# Mid Term Review

## *Yellow Sea Large Marine Ecosystem Project Phase II*

Implementing the Strategic Action Programme for the Yellow Sea Large Marine Ecosystem:
*- Restoring Ecosystem Goods and Services*
*- Consolidating a Long-term Regional Environmental Governance Framework*

GEF Project ID: 4343 / UNDP Project ID: 00087001 / UNDP PIMS ID: 4552

May 2018

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# NOTABLE QUOTES DURING MTR MEETINGS

(some are listed anonymously in keeping with MTR confidentiality)

*"The true measure of success is not the number of activities conducted, the number of outputs produced, or the money spent, but whether the project has had the desired impact, in touching the lives of the common people."*
MTR Consultant

*"Most important of all, is where we go from here, and after the project - the future"*
Key UN stakeholder

*"Sustainability - in all its forms - is what matters most."*
Key NGO stakeholder

*"There is only one way to achieve sustainable use of a transboundary sea – and that is jointly."*
Key academic stakeholder

*"The Yellow Sea hosts the only trilateral border between China and the two Koreas - the countries must work together for peace and prosperity. "*
Key Government stakeholder- RoK

*Whether it's a Commission or something else - call it what you wish - but there MUST be a formal intergovernmental mechanism for coordination and cooperation in the Yellow Sea."*
Key Government stakeholder- PRC

*"The Yellow Sea does not divide our countries - it unites and binds us."*
Mr Yinfeng Gao, YSLME Phase II Project Manager, UNOPS

*"Never has so much been attempted by so few for so many."*
MTR Consultant (adapted from Churchill, 1940)
(on the challenges facing the project team, including country counterparts, to complete the project )

**"*When goals cannot be reached, do not adjust the goals, adjust the action steps."***
**Confucius - Zhou Dynasty, China, 479 - 551 BC**

***"The most essential ingredient of great statesmanship is trust."***
**King Sejong the Great - Joseon Dynasty, United Korea, 1397 - 1450 AD**

# PROJECT DETAILS

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| Project Name: | **UNDP-GEF YSLME Project Phase II:**<br>Implementing the Strategic Action Programme for the Yellow Sea Large Marine Ecosystem:<br>- *Restoring Ecosystem Goods and Services.*<br>- *Consolidating a Long-term Regional Environmental Governance Framework.* |
| Project ID: | GEF Project ID: 4343 / UNDP Project ID: 00087001 / UNDP PIMS ID: 4552. |
| Country: | Peoples' Republic of China (PRC) with Republic of Korea (RoK) fully self-financing. |
| Region: | Asia & the Pacific. |
| Focal Area: | International Waters. |
| Funding Source: | GEF Trust Fund. |
| Strategic Programmes: | GEF-5 International Waters Objective 2: *Catalyze multi-state cooperation to rebuild marine fisheries and reduce pollution of coasts and Large Marine Ecosystems while considering climatic variability and change.* |
| Implementing Agency: | United Nations Development Programme (UNDP). |
| Executing Agency: | United Nations Office for Project Services (UNOPS). |
| Implementing partners: | Governments of PRC and RoK. |

FINANCIALS:

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| GEF Grant: | **US$ 7,562,430.** |
| Co-financing Total: | US$ 225,481,766. |
| GEF Agency Fees: | US$ 680,619. |
| *Total Cost:* | ***US$ 233,044,196.*** |

PROJECT TIMELINE:

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| Received by GEF: | 9 Sep 2010. |
| Concept approved: | 1 April 2013. |
| Start date: | Signed: 11 July 2014, Actual start: July 2017. |
| Project closure: | Scheduled 10 July 2018 (extension to end of 2019 is proposed). |

MID TERM REVIEW DETAILS:

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| MTR timeframe: | 5 March - 31 August 2018. |
| Reviewer: | Steve Raaymakers, www.eco-strategic.com |
| Reporting language: | English. |


FIGURE 1: *The boundaries of the Yellow Sea Large Marine Ecosystem (YSLME) as defined for the purposes of the YSLME project, and some of the cities, sites and locations of major relevance to the project.*

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# EXECUTIVE SUMMARY

## Over-arching finding & main recommendation

1. The Project has suffered a crippling three-year delay to operational commencement, for reasons outlined in section 2.5, and is scheduled to close in July 2018 only after one full year of technical implementation. Even in the period since operational commencement in July 2017, the rate of actual achievement is significantly below planned achievement, at only 26% in 2017, as measured by actual versus planned expenditure for that calendar year. The accumulative delivery rate (from ProDoc signing in July 2014 to end of 2017) is even lower at 13.6%, with accumulative expenditures of $1,026,021 out of a total budget of $7,562,430 (however, expenditure is not - and should not be - the only measure of the rate of achievement).

2. Given the central role of the PMO in coordinating overall implementation of the Project, there can be a natural tendency by Project partners and stakeholders to look to the PMO as the likely cause of these delays, and demand that the PMO, alone, should take action to urgently accelerate the efficiency and effectiveness of implementation modalities. Such demands were very much in evidence at the 2nd ICC meeting 27-28 March 2018.

3. However, it must be taken into account that the unacceptable three-year delay to Project-start was caused by other parties, including the executing agency (UNOPS) and the beneficiary country, before the current PMO was established. Those other parties must take responsibility and implement the necessary reforms to prevent any such further delays. It does appear that during the three year delay period UNDP attempted to bring UNOPS and the beneficiary country together to resolve the issues that were causing the delay, including convening a review workshop between the parties, which was successful in kick-starting progress towards Project inception.

4. The MTR finds that although the PMO does suffer from some significant inefficiencies in its internal *modus operandi* (as outlined in paragraph 6 below), since being established, the PMO, despite being faced with an extremely over-whelming workload, and with staff resources reduced at the behest of the beneficiary country, has distinguished itself by going to extraordinary lengths to achieve a remarkable level of productivity. Despite its own internal constraints and also significant external constraints (see below), in a few short months in 2017 the PMO very rapidly established the complex foundational elements of the Yellow Sea Commission (the ICC and MSTP and no less than six RWGs), the foundational elements of inter-sectoral coordination and national implementation (MCCs, NWGs etc), negotiated and signed complex and novel PCAs with three separate institutions in PRC, developed and arranged approval for a large number of consultant and activity ToRs, recruited and supervised interns and organized and held several significant meetings and workshops, amongst many other tasks.

*5.* This level of achievement appears to be driven by innate natural intelligence, outstanding work ethic and huge personal commitment and effort. Since commencing duties the PMO staff have sustained a relentless work-pace including working back late at nights and most weekends. *The MTR assesses that the PMO should be highly commended for this outstanding effort to date.*

However, the level of achievement is *still not sufficient* to achieve the Project's extremely ambitious workplan, given the internal constraints outlined in paragraph 6 below and also the external constraints outlined in paragraph 7 below. The workload is affecting work-life balance and there is a risk of personal health impacts, if the current rate of effort is sustained by PMO staff over the next 20 months. This is clearly not acceptable, and *ALL Project partners must step in to do their bit to address the ongoing delays in implementation, and to throw their full support behind the PMO.*

6. Despite the huge effort and commitment of the PMO to date, it is also clear that the there are several areas where internal PMO practices are severely constraining productivity and curtailing the efficiency and effectiveness of Project implementation. These include a lack of adherence to structured project management procedures and processes, and to work plans and strategic priorities. The PMO appears to have a tendency to implement individual activities in an uncoordinated, ad-hoc, piece-meal basis, and to pursue individual activities that they may find personally interesting or more exciting. There is an urgent need for the PMO to take a more strategic, holistically-planned, programmatic and prioritized approach to work planning and workload management. Section 3.2.1 of the MTR discusses this, with relevant Recommendations.

7. Perhaps more significantly than its own internal constraints, the PMO is also faced by several major external factors, which are beyond its control, but which severely constrain the efficiency and effectiveness of its Project implementation efforts. These include:

    a) What appear to be inherently inefficient and extremely slow project management processes within the UNOPS supporting offices (Copenhagen and Bangkok), some of which are highlighted in section 3.2.1 (see also Recommendation 5).

    b) Often very slow responses from the beneficiary country on time-critical issues (for example delayed nomination and official confirmation of RWG Chairs, which is critical as the RWGs are pivotal to progressing regional activities).

    ***Clearly, the overarching recommendation is that ALL Project partners, not just the PMO, must step in to do their bit to address the ongoing delays in Project implementation, and seek every possible improvement in the efficiency and effectiveness of implementation arrangements.***

8. The Summary findings and recommendations Table below provides specific recommendations in this regard, aligned against each main MTR finding.

## Summary of progress towards results

1. The MTR's assessment of progress towards the Project's results considers two scenarios:

    - Scenario 1: Without project extension to January 2020 (i.e. Project ends in July 2018 according to original schedule), as presented in Table 8 in section 3.3; and

- Scenario 2: With project extension to January 2020, as presented in Table 9 in section 3.3.

2. The assessment of the two scenarios is provided so as to illustrate the vital need for the 18-month Project extension (similarly, the Evaluation Ratings Tables presented below also assesses the two scenarios).

3. It is clear from Table 8 in section 3.3 that under Scenario 1 it is physically impossible to complete the Project. The bulk of the budget will need to be returned to GEF and the Project will not be able to be assessed as anything other than a complete failure. As outlined in section 2.5, and as per Recommendation 3 (see Summary findings and recommendations Table below), if anything is to be salvaged from the Project then it is imperative that the maximum extension available under UNDP-GEF rules (18 months), should be applied for and approved, ASAP.

4. Table 9 in section 3.3 shows that under Scenario 2, there is a reasonable prospect that implementation of at least the bulk of the Project may be achieved by extended Project-end in January 2020), so long as all of the recommendations contained in this MTR are fully implemented.

5. As per Recommendation 4 (see Summary findings and recommendations Table below), absolute highest priority should be given to focusing on completing all Outcomes and Outputs in Component 1 (the most strategically important Component), followed by those that have the highest likelihood of being achieved by Project-end (Outcomes 2.1, 2.2, 2.3, 3.4, 4.1, 4.2 and 4.3). The other Project Outcomes (3.1, 3.2, 3.3 and 4.4) may well have to be left aside as lower priorities, and picked-up by the YSLME Commission post-Project (refer Tables 8 & 9 in section 3.3 for assessment of Progress Towards Results for each Outcome).

## Summary findings & recommendations

NB: Findings and recommendations are listed in the order that they appear in the report, in accordance with the report structure, and not in any order of priority.

| SUMMARY FINDING | RECOMMENDATION | ACTION REQUIRED BY: |
|---|---|---|
| **Report section 1.5: MTR Limitations**<br>• Unfortunately the organizational and logistical arrangements for the MTR were well less than optimal.<br>• As a result, to a certain extent this has affected the representativeness and completeness and also the independence of the MTR findings, as required by the UNDP MTR Guidelines. | ***Recommendation 1 - TE Arrangements:***<br>*In order to avoid the limitations experienced with the MTR, it is recommended that for the Terminal Evaluation (TE), UNDP and UNOPS should:*<br>• *Plan well in advance, and commence the contracting process for the TE consultant in ample time to allow award of contract and commencement of work well before (at least 2 months) the relevant ICC meeting and/or other critical TE milestone(s).*<br>• *Organize detailed meeting schedule with stakeholders well in advance, so as to ensure that consultations are representative of the full range of key project stakeholders (as required by the UNDP TE Guidelines).*<br>• *Provide private space for TE consultation meetings (as required by the UNDP TE Guidelines).*<br>• *Provide an 'independent' interpreter when needed (as required by the UNDP TE Guidelines).*<br>• *Desist from recording consultation meetings (as required by the UNDP TE Guidelines).*<br>• *Avoid having any PMO (or UNDP) staff present during consultations (as required by the UNDP TE Guidelines).* | UNDP & UNOPS. |
| **Report section 2.5: Project start & duration**<br>• Unfortunately operational start of the Project suffered a crippling three-year delay (out of a four-year total timeline), for reasons outlined in section 2.5. | ***Recommendation 2 - Delays to Project start:***<br>*It is recommended that in order to avoid project-threatening major delays to the remainder of the Project, the start of any potential future phases of this Project or any new projects (anywhere), the relevant Implementing and Executing Agencies and the participating countries should always ensure that:*<br>• *all staffing and PMO logistical arrangements are fully agreed by all parties before the ProDoc is signed and the time-line clock starts ticking,*<br>• *the Executing Agency consults closely with the participating countries on staff recruitment; and*<br>• *the UNDP standard of a maximum of three months to establish the PMO office, recruit staff etc is complied with by the Executing Agency.* | Parties to future projects. |
| **Report section 2.5: Project start & duration**<br>• Given that at the time of this report it is late April 2018 and that due to the three-year delay to project-start; there has only been one year of actual operations, if the scheduled Project-end in July 2018 is adhered to then all Project activities will need to cease, and Project-termination arrangements commenced immediately.<br>• Under this scenario the vast majority of the Project Outcomes and Outputs will | ***Recommendation 3 - Need for Project extension:***<br>*Given the three-year delay to operational start of the Project, if anything is to be salvaged from the Project, it is strongly recommended that the maximum extension available under UNDP-GEF rules should be applied for and approved, ASAP* | PRC to apply.<br>UNDP to approve. |

| SUMMARY FINDING | RECOMMENDATION | ACTION REQUIRED BY: |
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| not be achieved. The bulk of the budget will need to be returned to GEF and the project will not be able to be assessed as anything other than a complete failure. | | |
| **Report section 3.1: Review of Project strategy & design**<br>• There are a number of issues and deficiencies with the Project design as outlined in section 3.1, including but not limited to an extremely large and complex structure and composition, comprising 4 Components, 16 Outcomes, 26 Outputs and 117 Activities (versus 11 Targets and 39 Actions in the SAP).<br>• This presents an extremely large, complex, difficult and unrealistic workload for the PMO and country-counterparts to achieve within the Project timeframe. | ***Recommendation 4 - Project Design and need for prioritization:***<br>• *Given the extreme three-year delay to Project commencement, and the limited time remaining to complete full Project implementation, it is recommended that it would be highly disruptive to propose any significant changes to the Project-design at this stage. It is recommended that despite some issues as identified in section 3.1 of the MTR Report, the Project-design should be generally accepted as it is, and that highest priority should be given to implementing Project activities in order to achieve Project Outcomes and Objectives by the (extended) Project-end.*<br>• *It is further recommended that for the remaining Project duration, absolute highest priority should be given to focusing on completing all Outcomes and Outputs in Component 1 (the most strategically important Component), followed by those that have the highest likelihood of being achieved by Project-end (Outcomes 2.1, 2.2, 2.3, 3.4, 4.1, 4.2 and 4.3).*<br>• *The other Project Outcomes (3.1, 3.2, 3.3 and 4.4) may well have to be left aside as lower priorities, and picked-up by the YSLME Commission post-Project (refer Tables 8 and 9).* | UNOPS and the 2 countries. |
| **Report section 3.2.1: Project management & coordination arrangements**<br>• Project implementation has clearly been significantly constrained by what appear to be inherently inefficient and extremely slow project management processes within UNOPS, some of which are highlighted in section 3.2.1. | ***Recommendation 5 - UNOPS Project support:***<br>*It is strongly recommended that UNOPS should urgently review and reform its project-support functions to absolutely ensure that no further delays and blockages occur. Urgent reforms that are specific to accelerating the YSLME Phase II Project should be implemented immediately.* | UNOPS. |
| **Report section 3.2.1: Project management & coordination arrangements**<br>• The PMO's workload is well in excess of its physical capacity, exasperated by the reduction in PMO staff demanded by PRC in the lead-up to Project inception, as outlined in section 2.5 and Table 3.<br>• Since commencing duties the PMO staff have sustained a relentless work-pace including working back late at nights and most weekends, affecting work-life balance and posing a risk of personal health-impacts if the current rate of effort is sustained over the next 20 months. | ***Recommendation 6 - PMO staffing:***<br>*To address the significant imbalance between PMO workload and staff resourcing, it is strongly recommended that the two countries look at seconding a Government officer each to the PMO, at national Government cost, and at Project Officer level with at last 3 years experience in international projects, to supplement PMO staffing for the remaining duration of the Project.* | PMO and two countries. |
| **Report section 3.2.2: Work planning**<br>• The MTR assesses that despite the significant constraints outlined in section 3.2.1, which resulted in only 26% of planned expenditure for 2017 being | ***Recommendation 7 - Work planning:***<br>*It is recommended that:*<br>• *The PMO and UNOPS make greater use of whole-of-project / whole-of-timeline work plans, such as the Gantt charts in Annex 7, to identify and prepare* | PMO and broader UNOPS. |

| SUMMARY FINDING | RECOMMENDATION | ACTION REQUIRED BY: |
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| achieved, and even less for the first quarter of 2018, the PMO staff have personally strived to achieve a high level of productivity in the relatively short time that it has been operational.<br>• The PMO's productivity appears to be driven by innate natural intelligence, outstanding work ethic and huge personal commitment and enthusiasm.<br>• However, at the same time it has been constrained by a lack of adherence to structured project management procedures, work plans and priorities.<br>• The PMO appears to have a tendency to pursue individual activities that they may find personally interesting or more exciting, than to take a more strategic, programmatic and prioritized approach. | *well in advance for all key milestones that require timely action by the PMO / UNOPS, to assist in preventing further Project delays.*<br>• *The PMO should make greater efforts to:*<br>  • *take a more strategic approach to work planning and workload management,*<br>  • *focus on implementation of high priority activities (e.g. Component 1),*<br>  • *stick to and comply with structured workplans; and*<br>  • *avoid going off on tangents and pursing low-priority activities that may be driven more by personal interest than vital project needs.* | |
| **Report section 3.2.3: Adaptive management**<br>The MTR assesses that the PMO has demonstrated excellent adaptive management capabilities including, *inter alia*, the following:<br>• Revising the Project design in response to country needs and priorities, as reported in the Project Inception Report July 2017.<br>• Improving implementation efficiencies by coordinating meetings and workshops 'back-to-back'.<br>• Improving implementation efficiencies by developing multi-activity PCAs with partner institutions in PRC, and also grouping multiple activities into sub-contracts.<br>• Further revising and prioritizing implementation of Project Outputs and Activities at the 2nd ICC in Dalian 28-29 March 2018 | ***Recommendation 8 - Adaptive management:***<br>*It is recommended that given the significant work-tasks required to achieve completion of the Project within the remaining time available, that in order to urgently accelerate technical implementation:*<br>• *Additional opportunities to use accelerated modalities such as PCAs and sub-contracts should be explored urgently (subject to concerns and checks outlined in section 3.2.5).*<br>• *If budget rules allow, and subject to application of stringent accountability procedures, increasing the Yellow Sea Grants Program (for projects by NGOs) from a total of US$200K to US$1M, with individual grants increased from up to $50K to up to $250K.* | PMO and broader UNOPS with approval by UNDP. |
| **Report section 3.2.4: ICC, MSTP & RWGs**<br>• There appears to be no sound reasons for maintaining the ICC and MSTP as separate entities, which creates additional workload on the PMO and countries.<br>• Servicing the six RWGs almost requires full-time commitment of a dedicated staff position. This constrains the ability of the PMO to undertake its broad range of other responsibilities, including implementation of technical activities. | ***Recommendation 9 - Rationalizing the ICC, MSTP & RWGs:***<br>• *It is recommended that the ICC and MSTP be amalgamated. In line with this simplification it is also recommended that the ICC should meet twice per year rather than just annually – so that delays are not caused in review and approval of proposals put forward by the RWGs and PMO.*<br>• *It is strongly recommended that the total number of RWGs be reduced to four, by amalgamating RWG-F / RWG-M and RWG-P / RWG-A (as these cover technically related issues).* | PMO and two countries. |
| **Report section 3.2.5: Budget & financial management**<br>• The MTR makes a number of observations about the budget and financial management aspects of the Project that may be cause for concern, as outlined in section 3.2.5, and it is recommended that | ***Recommendation 10 - Budget & financial management:***<br>*It is strongly recommended that:*<br>• *a detailed, external, independent audit of overall Project expenditure and financial management, disbursements and flows should be undertaken at an appropriate time,* | UNDP for whole-of-project financial audit.<br>UNOPS for financial audits of PCAs and sub-contracts. |

