and environments;
- to supervise data exchange and the maintenance of the data communications network, in particular the YSLME data and meta databases established during the first phase of the project;
- to prepare and edit a regular project newsletters, and maintain the project homepages for the project information exchange and sharing with others
- to assist with the administration of other information-related technical issues where required by the Coordinator.

Skills and Experience Required

- post-graduate degree in marine and/or environmental sciences, marine and environment managements or a directly related field;
- at least 7 years experience in similar international posts dealing with project implementations & management; experiences working with local governments and communities are preferred;
- proven experience with marine information system design homepage, computer data bases and proven experience in publication design and editing;
- familiarity with the environmental problems of the YSLME region would be advantageous.
- Fluent in spoken and written English is a requirement.

3. Environmental Economist/Investment Expert

Overall responsibilities:

Under the directives and supervisions of CTA (Project Manager), the Environmental Economist/Investment Expert will contribute to the environmental economics and sustainable development aspects, and the negotiations of the establishment of the YSLME Commission of the project. He/she will be responsible to oversee the relevant social sciences components of the project. He/she will assist the CTA (Project Manager) to implement relevant actions in the necessary negotiation on the establishing the YSLME Commission, including agreement-reaching, conflicts-solving and sustainable financing mechanisms of the Commission.

Duties

The Environmental Economist will have the following specific duties:

- Assist in planning the necessary negotiation processes for the establishment of the YSLME Commission, in particular the sustainable financing mechanism of the Commission;
- define the economic benefits of the management actions designed in the regional SAP, based on the regional guidelines of economic valuation development during the 1st phase of the project and other relevant guidelines, to present economic benefits of the management actions;
- to provide necessary training activities, in particular to the local governmental officials and communities in the area to incorporate economic benefit arguments and develop investment proposals;
- to be actively involved in capacity building programmes, institutional development, EIA, development of economic tools;
- to coordinate with the Environment Officer in the capture and management of national and regional economic and technical information within the project database;
- to assist in the completion of reports related to environmental economics, including priority investments and pollution hot spots, with special emphasis on costs and benefits of actions aimed at ameliorating the environmental degradation of the YSLME;
- to coordinate activities and outputs of the economic and technical studies, including liaising with consultants and relevant international agencies;
- to assist with the other tasks where required by the CTA.

Skills and Experience Required:

- post-graduate degree in environment economics, business administration and, preferably additional qualifications in environmental management;
- at least 7 years experience in similar posts in international organizations dealing with relevant negotiations for regional environmental agreement and management projects;
- familiarity with goals and procedures of international organisations, in particular of the GEF partners;
- proven experiences in working with local governments and communities;
- familiarity with environmental problems of the YSLME; and
- full fluency in English.

4. Administrative & Finance Officer

Overall responsibilities:

Under the supervision of the Chief Technical Adviser (CTA), the Administrative & Finance Officer will manage the day-to-day operations of the PCU, particularly with respect to finances, technical services, procurement (including importation, permits, etc.) and personnel matters (in close cooperation with the counterpart staff of UNOPS and the UNDP Country Office in Beijing). The post holder will be the principal line of liaison between the PMO and the UNOPS in all financial and administrative matters.

Duties

(i) Administrative Functions:

The incumbent will assure the proper day-to-day functioning of the PMO by supervising the provision of all necessary supplies and services including maintenance contracts, office supplies and communications. He/she will personally supervise the driver and assure the correct and appropriate use of the PCU vehicle. He/she will personally supervise the Administrative Assistant. He/she shall be responsible for the proper running and upkeep of the PCU hardware including the computers, copiers, etc.

(ii) Finances

The Administrative Officer will administer the petty cash and imprest account on behalf of the Chief Technical Adviser (CTA) and prepare relevant documents including monthly cash statements, requests for replenishment and budget reviews and revisions. He/she shall be responsible for preparing all relevant documents for administering the imprest account for final approval by the Chief Technical Adviser (CTA), in conformity with the stipulations of the financial regulations of UNOPS.

(iii) Procurement

The incumbent will undertake all duties relevant to local procurement. He/she will maintain records of suppliers, obtain competitive bids for the consideration of the Chief Technical Adviser (CTA) and complete the relevant documentation including that pertinent to the tax status of the PCU. He/she will maintain precise records of all goods purchased on behalf of the Project. The incumbent will also be responsible for maintaining proper equipment inventories as well as for ensuring the proper labeling and recording of equipment delivered to the field. Records will also be maintained of all materials purchased by the other donors and used within the regional network.

(iv) Personnel Matters

The Administrative & Finance Officer shall assist all the PMO staff with personnel matters relevant to the performance of official duties. This work will include the obtaining of visas (a service to be limited to duty travel). Such assistance will be provided in consultation with the Chief Technical Adviser (CTA) and in close liaison with the UNOPS and the relevant sections of UNDP. Assistance

will include, supply of forms for personnel services (including medical reimbursements) and advice on their completion where

Skills and Experience Required:

- higher educational diploma in administration & finance or a directly relevant field;
- five years proven experience in administration and budget management among which 3 years within the UN system;
- fluency in English and a local language;
- proven experience in the management of computer or other office technology equipment.

5. Administrative Assistant

Overall responsibilities

The Administrative Assistant will perform two major tasks requiring a knowledge of computer data base management: (1) in association with the Administrative & Finance Officer and other staff in PMO to maintain the project accounts; and (2) to assist the Chief Technical Adviser (CTA) and the technical staff with the maintenance of computer-based statistics regarding the management of the project (particularly contracting), project activities and use of the outputs.