| SUMMARY FINDING | RECOMMENDATION | ACTION REQUIRED BY: |
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| these be looked into in more detail by relevant authorities moving forward. | • *UNOPS should exercise its contractual right to undertake financial audit of funds disbursement and flows under all three PCAs, at an appropriate time,*<br>• *every effort should be made to ensure that the costing basis of each sub-contract is fully justified and transparent, that the selection and contract award process is truly competitive and transparent, in accordance with relevant UNOPS procedures, and that the financial disbursements and flows under each sub-contract are externally audited at an appropriate time; and*<br>• *UNOPS should take urgent action to avoid the non-trivial delays and mistakes in the payment of bills and fees, reimbursement of personal expenditures by PMO staff on Project activities and disbursement of funds as outlined in section 3.2.1.* | PMO and broader UNOPS re. ensuring due process & transparency.<br>UNOPS re. payment delays. |
| **Report section 3.2.6: Co-financing**<br>• At July 2018 the reported level of co-financing from the government of PRC is at least $190 million, 2x the level committed in the July 2014 ProDoc ($93 million). When considering unreported co-financing and further investment to project-end, PRC's investment may well be >3x the original commitment.<br>• At July 2018 the reported level of co-financing from the government of ROK is at least $4 billion, 31 x the level committed in the July 2014 ProDoc ($130 million). When considering unreported co-financing and further investment to project-end, ROK's investment may well be >12 billion, or nearly 95x the original commitment. | • No specific recommendation.<br>• The outstanding level of financial investment in YSLME-related activities by both PRC and ROK bodes extremely well for future sustainability, and should be highly commended.<br>• The outstanding level of investment by ROK sets a positive challenge for PRC to aim towards moving forward. | - |
| **Report section 3.2.7: Project level MER**<br>There are some limitations with the internal MER reports (APRs etc):<br>• The PMO appears to have difficulty in clearly reporting "actual" implementation (and expenditure) against "planned" implementation (and expenditure), which is one of the most important measures in assessing and reporting project progress.<br>• In some cases certain activities reported as Project achievements are actually activities carried out directly by the countries, outside of and irrespective of the Project.<br>• The PMO appears to have a tendency to focus on reporting lists of activities and products, with limited analysis of how these have translated / are translating into actual outcomes and impacts.<br>• The use of the PRF as a project planning, management and monitoring tool has not been effective. | ***Recommendation 11 - Project level MER:***<br>*It is recommended that Project-level MER be improved for the remainder of the Project duration through the following:*<br>• *Requiring the PMO to focus more on clearly reporting "actual" implementation (and expenditure) against "planned" implementation (and expenditure).*<br>• *Revising and clarifying the April 2018 version of the GEF-IW Tracking Tool to address the points made in section 3.2.7.*<br>• *Providing the PMO with formal training in the use of PRFs as a project planning, management and monitoring tool.*<br>• *Requiring the PMO to begin and continue collecting the necessary data to allow the TE to properly assess achievement of Project Objectives, Outcomes and Outputs against the indicators specified in the PRF.* | PMO and broader UNOPS. |

| SUMMARY FINDING | RECOMMENDATION | ACTION REQUIRED BY: |
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| • The April 2018 version of the GEF-IW Tracking Tool needs to be revised and clarified to address the points made in section 3.2.7. | | |
| **Report section 3.2.8: Project communication & visibility**<br>• Project communication efforts are significantly behind schedule and suffer from a number of limitations as outlined in section 3.2.8.<br>• In the absence of a strategic, programmatic Communication Plan the PMO has been implementing individual communication activities on an uncoordinated, ad-hoc, piece-meal basis (similar to the approach that the PMO has been using for other project activities). | ***Recommendation 12 - Project communication & visibility:***<br>*It is recommended that the PMO should act to rapidly commence development, followed by implementation, of the Project Communication Plan. This Plan should:*<br>• *Clearly identify the Project's strategic communication objectives, target audiences and key messages.*<br>• *Give priority to targeting in-country audiences, with all communication products and mediums, including the permanent Project website, being not only in English but also in Chinese and Korean.*<br>• *Use the full range of social media platforms, including those that are specific to PRC, to target the younger generation.*<br>• *Seek partnerships with national television producers and broadcasters in both PRC and ROK, and invite them to produce and broadcast TV news items and also documentaries both about the Project and the Yellow Sea generally (TV is still considered to be the most effective form of mass-media for reaching large audiences).*<br>• *Seek partnerships with NGOs, including the large international NGOs like WWF, CI and IUCN, who are already very active on communication activities in the Yellow Sea region, to leverage co-financing for communication efforts.*<br>*It is also recommended that the PMO, UNOPS Copenhagen Office, UNDP and the two National Coordinators should work towards improved and more regular communication, including a monthly Progress Meeting on Skype.* | PMO<br><br>PMO, UNOPS, UNDP and two NCs |
| **Report section 3.3: Progress towards results**<br>The MTR's assessment of progress towards the Project's results considers two scenarios:<br>• Scenario 1: Without project extension to December 2019 (i.e. Project ends in July 2018),<br>• Scenario 2: With project extension to January 2020.<br>• It is clear that under Scenario 1 it is physically impossible to complete the Project. It is imperative that the maximum extension available under UNDP-GEF rules should be applied for and approved, ASAP.<br>• Under Scenario 2, there is a reasonable prospect that implementation of at least the bulk of the Project may be achieved, so long as all of the recommendations contained in this MTR report are fully implemented. | • ALL of the recommendations in this Table, and especially numbers 3, 4, 5, 6, 7, 8 and 13. | As listed against each recommendation. |

| SUMMARY FINDING | RECOMMENDATION | ACTION REQUIRED BY: |
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| **Report section 3.5.3: Institutional & governance risks to sustainability**<br>• The MTR assesses that the key Government ministries, agencies and institutions in ROK have a rock-solid and unwavering commitment to the Project, to the establishment of the permanent Yellow Sea Commission and to the ongoing, long-term implementation of the YSLME-SAP in coordination and cooperation with PRC and eventually DPRK.<br>• There are no indicators at all of any institutional and governance risks to sustainability within the ROK government structure and system.<br>• With respect to PRC, during MTR consultations a distinct signal was detected that there may be a softening in enthusiasm for the establishment of the permanent Yellow Sea Commission, and a shift towards a preference to focus on national-level implementation of technical activities, and to addressing international issues through existing bilateral, sector-based mechanisms.<br>• If this apparent trend continues, it may pose a fundamental threat to the core objective of the YSLME-SAP and the Phase II Project, as embodied in Component 1 of the Project. | ***Recommendation 13 - Risks to establishment of YS Commission:***<br>*It is strongly recommended that:*<br>• *Once the current restructure of the PRC Government is complete, that UNDP, PMO and ROK MOFA & MOF seek a ministerial-level meeting with new PRC Minister for Natural Resources, to brief them on the Project and seek high-level support in PRC for the Project, for SAP implementation and for the establishment of a permanent, sustainably financed Yellow Sea Commission. Without this, this Project Objective may not be achieved by end of Project in December 2019.*<br>• *The MoU on bilateral cooperation on environmental matters signed by the Environment Ministers of both PRC and ROK, be used as a model and template for a similar MoU to be signed between the PRC Minister for Natural Resources and the ROK Minister for Oceans & Fisheries, specifically relating to cooperation in implementing the YSLME-SAP and establishing the Commission. Such MoU might be structured so as to allow for future signing-in by DPRK as a tri-lateral MoU.* | Initiated by PMO with support from UNDP and ROK Govt. to propose this action to PRC Govt. |
| **Report section 36: Involving DPRK**<br>• Truly integrated, ecosystem based management of the YSLME can only be achieved with the full participation of all three littoral States. Progressive inclusion of DPRK, including in the regional governance framework, and eventually the Yellow Sea Commission, should be a high priority. | ***Recommendation 14 - Involving DPRK:***<br>• *It is recommended that in addition to continuing to work through the Hanns Siedel Foundation to try and involve DPRK in the biodiversity and MPA-network planning activities, the Project should also work towards more complete participation of DPRK, including progressively in the regional governance framework.*<br>• *In doing so, given recent diplomatic progress, this effort might be led by ROK MOF and Ministry of Reunification through direct bilateral dealings with DPRK, in consultation with PRC and with support from PMO.*<br>• *As a UN program, it is also vital to ensure that relevant UN Resolutions and rules, and GEF rules and procedures, are fully complied with.* | ROK Govt. with support from PRC and PMO. |

## Evaluation Rating Tables

1. The MTR provides two scenarios for the Evaluation Rating Table:

- Scenario 1: Without project extension to January 2020 (i.e. Project ends in July 2018 according to original schedule).

- Scenario 2: With project extension to January 2020.

2. The assessment of the two scenarios illustrates the vital need for the 18-month Project extension.

**Evaluation Rating - Scenario 1:** Without Project extension to Dec 2019 (i.e. Project ends in July 2018 according to original schedule)

| Measure | Project Element | MTR Rating | • Achievement Description |
|---|---|---|---|
| **Progress Towards Results** | **Overall Objective 1:** Implement SAP: | **1 Highly unsatisfactory** | • Nothing at all achieved in first three years and only foundational activities conducted in first eight months of fourth year (July 17 to March 18) (establishment of PMO, ICC, MSTP, RWG etc).<br>• Very little start to actual technical activities to support achievement of this overall Objective.<br>• Impossible to achieve anything further by scheduled Project end in July 2018. |
| | **Overall Objective 2:** Restore ecosystem goods & services: | **1 Highly unsatisfactory** | " |
| | **Overall Objective 3:** Establish long-term regional governance (YS Commission): | **2 Unsatisfactory** | • Despite delays outlined above, in first eight months of fourth year (July 17 to March 18) the PMO has worked extremely hard to very rapidly establish the foundational elements of YS Commission (the ICC, MSTP, RWGs etc).<br>• However, simply insufficient time to scheduled Project end in July 18 to take this any further. |
| | **Outcome 1.1:** Regional governance structure etc: | **2 Unsatisfactory** | " |
| | **Outcome 1.2:** Improved inter-sectoral coordination etc: | **2 Unsatisfactory** | • Despite delays outlined above, in first eight months of fourth year (July 17 to March 18) the PMO has worked extremely hard to very rapidly establish the foundational elements of inter-sectoral coordination, including national IMCCs and the ICC, MSTP, RWGs etc.<br>• However, simply insufficient time to scheduled Project end in July 18 to take this any further. |
| | **Outcome 1.3:** Wider participation in SAP implementation etc: | **1 Highly unsatisfactory** | • Given three year delay to Project start and focus of first eight months of fourth year (July 17 to March 18) on establishing PMO, ICC, MSTP, RWGs etc; implementation of technical activities to support achievement of this Outcome has not yet properly commenced.<br>• Simply insufficient time to scheduled Project end in July 18 to achieve this. |
| | **Outcome 1.4:** Improved compliance with regional and international treaties etc: | **1 Highly unsatisfactory** | " |
| | **Outcome 1.5:** Sustainable financing etc: | **1 Highly unsatisfactory** | " |
| | **Outcome 2.1:** Recovery of depleted fish stocks: | **1 Highly unsatisfactory** | " |
| | **Outcome 2.2:** Enhanced fish stocks etc: | **1 Highly unsatisfactory** | " |
| | **Outcome 2.3:** Enhanced and sustainable mariculture etc: | **1 Highly unsatisfactory** | " |
| | **Outcome 3.1:** Ecosystem health improved through a reduction in pollutants etc:. | **1 Highly unsatisfactory** | " |

| Measure | Project Element | MTR Rating | • Achievement Description |
|---|---|---|---|
| | **Outcome 3.2:** Wider application of pollution-reduction techniques etc: | **1 Highly unsatisfactory** | " |
| | **Outcome 3.3:** Strengthened legal and regulatory processes to control pollution: | **1 Highly Unsatisfactory** | " |
| | **Outcome 3.4:** Marine litter controlled at selected locations: | **1 Highly unsatisfactory** | " |
| | **Outcome 4.2:** MPA Network etc: | **1 Highly unsatisfactory** | " |
| | **Outcome 4.3:** Adaptive management mainstreamed re. climate change etc: | **1 Highly unsatisfactory** | " |
| | **Outcome 4.4:** Application EBM etc: | **1 Highly unsatisfactory** | " |
| **Project Implementation & adaptive management** | | **1 Highly unsatisfactory** | • The crippling three-year delay to Project start was a direct result of a total failure in project implementation.<br>• Adaptive management to identify, address and correct the underlying causes of the delay was not applied until Sept 2015 (ProDoc review workshop) and even after that another 1.5 years+ delay was allowed to occur. |
| **Sustainability** | | **1 Unlikely** | • Lack of progress in actual implementation of current Project creates severe risks to sustainability post-Project, as by scheduled Project end in July 2018 there will be virtually no foundation to build on and carry forward. |

**Evaluation Rating** - **Scenario 2:** With Project extension to Jan 2020

| Measure | Project Element | MTR Rating | Achievement Description |
|---|---|---|---|
| **Progress Towards Results** | **Overall Objective 1:** Implement SAP: | **4 Moderately satisfactory** | • Nothing at all achieved in first three years and only foundational activities conducted in first eight months of fourth year (July 17 to March 18) (establishment of PMO, ICC, MSTP, RWG etc).<br>• Very little start to actual technical activities to support achievement of this overall Objective.<br>• However, PMO has worked extremely hard to put arrangements in place to allow SAP implementation (e.g. negotiation and signing of PCAs, large number of activity ToRs developed and approved) and major activities are now commencing.<br>• Good progress should now be able to be made towards extended Project end of Jan 2020, ***so long as ALL of the Recommendations in this MTR are implemented ASAP.*** |
| | **Overall Objective 2:** Restore ecosystem goods & services: | **2 Unsatisfactory** | • It is physically implausible that the type of activities to be implanted by the Project over the next 20 months (to extended project end of 2020), which mainly comprise desk top reviews, workshops and training courses, will have any measurable impact in restoring ecosystem goods and services in the YSLME. This is more a function of Project design than implementation.<br>• Given the scale, extent and severity of environmental stresses and pressure in the YSLME, achieving this Objective will require decades of concerted basin-wide action, not 20 months of a few isolated technical activities under the Project.<br>• This is why establishment of the YS Commission with long-term sustainable financing for ongoing SAP implementation into the future is so vital. |
| | **Overall Objective 3:** Establish long-term regional governance (YS Commission): | **4 Moderately satisfactory** | • Despite delays outlined above, in first eight months of fourth year (July 17 to March 18) the PMO has worked extremely hard to very rapidly establish the foundational elements of YS Commission (the ICC, MSTP, RWGs etc).<br>• So long as extremely high priority is given to completing ALL of Component 1, and especially bringing forward the schedule for the Task Forces and consultancies on legal and financial arrangements for the Commission, there is good chance that this will be achieved.<br>• However, there are real risks to this Objective including an apparent 'softening" of PRCs desire for establishing the Commission.<br>• To address this it is also strongly recommended that once the current restructure of the PRC Government is complete (scheduled for June 18), that UNDP, PMO and ROK MOFA & MOF seek a ministerial-level meeting with new PRC Minister for Natural Resources, to brief them on the Project and seek high-level support in PRC for the YS Commission. Without this, this Project Objective may not be achieved by Jan 2020. |
| | **Outcome 1.1:** Regional governance structure etc: | **4 Moderately satisfactory** | " |
| | **Outcome 1.2:** Improved inter-sectoral coordination etc: | **4 Moderately satisfactory** | • Despite delays outlined above, in first eight months of fourth year (July 17 to March 18) the PMO has worked extremely hard to very rapidly establish the foundational elements of inter-sectoral coordination, including national IMCCs and the ICC, MSTP, RWGs etc.<br>• Now that Project momentum is underway, progress on this Outcome should continue to improve.<br>• A glaring gap in inter-sectoral coordination is the Ministries of Environment in both PRC and ROK. By definition, truly integrated, cross-sectoral, ecosystem-based management of the YSLME would require full participation by these key Ministries, and the MTR considers it astounding that they are not involved. It is strongly recommended that they be included in the national IMCCs and in the MSTP / ICCs, and relevant RWGs. |
| | **Outcome 1.3:** Wider participation in SAP implementation etc | **4 Moderately satisfactory** | • Now that the PMO has been up and running for approx. one year, significant effort has been made to reach out to other partners and stakeholders, including through 'keystone' initiatives such as development of the regional biodiversity strategy, through the YS Partnerships.<br>• There is a need to more strongly involve some of the larger international NGOs (WWF, CI, IUCN etc) who are very active in the YSLME and represent potentially significant sources of co-financing.<br>• There is also a need for much greater private sector involvement in SAP implementation (apart from some mariculture cos, private sector is currently not involved at all).<br>• As for Outcome 1.2, a glaring gap in government involvement in SAP implementation is the Ministries of Environment in both PRC and ROK. By definition, truly integrated, cross-sectoral, ecosystem-based management of the YSLME would require full participation by these key Ministries, and it is considered astounding that they are not involved. It is strongly recommended that they be included in the national IMCCs etc. |

| Measure | Project Element | MTR Rating | Achievement Description |
|---|---|---|---|
| | **Outcome 1.4:** Improved compliance with regional and international treaties etc: | **1 Highly unsatisfactory** | • Activities in support of this Outcome appear to have a low priority and in some cases even regressive actions have been taken (e.g. an inexplicable decision to delete implementation of the FAO Code of Conduct on Responsible Fisheries from the Project).<br>• Reprioritisation and adaptive management will be required to improve the rating of this Outcome towards Project-end. |
| | **Outcome 1.5:** Sustainable financing etc: | **4 Moderately satisfactory** | • Refer comments on Overall Objective 3 above. |
| | **Outcome 2.1:** Recovery of depleted fish stocks: | **4 Moderately satisfactory** | • Irrespective of Project delays both PRC and ROK, through their own national initiatives, have been extremely active in recent years in implementing measures to address this Outcome, including major fishing-boat buy-back schemes to reduce fishing effort, closed seasons, better regulation of net-mesh size and better coordination of transboundary enforcement through the YS Bilateral Fisheries Agreement.<br>• While the MTR seeks to evaluate progress by the Project itself, the contribution of country initiatives outside of the Project are worth noting in relation to this Outcome because of the significant progress made by the countries in this area.<br>• The commencement of relevant Project activities will now begin to assist in greater coordination, replication and catalyzing of these national initiatives on the recovery of fish-stocks. |
| | **Outcome 2.2:** Enhanced fish stocks etc: | **5 Satisfactory** | " |
| | **Outcome 2.3:** Enhanced and sustainable mariculture etc: | **4 Moderately satisfactory** | • The three-year delay to Project start has affected the start of activities in support of this Outcome, however it appears that plans are well developed and that implementation will proceed rapidly once relevant activities, including training courses, commence shortly.<br>• However, there have been some regressive developments, including a decision to delete the activity relating to monitoring and early warning of maricultiure diseases, on the pretext that there are 'no such diseases' in YS mariculture. This is not supported by the scientific literature, which does reference such diseases in the YS region.<br>• Even if the region was disease-free, to use that as a pretext to exclude monitoring and early warning is counter-intuitive and anti-scientific.<br>• The very purpose of such monitoring and early warning is to MAINTAIN disease-free status. Disease is one of THE major issues for mariculture, and it is recommended that the decision to delete this from the Project be revisited. |
| | **Outcome 3.1:** Ecosystem health improved through a reduction in pollutants etc:. | **2 Unsatisfactory** | • Activities in support of this Outcome (largely desk-top reviews and reports) are unlikely to result in measurable reduction in pollution.<br>• This is more a function of Project-design than implementation, plus the fact that practical actions to reduce pollution require large-scale engineering and technical solutions that are well beyond the scope of the Project.<br>• As a national initiative PRC has been implementing the large-scale "Blue Bay Action Pan" at several sites in the YS region, which involves such large-scale engineering and technical solutions to marine pollution. |
| | **Outcome 3.2:** Wider application of pollution-reduction techniques etc: | **2 Unsatisfactory** | " |
| | **Outcome 3.3:** Strengthened legal and regulatory processes to control pollution: | **2 Unsatisfactory** | • Activities in support of this Outcome appear to have a low priority and the nature of the Project activities designed to support this Outcome (largely desk-top reviews and reports) are unlikely to result in strengthening of national and provincial legislation on pollution.<br>• This is more a function of Project-design than implementation, plus the fact that legislating is a sovereign national responsibility, which it can be difficult for a project to influence. |
| | **Outcome 3.4:** Marine litter controlled at selected locations: | **5 Satisfactory** | • Irrespective of Project delays both PRC and ROK, through their own national initiatives, have been extremely active in recent years in implementing measures to address this Outcome, including physical measures to prevent marine litter entering the marine environment, regular, coordinated coastal cleanups, comprehensive marine litter monitoring and source identification, and major public awareness campaigns. NGOs are also very active on this issue, as are other international partners such as NOWPAP and IOC-WESTPAC (latter re. micro-plastics).<br>• The commencement of relevant Project activities will now begin to assist in greater coordination, replication and catalyzing of these national and other regional initiatives. |