Duties

(i) Accounting

The incumbent will prepare and maintain the local records of project accounts, particularly those pertaining to the imprest fund. He/she shall prepare all relevant documents for administering the imprest account for final approval by the Chief Technical Adviser (CTA), in conformity with the stipulations of the financial regulations of the executing agency. He/she shall prepare bank reconciliations and records of total project expenditure (including, where possible, full records of counterpart contributions to the project). He/she will assume the duties of the Administrative & Finance Officer during his/her periods of absence.

(ii) Management Information

The Assistant will work closely with the Chief Technical Adviser (CTA), the technical officers, and on the development and maintenance of a statistical data base on project management. This work will include *inter alia*, records of all contracts, participation in YSLME events, records of all MODs opened, information regarding the project expenditures within each budget category and for each project thematic area.

(iii) Budget Management

The incumbent will monitor Project expenditures with reference to the approved budget. He/she will prepare budget proposals and also attend to all financial and budgetary aspects of the implementation of the Project including the following specific duties:

- to monitor expenditures - this will entail monitoring the relevant contract information (i.e. liaising with the agencies and the PMO), monitoring special Components of the YSLME and, review of the executing agency finance records of expenditures against MODs and budget lines;
- to assist in preparing draft budget revisions and working budgets in consultation with the Portfolio Manager at UNOPS and the Chief Technical Adviser (CTA);
- to assist the project staff to prepare budgets for meetings and activities and to review incoming authorizations to ensure adequate recording against budget lines (and take appropriate action to correct and/or revise requests and alert UNOPS); and
- to assist CTA to prepare special budget and financial statements and to regularly brief the CTA on the financial status of the project.

Skills and Experience Required

- higher educational diploma in finance or a directly relevant field;
- proven experience in accounting or the management of computer data bases;
- fluency in English and a local language; and

6. Secretary & IT Staff

Overall responsibilities

The Secretary & IT staff, working under the close supervision of CTA, will have responsibility for a variety of tasks essential to maintaining the efficient operation of the PMO offices, and maintain all the computers and internet communications. These include communications tasks, assisting with travel arrangements, maintaining computer and internet system of the offices, and general secretarial duties.

Duties:

(i) Communication tasks

The incumbent will be responsible for the external communication of the PMO office. This includes: (a) managing telephone, fax and electronic mail communication and the PMO address book; (b) maintaining the computer and internet systems of the PMO in good working conditions; and (c) organizing outgoing official mail, particularly the mailing of all circulars, invitations to meetings and meeting reports.

(ii) Staff travel

The incumbent will organize staff travel in close cooperation with other PMO staff and following the current staff travel rules. He/she will assist the staff and consultants with the advance planning of travel, investigating routes, connections and hotel arrangements. He/she will also assist the project staff with the travel plans for external meetings. He/she shall organize, together with the Administrative Officer, the hotel arrangements and programme of activities for participants in meetings organized by the PMO.

(iii) General Secretarial Duties

The incumbent will be requested to assist with the maintenance of project files and the photocopying of specific documents. He/she will also prepare and type texts for the project staff where there is an urgent need and where the work plan permits.

Skills and Experience Required

- higher educational diploma in computer science and/or a directly relevant field;
- proven computer & IT skills; and
- fluency in English and a local language.

Annex 5: UNDP Environmental and Social Screening

QUESTION 1:

Has a combined environmental and social assessment/review that covers the proposed project already been completed by implementing partners or donor(s)?

Select answer below and follow instructions:

→ YES: Continue to Question 2 (do not fill out Table 1.1)

→ NO: No further environmental and social review is required if the existing documentation meets UNDP's quality assurance standards, and environmental and social management recommendations are integrated into the project. Therefore, you should undertake the following steps to complete the screening process:

1. Use Table 1.1 below to assess existing documentation. (It is recommended that this assessment be undertaken jointly by the Project Developer and other relevant Focal Points in the office or Bureau).
2. Ensure that the Project Document incorporates the recommendations made in the implementing partner's environmental and social review.
3. Summarize the relevant information contained in the implementing partner's environmental and social review in Annex A.2 of this Screening Template, selecting Category 1.
4. Submit Annex A to the PAC, along with other relevant documentation.

Note: Further guidance on the use of national systems for environmental and social assessment can be found in the UNDP ESSP Annex B.

TABLE 1.1: CHECKLIST FOR APPRAISING QUALITY ASSURANCE OF EXISTING ENVIRONMENTAL AND SOCIAL ASSESSMENT	Yes/No
1. Does the assessment/review meet its terms of reference, both procedurally and substantively?	n/a
2. Does the assessment/review provide a satisfactory assessment of the proposed project?	n/a
3. Does the assessment/review contain the information required for decision-making?	n/a
4. Does the assessment/review describe specific environmental and social management measures (e.g. mitigation, monitoring, advocacy, and capacity development measures)?	n/a
5. Does the assessment/review identify capacity needs of the institutions responsible for implementing environmental and social management issues?	n/a
6. Was the assessment/review developed through a consultative process with strong stakeholder engagement, including the view of men and women?	n/a
7. Does the assessment/review assess the adequacy of the cost of and financing arrangements for environmental and social management issues?	n/a
Table 1.1 (continued) For any "no" answers, describe below how the issue has been or will be resolved (e.g. amendments made or supplemental review conducted).	
not applicable	

QUESTION 2:

Do all outputs and activities described in the Project Document fall within the following categories?

- Procurement (in which case UNDP's [Procurement Ethics](#) and [Environmental Procurement Guide](#) need to be complied with)
- Report preparation
 - Training
 - Event/workshop/meeting/conference (refer to [Green Meeting Guide](#))
 - Communication and dissemination of results

Select answer below and follow instructions:

- NO** → Continue to Question 3
- YES** → No further environmental and social review required. Complete Annex A.2, selecting Category 1, and submit the completed template (Annex A) to the PAC.