| Measure | Project Element | MTR Rating | Achievement Description |
|---|---|---|---|
| | | | |
| | **Outcome 4.2:** MPA Network etc: | **5 Satisfactory** | • The three-year delay to Project start has affected the start of activities in support of this Outcome, however it appears that plans are well developed, including baseline work for Rudong MPA and for the biodiversity planning workshop involving key partner.<br>• There have also been significant positive initiatives at the national level in support of this Outcome, including new laws in PRC to ban all further reclamation of coastal wetlands and a directive to preserve at least 35% of the coastline in a natural state.<br>• There is significant opportunity for the Project to further expand the YS partnerships in relation to this Outcome, including the larger international NGOs (WWF, CI, IUCN etc) who are very active in the YSLME and represent potentially significant sources of co-financing. |
| | **Outcome 4.3:** Adaptive management mainstreamed etc: | **2 Unsatisfactory** | • Activities in support of this Outcome appear to have a low priority and will need to be accelerated if targets are to be met by Jan 2020. |
| | **Outcome 4.4:** Application EBM etc: | **2 Unsatisfactory** | • Activities in support of this Outcome appear to have a low priority and will need to be accelerated if targets are to be met by Jan 2020. |
| **Project Implementation & adaptive management** | | **2 Unsatisfactory** | • The crippling three-year delay to Project start has significantly affected this rating.<br>• Since the new PMO commenced duties from March 2017 they have made huge efforts to speed up implementation, however they are still constrained by what appear to be inherently inefficient and extremely slow project management processes at UNOPS (e.g. an analysis of all consultancy recruitments over the last year shows an average of 4 to 5 months to recruit a single consultant, with some up to 10 months) (it is noted that UNOPS, as a UN entity, has to follow the requirements set by the UN when recruiting staff and consultants/experts to ensure fairness, accountability and integrity. Additionally, delays can be caused in recruitment due to difficulties in identifying suitable candidates and the need to re-advertise at times – which apparently caused the 10 month delay case referenced above)<br>• However, there is an extremely urgent need for UNOPS to review and reform its project-support functions to ensure no further delays and blockages.<br>• Additionally, PMO productivity appears to be driven by innate natural intelligence, outstanding work ethic and huge personal commitment and effort, and less by adherence to structured project management procedures and processes, and adherence to work plans and priorities. This has caused some inefficiencies and delays, including pursuit of tangents and low-priority activities. E.g. despite huge workload, extremely limited remaining time and major strategic priorities like Component 1, the PMO has spent considerable time on trivial, unnecessary tasks like design of a new Project logo (when there is a perfectly good one that is very well established as a recognizable brand internationally), and formal hard-copy publishing of basic documents such as meeting minutes, which is totally unnecessary and unproductive.<br>• Time spent on these distractions would be much better spent on urgent implementation of high priority activities – especially in relation to Component 1 regarding establishment of the YS Commission.<br>• It is recommended that PMO members be given additional training in UNOPS procedures and more general project management training, and be strongly encouraged to give greater attention to strategic prioritization of work tasks and adherence to structured work planning.<br>• The PMO's workload is well in excess of its physical capacity and there is a risk of personal health-impacts if the current rate of effort is sustained over the next 20 months. It is strongly recommend that the two countries look at seconding a Government officer each to the PMO, at Project Officer level with at last 3 years experience in international projects, to supplement PMO staffing for the remaining duration.<br>• Because the project resources are determined at the project design stage by UNDP and GEF, for future projects UNOPS could be involved at project design stage to provide advice on operational requirements and workload, and staffing requirements accordingly.<br>• The PMO has demonstrated excellent adaptive management capabilities and implementation efficiencies have been improved through actions such as coordinating meetings and workshops 'back-to-back', and developing multi-activity PSAs with institutions as a much more efficient implementation modality than numerous individual consultancies. It is vital that further opportunities to improve efficiency be identified. |

| Measure | Project Element | MTR Rating | Achievement Description |
|---|---|---|---|
| **Sustainability** | | **3 Moderately likely** | • Levels of co-financing for YS-related, national initiatives in both PRC and ROK are way in excess of what was committed in the ProDoc. This is an extremely positive and highly commendable development and bodes well for sustainability.<br>• However, this co-financing is for national initiatives planned and implemented outside of the framework of the YSLME-SAP itself. Achievement of post-project sustainability of SAP implementation very much depends on completion of Component 1 of the Project and especially the establishment of the YS Commission, including a financing mechanism, by Jan 2020.<br>• There are real risks to this including an apparent 'softening" of PRC's desire for establishing the Commission. To address this it is strongly recommended that once the current restructure of the PRC Government is complete (scheduled June 18), that UNDP, PMO and ROK MOFA & MOF seek a ministerial-level meeting with new PRC Minister for Natural Resources, to brief them on the Project and seek high-level support in PRC for the YS Commission. Without this, this post-Project sustainability may not be achieved by Jan 2020. |

# ACRONYMS

| | |
|---|---|
| APR | Annual Project Report |
| AWP | Annual Work Plan |
| CO | Country Office (of UNDP) |
| CTA | Chief Technical Advisor |
| DPRK | Democratic People's Republic of Korea |
| EA | Executing Agency |
| EBM | Ecosystem Based Management |
| ECC | Ecological Carrying Capacity |
| FIO | First Institute of Oceanography (of PRC) |
| GAP | Good Aquaculture Practice |
| GEF | Global Environment Facility |
| IA | Implementing Agency |
| ICC | Interim Commission Council (of the YSLME Project Phase II) |
| ITQ | Individual Transfer Quotas (fisheries management tool) |
| IW | International Waters (portfolio of GEF) |
| JORC | Joint Ocean Research Centre (of PRC & ROK, at FIO) |
| KOEM | Korea Environmental Management Corporation |
| KIOST | Korea Institute of Ocean Science & Technology |
| MER | Monitoring, Evaluation & Reporting |
| MOF | Ministry of Oceans & Fisheries (of ROK) |
| MOFA | Ministry of Foreign Affairs (of ROK) |
| MoU | Memorandum of Understanding |
| MSTP | Management, Science & Technical Committee (of the YSLME Project Phase II) |
| MTR | Mid Term Review |
| NAP | National Action Plan |
| NC | National Coordinator (for the YSLME project) |
| NFP | National Focal Point (for the YSLME project) |
| NGO | Non-Governmental Organisation |
| NMEMC | National Marine Environmental Monitoring Centre (of PRC) |
| NWG | National Working Group |
| OECD | Organization for Economic Cooperation & Development |
| PMO | Project Management Office (for the YSLME project) |
| PIMS | Project Information Management System |
| PIR | Project Implementation Review |
| PM | Project Manager (for the YSLME project) |
| PRC | People's Republic of China |
| PRF | Project Results Framework |
| ROK | Republic of Korea |
| RWG | Regional Working Group |
| SAP | Strategic Action Programme |
| SMART | Specific, Measurable, Achievable, Relevant & Time-bound |
| SO | Strategic Objective |
| SOA | State Oceanic Administration (of PRC) |
| TAC | Total Allowable Catch |
| TOR | Terms of Reference |
| UN | United Nations |
| UNDP | United Nations Development Programme |
| UNDAF | United Nations Development Assistance Framework |
| UNOPS | United Nations Office for Project Services |
| USD | United States Dollar |
| WWF | World Wide Fund for Nature & Natural Resources |
| YSFRI | Yellow Sea Fisheries Research Institute (YSFRI) (of PRC) |
| YSLME | Yellow Sea Large Marine Ecosystem |

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- Ms Sunyoung Chae, Assistant Manager, International Affairs Team, Korea Marine Environment Management Corporation.
- Mr Suh-Yong Chung, Chair of YSLME Regional Working Group on Governance, Director, Division of International Studies of Korea University.
- All other key stakeholders in the Governments of the People' Republic of China (PRC) and Republic of Korea (ROK), including those who kindly and freely shared their views and perspectives about the project during MTR interviews and discussions, as listed in Annex 3.

# 1. INTRODUCTION

## 1.1 MTR Purpose

1. The purpose of the MTR is to:

    a) Review the Project's strategy and design.

    b) Assess progress towards achievement of Project objectives, outcomes and outputs.

    c) Assess project implementation and adaptive management.

    d) Assess early signs of project success and/or failure.

    e) Identify risks to sustainability.

    f) Identify any changes and corrective actions that may be necessary in order to set the project on-track to achieve its intended results.

    g) Assess the need for project extension and the optimum arrangements for such.

## 1.2 MTR scope

1. As required by section 5 of the MTR Terms of Reference (ToR) (Annex 1 of this report), the MTR scope closely follows the MTR purpose as outlined above, and covers the following:

    a) Project strategy and design, including Results Based Framework (RBF).

    b) Progress towards achievement of Project objectives, outcomes and outputs.

    c) Project implementation and adaptive management, including:
        i) project management arrangements,
        ii) work planning,
        iii) finance and co-finance,
        iv) stakeholder engagement,
        v) project reporting,
        vi) project visibility and communication; and
        vii) project-level monitoring and evaluation.

    d) Sustainability, including political and governance, financial, socioeconomic and environmental risks to sustainability.

    e) Need for the proposed project extension and the optimum arrangements for such.

## 1.3 MTR methodology

1. As required by section 5 of the MTR-ToR and as refined in the MTR Inception Report (Raaymakers March 2018), the following methods were used to undertake the MTR:

    a) Compliance with:
        i) the UNDP *Guidance for Conducting Midterm Reviews of UNDP-supported, GEF-financed Projects 2012* (UNDP MTR Guidelines); and
        ii) the United Nations Evaluation Group (UNEG) *Ethical Guidelines for Evaluators 2008.*

    b) Use of evidence-based information that is credible, reliable and useful.

    c) Review of all relevant sources of information including all relevant documents (e.g. Project Identification Form, Project Document, Project Initiation Report, Annual Progress Reports etc - refer Annex 2).

    d) Sending an MTR Questionnaire (Annex 3) to a comprehensive list of YSME stakeholders (refer Annex 4).

    e) Meetings and consultations with key stakeholders (see Annex 4), as per the itinerary in Annex 5, including:
        i) attending the 2nd Interim Commission Council (ICC) meeting in Dalian, People's Republic of China (PRC) 27-28 March 2018,
        ii) visiting a Marine Protected Area (MPA) for 'spotted seals' near Dalian 28 March,
        iii) visiting the China National Marine Environmental Monitoring Centre (NEMC) in Dalian 29 March,
        iv) visiting a Blue Bay coastal restoration site and Integrated Multi-trophic Aquaculture(IMTA) site near Weihai / Rongcheng 31 March and 1 April,
        v) visiting the First Institute of Oceanography (FIO) and China-Korea Joint Ocean Research Centre (JORC) in Qingdao 2 April; and
        vi) visiting the Executing Agency (United Nations Office for Project Services - UNOPS) Project Management Office (PMO) in Songdo, near Incheon, Republic of Korea (ROK), and ROK government agencies in Seoul, 3 to 6 April .

2. As outlined in the MTR Inception Report, in undertaking the MTR the Consultant was very much dependent on the PMO to organize a detailed schedule of meetings with key stakeholders in both PRC and ROK, to assist with all in-country logistics, to provide all key project documentation, completed reporting tools and supporting information, and to arrange an 'independent' interpreter for stakeholder meetings when necessary, in a timely manner.

## 1.4 MTR report structure

1. Somewhat inefficiently and slightly confusingly, the MTR-ToR provide three separate sets of guidance on the required structure and contents of the MTR Report. These are contained in section 4 'Detailed Scope of the MTR', in Annex B 'Guidelines on Contents of the MTR Report' and in Annex G 'Evaluation Report Outline'. All three are broadly similar but with varying levels of detail and with some key differences. The MTR Consultant has used discretion to adapt and meld these into the structure used in this report, as outlined in the Contents section above.

2. It is recommended that in order to provide much clearer guidance to future review consultants, the implementing and executing agencies should rationalize the ToR by having a single set of guidance on report scope, structure and contents, as a single annex to the ToR.

## 1.5 MTR limitations

1. Unfortunately the organizational and logistical arrangements for the MTR were well less than optimal, which to a certain extent limit the representativeness and completeness and also the independence of the MTR findings, as required by the UNDP MTR Guidelines.

2. By the time the MTR Consultancy contract was received, reviewed, clarified and signed, and associated administrative procedures completed with the contracting agency (UNDP), the MTR consultant did not commence substantive work on MTR tasks until 19 March 2018. This was only 5 working days before departing home base on 25 March to travel to the 2nd ICC meeting in Dalian. This was an extremely compressed timeframe for the consultant to:

    a) undertake initial review of the huge volume of project-related documents,
    b) have an initial briefing via skype with the UNDP Regional Technical Adviser,
    c) prepare and submit a comprehensive MTR Inception Report,
    d) coordinate in-country logistics with the PMO; and
    e) prepare a presentation for the ICC meeting.

3. This placed an unnecessary and unreasonable level of workload stress on the consultant right from the commencement of work, which carried through and affected fatigue and productivity during the MTR mission itself.

4. In preparing for the MTR mission the consultant made repeated requests to the PMO to provide a detailed schedule of meetings with a clearly identified list of key project stakeholders. Unfortunately this had still not been provided even up to the last day of the actual ICC meeting in Dalian, despite ongoing and frequent reminders. This meant that the consultant was left to try and identify the key stakeholders from within the ICC participants himself, and to try and secure ad-hoc meetings with them during coffee breaks, lunch breaks and after close of meeting each day (when many had other activities planned). This meant that only a very restricted number of stakeholders could be met and only very briefly (see Annex 4). Many key stakeholders such as

Chairs of most of the Regional Working Groups (RWGs) and National Working Groups (NWGs), and major NGOs, could not be consulted.

5. Despite the fact that the PMO had arranged for the MTR Consultant to travel to Beijing to consult with PRC stakeholders there, during the ICC meeting the PRC representatives advised that government stakeholders in Beijing would not be able to meet due to the need to get advance approval for foreign visitors to Government offices, and the fact that government officials would be heavily engaged in the current major restructure of the PRC Government. This left the ICC coffee breaks and lunch breaks as the only opportunity to meet with key PRC government figures, which was insufficient as outlined above. The PMO should have identified the constraints in Beijing well in advance and made necessary alternative arrangements.

6. Despite the consultant requesting that a separate small meeting room be provided for private stakeholder meetings during the ICC (as required by the UNDP MTR Guidelines), this was not provided. Meetings had to be held in the open coffee area, affecting privacy (and thus frankness and independence of the consultations).

7. For some meetings (including during the visits to NMEC in Dalian and field sites in Weihai and Rongcheng) an interpreter was required. Despite the UNDP MTR Guidelines clearly requiring that interpreters should be 'independent', and the MTR consultant requesting such, the PMO Project Manager (PM) insisted that the PMO Legal Intern (who is not a professional interpreter) would act as interpreter. This was despite the fact that two very competent, professional interpreters were available at the ICC. One could have easily been engaged for an additional few days to accompany the MTR consultant to Weihai and Qingdao, or if they were not available, another independent interpreter could have easily been arranged (there is no shortage of professional interpreters in China). Having a PMO member present as interpreter clearly affected the real and perceived independence of the consultations. Additionally, it appears that some discussions were recorded on mobile phone and/or laptop, despite clear request not to, further affecting independence.

8. The PMO indicated that these issues and problems were a function of their workload in organizing the ICC meeting, which was clearly a major demand. However, as outlined above the PMO was fully aware of the need for the MTR since project launch in July 2017, and of the timing of the 2nd ICC meeting many months in advance. There is absolutely no reason why the necessary arrangements could not have been made in ample time to allow for more thorough, complete, representative and independent consultations with stakeholders, as required by the UNDP MTR Guidelines.

9. Finally, the PMO sent no less than three staff to accompany the MTR consultant on the site visit to Weihai and Rongcheng, which was completely unnecessary. This again affected real and perceived independence of the MTR consultations, and is not compliant with the UNDP MTR Guidelines. No clear explanation was provided for this. The PMO explained to the MTR consultant that PMO presence at the MTR mission was to discuss with provincial government focal point on the planning of IMTA training, "taking advantage of presence in the MTR mission". However, there was no logical basis for the PMO to "take advantage of the presence of the MTR mission" to do its

own consultations – it is a very short flight from Incheon to Weihai and PMO staff can travel there any time, without interfering with the MTR. The bottom line is that during the Weihei and Dongchu visits there were no opportunities at all for the MTR consultant to meet separately and privately with the local stakeholders.

10. In conclusion, as outlined above, unfortunately the organizational and logistical arrangements for the MTR were well less than optimal, which to a certain extent limit the representativeness, completeness and independence of the MTR. In this respect the MTR consultations were not compliant with the UNDP MTR Guidelines.

***Recommendation 1 - TE Arrangements:*** *It is recommended that for the Terminal Evaluation (TE), UNDP and UNOPS should:*

- *Plan well in advance, and commence the contracting process for the TE consultant in ample time to allow award of contract and commencement of work well before (at least 2 months) the relevant ICC meeting and/or other critical TE milestone(s).*
- *Organize and confirm a detailed meeting schedule with stakeholders well in advance, so as to ensure that consultations are representative of the full range of key project stakeholders (as required by the UNDP TE Guidelines).*
- *Provide private space for TE consultation meetings (as required by the UNDP TE Guidelines).*
- *Provide an 'independent' interpreter when needed (as required by the UNDP TE Guidelines).*
- *Desist from recording consultation meetings (as required by the UNDP TE Guidelines).*
- *Avoid having any PMO (or UNDP) staff present during consultations (as required by the UNDP TE Guidelines).*

# 3. PROJECT DESCRIPTION & DEVELOPMENT CONTEXT

1. The MTR makes a number of key observations and recommendations regarding Project design in section 3.1 below. This section is only intended to provide a general description of the Project.

## 2.1 Project overview

1. Bounded by the People's Republic of China (PRC), the Democratic People's Republic of Korea (DPRK) and the Republic of Korea (ROK), the Yellow Sea is one of the most strategically and geopolitically important regions in the World. The Yellow Sea supports a wide range of coastal and marine biodiversity and habitat values, and produces two million tonnes of capture fisheries and 14 million tonnes of mariculture products each year. It also hosts critical shipping lanes and several major ports, important tourism and recreational beaches and absorbs pollution discharges from five major coastal cities with populations of over ten million each (Dalian, Qingdao and Shanghai in China, Pyongyang/Nampo in DPRK and Seoul/Incheon in ROK).

2. Environmental stresses and threats to ecological carrying capacity (ECC) are severe in the Yellow Sea, and manifest in steep decline in capture fisheries production (both in volume and size classes), eutrophication, deteriorating water quality, harmful algae blooms, jellyfish blooms and significant loss of coastal habitat amongst other major impacts.

3. In direct recognition of the global geopolitical significance and the ecological and economic values of the Yellow Sea, and the severe threats to ECC, and in order to assist the littoral States to move towards a more cooperative, ecosystem-based approach to the management of the Yellow Sea, from 2004 to 2011 the Global Environment Facility (GEF) supported the Yellow Sea Large Marine Ecosystem (YSLME) Project with a grant of US$14,394,089.oo (full title: *Reducing Environmental Stress in the Yellow Sea Large Marine Ecosystem*). The Phase I Project was implemented by UNDP with UNOPS as Executing Agency.

4. The Project developed a Transboundary Diagnostic Assessment (TDA) and adopted a Strategic Action Programme (SAP), in accordance with standard GEF International Waters TDA/SAP methodology. The SAP was published in 2009 and contains targets and actions to 2020. The Phase I Project also developed National Action Plans (NAPs) and implemented a wide range of demonstration sites.

5. In recognition of the vital need for ongoing international investment to catalyze implementation of the SAP, and to further strengthen cooperative arrangements between the littoral States, in July 2014 the GEF approved the YSLME Project Phase II with a grant of US$7,562,430.oo (full title: *Implementing the Strategic Action Programme for the Yellow Sea Large Marine Ecosystem: Restoring Ecosystem Goods and Services and Consolidating a Long-term Regional Environmental Governance Framework.*

6. As the full title of the Project implies, Phase II aims to implement the SAP, restore ecosystem goods and services and consolidate a long-term governance framework, including establishment

of an intergovernmental Yellow Sea Commission. There are four Components, 16 Outcomes and 24 Outputs in the Project design (Table 1).

7. The beneficiary country in terms of GEF investment is PRC, while ROK's participation is fully self-funded (as an OECD country ROK is not GEF-eligible). Due to UN Security Council Resolutions and sanctions, DPRK is not formally part of the Project in terms of GEF investment. However, there is no reason why DPRK's involvement could not be facilitated by other means, including direct bi- and tri-lateral engagement by ROK and PRC. Truly integrated, ecosystem based management of the YSLME can only be achieved with the full participation of all three littoral States. Progressive inclusion of DPRK, including in the regional governance framework, should be a high priority (see also section 3.6).

8. Under each Output as listed in Table 1 above there are a total of 117 technical Activities that are designed to support the delivery of each Output. A full list of all technical Activities against each Output is contained in Annex 7. The technical Activities are being / will be implemented through:

    a) consultancies with individual experts,

    b) sub-contracts between UNOPS and consultancy firms; and

    c) Project Cooperation Agreements (PCAs) between UNOPS and three partner institutions in PRC:
        i) the First Institute of Oceanography (FIO) in Qingdao,
        ii) the National Marine Environmental Monitoring Centre (NMEMC) in Dalian; and
        iii) the Yellow Sea Fisheries Research Institute (YSFRI) in Qingdao.

9. Some of the technical Activities are desk-top reviews and reports on certain issues, some involve the development of policies, standards and guidelines (e.g. on monitoring techniques), some are training courses and workshops, and some involve actual technical activities in the field (e.g. marine litter monitoring) (refer Annex 7).

10. Seven coastal locations have been identified in PRC as Demonstration Sites for YSLME activities, and these are:

    a) Dalian (marine pollution, marine litter, data sharing, fisheries management, habitat protection and marine protected areas).

    b) Dandong (habitat protection and marine protected areas).

    c) Lianyungang (marine pollution, marine litter, data sharing, fisheries management, habitat protection and marine protected areas, climate change adaptation).

    d) Rudong (habitat protection and marine protected areas).

    e) Rushan (sustainable mariculture).

f) Weihai (sustainable mariculture, marine pollution, marine litter, data sharing, fisheries management, habitat protection and marine protected areas).

g) Zhangzidao (sustainable mariculture).

Although ROK is not a beneficiary country in terms of GEF funding under the Project, there is also a wide range of demonstration activities relating to the Project along the ROK coast, self-financed by ROK government agencies, NGOs and other sources (refer section 3.2.5).

TABLE 1: *YSLME Project Phase II Components, Outcomes and Outputs*
*(as revised in the Project Inception Report June 2017)*

| COMPONENTS (x4) | Outcomes (x16) | *Outputs (x24)* |
|---|---|---|
| **COMPONENT 1:** Sustainable national and regional cooperation for ecosystem based management. | **Outcome 1.1:** Regional governance structure, the YSLME Commission established and functional, based on strengthened partnerships & regional co-ordination; wider stakeholder participation and enhanced public awareness. | ***Output 1.1.1:*** Regional agreement to establish the YSLME Commission, Management, Science and Technical Panel (MSTP) and Regional Working Group (RWGs); national and regional policies drafted and implemented. |
| | **Outcome 1.2:** Improved inter-sectoral coordination and collaboration at the national level, based on more effective IMCCs. | ***Output 1.2.1:*** National level agreements regarding ecosystem-based management actions, policies, regulations and standards promulgated, as appropriate |
| | **Outcome 1.3:** Wider participation in SAP implementation fostered through capacity building and public awareness, based on strengthened Yellow Sea Partnership and wider stakeholder participation; improved environmental awareness; enhanced capacity to implement ecosystem-based management. | ***Output 1.3.1:*** Agreements with partners on overall environment co-operation and management, relevant fishery management, marine habitat conservation and pollution reduction, at both national and regional levels; cross sector partnerships established and operational.<br>***Output 1.3.2:*** National public awareness in support of YSLME SAP achieved; data and information collected; jointly managed databases developed, publicly accessible information for implementing management plans at the regional, national and local levels.<br>***Output 1.3.3:*** Transfer lessons, experiences and best practices between the local demonstration sites.<br>***Output 1.3.4:*** Training of at least 10 stakeholder groups on public participation on relevant management actions, in particular on fishery management, marine habitat conservation and economic assessment. |
| | **Outcome 1.4:** Improved compliance with regional and international treaties, agreements and guidelines. | ***Output 1.4.1:*** Enhanced national and regional legal instruments to comply with regional & global treaties, agreements and guidelines. |
| | **Outcome 1.5:** Sustainable financing for regional collaboration on ecosystem-based management secured, based on cost-efficient and ecologically-effective actions. | ***Output 1.5.1:*** Periodic economic assessments of costs and ecological effectiveness.<br>***Output 1.5.2:*** Sustainable financing agreed; at least 150% increase in government financing for regional collaboration. |
| **COMPONENT 2:** Improved Ecosystem Carrying Capacity with respect to provisioning services. | **Outcome 2.1:** Recovery of depleted fish stocks as shown by increasing mean trophic level. | ***Output 2.1.1****:* Reduction of fishing by around 10% in demonstration sites through e.g. boat buy-back scheme over the duration of the project.<br>***Output 2.1.2:*** Provision of alternative livelihoods to fisher folks taking into account the contribution of women. |
| | **Outcome 2.2:** Enhanced fish stocks through re-stocking and habitat improvement. | ***Output 2.2.1:*** Science-based management of fisheries. |
| | **Outcome 2.3:** Enhanced and sustainable mariculture production, by increasing production per unit area as means to ease pressure on capture fisheries. | ***Output 2.3.1:*** Widespread practice of sustainable mariculture, where appropriate, increasing productivity and reducing pollution.<br>***Output 2.3.2:*** Adoption of integrated multi-trophic aquaculture (IMTA) where appropriate. |

| COMPONENTS (x4) | Outcomes (x16) | *Outputs (x24)* |
|---|---|---|
| **COMPONENT 3:** Improved Ecosystem Carrying Capacity with respect to regulating and cultural services. | **Outcome 3.1:** Ecosystem health improved through a reduction in pollutant discharge (e.g. nutrients) from land-based sources. | ***Output 3.1.1:*** Reduced pollutant levels by enforcement and control in demonstration sites.<br>***Output 3.1.2:*** Enhanced data and information sharing regarding sources and sinks of contaminants. |
| | **Outcome 3.2:** Wider application of pollution-reduction techniques piloted at demonstration sites. | ***Output 3.2.1:*** New and innovative techniques for pollution reduction (e.g. artificial wetlands and habitats) applied at demonstration sites. |
| | **Outcome 3.3:** Strengthened legal and regulatory processes to control pollution. | ***Output 3.3.1:*** Strengthened legal instruments and better regulatory processes to control pollution. |
| | **Outcome 3.4:** Marine litter controlled at selected locations. | ***Output 3.4.1:*** Procedures in place to control and remove marine litter at demonstration sites. |
| **COMPONENT 4:** Improved Ecosystem Carrying Capacity with respect to supporting services. | **Outcome 4.1:** Maintenance of current habitats and the monitoring and mitigation of the impacts of reclamation. | ***Output 4.1.1:*** Agreement at all levels to implement the relevant management actions to regulate new coastal zone reclamation projects. |
| | **Outcome 4.2:** MPA Network strengthened in the Yellow Sea. | ***Output 4.2.1:*** MPA networks strengthened in the YSLME. |
| | **Outcome 4.3:** Adaptive Management mainstreamed to enhance the resilience of the YSLME and reduce the vulnerability of coastal communities to climate change impacts on ecosystem processes and other threats identified in the TDA and SAP. | ***Output 4.3.1:*** Regional strategies adopted and goals agreed; site-based Integrated Coastal Management (ICM) plans enhancing climate resilience, in place for selected sites in YSLME; conservation areas and habitats for migratory species identified. |
| | **Outcome 4.4:** Application of ecosystem-based community management (EBCM) preparing risk management plans to address climate variability and coastal disasters. | ***Output 4.4.1:*** Public awareness of Yellow Sea environmental problems enhanced; strong local support for and awareness of demonstration activities.<br>***Output 4.4.2:*** Established monitoring network; regular basin-wide assessments; enhanced information exchange; periodic scenarios of ecosystem change; allocation of 1% of project budget for IWLEARN activities. |

## 2.2 Problems that the Project seeks to address

1. The problems that the project seeks to address are described in detail in the TDA and SAP produced during the Phase I Project and also in the Phase II ProDoc. For the sake of report efficiency these are not reproduced in detailed here. They may be summarized as follows:

    a) Relentless pursuit of purely economic growth through extremely rapid industrialization and urbanization, without considering ecological sustainability and assessing and mitigating for environmental impacts.

    b) High volumes of a wide range of land-based sources of marine pollution from rapidly expanding urbanization and industrialization throughout most Yellow Sea coastal catchments, and a lack of facilities, infrastructure, systems and procedures (in some areas) to prevent, manage and treat these land-based sources.

    c) Discharges from nine major river basins (the Yangzte, Qiangwei, Yellow and Liao in PRC, the Yalu along the PRC/DPRK border, the Taedong in DPRK and the Han, Geum and Yeongsung in ROK), and numerous smaller river basins, and a need to further strengthen integrated catchment management regimes and practices in these basins.

    d) High levels of eutrophication, deteriorating water quality, regular harmful algae blooms and jellyfish blooms.

e) Several major (and rapidly expanding) industrial ports (e.g. Qingdao, Tianjin, Dalian and Incheon) and associated major shipping lanes with the full range of ship-sourced pollution (air-emissions, oil, chemicals, garbage, sewage, anti-fouling paints, ballast discharges and hull fouling).

f) Extreme over-capacity of fishing fleets and lack of modern fisheries management practices (now being rapidly addressed), causing steep declines in capture fisheries production in recent decades (both in volume and size classes).

g) Deterioration in mariculture production and quality due to over-capacity, crowding and water quality impacts.

h) Significant loss of coastal habitat with associated impacts on biodiversity from burgeoning expansion of coastal mariculture, land reclamation and urbanization and industrialization of coastal areas. This includes an estimated loss of >40% of all coastal wetlands, including vital migratory bird habitat.

i) Large scale economic, social and public health costs from deteriorating environmental quality and reductions in ecosystem services, carrying capacity and productivity.

j) Poor understanding, adoption and implementation of concepts of ecologically sustainable development, ecosystem-based management and integrated coastal and oceans management at the regional, national, provincial and local levels.

k) Lack of inter-sectoral integration, coordination and cooperation at the national, provincial and local levels, and lack of transboundary, LME-wide coordination and cooperation at the international level.

l) Incomplete and/or inadequate regulatory frameworks and poor compliance and enforcement of existing regulatory frameworks.

## 2.3 Development objectives of the Project

1. The overall development objective of the YSLME Phase II Project is to achieve adaptive ecosystem-based management of the YSLME bordered by PRC, ROK and DPRK, by fostering long-term sustainable institutional, policy and financial arrangements, in accordance with the YSLME-SAP adopted by PRC and ROK in 2009. The key outcomes sought are:

    a) Establishment of a self-sustaining cooperative mechanism for ecosystem-based management.

    b) Recovery of depleted fish stocks and improved mariculture production and quality.

c) Improved ecosystem health;

d) Improved inter-sectoral coordination and mainstreaming of ecosystem based management principles at the national level, maintenance of habitat areas, strengthened stakeholder participation in management and improved policy making.

e) Skills and capacity significantly developed for region-wide ecosystem-based management.

2. To achieve the overall development objective and the key outcomes, the project will support the formation of the YSLME Commission to oversee the implementation of the SAP, innovate institutional arrangements and improve management capacity and quality of function. This includes developing robust governmental coordination mechanisms, strengthening regulatory mechanisms while strengthening the incentive structure to promote environmental protection, developing mechanisms to link land and sea and resource use to carrying capacity, and systems for the participation of a range of stakeholders.

## 2.4 Baseline indicators

1. Baseline indicators for the Project Outcomes are outlined in the Project Results Framework (PRF), which is presented in Table 2 below.

TABLE 2: *YSLME Project Phase II - Project Results Framework (PRF) showing Indicators for each Outcome and Baseline at start of Project*
*(as revised in the Project Inception Report June 2017)*

| COMPONENT | Outcome | Indicator | Baseline | Targets End of Project | Source of verification | Risks and Assumptions |
|---|---|---|---|---|---|---|
| **1:** Sustainable national and regional cooperation for ecosystem based management. | 1.1 Regional governance structure, the YSLME Commission established, operational and sustained. | Status of YSLME Commission and subsidiary bodies at regional level. | *Ad hoc* regional co-ordination through the YSLME Regional Project Board and weak cross sector management at the national level. | Functioning YSLME Commission.<br>All the Terms of Reference for the YSLME Commission and Subsidiary Bodies approved by all participating country Governments. | Meeting reports. Government approvals issued by the competent national authorities. | External risks stem from the geopolitical situation and may result in one or more countries either not participating or participating only partially. |
| | 1.2. Improved inter-sector coordination and collaboration at national level based on more effective IMCCs. | Status of Inter-Ministerial Coordinating Committee (IMCC). | Sector management has been the normal arrangements with limited inter-sector or inter-ministerial interactions; where coordination was done, it was on a case by case such as fishery management activities. | Participation of Ministries in the IMCC will include but not limited to the following: Ministry of Foreign Affairs, Ministry of Finance, relevant department or Ministry of Ocean & Fisheries.<br>At least one meeting of IMCC every year and functioning coordination. | Meeting reports.<br>Joint management decisions. | Reorganization on the governmental agencies.<br>It would be relatively stable during the 2nd phase. |
| | 1.3 Wider participation in SAP implementation fostered through capacity building and public awareness. | Number of the YS Partnerships.<br>Number of activities on capacity building and public awareness.<br>Number of participants in capacity building activities. | 20 members of the Yellow Sea Partnership. | YSLME Partnership guidelines prepared and agreed to guide the partnership development.<br>Number of partnerships: 40)<br>Number of capacity building activities: 25<br>Number of public awareness initiatives: 15<br>Number of participants in capacity building activities: about 200 | Signed Partnership agreements.<br>Active stakeholder participation in regional and national implementation of the SAP and NSAPs. | The partnership become YSLME's responsibility.<br>All partners should be encouraged to take more responsibilities. |
| | 1.4 Improved compliance with regional and international treaties, agreements and guidelines. | Status of recognition and compliance to regional and international treaties and agreements. | Regional and international treaties and agreements are recognized by China, but not fully compliant. | Better compliance of the relevant regional and international treaties and agreement e.g. UNCLOS, The 1972 Convention on the Prevention of Marine Pollution by Dumping of Wastes and Other Matter, CBD, Ramsar, The FAO Code of Conduct for Responsible Fisheries, and the bilateral agreements between China & ROK on environment protection and fisheries | Regional Guidelines for implementing the FAO Code of Conduct.<br>Domestic legislation amended to meet international standards. | Government Ministries/departments unwilling to share development and management plans, unlikely given the history of collaboration established during the phase 1 project. |
| | 1.5 Sustainable financing for regional collaboration on ecosystem-based management secured based on cost-efficient & ecologically effective actions. | Agreement on the financial arrangement for the YSLME Commission. | YSLME Commission does not exist at start of project. | Financing agreement between and among countries agreed to fully support YSLME for at least 5 years. | Letters of commitment: Agreement of YSLME Commission. | Internal & external financial situation does not allow sufficient investment into the marine environment. |
| **2:** Improved Ecosystem Carrying Capacity with respect to provisioning services. | 2.1 Recovery of depleted fish stocks as shown by increasing mean trophic level. | Number of fishing boats decommissioned from the fleet in YSLME waters. | About 1.2 million fishing boats. | Fishing boat numbers substantially reduced by 10%, in line with the 2020 target of 30% reduction. | Government reports of boats decommissioned. | Government policy changes, making boat buyback a low priority. This is unlikely to happen. |
| | 2.2 Enhanced stocks through restocking and habitat improvement | Status of major commercially important fish stock from restocking and habitat improvement | Effectiveness of restocking and habitat protection not evaluated | Measurable improvement (5%) in standing stock and catch per unit effort in three demo sites.<br>Future management decisions on restocking based on effectiveness. | Published reports of evaluations by the RWG-F. | Difficulties in negotiating the cruises, causes delay or cancellation low probability due to past success in their organization. |
| | 2.3 Enhanced and sustainable mariculture production by increasing productivity per unit area as a means to ease pressure on capture fisheries. | Type of mariculture production technology.<br>Level of pollutant discharge from mariculture operations. | Declining quality of mariculture products.<br>Declining quantity of production per unit area from mariculture.<br>Environmental impacts of mariculture not evaluated. | Reduction of contaminants caused by mariculture production (5% reduction in the demo sites).<br>Measurable increase (5% increase in the demo sites) in mariculture production per unit area.<br>Discharge of nutrient and other discharges from mariculture installations reduce 5%. | Reviews of production data published by the RWG-M.<br>Reviews of discharge data published by the RWG-M. | Mariculture enterprises unwilling to adopt IMTA in place of monoculture, this is considered of low probability. |
| **3:** Improved Ecosystem Carrying Capacity with respect | 3.1 Ecosystem health improved through reductions in pollutant (e.g., Nutrient) discharge from land-based sources. | Level of pollutant discharges particularly Nitrogen in YSLME tributaries. | Discharge reductions do not meet the regional target. | 10% reductions in N discharges every 5 years. | Monitoring reports and data published on the project website. | Possible risk of non-compliance by polluting enterprises, considered a moderate risk. |

| COMPONENT | Outcome | Indicator | Baseline | Targets End of Project | Source of verification | Risks and Assumptions |
|---|---|---|---|---|---|---|
| to regulating and cultural services. | 3.2 Application of artificial wetlands to reduce the pollution discharge at the demonstration sites. | Types of technologies applied for pollution reduction. | Some innovations such as man-made wetlands are being undertaken nationally but without regional coordination or dissemination of results. | Successful demonstration of use of artificial wetlands in pollution control in 1 sites and replicated in about 2 coastal municipalities and local government units. | Published reports on effectiveness of artificial wetlands in reducing nutrients. | New techniques not widely adopted considered a moderate risk if publicizing the outcomes of the demonstration sites is inadequate. |
| | 3.3. Strengthened legal and regulatory process to control pollution. | Status of legal and regulatory process to control pollution. | Weak legal and regulatory framework to control pollution in provinces bordering in the YSLME. | Develop evaluation tools, in the first year, to assist in harmonizing national and provincial legislation to improve coastal water quality in Shandong, Jiangsu and Liaoning provinces). | National and provincial statutes. | Harmonization of legislation may take longer time than the project period. |
| | 3.4 Marine litter controlled at selected locations. | Status of the control of marine litter at selected locations. | Due to a lack of appreciation of the problem little action is currently being undertaken. | Regional Guidelines on control of marine litter based on those initiated by NOWPAP produced and adopted for use in the Yellow Sea.<br>Established regional database in the first year, and significant reduction in the quantities of marine litter at selected beach locations. | Published guidelines.<br>Data and information contained in RWG-P reports available via the project website. | There would be unwillingness to publicly identify the sources of marine litter. |
| **4:** Improved Ecosystem Carrying Capacity with respect to supporting services. | 4.1 Maintenance of current habitats and the monitoring and mitigation of the impacts of reclamation. | Areas of critical habitats.<br>Status of mitigation of reclamation impacts. | Coastal habitats critical to maintaining ecosystem services continue to be converted or reclaimed unchecked. | Areas of critical habitats maintained at current level.<br>Impacts of reclamation prepared in 2 demo sites. | Reports of the meetings of the RWG-H.<br>Biennial state of the environment reviews | Provincial and Local Governments continue to encourage land reclamation. This is considered a moderately high risk. |
| | 4.2 Stronger regional MPA network established and functioning. | Level of ecological connectivity in expansion of the Yellow Sea MPA system. | The planned expansion of the MPA system currently does not take into account ecological connectivity. | The planned expansion of the MPA system currently does take into account ecological connectivity (measured by use of developed connectivity tool kit or other means).<br>Increase to 3% total areas as MPAs. | Published GAP analysis for MPA network.<br>Numbers of stakeholder groups represented in meetings or engaged as sub-contractors/partners in execution of SAP related activities. | Provincial and local governments may not agree to the establishment of new MPAs. |
| | 4.3 Adaptive management mainstreamed to enhance the resilience of the YSLME and reduce the vulnerability of coastal communities to climate change impacts on ecosystem processes & other threats identified in the TDA and SAP. | Status of incorporation of adaptive management of climate change regional strategies and in ICM plans for selected coastal communities. | Inadequate considerations are being given to the impacts of climate change. | CC adaptation incorporated in regional strategies in response to changing characteristics of YSCWM and structured plankton communities.<br>2 coastal ICM model framework plans in coastal provinces and cities incorporate CC adaptation to improve climate resilience. | Demonstration project reports on the impacts of climate change.<br>Provision of management measures facing to the challenges. | Lacking of scientific understanding of the impacts of climate change on marine ecosystem. |
| | 4.4. Application of Ecosystem-based Community Management (EBCM) in preparing risk management plans to address climate variability and coastal disasters. | Status of Regional Monitoring Network for application of ECBM. | National Monitoring will continue without regional linkages and harmonization making regional analyses difficult or impossible. | Agreed number of cruises & parameters for the regional monitoring network established and data shared regionally via the project web site.<br>Regular LME-wide assessments; enhanced information exchange; periodic scenarios of ecosystem change. | Monitoring data reported to RWGs and lodged on project website;<br>Models developed and published; regional forecasts and scenarios of future conditions published. | Data & information on the relevant monitoring and research will not be fully opened & shared. |

## 2.5 Project start & duration

1. The Phase II Project Document (ProDoc) was signed by UNDP, UNOPS and PRC in July 2014, and soon after UNOPS commenced recruitment of a Project Manager, Environmental Economist, Environment Officer and Administrative & Finance Officer to staff the six-person Project Management Office (PMO), based in Incheon, ROK, as per the ProDoc design (which also included an IT position and an Administrative Assistant, who were not recruited). Apart from the Environment Officer, who's contract was suspended within a month of commencement (reasons not able to established by the MTR), the PMO commenced duties in May / June 2015 (10-11 months after ProDoc signing - a somewhat lengthy recruitment process by UNOPS, already causing a one-year delay to commencement of Project activities).