QUESTION 3:

Does the proposed project include activities and outputs that support *upstream* planning processes that potentially pose environmental and social impacts or are vulnerable to environmental and social change (refer to Table 3.1 for examples)? (Note that *upstream* planning processes can occur at global, regional, national, local and sectoral levels)

Select the appropriate answer and follow instructions:

- NO** → Continue to Question 4.
- YES** → Conduct the following steps to complete the screening process:
 1. Adjust the project design as needed to incorporate UNDP support to the country(ies), to ensure that environmental and social issues are appropriately considered during the upstream planning process. Refer to Section 7 of this Guidance for elaboration of environmental and social mainstreaming services, tools, guidance and approaches that may be used.
 2. Summarize environmental and social mainstreaming support in Annex A.2, Section C of the Screening Template and select "Category 2".
 3. If the proposed project ONLY includes upstream planning processes then screening is complete, and you should submit the completed Environmental and Social Screening Template (Annex A) to the PAC. If downstream implementation activities are also included in the project then continue to Question 4.

TABLE 3.1	EXAMPLES OF UPSTREAM PLANNING PROCESSES WITH POTENTIAL DOWNSTREAM ENVIRONMENTAL AND SOCIAL IMPACTS	Check appropriate box(es) below
1.	Support for the elaboration or revision of global-level strategies, policies, plans, and programmes. <i>For example, capacity development and support related to international negotiations and agreements. Other examples might include a global water governance project or a global MDG project.</i>	No
2.	Support for the elaboration or revision of regional-level strategies, policies and plans, and programmes. <i>For example, capacity development and support related to transboundary programmes and planning (river basin management, migration, international waters, energy development and access, climate change adaptation etc.).</i>	No
3.	Support for the elaboration or revision of national-level strategies, policies, plans and programmes.	No

TABLE 3.1 EXAMPLES OF UPSTREAM PLANNING PROCESSES WITH POTENTIAL DOWNSTREAM ENVIRONMENTAL AND SOCIAL IMPACTS	Check appropriate box(es) below
<i>For example, capacity development and support related to national development policies, plans, strategies and budgets, MDG-based plans and strategies (e.g. PRS/PRSPs, NAMAs), sector plans.</i>	
<p>4. Support for the elaboration or revision of sub-national/local-level strategies, policies, plans and programmes.</p> <p><i>For example, capacity development and support for district and local level development plans and regulatory frameworks, urban plans, land use development plans, sector plans, provincial development plans, provision of services, investment funds, technical guidelines and methods, stakeholder engagement.</i></p>	No

QUESTION 4:

Does the proposed project include the implementation of *downstream* activities that potentially pose environmental and social impacts or are vulnerable to environmental and social change?

To answer this question, you should first complete Table 4.1 by selecting appropriate answers. If you answer “No” or “Not Applicable” to all questions in Table 4.1 then the answer to Question 4 is “NO.” If you answer “Yes” to any questions in Table 4.1 (even one “Yes” can indicated a significant issue that needs to be addressed through further review and management) then the answer to Question 4 is “YES”:

NO → No further environmental and social review and management required for downstream activities. Complete Annex A.2 by selecting “Category 1”, and submit the Environmental and Social Screening Template to the PAC.

YES → Conduct the following steps to complete the screening process:

1. Consult Section 8 of this Guidance, to determine the extent of further environmental and social review and management that might be required for the project.
2. Revise the Project Document to incorporate environmental and social management measures. Where further environmental and social review and management activity cannot be undertaken prior to the PAC, a plan for undertaking such review and management activity within an acceptable period of time, post-PAC approval (e.g. as the first phase of the project) should be outlined in Annex A.2.
3. Select “Category 3” in Annex A.2, and submit the completed Environmental and Social Screening Template (Annex A) and relevant documentation to the PAC.

TABLE 4.1: ADDITIONAL SCREENING QUESTIONS TO DETERMINE THE NEED AND POSSIBLE EXTENT OF FURTHER ENVIRONMENTAL AND SOCIAL REVIEW AND MANAGEMENT	
1. Biodiversity and Natural Resources	Answer (Yes/No/ Not Applicable)
1.1 Would the proposed project result in the conversion or degradation of modified habitat , natural habitat or critical habitat ?	Yes
1.2 Are any development activities proposed within a legally protected area (e.g. natural reserve, national park) for the protection or conservation of biodiversity?	No
1.3 Would the proposed project pose a risk of introducing invasive alien species?	No
1.4 Does the project involve natural forest harvesting or plantation development without an independent forest certification system for sustainable forest management (e.g. <i>PEFC, the Forest Stewardship Council certification systems, or processes established or accepted by the relevant National Environmental Authority</i>)?	No
1.5 Does the project involve the production and harvesting of fish populations or other	No