2. While these PMO team members were selected and subsequently brought on board, the PRC requested revision of management arrangements in general and the management structure in particular. This request was made by PRC taking into account the proposed implementation arrangement as specified in the ProDoc, that SOA will also serve as the implementing partner for this project

3. Following a meeting between PRC and ROK representatives, UNDP and UNOPS that did not yield results, according to UNOPS they proposed two options to address the temporary stand-still of the project:

    a) Enhanced implementation through the existing PMO structure.

    b) Letting contracts expire to mitigate liability risks and subsequently engage a new revised team.

4. According to UNOPS, PRC selected option 2 which consumed time and resources that could otherwise have been more effective. The PMO was not able to make any progress at all on initiating project activities. Reportedly for legal contractual reasons, UNOPS kept the 'inactive' but fully paid PMO in place for a period of one year, until the initial year of their contracts expired in May-June 2016. This extended the delay to the commencement of Project activities to two years, and essentially wasted the expenditure of Project funds on one year's worth of PMO salaries and operating costs.

5. Based on a request from the beneficiary country (PRC) to reduce the large proportion of overall Project budget allocated to the PMO, and reallocate some of this to in-country activities, the PMO was reduced from six positions to four by removing the IT position and the Administrative & Finance Officer, and combining these functions into the quite junior Administrative Assistant role (Table 3).

6. The recruitment process for the new PMO was commenced by UNOPS in the second half of 2016 and the new Project Manager commenced duties on 1 November 2016, the new Environment Officer on 1 March 2017, the new Administrative Assistant on 3 March 2017 and the new Environmental Economist on 24 March 2017. It became apparent that combining the

administration, finance and IT functions into the relatively junior Administrative Assistant role was unrealistic and overwhelming, and the incumbent resigned after 8 months. The position was upgraded to Operations Associate, who commenced duties on 26 February 2018 (the reduction in PMO staff numbers has caused other major workload challenges, which have been partially but not fully addressed through the use of interns – see sections 2.6 and 3.2.1 below).

7. To their major credit the new PMO worked extremely hard to get themselves established and operational as quickly as possible, and then to plan, organize and hold the Project Inception Workshop, in the form of the first joint meeting of the Project's Management, Science & Technical Panel (MSTP) and Interim Commission Council (ICC), in Seoul, ROK in July 2017, where operational start of the Project was officially launched.

8. Table 4 shows the key timelines from ProDoc signing to operational launch of the Project at the Project Inception Workshop. This represents a very significant delay of a full three years since signing of the ProDoc in July 2014. This is a totally crippling delay given that the designed project duration is only four years. Apart from the period of the inactive first PMO, Table 4 also shows that there appear to be inherent inefficiencies in the UNOPS staff recruitment process, which can take up to nine months-plus for a single position, further contributing to significant project delays.

9. In accordance with the four-year Project timeline, counted from ProDoc signing in July 2014, the Project is scheduled to terminate in July this year (2018), after only one year of actual operations. A project extension of 18 months to January 2020 (the maximum available under UNDP-GEF rules) is therefore proposed by the participating countries.

10. During the MTR consultations the consultant made some enquiries to try and gain a better understanding of the detailed causes of the three year delay to Project start, to try and identify lessons learned and make recommendations to avoid similar problems in future. Of the four senior persons interviewed on this matter (one each from UNDP, UNOPS and the two Governments), four quite different explanations were provided.

11. Given these differing perspectives, and given that the delay is now historical and that nothing can be done to change it, plus the need to now give priority to completing as much of the Project as possible in the short time remaining, the MTR consultant expended no further effort on this issue. It is simply recommended that all parties (including the beneficiary country) should endeavour to learn from what happened (whatever their differing perspectives might be), and work to ensure that such massive delays do not occur for the remainder of the Project, in any potential future phases of this Project or any new projects (anywhere).

12. It should be noted that, as reported in the Terminal Evaluation (TE) for the YSLME Phase 1 Project (Kullenberg & Huber 2011), Phase I suffered a four year delay between GEF approval in 2000 and signing of the ProDoc in 2004 (but no major delay after signing). This was due to protracted negotiations between UNDP, UNOPS and the two national governments about PMO office location, staff recruitment and related issues (i.e. similar issues as faced in Phase II – which do not appear to have been learned from).
13. Additionally, many MTRs and TEs for other GEF projects often find that:

a) the time required to establish a PMO office, recruit staff etc is often ***not*** factored into the project design and timeline; and

b) that all staffing and PMO logistical arrangements should be fully agreed by ***all parties before*** the ProDoc is signed and the time-line clock starts ticking.

14. It seems that the lessons of the YSLME Phase I Project and other GEF projects were not learned and applied by the parties in Phase II.

15. Given that at the time of this report it is late April 2018 and that there has only been one year of actual operations to date, if the scheduled Project-end in July 2018 is adhered to, then all Project activities will need to cease now, and Project-termination arrangements commenced immediately. Under this scenario the vast majority of the Project Outcomes and Outputs will not be achieved. The bulk of the budget will need to be returned to GEF, and the Project will not be able to be assessed as anything other than a complete failure. If anything is to be salvaged from the Project then it is imperative that the maximum extension available under UNDP-GEF rules should be applied for and approved, ASAP.

TABLE 3: *Progressive restructure of Project Management Office*

| As per Project Design (ProDoc) | Changes demanded by PRC 2016-17 | Current (evolved) structure |
|---|---|---|
| Project Manager/Chief Technical Advisor | Project Manager/Chief Technical Advisor | Project Manager/Chief Technical Advisor |
| Environment Officer | Environment Officer | Environment Officer |
| Environmental Economist | Environmental Economist | Environmental Economist |
| Administrative & Finance Officer | – | Operations Associate |
| Administrative Assistant | Administrative/IT/Finance Assistant | Interns |
| Information Technology (IT) position | – | Interns |

***Recommendation 2 - Delays to Project start:*** *It is recommended that in order to avoid project-threatening major delays to the remainder of the Project, the start of any potential future phases of this Project or any new projects (anywhere), the relevant Implementing and Executing Agencies and the participating countries should always ensure that:*

- *all staffing and PMO logistical arrangements are fully agreed by all parties before the ProDoc is signed and the time-line clock starts ticking,*
- *the Executing Agency consults closely with the participating countries on staff recruitment; and*
- *the UNDP standard of a maximum of three months to establish the PMO office, recruit staff etc is complied with by the Executing Agency.*

***Recommendation 3 - Need for Project extension:*** *Given that at time of this report it is late April 2018 and that due to the three-year delay to project-start; there has only been one year of actual operations, if the scheduled Project-end in July 2018 is adhered to then all Project activities will need to cease now, and Project-termination arrangements commenced immediately. Under this scenario the vast majority of the Project Outcomes and Outputs will not be achieved. The bulk of the budget will need to be returned to GEF and the project will not be able to be assessed as anything other than a complete failure. If anything is to be salvaged from the Project, it is strongly recommended that the maximum extension available under UNDP-GEF rules should be applied for and approved, ASAP.*

TABLE 4: *Schematic of the Project start delay timeline*

| 2014 | | | | | | 2015 | | | | | | | | | | | | 2016 | | | | | | | | | | | | 2017 | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| J | A | S | O | N | D | J | F | M | A | M | J | J | A | S | O | N | D | J | F | M | A | M | J | J | A | S | O | N | D | J | F | M | A | M | J | J |
| **ProDoc signed**<br><br>Four-year Project timeline clock starts | Recruitment of 1st PMO by UNOPS (9 month + process is unusually long) | | | | | | | | | 1st PM starts | 1st EO, EE & AA start | 1st EO leaves (not replaced) | 1st (partially staffed) PMO in place and fully paid by UNOPS using Project funds but inactive due to objections by PRC | | | | | | | | | 1st PM, EE & AA end contracts | Recruitment of 2nd PM by UNOPS (4 month process for PM, 9 months for other staff) | | | | | 2nd PM starts | Recruitment of other 2nd PMO staff by UNOPS | | | 2nd EO, EE & AA + start | 2nd AA+ leaves | | | PIW held.<br><br>**Project launched operationally**<br><br>3 full years lost since ProDoc signing |

AA = Administrative Assistant
AA+ = (new) Administrative Assistant combined with Finance & IT roles
EE = Environmental Economist
EO = Environment Officer
PIW = Project Inception Workshop
PM = Project Manager
PMO = Project Management Office
ProDoc = UNDP-GEF Project Document
UNOPS = United Nations Office for Project Services

## 2.6 Description of project management & coordination arrangements

1. The MTR makes a number of key observations and recommendations regarding the effectiveness and efficiency of the project management and coordination arrangements in section 3.2 below. This section is intended only to describe the arrangements.

### *2.6.1 Implementing & executing agencies and Project Management Office*

1. As outlined above the Project is implemented by UNDP and executed by UNOPS as described in the ProDoc and in accordance with a Memorandum of Understanding (MoU) between UNDP and UNOPS. After the delays described in section 2.5 above, a small three-person Project Management Office (PMO) is now established by UNOPS in Songdo, near Incheon in RoK, comprising the Project Manager, the Environmental Economist and the Operations Associate. A fourth PMO staff member - the Environment Officer, is based in Dalian, PRC, hosted at the National Marine Environmental Monitoring Centre (NMEMC).

2. At the time of the MTR there was also a Legal Intern and a Communication Intern, both engaged with stipends via UNOPS, working in the PMO office in Songdo. Both interns finished duties in April 2018. The PMO intends to continue using interns to supplement staff resources, with the Incheon Municipal government funding two intern positions from May 2018.

3. As outlined in section 2.5 above the structure of the PMO differs from what was proposed in the original ProDoc, based on a request from the beneficiary country PRC, to reduce the large proportion of overall budget allocated to the PMO and reallocate some to in-country activities. As will be discussed further in section 3.2 below, this has caused some significant workload management issues for the PMO.

4. The PMO in Songdo is housed in office space rented from the Incheon Municipal government for a “management fee” of US$1,100/month (despite advice from UNDP that under the co-financing agreement with ROK the PMO office is meant to be provided rent-free). The office in Dalian is provided rent-free by NMEMC. The PMO in Songdo is located in ‘Building G’, which also houses several other UN and international organizations, including the Global Climate Fund and the East Asian-Australasian Flyway Partnership (EAAFP). This co-location facilitates interaction between the YSLME PMO and these other bodies. The latter is particularly relevant given the extreme loss of coastal migratory bird habitat in the YSLME region, and there could be significant benefits from inviting EAAFP to coordinate with relevant activities under Component 4 of the YSLME Project.

5. The PMO, who are contracted by UNOPS, is supported by the UNOPS Water & Energy Cluster (WEC) located at UNOPS headquarters in Copenhagen. The WEC oversees Project execution in accordance with the agreement with UNDP, and handles all recruitment, contracting and operational matters. The UNOPS Shared Service Centre (SSC) in Bangkok supports the WEC with vendor creation and payroll matters. The UNDP Regional Technical Adviser in Bangkok also provides support on issues relating to the GEF project-cycle, funding, and monitoring, evaluation and reporting (MER). The UNDP Country Office in Beijing, PRC provides UNDP support within PRC,

and the UNDP Policy Centre in Seoul has assisted in giving the PMO international legal status within ROK.

6. The overall role of the PMO is to manage and coordinate the day-today implementation of all Project activities, in accordance with the ProDoc, PRF and annual workplans (as may be amended and approved by the ICC), including, *inter alia:*

    a) liaising and coordinating with the National Coordinators on in-country implementation of Project activities,

    b) developing and coordinating partnerships and cooperative arrangements with other relevant international and regional bodies, programs, projects and stakeholders,

    c) recruiting and managing all consultancies and sub-contracts,

    d) developing and managing the PCAs with the partner institutions in PRC,

    e) planning, organizing and running Project workshops and training activities,

    f) acting as the Secretariat for the six Regional Working Groups (RWGs) and the MSTP / ICC (see section 2.6.2 below),

    g) developing and managing all Project communication activities, including publication of reports, development of awareness materials, Project web site etc; and

    h) undertaking all internal Project Monitoring, Evaluation and Reporting (MER) responsibilities, and supporting and facilitating all external MER activities, including this MTR and the TE.

### *2.6.2 Regional & national coordination mechanisms*

1. In accordance with the ProDoc and in preparation for the formation of the permanent YSLME Commission before the end of the Project, an Interim Commission Council (ICC) has been established comprising the National Coordinators (NCs) from the lead agencies and representatives from supporting agencies from PRC and ROK, plus UNDP and UNOPS, with the PMO acting as Secretariat. Currently the ICC meets once annually, and has held two meetings to date (the 1st ICC coincident with the Project Inception Workshop in July 2017 and the 2nd ICC in Dalian 27-28 March 2018).

2. The ICC is supported by a Management, Technical and Scientific Panel (MSTP), with the role of providing the ICC with management, scientific and technical advice (in practice membership of the ICC and MSTP is largely the same, and meetings have therefore been held jointly. It is recommended that this be further rationalized through full integration of the MSTP into the ICC - see section 3.2.1 below).

3. The ProDoc also provides for Regional Working Groups (RWGs) to be established at the discretion of the MSTP, to coordinate and manage the various regional activities approved by the ICC. To date six RWGs have been established on a technical-sectoral basis as follows:

    a) RWG-F: Fish stocks (chaired by PRC rep).
    b) RWG-M: Sustainable mariculture (chaired by PRC rep).
    c) RWG-P: Pollution reduction (chaired by PRC rep).
    d) RWG-H: Habitat conservation (chaired by ROK rep).
    e) RWG-A: Assessment & monitoring (chaired by ROK rep).
    f) RWG-G: Governance & sustainability (chaired by ROK rep).

4. At the national level, there are three main entities that oversee and coordinate implementation of in-country activities:

    a) Inter-Ministry Coordinating Committee (IMCC): Comprising the main national ministries and government agencies and institutions that are relevant to the project. The role of the IMCC is to coordinate national activities between these organizations to ensure smooth implementation of national efforts in line with regional directions and objectives.

    b) National Coordinator (NC): A full-time position appointed by the IMCC, to serve as the primary national contact for the RWGs and the PMO/Secretariat. The NCs for PRC and ROK are shown in Table 5.

    c) National Working Groups (NWGs): Established at the discretion of the IMCC and responsible for the design and implementation of management actions at the national level. To date both PRC and ROK have established six NWGs each, aligned by technical sector as per the RWGs (with the relevant NWG members representing their country on the equivalent RWG).

5. Figure 3 provides a schematic of the regional and national coordination mechanisms under the Phase II Project, in preparation for the formation of the permanent YSLME Commission before the end of the Project.

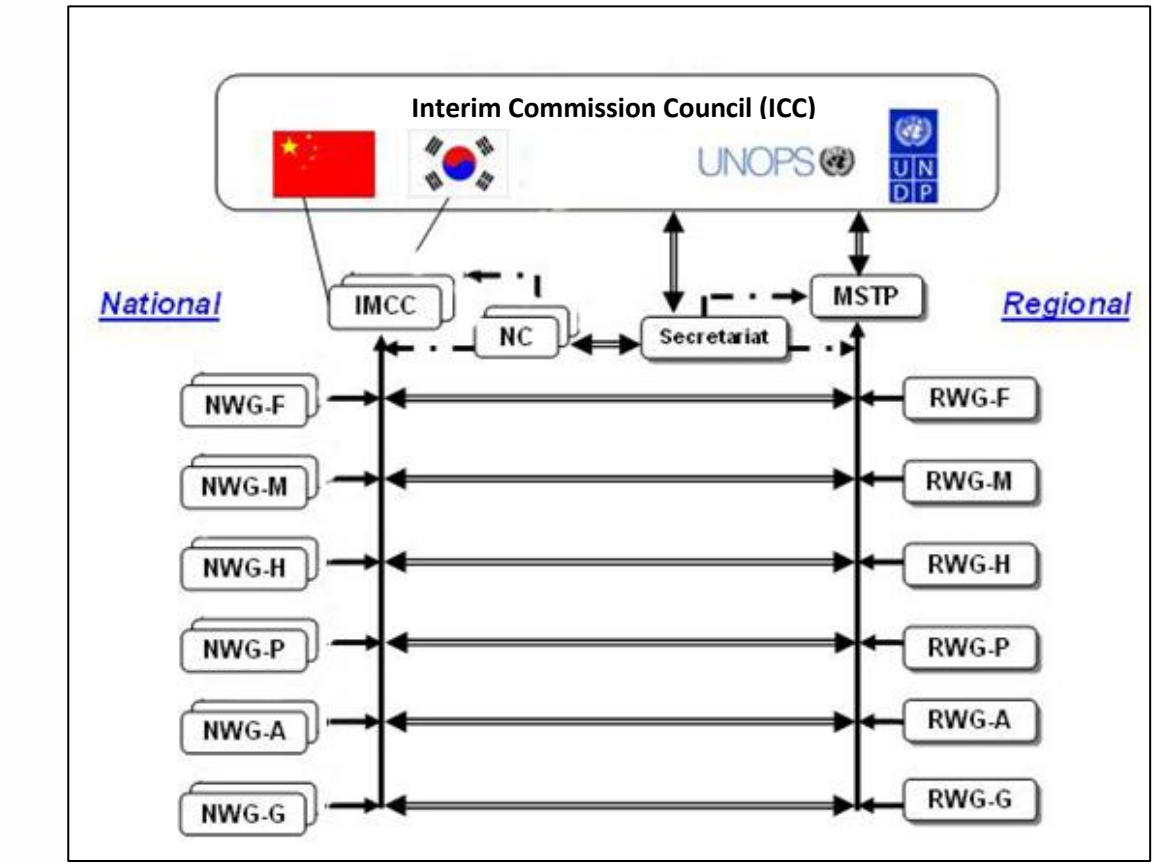


FIGURE 3: *Schematic of the regional and national coordination mechanisms under the Phase II Project, in preparation for the formation of the permanent YSLME Commission before the end of the Project (source: PMO)*

## 2.7 Main stakeholders

1. The YSLME Phase II Project has benefitted from the broad network of stakeholders and partnerships established during the Phase I project, and continues to actively engage with and further develop this network. Annex 4 lists the main project stakeholders as identified during the MTR. Currently, this mainly comprises relevant UN agencies and other international organizations, programs and projects, national, provincial and local government ministries and agencies, academic and research institutions and a small number of environmental NGOs.

2. There is a clear need for the Project to further develop productive relationships and partnerships with a broader range of NGOs, civil society more broadly, and with the private sector.

# 3. MTR FINDINGS

## 3.1 Review of Project strategy & design

1. Normally, an MTR would include an in-depth review of the Project strategy and design, including detailed assessment of the PRF (Table 2 above), with recommendations for any proposed changes deemed necessary, including to:
    a) ensure that the Project's Objectives and Outcomes are clear, practical and feasible and relevant to country needs ands priorities; and
    b) that Project Targets and Indicators are SMART (Specific, Measurable, Attainable, Relevant and Timebound).

2. However, given the extreme three-year delay to Project commencement, and the limited time remaining to complete full Project implementation, it is recommended that it would be highly disruptive to propose any significant changes to the Project-design at this stage. It is recommended that the Project-design should be generally accepted as it is, and that highest priority should be given to implementing Project activities in order to achieve Project Outcomes and Objectives by Project-end. The MTR has therefore given higher priority to assessing project implementation (section 3.2 below) than to reviewing the Project strategy and design.

3. Having said this, the MTR does make the following general observations about the Project design:

    a) The first overall Objective of the Project is to implement the YSLME SAP. While there is general alignment and consistency between SAP Targets and Actions versus Project Components, Outcomes and Outputs (as shown in Table 6), the latter are unnecessarily complex and numerous (4 Components, 16 Outcomes, 26 Outputs and 117 Activities versus 11 Targets and 39 Actions in the SAP). This presents an extremely large, complex and difficult workload for the PMO and country-counterparts to achieve within the Project timeframe (the MTR consultant has never seen a GEF project of this funding range (~$7.5M) with such a large number of Outcomes, Outputs and Activities). In hindsight the Project should have a much simpler design, with only six Outcomes or less and only 10 Outputs or less, and significantly less technical Activities, aligned more directly with the SAP Targets. To help address this, it is recommended that for the remaining Project duration, absolute highest priority should be given to focusing on completing all Outcomes and Outputs in Component 1 (the most strategically important Component), followed by those that have the highest likelihood of being achieved by Project-end (Outcomes 2.1, 2.2, 2.3, 3.4, 4.1, 4.2 and 4.3). The other Project Outcomes (3.1, 3.2, 3.3 and 4.4) may well have to be left aside as lower priorities, and picked by the YSLME Commission post-Project (refer Tables 8 and 9).

    b) The second overall Objective of the Project is to "restore ecosystem goods and services". It is physically implausible that the type of activities to be implanted by the Project over the next 20 months (to extended project end of Jan 2020), which mainly comprise desk top reviews, workshops and training courses, will have any measurable impact in restoring

ecosystem goods and services in the YSLME. Given the scale, extent and severity of environmental stresses and pressure in the YSLME, achieving this Objective will require decades of concerted basin-wide action, not 20 months of isolated technical activities under the Project. This is why establishment of the YS Commission with long-term sustainable financing for ongoing SAP implementation into the future, as provided in the third Project Objective, is so vital.

c) Many of the Outputs, and especially the technical Activities (of which there are huge number at 117) do not seem to be coherently linked to actual achievement of the related Outcomes (see Annex 7 for full list of Project Activities). They rather seem to be a somewhat "eclectic" throwing together of random ideas rather than a logical, sequential design of Activities and Outputs programmatically structured to achieve the related Outcomes. The 117 Activities are also dominated by workshops and training courses, as well as desk-top reviews and production of reports from existing information. Much of this is already available from the Phase I Project and from other programs, projects and initiatives in the region (e.g. various national initiatives and regional activities of NOWPAP, IOC-WESTPAC, JORC and NGOs) (i.e. many of the Project Activities are simply a re-packaging of work that has already been done). There are very few "new" research Activities and Activities to physically implement and demonstrate best practices at real pilot sites.

d) Finally, while the Project purports to work through "demonstration sites", in reality many of the activities at these sites are national initiatives that are being implemented outside of and irrespective of the YSLME Phase II Project (e.g. the Blue Bay Action Plan in PRC, which is implementing major coastal engineering works to, in part, address discharges of land-based sources of marine pollution).

***Recommendation 4 - Project Design and need for prioritization:*** *Given the extreme three-year delay to Project commencement, and the limited time remaining to complete full Project implementation, it is recommended that it would be highly disruptive to propose any significant changes to the Project-design at this stage. It is recommended that despite some issues as identified in section 3.1 of the MTR Report, the Project-design should be generally accepted as it is, and that highest priority should be given to implementing Project activities in order to achieve Project Outcomes and Objectives by Project-end.*

*It is further recommended that for the remaining Project duration, absolute highest priority should be given to focusing on completing all Outcomes and Outputs in Component 1 (the most strategically important Component), followed by those that have the highest likelihood of being achieved by Project-end (Outcomes 2.1, 2.2, 2.3, 3.4, 4.1, 4.2 and 4.3). The other Project Outcomes (3.1, 3.2, 3.3 and 4.4) may well have to be left aside as lower priorities, and picked by the YSLME Commission post-Project (refer Table 9).*

TABLE 6: *Comparison of Targets and Actions from the YSLME SAP with Components, Outcomes & Outputs from the YSLME Project Phase II*

| YSLME SAP | YSLME PROJECT PHASE II<br>(due to differences in structure between the SAP and the Phase Ii Project; Project Components, Outcomes and Outputs are not always in order when aligned against matching SAP Targets and Actions. Also some Project Components, Outcomes and Outputs align against more than one SAP Target or Action) |
|---|---|
| **GOVERNANCE - REGIONAL LEVEL** | **COMPONENT: 1: ENSURING SUSTAINABLE REGIONAL AND NATIONAL COOPERATION FOR ECOSYSTEM BASED MANAGEMENT, BASED ON STRENGTHENED INSTITUTIONAL STRUCTURES AND IMPROVED KNOWLEDGE FOR DECISION MAKING.** |
| **Action 1:** Create soft, non-legally binding and cooperation-based Yellow Sea Commission (with Steering Committee, Secretariat and technical Sub-committees). | **OUTCOME 1.1:** Regional governance structure, the YSLME Commission established and functional, based on strengthened partnerships & regional co-ordination; wider stakeholder participation and enhanced public awareness.<br>**Output 1.1.1:** Regional agreement to establish the YSLME Commission, Management, Science and Technical Panel (MSTP) and Regional Working Group (RWGs); national and regional policies drafted and implemented. |
| **Action 2:** Improve implementation of international and regional treaties and guidelines. | **OUTCOME 1.4:** Improved compliance with regional and international treaties, agreements and guidelines.<br>**Output 1.4.1:** Enhanced national and regional legal instruments to comply with regional & global treaties, agreements and guidelines. |
| **Action 3:** Strengthen partnerships with existing regional cooperation bodies. | **OUTCOME 1.3:** Wider participation in SAP implementation fostered through capacity building and public awareness, based on strengthened Yellow Sea Partnership and wider stakeholder participation; improved environmental awareness; enhanced capacity to implement ecosystem-based management.<br>**Output 1.3.1:** Agreements with partners on overall environment co-operation and management, relevant fishery management, marine habitat conservation and pollution reduction, at both national and regional levels; cross sector partnerships established and operational |
| **Action 4:** Establish sustainable financing mechanism for ongoing operation of YSLME Commission and SAP implementation. | **OUTCOME 1.5:** Sustainable financing for regional collaboration on ecosystem-based management secured, based on cost-efficient and ecologically-effective actions.<br>**Output 1.5.1:** Periodic economic assessments of costs and ecological effectiveness.<br>**Output 1.5.2:** Sustainable financing agreed; at least 150% increase in government financing for regional collaboration. |
| **GOVERNANCE - NATIONAL LEVEL:** | **COMPONENT: 1: ENSURING SUSTAINABLE REGIONAL AND NATIONAL COOPERATION FOR ECOSYSTEM BASED MANAGEMENT, BASED ON STRENGTHENED INSTITUTIONAL STRUCTURES AND IMPROVED KNOWLEDGE FOR DECISION MAKING.** |
| **Action 1:** Improve the coherence and comprehensiveness of national legal instruments for environment protection and biodiversity conservation in the context of sustainable development. | **OUTCOME 1.2:** Improved inter-sectoral coordination and collaboration at the national level, based on more effective IMCCs.<br>**Output 1.2.1** National level agreements regarding ecosystem-based management actions, policies, regulations and standards promulgated, as appropriate. |
| **Action 2:** Upgrade national capacity in compliance and enforcement. | **Output 1.4.1:** Enhanced national and regional legal instruments to comply with regional & global treaties, agreements and guidelines. |
| **Action 3:** Engage local government, private sector and NGOs. | **Output 1.3.2:** National public awareness in support of YSLME SAP achieved; data and information collected; jointly managed databases developed, publicly accessible information for implementing management plans at the regional, national and local levels.<br>**Output 1.3.3:** Transfer lessons, experiences and best practices between the local demonstration sites.<br>**Output 1.3.4:** Training of at least 10 stakeholder groups on public participation on relevant management actions, in particular on fishery management, marine habitat conservation and economic assessment. |
| **PROVISIONING SERVICES** | **COMPONENT: 2: IMPROVING ECOSYSTEM CARRYING CAPACITY WITH RESPECT TO PROVISIONING SERVICES.** |
| **TARGET 1 (by 2020)**: 25-30% reduction in fishing effort. | **OUTCOME 2.1:** Recovery of depleted fish stocks as shown by increasing mean trophic level |
| **Action 1-1:** Control fishing boat numbers. | **Output 2.1.1**: Reduction of fishing by around 10% in demonstration sites through e.g. boat buy-back scheme over the duration of the project.<br>**Output 2.1.2:** Provision of alternative livelihoods to fisher folks taking into account the contribution of women. |
| **Action 1-2:** Stop fishing in certain areas/seasons. | " |
| **Action 1-3:** Monitor and assess stock fluctuations | **Output 2.2.1:** Science-based management of fisheries. |
| **TARGET 2 (by 2020)**: Rebuild over-exploited marine living resources. | " |
| **Action 2-1:** Increase mesh size. | " |
| **Action 2-2:** Enhance stocks. | **OUTCOME 2.2:** Enhanced fish stocks through re-stocking and habitat improvement. |
| **Action 2-3:** Improve fisheries management (adopt EBM, TAC & ITQ). | **Output 2.2.1:** Science-based management of fisheries. |
| **TARGET 3 (by 2020)**: Improve mariculture techniques to reduce environmental stress. | **OUTCOME 2.3:** Enhanced and sustainable mariculture production, by increasing production per unit area as means to ease pressure on capture fisheries. |
| **Action 3-1:** Develop environment-friendly mariculture methods and technology (IMTA & GAP). | **Output 2.3.1:** Widespread practice of sustainable mariculture, where appropriate, increasing productivity and reducing pollution.<br>**Output 2.3.2:** Adoption of integrated multi-trophic aquaculture (IMTA) where appropriate. |
| **Action 3-2:** Reduce nutrient discharge. | " |
| **Action 3-3:** Control diseases effectively. | " |
| **REGULATING SERVICES:** | **COMPONENT 3: IMPROVING ECOSYSTEM CARRYING CAPACITY WITH RESPECT TO REGULATING AND CULTURAL SERVICES** |
| **TARGET 4 (by 2020):** Meet international requirements on contaminants. | **OUTCOME 3.1:** Ecosystem health improved through a reduction in pollutant discharge (e.g. nutrients) from land-based sources. |

| YSLME SAP | YSLME PROJECT PHASE II (due to differences in structure between the SAP and the Phase Ii Project; Project Components, Outcomes and Outputs are not always in order when aligned against matching SAP Targets and Actions. Also some Project Components, Outcomes and Outputs align against more than one SAP Target or Action) |
|---|---|
| | **Output 3.1.1:** Reduced pollutant levels by enforcement and control in demonstration sites.<br>**OUTCOME 3.3:** Strengthened legal and regulatory processes to control pollution.<br>**Output 3.3.1:** Strengthened legal instruments and better regulatory processes to control pollution. |
| **Action 4-1:** Conduct intensive monitoring and assessment. | **Output 3.1.2:** Enhanced data and information sharing regarding sources and sinks of contaminants. |
| **Action 4-2:** Control contaminants discharge with reference to Codex alimentarius and Stockholm Convention. | **OUTCOME 3.2:** Wider application of pollution-reduction techniques piloted at demonstration sites.<br>**Output 3.2.1:** New and innovative techniques for pollution reduction (e.g. artificial wetlands and habitats) applied at demonstration sites.<br>**OUTCOME 3.3:** Strengthened legal and regulatory processes to control pollution.<br>**Output 3.3.1:** Strengthened legal instruments and better regulatory processes to control pollution. |
| **Action 4-3:** Implement MARPOL 1973/78 effectively. | Nothing in Phase II project. |
| **TARGET 5 (by 2020)**: Reduction of total loading of nutrients from 2006 levels. | **OUTCOME 3.2:** Wider application of pollution-reduction techniques piloted at demonstration sites. |
| **Action 5-1:** Control total loading from point sources. | **OUTCOME 3.1:** Ecosystem health improved through a reduction in pollutant discharge (e.g. nutrients) from land-based sources.<br>**OUTCOME 3.2:** Wider application of pollution-reduction techniques piloted at demonstration sites.<br>**Output 3.2.1:** New and innovative techniques for pollution reduction (e.g. artificial wetlands and habitats) applied at demonstration sites. |
| **Action 5-2:** Control total loading from non-point sources and sea-based sources. | Nothing in Phase II project. |
| **Action 5-3:** Apply new approaches for nutrient treatment. | **OUTCOME 3.2:** Wider application of pollution-reduction techniques piloted at demonstration sites.<br>**Output 3.2.1:** New and innovative techniques for pollution reduction (e.g. artificial wetlands and habitats) applied at demonstration sites. |
| **CULTURAL SERVICES:** | **COMPONENT 3: IMPROVING ECOSYSTEM CARRYING CAPACITY WITH RESPECT TO REGULATING AND CULTURAL SERVICES** |
| **TARGET 6 (by 2020)**: Reduce standing stock of marine litter from current (2009?) level. | **OUTCOME 3.4:** Marine litter controlled at selected locations. |
| **Action 6-1:** Control source of litters and solid wastes. | **Output 3.4.1:** Procedures in place to control and remove marine litter at demonstration sites. |
| **Action 6-2:** Improve removal of marine litter. | **Output 3.4.1:** Procedures in place to control and remove marine litter at demonstration sites. |
| **Action 6-3:** Increase public awareness of marine litter. | " |
| **TARGET 7 (by 2020)**: Reduce contaminants, particularly in bathing beaches and other marine recreational waters, to nationally acceptable levels. | **OUTCOME 3.2:** Wider application of pollution-reduction techniques piloted at demonstration sites.<br>**Output 3.2.1:** New and innovative techniques for pollution reduction (e.g. artificial wetlands and habitats) applied at demonstration sites. |
| **Action 7-1:** Conduct regular monitoring, assessment and information dissemination particularly in bathing beaches and other recreational waters. | **Output 3.1.2:** Enhanced data and information sharing regarding sources and sinks of contaminants. |
| **Action 7-2:** Control pollution in bathing beaches and other marine recreational waters. | **OUTCOME 3.2:** Wider application of pollution-reduction techniques piloted at demonstration sites.<br>**Output 3.2.1:** New and innovative techniques for pollution reduction (e.g. artificial wetlands and habitats) applied at demonstration sites. |
| **SUPPORTING SERVICES:** | **COMPONENT 4: IMPROVING ECOSYSTEM CARRYING CAPACITY WITH RESPECT TO SUPPORTING SERVICES** |
| **TARGET 8 (by 2020)**: Better understanding and prediction of ecosystem changes for adaptive management. | **OUTCOME 4.3:** Adaptive Management mainstreamed to enhance the resilience of the YSLME and reduce the vulnerability of coastal communities to climate change impacts on ecosystem processes and other threats identified in the TDA and SAP.<br>**Output 4.3.1:** Regional strategies adopted and goals agreed; site-based Integrated Coastal Management (ICM) plans enhancing climate resilience, in place for selected sites in YSLME; conservation areas and habitats for migratory species identified.<br>**OUTCOME 4.4:** Application of ecosystem-based community management (EBCM) preparing risk management plans to address climate variability and coastal disasters.<br>**Output 4.4.2:** Established monitoring network; regular basin-wide assessments; enhanced information exchange; periodic scenarios of ecosystem change; allocation of 1% of project budget for IWLEARN activities. |
| **Action 8-1:** Assess and monitor the impacts of N/P/Si ratio change. | " |
| **Action 8-2:** Assess and monitor the impacts of climate change. | **Output 4.4.2:** Established monitoring network; regular basin-wide assessments; enhanced information exchange; periodic scenarios of ecosystem change; allocation of 1% of project budget for IWLEARN activities. |
| **Action 8-3:** Forecast ecosystem changes in the long-term scale. | **Output 4.4.2:** Established monitoring network; regular basin-wide assessments; enhanced information exchange; periodic scenarios of ecosystem change; allocation of 1% of project budget for IWLEARN activities. |
| **Action 8-4:** Monitor the transboundary impact of jellyfish blooms. | **Output 4.4.2:** Established monitoring network; regular basin-wide assessments; enhanced information exchange; periodic scenarios of ecosystem change; allocation of 1% of project budget for IWLEARN activities. |

| YSLME SAP | YSLME PROJECT PHASE II<br>(due to differences in structure between the SAP and the Phase Ii Project; Project Components, Outcomes and Outputs are not always in order when aligned against matching SAP Targets and Actions. Also some Project Components, Outcomes and Outputs align against more than one SAP Target or Action) |
|---|---|
| **Action 8-5:** Monitor HAB occurrences. | " |
| **TARGET 9 (by 2020)**: Maintenance and improvement of current populations/distributions and genetic diversity of the living organisms including endangered and endemic species. | **OUTCOME 4.2:** MPA Network strengthened in the Yellow Sea.<br>**Output 4.2.1:** MPA networks strengthened in the YSLME.**ME 4.2:** MPA Network strengthened in the Yellow Sea. |
| **Action 9-1:** Establish and implement regional conservation plan to preserve biodiversity. | **OUTCOME 4.2:** MPA Network strengthened in the Yellow Sea. |
| **TARGET 10 (by 2020)**: Maintenance of habitats according to standards and regulations of 2007. | **OUTCOME 4.1:** Maintenance of current habitats and the monitoring and mitigation of the impacts of reclamation.<br>**Output 4.2.1:** MPA networks strengthened in the YSLME. |
| **Action 10-1:** Develop regional guidelines for coastal habitat management. | **OUTCOME 4.1:** Maintenance of current habitats and the monitoring and mitigation of the impacts of reclamation. |
| **Action 10-2:** Establish network of MPAs. | **OUTCOME 4.2:** MPA Network strengthened in the Yellow Sea.<br>**Output 4.2.1:** MPA networks strengthened in the YSLME. |
| **Action 10-3:** Control new coastal reclamation. | **OUTCOME 4.1:** Maintenance of current habitats and the monitoring and mitigation of the impacts of reclamation.<br>**Output 4.1.1:** Agreement at all levels to implement the relevant management actions to regulate new coastal zone reclamation projects. |
| **Action 10-4:** Promote public awareness of the benefits of biodiversity conservation. | **Output 4.4.1:** Public awareness of Yellow Sea environmental problems enhanced; strong local support for and awareness of demonstration activities. |
| **TARGET 11 (by 2020)**: Reduce the risk of introduced species. | Nothing specific in Phase II project – 'introduced species' mentioned once in passing in Activity 1 under Output 4.4.2. |
| **Action 11-1:** Control and monitor ballast water discharge. | " |
| **Action 11-2:** Introduce precautionary approach and strict control of introduction of non-native species. | " |

## 3.2 Review of project implementation & adaptive management

### *3.2.1 Project management & coordination arrangements*

1. The crippling three-year delay to Project start has severely affected the MTR rating of project management & coordination arrangements (see section 3.2.2). Adaptive management to identify, address and correct the underlying causes of the delay was not applied until Sept 2105 (ProDoc review workshop between UNDP, UNOPS and the two countries), and even after that another 1.5 years+ delay was allowed to occur (refer section 2.6.1 above, and Recommendation 2 to address this).

2. Since the new PMO commenced duties from March 2017 they have made huge personal efforts to speed up implementation, however they are still constrained by what appear to be inherently inefficient and extremely slow project management processes within UNOPS (e.g. an analysis of all consultancy recruitments over the last year shows an average of 4 to 5 months to recruit a single consultant, with some up to 9 months).

3. Other significant issues with Project-support from the UNOPS Copenhagen and Bangkok offices include:

    a) reported delays of up to several months to reimburse Project expenses incurred personally by PMO staff (and in some cases carried on their personal credit cards, accruing interest and charges),

    b) delays of months in paying rent to the Incheon Municipal Council for the PMO office; and

    c) also delays of up to months to pay bills at hotels used for Project workshops and meetings.

4. In several of these reported cases the debtors have reportedly followed up more than once with the PMO about outstanding bills (payment of which is not controlled by the PMO). This is clearly extremely embarrassing for PMO staff and damaging for the Project's (and UNOPS') professional reputation with key suppliers and stakeholders.

5. There are also reported cases of significant errors with issue of contracts by UNOPS (e.g. order of magnitude mistake in fees) and errors, also of an order of magnitude, in stipend payment to interns, both creating significant delays through exceedingly slow times to redress these mistakes.