TABLE 4.1: ADDITIONAL SCREENING QUESTIONS TO DETERMINE THE NEED AND POSSIBLE EXTENT OF FURTHER ENVIRONMENTAL AND SOCIAL REVIEW AND MANAGEMENT		
	aquatic species without an accepted system of independent certification to ensure sustainability (e.g. the Marine Stewardship Council certification system, or certifications, standards, or processes established or accepted by the relevant National Environmental Authority)?	
1.6	Does the project involve significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction.</i>	No
1.7	Does the project pose a risk of degrading soils?	No
2.	Pollution	Answer (Yes/No/ Not Applicable)
2.1	Would the proposed project result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and transboundary impacts?	NO
2.2	Would the proposed project result in the generation of waste that cannot be recovered, reused, or disposed of in an environmentally and socially sound manner?	No
2.3	Will the proposed project involve the manufacture, trade, release, and/or use of chemicals and hazardous materials subject to international action bans or phase-outs? <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Convention on Persistent Organic Pollutants, or the Montreal Protocol.</i>	No
2.4	Is there a potential for the release, in the environment, of hazardous materials resulting from their production, transportation, handling, storage and use for project activities?	No
2.5	Will the proposed project involve the application of pesticides that have a known negative effect on the environment or human health?	No
3.	Climate Change	
3.1	Will the proposed project result in significant ⁶ greenhouse gas emissions? <i>Annex E provides additional guidance for answering this question.</i>	No
3.2	Is the proposed project likely to directly or indirectly increase environmental and social vulnerability to climate change now or in the future (also known as maladaptive practices)? You can refer to the additional guidance in Annex C to help you answer this question. <i>For example, a project that would involve indirectly removing mangroves from coastal zones or encouraging land use plans that would suggest building houses on floodplains could increase the surrounding population's vulnerability to climate change, specifically flooding.</i>	No
4.	Social Equity and Equality	Answer (Yes/No/ Not Applicable)
4.1	Would the proposed project have environmental and social impacts that could affect indigenous people or other vulnerable groups?	No
4.2	Is the project likely to significantly impact gender equality and women's empowerment ⁷ ?	No

⁶ Significant corresponds to CO₂ emissions greater than 100,000 tons per year (from both direct and indirect sources). Annex E provides additional guidance on calculating potential amounts of CO₂ emissions.

TABLE 4.1: ADDITIONAL SCREENING QUESTIONS TO DETERMINE THE NEED AND POSSIBLE EXTENT OF FURTHER ENVIRONMENTAL AND SOCIAL REVIEW AND MANAGEMENT		
4.3	Is the proposed project likely to directly or indirectly increase social inequalities now or in the future?	No
4.4	Will the proposed project have variable impacts on women and men, different ethnic groups, social classes?	Yes
4.5	Have there been challenges in engaging women and other certain key groups of stakeholders in the project design process?	No
4.6	Will the project have specific human rights implications for vulnerable groups?	No
5. Demographics		
5.1	Is the project likely to result in a substantial influx of people into the affected community(ies)?	No
5.2	Would the proposed project result in substantial voluntary or involuntary resettlement of populations? <i>For example, projects with environmental and social benefits (e.g. protected areas, climate change adaptation) that impact human settlements, and certain disadvantaged groups within these settlements in particular.</i>	No
5.3	Would the proposed project lead to significant population density increase which could affect the environmental and social sustainability of the project? <i>For example, a project aiming at financing tourism infrastructure in a specific area (e.g. coastal zone, mountain) could lead to significant population density increase which could have serious environmental and social impacts (e.g. destruction of the area's ecology, noise pollution, waste management problems, greater work burden on women).</i>	No
1. Culture		
6.1	Is the project likely to significantly affect the cultural traditions of affected communities, including gender-based roles?	No
6.2	Will the proposed project result in physical interventions (during construction or implementation) that would affect areas that have known physical or cultural significance to indigenous groups and other communities with settled recognized cultural claims?	No
6.3	Would the proposed project produce a physical "splintering" of a community? <i>For example, through the construction of a road, power line, or dam that divides a community.</i>	No
2. Health and Safety		
7.1	Would the proposed project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions? <i>For example, development projects located within a floodplain or landslide prone area.</i>	No
7.2	Will the project result in increased health risks as a result of a change in living and working conditions? In particular, will it have the potential to lead to an increase in HIV/AIDS infection?	No
7.3	Will the proposed project require additional health services including testing?	No
3. Socio-Economics		
8.1	Is the proposed project likely to have impacts that could affect women's and men's ability to use, develop and protect natural resources and other natural capital	Yes

⁷ Women are often more vulnerable than men to environmental degradation and resource scarcity. They typically have weaker and insecure rights to the resources they manage (especially land), and spend longer hours on collection of water, firewood, etc. (OECD, 2006). Women are also more often excluded from other social, economic, and political development processes.

TABLE 4.1: ADDITIONAL SCREENING QUESTIONS TO DETERMINE THE NEED AND POSSIBLE EXTENT OF FURTHER ENVIRONMENTAL AND SOCIAL REVIEW AND MANAGEMENT	
assets? <i>For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their development, livelihoods, and well-being?</i>	
8.2 Is the proposed project likely to significantly affect land tenure arrangements and/or traditional cultural ownership patterns?	No
8.3 Is the proposed project likely to negatively affect the income levels or employment opportunities of vulnerable groups?	Yes
9. Cumulative and/or Secondary Impacts	Answer (Yes/No/ Not Applicable)
9.1 Is the proposed project location subject to currently approved land use plans (e.g. roads, settlements) which could affect the environmental and social sustainability of the project? <i>For example, future plans for urban growth, industrial development, transportation infrastructure, etc.</i>	No
9.2 Would the proposed project result in secondary or consequential development which could lead to environmental and social effects, or would it have potential to generate cumulative impacts with other known existing or planned activities in the area? <i>For example, a new road through forested land will generate direct environmental and social impacts through the cutting of forest and earthworks associated with construction and potential relocation of inhabitants. These are direct impacts. In addition, however, the new road would likely also bring new commercial and domestic development (houses, shops, businesses). In turn, these will generate indirect impacts. (Sometimes these are termed "secondary" or "consequential" impacts). Or if there are similar developments planned in the same forested area then cumulative impacts need to be considered.</i>	No

ANNEX A.2: ENVIRONMENTAL AND SOCIAL SCREENING SUMMARY
(to be filled in after Annex A.1 has been completed)

Name of Proposed Project: Implementation of the Yellow Sea LME Strategic Action Programme for Adaptive Ecosystem-

Based Management (GEF Project ID: 4343; GEF Agency Project ID: 4552)

A. Environmental and Social Screening Outcome

Select from the following:

Category 1. No further action is needed

Category 2. Further review and management is needed. There are possible environmental and social benefits, impacts, and/or risks associated with the project (or specific project component), but these are predominantly indirect or very long-term and so extremely difficult or impossible to directly identify and assess.