6. Clearly, such delays and mistakes are totally unacceptable in the professional implementation of an international project that is attempting to achieve an extremely ambitious workplan, within an extremely tight timeline. While a review of the internal project management processes within UNOPS is well beyond the scope of the MTR, general observations during the MTR indicate that the following may well be contributing factors:

    a) The fact that UNOPS operates strictly on a fee-for-service basis, with WEC project management staff being allocated set work-times per project based on fees received. According to one UNOPS report, if the weekly or monthly time allocation is met, the staff is prohibited from spending additional time servicing that project, even if the service required is urgent and time-critical to the project (however, another source in UNOPS advised that WEC staff can and do spend additional time on projects, and this has been done for the YSLME Project – e.g. filling in when there was lack of an Admin Assistant at the PMO).

    b) The fact that internal UNOPS WEC and SSC staffing levels can be below allocated levels (e.g. due to maternity leave and resignation), and failure to recruit replacements in a timely manner, resulting in individuals being over-loaded with work that would normally be spread across two or more staff.

    c) The separation of functions between Copenhagen and Bangkok, creating inefficiencies and delays in the chain of communications on what should be simple, rapid tasks (e.g. a request might be sent from the PMO in Songdo to UNOPS in Copenhagen then forwarded to UNOPS in Bangkok and then responded back to Copenhagen before an outcome is sent back to the PMO).

    d) A lack of familiarity by PMO staff with UNOPS procedures and processes, meaning that process initiation tasks that could be undertaken by the PMO are instead forwarded to UNOPS in Copenhagen, where they may be delayed (it is understood that this issue is already being addressed by sending PMO staff for training in Copenhagen).

7. While UNOPS reports that it is certified by international project management agencies such as PMI and Prince2, looking at the actual results achieved to date for the YSMLE Phase II Project, there is clearly an extremely urgent need for UNOPS to review and reform its project-support functions to absolutely ensure that no further delays and blockages occur. In doing so, more generally (beyond

this Project), UNOPS might look to learn from the *modus operandi* of private sector suppliers of professional project management services to the international development sector (e.g. those used by Cardno in supporting the Australian Aid program (see CardnoAidServices) or by AECOM to USAid and various donors, amongst many others). These groups provide project management services to Government (i.e. public sector) clients in exactly the same space as UNOPS (international development), and there may be some useful models and processes worth looking at there.

8. Another major constraint on the project management & coordination arrangements is the fact that the PMO's workload is well in excess of its physical capacity, exasperated by the reduction in PMO staff demanded by PRC in the lead-up to Project inception, as outlined in section 2.5 and Table 3 above. Since commencing duties the PMO staff have sustained a relentless work-pace including working back late at nights and most weekends, affecting work-life balance and posing the risk of personal health-impacts if the current rate of effort is sustained over the next 20 months.

9. The use of interns goes a little way to addressing the staff-level versus workload imbalance, although the junior level and lack of experience of interns can actually create additional supervisory work demands on PMO officers. It is strongly recommended that the two countries look at seconding a Government officer each to the PMO, at Government cost, and at Project Officer level with at last 3 years experience in international projects, to supplement PMO staffing for the remaining duration of the Project.

***Recommendation 5 - UNOPS Project support:*** *Project implementation has clearly been significantly constrained by what appear to be inherently inefficient and extremely slow project management processes within UNOPS, some of which are highlighted in section 3.2.1. It is strongly recommended that UNOPS should urgently review and reform its project-support functions to absolutely ensure that no further delays and blockages occur. Urgent reforms that are specific to accelerating the YSLME Phase II Project should be implemented immediately.*

***Recommendation 6 - PMO staffing:*** *The PMO's workload is well in excess of its physical capacity, affecting work-life balance and posing the risk of personal health-impacts if the current rate of effort is sustained over the next 20 months. It is strongly recommended that the two countries look at seconding a Government officer each to the PMO, at Government cost and at Project Officer level with at last 3 years experience in international projects, to supplement PMO staffing for the remaining duration of the Project.*

### *3.2.2 Work planning*

1. In the period since operational commencement in July 2017, the rate of actual achievement is significantly below planned achievement, at only 26% in 2017, as measured by actual versus planned expenditure for that calendar year. The accumulative delivery rate (from ProDoc signing in July 2014 to end of 2017) is even lower at 13.6%, with accumulative expenditures of $1,026,021

out of a total budget of $7,562,430 (however, expenditure is not - and should not be - the only measure of the rate of achievement).

2. Despite this very low rate of implementation, which is strongly affected by the three year delay before the current PMO commenced duties, the MTR assesses that the PMO staff have personally strived to achieve a high level of productivity in the relatively short time that it has been operational. In the period March to December 2017 the PMO managed to establish and hold meetings of the ICC and MSTP and no less than six RWGS (huge undertakings in themselves). The PMO also catalysed establishment of national level arrangements including IMCCs and NWGs, prepared and got approved over 44 consultancy and activity ToRs, prepared, negotiated and finalised PCAs with three partner institutions in PRC, and undertaken a range of communication activities, amongst many other achievements.

3. The MTR consultant considers that this is a significant achievement for the PMO which is faced with a huge imbalance between workload and staff numbers, inefficient support services from UNOPS, and slow progress of some in-country actions that are the responsibility of national governments (e.g. the PRC government took nearly nine months to formally nominate its members for the RWGs and NWGs, and both countries taking eight months to confirm their chairmanships of the RWGs. This is critical as the RWGs are a key vehicle for implementation of regional activities and the NWGs for national activities.

4. The PMO's productivity appears to be driven by innate natural intelligence, outstanding work ethic and huge personal commitment and enthusiasm. However, at the same time it has been significantly constrained by the inherent inefficiencies in the UNOPS support services outlined above (which are beyond the control of the PMO), and a lack of adherence to structured project management procedures and processes, and to work plans and priorities. The PMO appears to have a tendency to focus on and pursue individual activities that they may find personally interesting or more exciting, than to take a more strategic, programmatic and prioritized approach. This has caused some inefficiencies and delays, including pursuit of tangents and low-priority activities, often driven by personal interest than by vital project needs.

5. For example, despite huge workload, extremely limited remaining time and major strategic priorities like Component 1, the PMO has spent considerable time on specific activities such as an individual MPA proposal at Rudong, PRC, rather than developing the YS-wide biodiversity strategy first, and on trivial, unnecessary tasks like design of a new Project logo which is totally unnecessary and unproductive (see section 3.2.7 below). Time spent on these distractions would be much better spent on urgent implementation of high priority, strategic level activities, especially in relation to Component 1 regarding establishment of the YS Commission. The PMO's focus on these low-priority activities was not objected to by the national governments or RWGs, indicating that these parties also need to give greater attention to setting strategic priorities for the Project.

6. During the MTR the consultant reviewed the project workplans, including the two year workplan for the remainder of the Project presented to the 2nd ICC, and found these lacking in that they do not provide an assessment of planned versus actual implementation of activities to date, and do not provide a Project-wide view of the projected workplan of all activities, on a month-by-month

basis through to Project-end, using a Gantt chart approach. This limits their utility in guiding management of Project activities on a whole-of-project / whole-of-timeline basis. To help in addressing this, a one-day work planning session was held during the MTR consultant's last day in the PMO office, to produce the Gantt chart workplans in Annex 7. These should hopefully prove useful to the PMO and the UNOPS support staff in Copenhagen in identifying and preparing well in advance for all key milestones that require timely action by the PMO / UNOPS, and hopefully assist in preventing further Project delays.

***Recommendation 7 - Work planning:*** *It is recommended that:*

- *The PMO and UNOPS make greater use of whole-of-project / whole-of-timeline work plans, such as the Gantt charts in Annex 7, to identify and prepare well in advance for all key milestones that require timely action by the PMO / UNOPS, to assist in preventing further Project delays.*

- *The PMO should make greater efforts to:*
  - *take a more strategic approach to work planning and workload management,*
  - *focus on implementation of high priority activities (e.g. Component 1),*
  - *stick to and comply with structured workplans; and*
  - *avoid going off on tangents and pursing low-priority activities that may be driven more by personal interest than vital project needs.*

### *3.2.3 Adaptive management*

1. The MTR assesses that the PMO has demonstrated excellent adaptive management capabilities including, *inter alia*, the following:

   a) Revising the project design including the PRF and the PMO structure to reflect changing national policies, circumstances, needs and priorities, as requested primarily by PRC, as reported in the Project Inception Report July 2017.

   b) Improving implementation efficiencies by coordinating meetings and workshops 'back-to-back'.

   c) Improving implementation efficiencies by developing multi-activity PCAs with partner institutions in PRC, and also grouping multiple activities into sub-contracts, as a much more efficient implementation modality than numerous individual consultancies.

   d) Further revising and prioritizing implementation of Project Outputs and Activities at the 2nd ICC in Dalian 28-29 March 2018.

2. The MTR strongly supports this move to PCAs and sub-contracts as much more efficient implementation modalities than numerous individual consultancies. The MTR recommends that given the significant work-tasks required to achieve completion of the Project within the

remaining time available, the following additional adaptive management measure should be applied, in order to urgently accelerate technical implementation:

a) Additional opportunities to use accelerated modalities such as PCA and sub-contracts should be explored urgently (subject to concerns and checks outlined in section 3.2.4 below).

b) If budget rules allow, and subject to application of stringent accountability procedures, increasing the Yellow Sea Grants Program (for projects by NGOs) from a total of US$200K to US$1M, with individual grants increased from up to $50K to up to $250K.

***Recommendation 8 - Adaptive management:*** *It is recommended that given the significant work-tasks required to achieve completion of the Project within the remaining time available, that in order to urgently accelerate technical implementation:*

- *Additional opportunities to use accelerated modalities such as PCAs and sub-contracts should be explored urgently (subject to concerns and checks outlined in section 3.2.4).*

- *If budget rules allow, and subject to application of stringent accountability procedures, increasing the Yellow Sea Grants Program (for projects by NGOs) from a total of US$200K to US$1M, with individual grants increased from up to $50K to up to $250K.*

### *3.2.4 ICC, MSTP & RWGs*

1. As outlined in section 2.6.2 above the ICC has been established as the paramount regional coordinating body for the Project, and as the pre-curser for the permanent YS Commission. Currently, the ICC approves all project activities as submitted to it by the RWGs and PMO, and meets annually. The ICC is supported by the MSTP, comprising the PM and the Chairs of the RWGs, with the role of providing management, scientific and technical advice (in practice all MSTP members are also members of the ICC, and meetings have therefore been held jointly). It is recommended that this be further rationalized through full integration (merging) of the MSTP into the ICC – there appears to be no sound reasons for maintaining these as separate entities, at least for the Phase II Project implementation. Because the Chairs of the six RWGs and the PM are also on the ICC, they can provide independent scientific advice from their respective areas directly to the ICC. The creation of a separate MSTP may well be justified once the permanent Yellow Sea Commission is established, but it seems to be unnecessary for the current Project duration.

2. In line with this simplification it is also recommended that the ICC should meet twice per year rather than just annually – so that delays are not caused in review and approval of proposals put forward by the RWGs and PMO.

3. With regard to the RWGs, the MTR finds that the workload placed on the PMO, as Secretariat of no less than six RWGs, is excessive. While the RWG secretariat function is supposed to be shared equally by the Environmental Economist and the Environment Officer (servicing three RWGs each), for various reasons in practice the Environmental Economist has shouldered the vast majority of

this burden. Servicing RWG meetings and providing inter-meeting support and follow-up to the RWGs almost requires a full-time commitment of a dedicated staff position. This constrains the ability of the PMO to undertake its broad range of other responsibilities, including but not limited to implementation of technical activities. It is strongly recommended that this be addressed by reducing the total number of RWGs from six to four, by amalgamating RWG-F and RWG-M and by amalgamating RWG-P and RWG-A (as these cover technically related issues).

***Recommendation 9 - Rationalizing the ICC, MSTP & RWGs:*** *There appears to be no sound reasons for maintaining the ICC and MSTP as separate entities, and it is recommended that these be amalgamated. In line with this simplification it is also recommended that the ICC should meet twice per year rather than just annually – so that delays are not caused in review and approval of proposals put forward by the RWGs and PMO. Servicing the six RWGs almost requires a full-time commitment of a dedicated staff position. This constrains the ability of the PMO to undertake its broad range of other responsibilities, including but not limited to implementation of technical activities. It is strongly recommended that the total number of RWGs be reduced from six to four, by amalgamating RWG-F and RWG-M and by amalgamating RWG-P and RWG-A (as these cover technically related issues).*

### *3.2.5 Budget & financial management*

1. The MTR makes a number of observations about the budget and financial management aspects of the Project that may be cause for concern. The MTR consultant is not in a position to independently verify these reports. However, they were made separately by more than two and for some issues more than three key persons in different organizations, and it is considered obligatory to record them in this report. It is recommended that these issues should be looked into in more detail by relevant authorities moving forward.

2. Firstly, due to the different financial management and reporting systems used by the implementing and executing agencies (UNDP uses ATLAS and UNOPS uses 'OneUNOPS), it was reported that:

    a) it is not possible to smoothly transfer and import financial reporting and expenditure tracking data from one system to the other,

    b) UNDP cannot maintain regular, ongoing tracking of expenditure in its system, but can only check annually after importation of end-of-year financial data from OneUNOPS; and

    c) there have been unexplained discrepancies of up to US$300K per Project Component between the two systems. This quantum is cause for concern and further, more detailed investigation of this matter is recommended, including a detailed, external, independent audit of Project expenditure and financial management, at an appropriate time.

3. Secondly, it was reported by two UNOPS staff (independent of each other) that on occasions, "manual" corrections have been made to budget expenditure records on the OneUNOPS system – without explanation, and creating further discrepancies in the financial records. The MTR is not

in a position assess the veracity of these reports - it is simply reporting what was reported to the MTR, it is up to UNOPS to investigate this.

4. Thirdly, there were reports that there have been payments from the PMO to a private-sector mariculture company in PRC for unspecified services, and without any form of purchase order or service contract (it is unclear what transfer mechanism might have been used for such). This was reported by a staff member of the mariculture company in Weihai. They provided a car and driver for the group travel to IMTA site and purchased the MTR consultant's train ticket Wehai to Qingdao. When the MTR consultant tried to give him cash for the ticket (to claim back from UNDP later) he said (actual words) "don't worry about it - from time to time the PMO pays us for services." This was raised with the PM when visiting the PMO in Songdo, who said "Yes, we do that". Again, the MTR is not in a position to take this further - it is simply reporting what was reported to the MTR, it is up to UNOPS to take it further or not.

5. Fourthly, given the major delays in Project start, actual overall expenditure is significantly less than planned expenditure (to Dec 2017 the Project had expended US$1,026,021, or 13.6% of the US$7.5 million GEF budget). This creates huge pressure on the PMO to do absolutely everything possible to significantly accelerate the rate of expenditure between now and Project end. While such acceleration is clearly very much needed, it creates serious potential for further discrepancies to occur, and for funds to be ineffectively and inefficiently used and even miss-used. ***Spending in itself is not a responsible measure of Project progress, and it is vital that funds are spent on the right activities in the right way, in order to actually deliver the planned Project Outcomes, and not just to 'use-up' the available funds.***

6. As outlined in section 3.2.3 above, one measure that the Project has adopted in order to accelerate expenditure has been to develop multi-activity Project Cooperation Agreements (PCAs) with three partner institutions in PRC (FIO, NMEMS and YSFRI), and to also group multiple activities into larger sub-contracts (a separate modality from the PCAs, which institutions and private firms can bid for competitively).

7. As outlined in section 3.2.3 the MTR strongly supports this move to PCAs and sub-contracts as much more efficient implementation modalities than numerous individual consultancies, and recommends that additional opportunities to use these accelerated modalities should be explored urgently. However, use of these modalities does present certain risks, including the risk that Project funds may not spent on the right activities in the right way, in order to actually deliver the planned Project Outcomes.

8. A detailed review of the three PCAs, which combined account for approximately US$1.2 million, does raise some concerns about the efficiency, effectiveness and transparency of funds disbursement. Each PCA contains a number of technical Activities (linked to Project Outputs and Outcomes in the PRF), with budget amounts allocated against each Activity.

9. A review of the PCA Activity budgets reveals that they have absolutely no underlying costing-basis (e.g. an estimate of the number of person-days required to complete the Activity, multiplied by the daily rate, and other cost-breakdowns per Activity; e.g. equipment, travel etc – as might be

applicable to each Activity). The PMO advised that the budget allocations for each of the 24 activities covered in the three PCAs were copied from the budget notes of the ProDoc, and approved again in the project workplan 2017-2019 by the ICC-1 in July 2017." However, the numbers have no basis that reflects the actual work to be done.

10. An assessment of the actual Activities themselves suggests that many of the budget allocations are significantly in excess of what might reasonably be required to complete that Activity. This is especially the case given that many of the Activities in the PCAs are simply desk-top reviews and production of reports from existing information. Much of this is already available from the Phase I Project and from other programs, projects and initiatives (i.e. many of the PCA Activities are simply repackaging work that has already been done). This raises questions as to how the funds disbursed under each PCA, will actually be used by the partner institutions, and whether this will actually deliver the planned Project Outcomes, or just be a mechanism to 'use-up' the available funds.

11. It is noted that the PCAs contain provisions for UNOPS to undertake, or arrange to have undertaken, external, independent audits of financial disbursements and flows under the PCAs. It is strongly recommended that UNOPS should exercise this right, at an appropriate time.

12. The MTR did not have the opportunity to review the sub-contract modality. However, as these will also group a large number of Activities into a single contract, with a single large budget allocated to a single entity, there is potential for similar issues to occur. To address this it is recommended that every effort should be made to ensure that the costing basis of each sub-contract is fully justified and transparent, and that the selection and contract award process is truly competitive and transparent, in accordance with relevant UNOPS procedures. The financial disbursements under each sub-contract should also be externally audited at an appropriate time.

13. Finally with regard to financial management, as outlined in section 3.2.1 above, at times there have been non-trivial delays and mistakes in the payment of bills and disbursement of funds by the UNOPS system, which are not repeated here.

***Recommendation 10 - Budget & financial management:*** *The MTR makes a number of observations about the budget and financial management aspects of the Project that may be cause for concern, as outlined in section 3.2.5, and it is recommended that these be looked into in more detail by relevant authorities moving forward. In particular, it is strongly recommended that:*

- *a detailed, external, independent audit of overall Project expenditure and financial management, disbursements and flows should be undertaken at an appropriate time,*
- *UNOPS should exercise its contractual right to undertake financial audit of funds disbursement and flows under all three PCAs, at an appropriate time,*
- *every effort should be made to ensure that the costing basis of each sub-contract is fully justified and transparent, that the selection and contract award process is truly*

*competitive and transparent, in accordance with relevant UNOPS procedures, and that the financial disbursements and flows under each sub-contract are externally audited at an appropriate time; and*

- *UNOPS take urgent action to avoid the non-trivial delays and mistakes in the payment of bills and fees, reimbursement of personal expenditures by PMO staff on Project activities and disbursement of funds as outlined in section 3.2.1.*

### *3.2.6 Co-financing*

1. Table 7 presents a scan of the co-financing Table from the ProDoc signed in July 2014, showing a total co-financing amount of **US$233,044,196**.

2. The UNDP component ($1,692,000) is leveraged from a UNDP-GEF Integrated Water Resources Management (IWRM) project in PRC. It is understood that this Project is well underway and that this co-financing contribution has now been achieved.

3. It is understood, although not fully confirmed, that the WWF component of $1.8 million is leveraged from the WWF Yellow Sea Ecoregion Project, under which WWF signed an MoU for cooperation with the YSLME Phase I Project in March 2005. See:
   - http://wwf.panda.org/who_we_are/wwf_offices/china/index.cfm?uProjectID=9S0796).
   - https://www.wwf.or.jp/activities/data/WWF_YSESP_report2014.pdf

4. It is understood that this initiative was completed 2007-2014 and that this component of the co-financing was therefore achieved BEFORE the Phase II Project. It is therefore not clear how this can be counted as "co-financing" for Phase II.

5. However, WWF (both in China and ROK) continues to be extremely active in the Yellow Sea, and this work by WWF is extremely important and highly relevant to Component 4 of the YSLME Phase II Project, and especially development of the Project's biodiversity and MPA strategy. It appears that to date the Phase II Project has not sought to benefit from WWF's ongoing investment in the region, through entering into formal cooperative arrangements such as the MoU entered into by the Phase I Project. It is recommended that this be pursued as a matter of urgency.

6. The PRC co-financing component (both cash and in-kind) as committed in the 2014 ProDoc is $92,655,060 (i.e. almost **$93 million**). As part of the MTR process countries were asked to provide an update on their co-financing contributions for the 2014 - 2018 period (the original Project schedule). The response from PRC is contained in Annex 8 – and shows a total amount of US$188,939,600 (i.e. almost **$190 million**). This is more than double the original commitment! This amount is likely to be an under-estimate (e.g. expenditure on Yellow Sea activities by NGOs such as Blue Ribbon Ocean Conservation Association is not listed). Given this and ongoing and additional expenditure between July 2018 and the (extended) end of Project in January 2020, the final co-financing contribution from PRC may well be 3x the original commitment by PRC in the ProDoc.

7. The ROK co-financing component (both cash and in-kind) as committed in the 2014 ProDoc is $129,334,706 (i.e. almost **$130 million**). Again as part of the MTR process ROK was asked to provide an update on co-financing contributions for the 2014 - 2018 period (the original Project schedule). The response from ROK is contained in Annex 8 – and shows a total amount from the Ministry of Oceans & Fisheries (MOF) alone of US$2,491,000,000! (i.e. almost **$2.5 billion!**) (where 1 billion = 1,000,000,000).