Category 3. Further review and management is needed, and it is possible to identify these with a reasonable degree of certainty. If Category 3, select one or more of the following sub-categories:

Category 3a: Impacts and risks are limited in scale and can be identified with a reasonable degree of certainty and can often be handled through application of standard best practice, but require some minimal or targeted further review and assessment to identify and evaluate whether there is a need for a full environmental and social assessment (in which case the project would move to Category 3b).

Category 3b: Impacts and risks may well be significant, and so full environmental and social assessment is required. In these cases, a scoping exercise will need to be conducted to identify the level and approach of assessment that is most appropriate.

B. Environmental and Social Issues(for projects requiring further environmental and social review and management)

In this section, you should list the key potential environmental and social issues raised by this project. This might include both environmental and social opportunities that could be seized on to strengthen the project, as well as risks that need to be managed. You should use the answers you provided in Table 4.1 as the basis for this summary, as well as any further review and management that is conducted.

C. Next Steps(for projects requiring further environmental and social review and management):

In this section, you should summarize actions that will be taken to deal with the above-listed issues. If your project has Category 2 or 3 components, then appropriate next steps will likely involve further environmental and social review and management, and the outcomes of this work should also be summarized here. Relevant guidance should be obtained from Section 7 for Category 2, and Section 8 for Category 3.

As noted above the project will in actual terms not have actions that have negative impacts but the process the project supports will have. However, as this is an overall process led by the national governments and which has a series of measures (too detailed to list here) to compensate the people involved and to assist these people in creating new lives etc. the general view is that although the process will have impacts these are also addressed in the process.

For the questions 4.4, 8.1 and 8.3 which relates to changes in peoples livelihood etc. is foreseen to be part of the government response to the needed actions to protect the Yellow Sea. In this connection it should be noted that the project will be assisting the governments in implementing their management actions to recover the fish stock in the Yellow Sea; assessing usefulness and effectiveness of the management actions through regional cooperation on fishery stock assessment, as the methods and techniques have been tested during the first phase of the project through the demonstration projects; assisting the governments in finding appropriate alternative livelihoods, sharing information and experiences between the fishery communities of the both countries; preparing recommendations to the appropriate government agencies additional possibilities for alternative livelihood that have been approved useful in other countries and region; preparing recommendation on and assisting in carrying out necessary training activities to allow the fishermen obtaining new live skills and assisting in assessing the results and effectiveness of the management actions in providing alternative livelihoods

As for 1.1 and the conversion of habitat the project document has one output related to this which is Output 3.2.1. "New and innovative techniques for pollution reduction (e.g. artificial wetlands) applied at demonstration sites"

Under this output the project will develop demonstration sites involving artificial wetland construction for control of nutrients discharge, evaluation of their effectiveness and promotion of the use elsewhere if appropriate. Further based on further environment information and management actions, it is anticipated that there would 3-4 demonstration sites be identified to remove nutrients by artificial coastal wetlands. These will be identified within the first 6 months of the project. The activities under the project will include: 1) Carrying out regional reviews of current technologies for waste reduction, reuse and recovery; 2) recommending clean production technologies and relevant technology transfer; and 3) Implementing the demonstration projects as recommended.

As noted the project interventions while would be a conversion it is seen as a conversion for the better. In this connection the project will naturally ensure that the conversion area is not in an area that already has critical ecological functions or supports critical (national or global) biodiversity. Furthermore, care would be taken not to use exotic species or alien invasive species in the creation of the artificial wetlands.

D. Sign Off

Project Manager

Date

PAC

Date

Programme Manager

Date

Annex 6: Summary of Stakeholder Consultations during Project Preparation

The stakeholders of the Project have been fully consulted during the Project preparation, which included following stages:

1. Preparation of the Project Document (ProDoc) and the Project Identification Form (PIF) as an annex of ProDoc

Location: *Sixth Meeting of the Project Steering Committee*

Date and Venue: *17-19 November 2009, Xi'An, China*

Participation: There were total 33 participants from China, RO Korea, UNDP and UNOPS as full members of the PSC, and DPR Korea, FAO, UNEP/NOWPAP and WWF as observers

Highlights:

The Strategic Action Programme (SAP) for YSLME was finally endorsed by China and RO Korea, and supported by DPR Korea. A signing ceremony was organized during the meeting. The SAP clearly defined the tangible management targets and associated management actions that paved a solid foundation for preparing documents on the SAP implementation.

The draft ProDoc and PIF were presented to the meeting highlighted the major structure of the documents and the major components of the both documents. The meeting felt satisfaction of the preparation of the two documents for the project's 2nd phase, and provided comments and suggestions for the improvement of the documents,

Location: *Seventh Meeting of the Project Steering Committee*

Date and Venue: *23-25 February 2011, Beijing, China*

Participation: There were total 32 participants from China, RO Korea, UNDP and UNOPS as full members of the PSC, and DPR Korea, PEMSEA, UNEP/NOWPAP, WWF-China, and WWF-Japan as observers

Highlights:

The meeting examined the comments provided by the GEF Secretariat on the YSLME PIF following the formal submission of the document through UNDP/GEF. The meeting agreed the revision prepared by PMO, and agreed to submit the revised PIF to the GEF Secretariat.

The meeting discussed the involvement of DPR Korea into the 2nd phase of the YSLME project. Considering the geopolitical situation in the coastal countries of the Yellow Sea, and the UN Security Council's resolutions, it was agreed that the DPR Korea will participate in the project's 2nd phase as an observer.

2. Preparation of Programme Framework Document (PFD) in the East Asian Seas region, and Revision of the ProDoc and PIF for the YSLME Project

Location: *Regional Experts Workshop on the Preparation of the Project Framework Documents (PFD) & Eighth Meeting of the Project Steering Committee*

Date and Venue: *18-19 September & 20 September 2012, Beijing, China*

Participation: There were total 26 participants from China, RO Korea, UNDP and UNOPS as full members of the PSC, and PEMSEA, UNEP/NOWPAP, and WWF-Japan as observers

Highlights:

The meeting was informed about the process, requirements and advantages of the preparation of the Programme Framework Document (PFD) in the East Asian Seas region. The meeting examined the main contents of the PFD, in particular the parts related to the implementation of the YSLME SAP.

The meeting was also informed the technical clearance on the PFD in the East Asian Seas region had been obtained from GEF. It was noted that the revised PIF for the YSLME's 2nd phase is necessary to be prepared, and the Letter of Endorsement from the government of China is needed before formal submission of the PIF to GEF through UNDP/GEF.

The meeting approved the text of PFD, and requested the Project Coordination Consultant to start preparation of the revised PIF and to take necessary consultation with the relevant stakeholders in the participating countries.

Location: ***National workshop in Korea for the Project Document***

Date and Venue: 29 March 2013, Seoul, RO Korea

Participation: There were total 18 participants from Ministry of Foreign Affairs, Ministry of Oceans & Fisheries, Ministry of Unification, research institute (e.g. KIOST), NGOs (e.g. City and Nature Institute&Eco-Horizon Institute and universities

Highlights:

The meeting was informed the development of and approval by the GEF the Programme Framework Document, and approval of the YSLM PIF on November 2012.

The draft project document entitled *Implementing the Strategic Action Programme for the Yellow Sea Large Marine Ecosystem: Restoring Ecosystem Goods and Services and Consolidation of a Long-term Regional Environmental Governance Framework* was presented to the meeting with emphases on the objectives, major outcomes and outputs, project management structure and activities and budget.

The meeting felt satisfaction of the process in developing the YSLME's 2nd phase, and provided comments and suggestion in improving the ProDoc before submission to the Special Meeting of PSC for final approval.

Location: ***National Workshop in China for the Project Document***

Date and Venue: 26 March 2013, Beijing, China

Participation: There were 15 participants from governmental agencies that involved in the YSLME project, the representatives from the provincial and local governments of the coastal areas of the Yellow Sea, and NGOs

Highlights:

The draft project document entitled *Implementing the Strategic Action Programme for the Yellow Sea Large Marine Ecosystem: Restoring Ecosystem Goods and Services and Consolidation of a Long-term Regional Environmental Governance Framework* was presented to the meeting with emphases on the objectives, major outcomes and outputs, project management structure and activities and

budget. The presentation was translated into Chinese for easy understanding of the participants, especially those from the provincial and local governments.

The meeting provided constructive comments and suggestions for improving the document. Particular attention was focus on the implementation framework and participation of the local governments and communities. The meeting agreed

Location: ***Special PSC meeting, Jeju, RO Korea***

Date and Venue: *8-9 April 2013, Jeju, RO Korea*

Participation: There were total 28 participants from China, RO Korea, UNDP and UNOPS as full members of the PSC, and PEMSEA, UNEP/NOWPAP, and WWF-Japan as observers

Highlights:

The meeting reviewed the revised Project Document, and discussed in details of the contents of the documents. During the meeting the sessional working groups were formed to discuss the implementing mechanism, in particular the location of the project management office (PMO); and cooperation & coordination with other organizations and project during the implementation of the project activities.

The management structure of the project was carefully considered; and all the Terms of Reference for the YSLME Commission and its subsidiary bodies were reviewed, modified and agreed up. The implementation mechanism was discussed and agreed upon, including the locations of the PMO.

The Project Document was approved by the PSC, and agreed to be submitted to GEF, through UNDP/GEF to obtain the endorsement from the GEF CEO.

Annex 7: IW Tracking Tools

The excel file is provided and requires quite a bit of information. The information that will be entered will serve as the baseline. You may need to do some field work for the sites covered by the project, if information is not handy. For each site (local investment part), there may be several interventions to be made and the baseline for each intervention will have to be filled in.

This is a requirement by GEF at CEO endorsement. This will be submitted again at midterm and finally at project end.

<h1>GEF International Waters Tracking Tool</h1>					
<p style="text-align: center;"><i>NOTE:</i> Please address all boxes colored blue</p>			GEF Project ID:4343	GEF Implementing Agency: UNDP	
Select GEF Replenishment:			GEF-5		
GEF Allocation (\$USD): 7,562,430			Countries: China (with RO Korea fully self-financing)		
A	PROCESS INDICATORS				
		Select project's Operational Program(s), Strategic Program(s), or objective(s) below. If multiple OP/SP/Obj is appropriate for a given indicator then select "Multiple" from the dropdown list:			
		OP/SP/Obj 2			
	Indicators	Scroll down menu of ratings		Notes:	Ratings
1	Regional legal agreements and cooperation frameworks	1		The agreed YSLME Commission has not been established, and the Commission is non-legally binding agreement. However, the SAP provides for the creation of the Commission.	1 = No legal agreement/cooperation framework in place 2 = Regional legal agreement negotiated but not yet signed 3 = Countries signed legal agreement 4 = Legal agreement ratified and entered into force

2	Regional management institutions (RMI)	1			there is political agreement to establish a YSLME Commission as regional cooperating body for the Yellow Sea. There is a need to finalize all the negotiations regarding the formal establishment of the Commission.	1 = No RMI in place 2 = RMI established but functioning with limited effectiveness, < 50% countries contributing dues 3 = RMI established and functioning, >50% of countries contributing dues 4 = RMI in place, fully functioning and fully sustained by at or near 100% country contributions
3	Management measures in ABNJ incorporated in Global/Regional Management Organizations (RMI) institutional/ management frameworks	3			YSLME SAP has been formally endorsed by the governments of the coastal countries, including China, RO Korea, and supported by DPR Korea. The implementation of SAP will start soon after the GEF CEO's endorsement on the project document	1 = No management measures in ABNJ in (RMI) institutional/ management frameworks 2 = Management measures in ABNJ designed but not formally adopted by project participants 3 = Management measures in ABNJ formally adopted by project participants but not incorporated in RMI institutional/management frameworks 4 = Management measures in ABNJ fully incorporated in RMI institutional/ management frameworks
4	National Inter-Ministry Committees (IMCs)	3			IMCC established in the participating countries, but they are coordinating body, not legal institution	1 = No IMCs established 2 = IMCs established and functioning, < 50% countries participating 3 = IMCs established and functioning, > 50% countries participating 4 = IMCs established, functioning and formalized thru legal and/or institutional arrangements, in most participating countries
5	National/Local reforms	2			NSAP adopted, but there is not enforcement mechanism established	1 = No national/local reforms drafted 2 = National/ local reforms drafted but not yet adopted 3 = National/legal reform adopted with technical/enforcement mechanism in place 4 = National/ legal reforms implemented
6	Transboundary Diagnostic Analysis (TDA): Agreement on transboundary priorities and root causes	4			TDA adopted.	1 = No progress on TDA 2 = Priority TB issues identified and agreed on but based on limited effect information; inadequate root cause analysis 3 = Priority TB issues agreed on based on solid baseline effect info; root cause analysis is inadequate 4 = Regional agreement on priority TB issues drawn from valid effect baseline, immediate

						and root causes properly determined
7	Revised Transboundary Diagnostic Analysis (TDA)/Strategic Action Program (SAP) including Climatic Variability and Change considerations	1				1 = No revised TDA or SAP 2 = TDA updated to incorporate climate variability and change 3 = revised SAP prepared including Climatic Variability and Change 4 = SAP including Climatic Variability and Change adopted by all involved countries
8	TDA based on multi-national, interdisciplinary technical and scientific (MNITS) activities	4				1 = TDA does not include technical annex based on MNITS activities 2 = MNITS committee established and contributed to the TDA development 3 = TDA includes technical annex, documenting data and analysis being collected 4 = TDA includes technical annex posted IWLEARN and based on MNITS committee inputs
9	Development of Strategic Action Plan (SAP)	4			Regional SAP developed and adopted. National SAPs developed and adopted	1 = No development of SAP 2 = SAP developed addressing key TB concerns spatially 3 = SAP developed and adopted by ministers 4 = Adoption of SAP into National Action Plans (NAPs)
10	Proportion of Countries that have adopted SAP	3/3			Countries include China, ROK and DPRK.	Number of countries adopted SAP / total number of countries - e.g. 3 countries adopted /10 total countries in project, so 3/10
11	Proportion of countries that are implementing specific measures from the SAP (i.e. adopted national policies, laws, budgeted plans)	2/3			SAP is being implemented initially by China and ROK but with no coordination at regional level.	Number of countries implementing adopted SAP / total number of countries - e.g. 3 countries implementing /10 total countries in project, so 3/10

12	Incorporation of (SAP, etc.) priorities with clear commitments and time frames into CAS, PRSPs, UN Frameworks, UNDAF, key agency strategic documents including financial commitments and time frames, etc	2				1 = No progress 2 = Limited progress, very generic with no specific agency/government(s) commitments 3 = Priorities specifically incorporated into some national development/assistance frameworks with clear agency/government(s) commitments and time frames for achievement 4 = Majority of national development/assistance frameworks have incorporated priorities with clear agency/government(s) commitments and time frames for achievement
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B

STRESS REDUCTION INDICATORS

	Indicators	Scroll down menu of ratings			Ratings
13	Are there mechanisms in place to produce a monitoring report on stress reduction measures?	1			1 = No mechanisms in place to monitor/report change 2 = Some national/regional monitoring mechanisms, but they do not satisfy the project related indicators. 3 = monitoring mechanisms in place for some of the project related indicators 4 = Mechanisms in place and sustainable for long-term monitoring
14	Stress reduction measurements incorporated by project under management of:	Choose Management Mechanism from list below:	Please specify the area currently under protection out of total area identified by project below (e.g. 10,000/100,000 Ha):		Management Mechanisms: 1 = Integrated Water/River Resource Management (Watershed, lakes, aquifers) 2 = Integrated Coastal Management (Coast) 3 = Marine Spatial Planning (Marine) 4 = Marine Protected areas (Fisheries/ABNJ)
		2			
	Please specify the types of technologies and measures implemented in local investments (Column D) and their respective results (Column I):				
15	Local investment #1	Stress Reduction Measurements (Choose up to five)		Please enter amount/value of respective stress reduction below:	
			1 = Municipal wastewater pollution reduction - N, P & BOD (kg/yr) 2 = Industrial wastewater pollution reduction - pollutant; estimated kg/yr 3 = Agriculture pollution	2 pilot project in supporting for pilot intensive monitoring (hot spots/ critical habitats) including input sources and loads of sewage, and aquaculture 2 pilot project in	

			reduction practices - ha of practices; estimate of N, P & BOD kg/yr 4 = Restored habitat, including wetlands - ha restored 5 = Conserved/protected wetland, MPAs, and fish refugia habitat - ha applied	monitoring&calculating nutrient loading in hot spots/ critical habitats 1 pilot project in transferring new technology for treating nutrients in wastewater
			6 = Reduced fishing pressure - tons/yr reduction; % reduction in fleet size 7 = Improved use of fish gear/techniques - % vessels applying improved gear/techniques	Demon projects of the regional monitoring network to monitor jellyfish, HAB and relevant environmental parameters.
			8 = Water use efficiency measures - m ³ /yr water saved 9 = Improved irrigation practices - m ³ /ha/yr water saved	2 demon projects on re-planting seagrass habitats
			10 = Alternative livelihoods introduced - # people provided alternative livelihoods 11 = Catchment protection measures - ha under improved catchment management 12 = Aquifer pumping reduction - m ³ /yr water saved 13 = Aquifer recharge area protection - ha protected 14 = Pollution reduction to aquifers - kg/ha/year reduction	Demon projects on reduction of fishing in demonstration sites through e.g. vessel buy-back schemes . 2 demon projects on Implementation of license system 2 national demon project on provision of alternative livelihoods to fisher folks taking into account the contribution of women
			15 = Invasive species reduction - ha and/or #'s of targeted area 16 = Other - please specify in box below	Demon project in applying Ecosystem-based Community management (EBCM) (ICM)
		<i>Briefly describe investment in a 100 words or less:</i>		
Local investment #2	<i>Stress Reduction Measurements (Choose up to five)</i>			<i>Please enter amount/value of respective stress reduction below:</i>
		1 = Municipal wastewater pollution reduction - N, P & BOD (kg/yr) 2 = Industrial wastewater pollution reduction - pollutant; estimated kg/yr		
		3 = Agriculture pollution reduction practices - ha of practices; estimate of N, P & BOD kg/yr 4 = Restored habitat, including wetlands - ha restored 5 = Conserved/protected wetland, MPAs, and fish refugia habitat - ha applied		
		6 = Reduced fishing pressure - tons/yr reduction; % reduction in fleet size 7 = Improved use of fish		

			<p>gear/techniques - % vessels applying improved gear/techniques</p> <p>8 = Water use efficiency measures - m³/yr water saved</p> <p>9 = Improved irrigation practices - m³/ha/yr water saved</p> <p>10 = Alternative livelihoods introduced - # people provided alternative livelihoods</p> <p>11 = Catchment protection measures - ha under improved catchment management</p> <p>12 = Aquifer pumping reduction - m³/yr water saved</p> <p>13 = Aquifer recharge area protection - ha protected</p> <p>14 = Pollution reduction to aquifers - kg/ha/year reduction</p> <p>15 = Invasive species reduction - ha and/or #'s of targeted area</p> <p>16 = Other - please specify in box below</p>	
		<i>Briefly describe investment in a 100 words or less:</i>		
		<i>Stress Reduction Measurements (Choose up to five)</i>		<i>Please enter amount/value of respective stress reduction below:</i>
Local investment #3			1 = Municipal wastewater pollution reduction - N, P & BOD (kg/yr)	
			2 = Industrial wastewater pollution reduction - pollutant; estimated kg/yr	
			3 = Agriculture pollution reduction practices - ha of practices; estimate of N, P & BOD kg/yr	
			4 = Restored habitat, including wetlands - ha restored	
			5 = Conserved/protected wetland, MPAs, and fish refugia habitat - ha applied	
			6 = Reduced fishing pressure - tons/yr reduction; % reduction in fleet size	
			7 = Improved use of fish gear/techniques - % vessels applying improved gear/techniques	
			8 = Water use efficiency measures - m ³ /yr water saved	
			9 = Improved irrigation practices - m ³ /ha/yr water saved	
			10 = Alternative livelihoods introduced - # people provided alternative livelihoods	
			11 = Catchment protection measures - ha under improved	

			catchment management 12 = Aquifer pumping reduction - m ³ /yr water saved 13 = Aquifer recharge area protection - ha protected 14 = Pollution reduction to aquifers - kg/ha/year reduction 15 = Invasive species reduction - ha and/or #'s of targeted area 16 = Other - please specify in box below	
		<i>Briefly describe investment in a 100 words or less:</i>		
		<i>NOTE: If the project has more than three local investments, please fill out the Annex A found in the worksheet tabs below.</i>		
C	WATER, ENVIRONMENTAL & SOCIOECONOMIC STATUS Indicators			
	Indicators	<i>Scroll down menu of ratings</i>		Ratings
16	Are there mechanisms and project indicators in place to monitor the environmental and socioeconomic status of the waterbody?	3	there are monitoring systems and activities, but need to be strengthened to meet regional long-term requirements	1 = No mechanisms in place 2 = Some national/regional monitoring mechanisms, but they do not satisfy the project related indicators. 3 = Monitoring mechanisms in place for some of the project related indicators 4 = Mechanisms in place for project related indicators and sustainable for long-term monitoring
D	IW:LEARN Indicators			
	Indicators	<i>Scroll down menu of ratings</i>		Ratings
17	Participation in IW events (GEF IWC, Community of Practice (COP), IW:LEARN)	4		1 = No participation 2 = Documentation of minimum 1 event or limited COP participation 3 = Strong participation in COPs and in IWC 4 = Presentations with booth participation and hosting of staff/twinning
18	Project website (according to IW:LEARN guidelines)	4		1 = No project website 2 = Website not in line with IW:LEARN guidelines, not regularly updated 3 = Website in line with IW:LEARN guidelines, not regularly updated 4 = Website in line with IW:LEARN guidelines, regularly updated
			Date Completed:	7/8/2013