8. The response from ROK also lists investments made by the six ROK "provincial" governments that border the Yellow Sea (Chunggi, Chungnam, Gyunggi, Jeonbuk, Jeonnum and Inceheon), and this comes to almost **US$1.6 billion** for the period 2014 - July 2018.

9. When added to MOFA's investment, this comes to a total of **$4 billion**, 31 x the original commitment! This is still a significant under-estimate, as it does not include expenditure by the Ministry of Foreign Affairs (MOF) (e.g. in attending ICC, MSTP and RWG meetings), and expenditure in the Yellow Sea region by ROK-based NGOs.

10. The total level of investment in YSLME-related activities by all relevant parties in ROK for the period July 2014 - July 2018 may well be more than 3x the $4 billion shown in Annex 8, i.e**. > $13 billion,** which is 95x the original commitment by ROK in the ProDoc.
    **(NB: The MTR has accepted the co-financing values as reported by PRC and ROK in the tables in Annex 8 at "face-value" and of course has no way of assessing the veracity and accuracy of these figures).**

    **(NB: When the figures were received from ROK, given their extremely large quantums the MTR consultant sought to clarify the definition of "million" and "billion" used, in terms of the number zeros before the decimal point (six zeros for million and nine zeros for billion), and the figures as presented were confirmed by ROK).**

11. The outstanding level of financial investment in YSLME-related activities by both PRC and ROK bodes extremely well for future sustainability, and should be highly commended (see also section 3.5.1). Additionally, the outstanding level of investment by ROK sets a positive challenge for PRC to aim towards moving forward.

TABLE 7: *Scan of the co-financing Table from the ProDoc signed in July 2014*

| Source | Year 1 | Year 2 | Year 3 | Year 4 | Total |
|---|---|---|---|---|---|
| GEF | 1,741,707 | 2,270,245 | 1,962,615 | 1,587,863 | 7,562,430 |
| UNDP | 150,000 | 550,000 | 650,000 | 342,000 | 1,692,000 |
| WWF | 450,000 | 1,100,000 | 250,000 | 0 | 1,800,000 |
| China (in cash) | 2,302,660 | 2,848,580 | 2,625,080 | 2,036,160 | 9,812,480 |
| China (in kind) | 20,574,310 | 20,864,290 | 20,671,590 | 20,732,390 | 82,842,580 |
| R. Korea (in cash) | 4,243,333 | 4,243,333 | 4,243,333 | 4,243,333 | 16,973,332 |
| R. Korea (in kind) | 28,090,342 | 28,090,342 | 28,090,345 | 28,090,345 | 112,361,374 |
| **TOTAL** | **57,552,352** | **59,966,790** | **58,492,963** | **57,032,091** | **233,044,196** |

### *3.2.7 Project-level monitoring, evaluation & reporting*

1. As outlined in the ProDoc the Project is subject to standard GEF and UNDP requirements relating to monitoring, evaluation and reporting (MER). This includes internally conducted Annual Project Reports (APRs) and Project Implementation Review (PIR), and the externally, independently conducted MTR (this report) and the Terminal Evaluation (TE) towards the end of the project.

2. The PMO has produced two APR s (Jan 2017 for the 2016 calendar year and Feb 2018 for the 2017 calendar year) and one PIR (2017). These were reviewed as part of this MTR. Specific comments are not made on the levels of achievement reported in those reports, as the MTR makes its own "independent" assessment of this in section 3.3 below (including consideration of what is reported in the APRs and PIR). However, the following general observations are made about the processes and approach apparent in the internal MER reports:

    a) The PMO appears to have difficulty in clearly reporting "actual" implementation (and expenditure) against "planned" implementation (and expenditure), which is one of the most important measures in assessing and reporting project progress. The PMO seems to have a tendency to focus more on what was has been implemented (and expended), without structurally comparing this with what was "planned" to be implemented (and expended), during the relevant reporting periods.

    b) As a result, there appears to be a tendency for the self-assessments to perhaps be more positive than the actual level of achievement that would be revealed if "actual" versus "planned" implementation (and expenditure) were reported more clearly, in a more structured manner.

    c) In some cases certain activities reported as Project achievements are actually activities carried out directly by the countries, outside of and irrespective of the Project, giving a slightly misleading picture of progress with implementation of actual Project activities.

    d) The PMO appears to have a tendency to focus on reporting lists of activities and products, with limited analysis of how these have translated / are translating into actual outcomes and impacts (this will become clearer towards the end of the Project and assessment of this aspect should be a primary focus of the TE).
    e) The use of the PRF as a project planning, management and monitoring tool has not been as effective as it could be, and it would be useful for the PMO to be provided with formal training in the use of PRFs as a project planning, management and monitoring tool.

3. The Project is also required to complete the GEF-IW Tracking Tool at the start of the Project, at the MTR and again at Project-end, to track and assess how the project is meeting GEF-IW strategic programs and priorities. The PMO updated the GEF-IW Tracking Tool in April 2018, during the MTR, and this is included as Annex 9 to this report. As with the APRs and PIRs the GEF-IW Tracking Tool is a "self-assessment" by the PMO. In reviewing the Tracking Tool as completed in April 2018, the MTR notes that as with the APRs and PIR, the PMO has a tendency to perhaps be more positive than the actual level of implementation achieved. For example (refer Annex 9):

a) For Indicator 1: Regional legal agreements and cooperation frameworks, the PMO gives a score of 2, "Regional legal agreement negotiated but not yet signed". This is totally incorrect, as at April 2018 there is no even a draft regional agreement available to negotiate (although development of such is planned from now until Project-end).

b) For Indicator 10: Proportion of Countries that have adopted SAP. The PMO claims that all three littoral States, including DPRK, have adopted the SAP. As far as can be ascertained by the MTR, there is no formal record or informal evidence of DPRK having adopted the SAP.

c) For some indicators (e.g. no. 13, 14, 15 and 16) national activities that are conducted outside of and irrespective of the Project are listed as evidence to support a positive rating against the indicator. While this is valid to a certain extent, it does give an over-positive impression that the Project itself is achieving these results when in fact they are being achieved directly by the Countries, without the Project. For clarity this should be pointed out in the descriptive notes against the rankings.

4. Finally, some of the Tracking Tool indicators relate more to the Phase I Project and are not relevant to the Phase II project, e.g. indicators 6 and 8 on the TDA and 9 on SAP. Reporting positively against these for the current Project falsely implies that this Project has achieved those results, when in fact they were achieved during Phase I. It is recommended that this should simply be pointed out in the descriptive notes against the rankings.

***Recommendation 11 - Project level MER:*** *It is recommended that Project-level MER be improved for the remainder of the Project duration through the following:*

- *Requiring the PMO to focus more on clearly reporting "actual" implementation (and expenditure) against "planned" implementation (and expenditure).*
- *Providing the PMO with formal training in the use of PRFs as a project planning, management and monitoring tool.*
- *Revising and clarifying the April 2018 version of the GEF-IW Tracking Tool to address the points made in section 3.2.7.*
- *Requiring the PMO to begin and continue collecting the necessary data to allow the TE to properly assess achievement of Project Objectives, Outcomes and Outputs against the indicators specified in the PRF.*

### *3.2.8 Project communication & visibility*

1. Project visibility and outreach is vital and essential to the achievement and promotion of Project Objectives and Outcomes, broadening partner and stakeholder engagement, replicating actions and catalyzing and leveraging additional investments.

2. Project visibility and outreach is best achieved through development and implementation, from an early stage in the project, of a strategic, comprehensive, programmatic communication plan that identifies and targets the full range of key project audiences, and uses the full spectrum of modern communication and outreach modalities and mediums.

3. The Project has an Activity to develop a strategic Communication Plan via a consultancy, and the PMO had been working to have this Plan ready for adoption and approval at the 2nd ICC in Dalian 27-28 March 2018. However, this was not achieved, reportedly due to delays in the consultancy award, stemming from inherent inefficiencies in the UNOPS project support processes, as outlined in section 3.2.1 above (i.e. to date UNOPS has taken an average of between 4 to 5 months to recruit a single consultant, with some up to 9 months) (it is understood that since the MTR mission, the communication consultant is now engaged).

4. In the absence of a strategic, programmatic Communication Plan the PMO has been implementing a wide range of individual communication activities, including:

    a) a project brochure which provide the background of the project, the TDA findings, SAP targets, followed by project interventions and partnership.

    b) producing thee pull-up banners for use in meetings and outreach events,

    c) posting stories and news itesm on UNDP China website and IW:Learn website (in the absence of a Project web site)

    d) creating a temporary website for use in uploading meeting documents (see eblow)

    e) publishing hard-copies of some Project reports and, very oddly, meeting minutes (the latter which the MTR considers to be completely unnecessary).

5. A Communication Intern was engaged at the PMO April 2018, and despite the contextual constraints, produced some excellent work including establishing a standard design template for publication of Project reports, and setting up a temporary web site, primarily to enable stakeholders to access documents in support of Project meetings (see www.yellowseapartnership.org).

6. The use of the title “yellowseapartnerships” in the temporary web site URL is confusing and not good communication practice. The project should establish a very clear brand, which reflects the actual Project name in the URL, to assist stakeholders to rapidly find the Project web site during searches (e.g. simply www.yellow-sea.org). The MTR consultant undertook an online search using search terms like “Yellow Sea Project”, “YSLME” and similar, which did not find the www.yellowseapartnership.org web-site at all, and found the following:

- www.yslme.org (the most obvious URL, but which actually goes to a Japanese site about credit cards!)

- http://diktas.iwlearn.org/yslme (the legacy site from the Phase 1 Project, hosted by IW:Learn)

- https://news.iwlearn.net/yslme-phase-ii (news on Phase II launch on IW:Learn),

- http://www.un-rok.org/about-un/offices/yslme/ (UN-ROK promotion of the Phase II Project); and

- http://wwf.panda.org/who_we_are/wwf_offices/china/index.cfm?uProjectID=9S0796 (WWF's Yellow Sea EcoRegion Support Project – an excellent site),

  amongst others.

7. Clearly, to address this on-line '"confusion" and to establish a definite digital identity for the Project, there is a need to rapidly establish a properly banded, permanent Project web site. In these modern times and in high-tech countries like PRC and ROK, where there are multitudes of highly capable web design experts, designing and launching a high quality web site should be a very easy task, which should have been achieved within the first three months of the Project. It is not understood why the PMO used an intern (who was in fact not a website design expert at all), to develop a temporary site, rather than rapidly engaging a dedicated expert to achieve this important and essential task early in the Project. It is recommended that this should be addressed rapidly, and that the Project site not only be in English, but also in Chinese and Korean (in-country audiences are the most important).

8. The other achievement in the communication area since the PMO commenced operations in early 2017 have been to redesign the Project logo (which was presented to the 2nd ICC for approval). The MTR considers that the effort put into a new Project logo was totally unnecessary. There is already a perfectly acceptable, well-established and internationally recognized logo in place, that provides continuity of identity from the Phase I Project.

9. There is a need for the PMO to act to rapidly commence development, followed by implementation, of the Project Communication Plan. This Plan should:

   a) Clearly identify the Project's strategic communication objectives, target audiences and key messages.

   b) Give priority to targeting in-country audiences, with all communication products and mediums, including the permanent Project website, being not only in English but also in Chinese and Korean.

c) Use the full range of social media platforms, including those that are specific to China, to target the younger generation.

d) Seek partnerships with national television producers and broadcasters in both PRC and ROK, and invite them to produce and broadcast TV news items and also documentaries about both the Project and the Yellow Sea generally (TV is still considered to be the most effective form of mass-media for reaching large audiences).

e) Seek partnerships with NGOs, including the large international NGOs like WWF, CI and IUCN, who are already very active on communication activities in the Yellow Sea region, to leverage co-financing for communication efforts.

10. Finally, Project communication should also include communication between and among all Project stakeholders, and especially between the PMO/UNOPS and UNDP and the participating countries. It appears that the PMO only communicates with UNDP when it needs specific assistance from UNDP or when it receives a request from UNDP. It is recommended that the PMO, UNOPS Copenhagen Office, UNDP and the two National Coordinators should work towards improved and more regular communication, including a monthly Progress Meeting on Skype.

***Recommendation 12 - Project communication & visibility:*** *It is recommended that the PMO should act to rapidly commence development, followed by implementation, of the Project Communication Plan. This Plan should:*

- *Clearly identify the Project's strategic communication objectives, target audiences and key messages.*
- *Give priority to targeting in-country audiences, with all communication products and mediums, including the permanent Project website, being not only in English but also in Chinese and Korean.*
- *Use the full range of social media platforms, including those that are specific to China, to target the younger generation.*
- *Seek partnerships with national television producers and broadcasters in both PRC and ROK, and invite them to produce and broadcast TV news items and also documentaries both about the Project and the Yellow Sea generally (TV is still considered to be the most effective form of mass-media for reaching large audiences).*
- *Seek partnerships with NGOs, including the large international NGOs like WWF, CI and IUCN, who are already very active on communication activities in the Yellow Sea region, to leverage co-financing for communication efforts.*

*It is also recommended that the PMO, UNOPS Copenhagen Office, UNDP and the two National Coordinators should work towards improved and more regular communication, including a monthly Progress Meeting on Skype.*

## 3.3 Progress towards results

1. The MTR's assessment of progress towards the Project's results considers two scenarios:

    - Scenario 1: Without project extension to January 2020 (i.e. Project ends in July 2018 according to original schedule), as presented in Table 8; and

    - Scenario 2: With project extension to January 2020, as presented in Table 9.

2. The assessment of the two scenarios is provided so as to illustrate the vital need for the 18-month Project extension (similarly, the Evaluation Ratings Tables presented in the Executive Summary also assesses the two scenarios).

3. It is clear from Table 8 that under Scenario 1 it is physically impossible to complete the Project. The bulk of the budget will need to be returned to GEF and the project will not be able to be assessed as anything other than a complete failure. As outlined in section 2.5, and as per Recommendation 3 at that end of that section, if anything is to be salvaged from the Project then it is imperative that the maximum extension available under UNDP-GEF rules should be applied for and approved, ASAP.

4. Table 9 shows that under Scenario 2, there is a reasonable prospect that implementation of at least the bulk of the Project may be achieved by extended Project end, so long as all of the recommendations contained in this MTR report are fully implemented.

5. As per Recommendation 4 (see section 3.1), absolute highest priority should be given to focusing on completing all Outcomes and Outputs in Component 1 (the most strategically important Component), followed by those that have the highest likelihood of being achieved by Project-end (Outcomes 2.1, 2.2, 2.3, 3.4, 4.1, 4.2 and 4.3). The other Project Outcomes (3.1, 3.2, 3.3 and 4.4) may well have to be left aside as lower priorities, and picked up by the YSLME Commission post-Project.

TABLE 8: **Progress Towards Results Matrix** - **Scenario 1:** Without Project extension to Jan 2020 (i.e. Project ends in July 2018 according to original schedule)

**GREEN** = Achieved **YELLOW** = On target to be achieved **RED**= Not on target to be achieved

| Project Outcome | Indicators (from PRF) | Baseline Level (from PRF) | End-of-Project (EoP) Target (original scheduled end of July 2018) | Midterm (April 2018) Achievement Rating | Justification for Rating |
|---|---|---|---|---|---|
| **Outcome 1.1:** Regional governance structure etc: | Status of YSLME Commission and subsidiary bodies at regional level. | *Ad hoc* regional co-ordination through the YSLME Regional Project Board and weak cross sector management at the national level. | • Functioning YSLME Commission.<br>• All the Terms of Reference for the YSLME Commission and Subsidiary Bodies approved by all participating country Governments. | **RED Not on target** | • All ToRs for "interim " arrangements have been approved and all interim arrangements are now fully functional (ICC, MSTP, RWGs).<br>• However, physically impossible that these can be evolved into permanent Commission, with long term financing mechanism, by scheduled Project-end of July 2018. |
| **Outcome 1.2:** Improved inter-sectoral coordination etc: | Status of Inter-Ministerial Coordinating Committee (IMCC). | Sector management has been the normal arrangements with limited inter-sector or inter-ministerial interactions; where coordination was done, it was on a case by case such as fishery management activities. | • Participation of Ministries in the IMCC will include but not limited to the following: Ministry of Foreign Affairs, Ministry of Finance, relevant department or Ministry of Ocean & Fisheries.<br>• At least one meeting of IMCC every year and functioning coordination. | **YELLOW On target** | • IMCC arrangements are now fully functional in each of the two countries.<br>• However, a glaring gap in both countries is absence of Min. of Environment - which by definition is a vital and essential sector in the EBM of an LME. |
| **Outcome 1.3:** Wider participation in SAP implementation etc: | Number of the YS Partnerships.<br>Number of activities on capacity building and public awareness.<br>Number of participants in capacity building activities. | 20 members of the Yellow Sea Partnership. | • YSLME Partnership guidelines prepared and agreed to guide the partnership development.<br>• Number of partnerships: 40<br>• Number of capacity building activities: 25<br>• Number of public awareness initiatives: 15<br>• Number of participants in capacity building activities: about 200 | **RED Not on target** | • YSLME Partnership guidelines are now in place.<br>• However, physically impossible that the numeric targets listed can be achieved by scheduled Project-end of July 2018. |
| **Outcome 1.4:** Improved compliance with regional and international treaties etc: | Status of recognition and compliance to regional and international treaties and agreements. | Regional and international treaties and agreements are recognized by China, but not fully compliant. | • Better compliance of the relevant regional and international treaties and agreement e.g. UNCLOS, The 1972 Convention on the Prevention of Marine Pollution by Dumping of Wastes and Other Matter, CBD, Ramsar, The FAO Code of Conduct for Responsible Fisheries, and the bilateral agreements between China & ROK on environment protection and fisheries. | **RED Not on target** | • Activities in support of this Outcome appear to have a low priority and in some cases even regressive actions have been taken (e.g. an inexplicable decision to delete implementation of the FAO Code of Conduct on Responsible Fisheries from the Project).<br>• Physically impossible that Project can take effective action to change the progress status by scheduled Project-end of July 2018. |
| **Outcome 1.5:** Sustainable financing etc: | Agreement on the financial arrangement for the YSLME Commission. | YSLME Commission does not exist at start of project. | • Financing agreement between and among countries agreed to fully support YSLME for at least 5 years. | **RED Not on target** | • As per Outcome 1.1. |
| **Outcome 2.1:** Recovery of depleted fish stocks: | Number of fishing boats decommissioned from the fleet in YSLME waters. | About 1.2 million fishing boats. | • Fishing boat numbers substantially reduced by 10%, in line with the 2020 target of 30% reduction. | **GREEN Achieved** | • PMO and PRC Government reps report verbally that the 10% target has already been exceeded, through aggressive, large-scale fishing vessel buy schemes in PRC (a national initiative rather than a Project activity).<br>• These reports are taken at face-value however the MTR was not able to verify them through independent analysis of quantitative data. |

| Project Outcome | Indicators (from PRF) | Baseline Level (from PRF) | End-of-Project (EoP) Target (original scheduled end of July 2018) | Midterm (April 2018) Achievement Rating | Justification for Rating |
|---|---|---|---|---|---|
| **Outcome 2.2:** Enhanced fish stocks etc: | Status of major commercially important fish stock from restocking and habitat improvement | Effectiveness of restocking and habitat protection not evaluated | • Measurable improvement (5%) in standing stock and catch per unit effort in three demo sites.<br>• Future management decisions on restocking based on effectiveness. | **RED Not on target** | • Given three year delay to Project start and focus of first eight months of fourth year (July 17 to March 18) on establishing PMO, ICC, MSTP, RWGs etc; implementation of technical activities to support achievement of this Outcome has not yet properly commenced.<br>• Simply insufficient time to scheduled Project end in July 18 to achieve this. |
| **Outcome 2.3:** Enhanced and sustainable mariculture etc: | Type of mariculture production technology.<br>Level of pollutant discharge from mariculture operations. | Declining quality of mariculture products.<br>Declining quantity of production per unit area from mariculture.<br>Environmental impacts of mariculture not evaluated. | • Reduction of contaminants caused by mariculture production (5% reduction in the demo sites).<br>• Measurable increase (5% increase in the demo sites) in mariculture production per unit area.<br>• Discharge of nutrient and other discharges from mariculture installations reduce 5%. | **RED Not on target** | " |
| **Outcome 3.1:** Ecosystem health improved through a reduction in pollutants etc:. | Level of pollutant discharges particularly Nitrogen in YSLME tributaries. | Discharge reductions do not meet the regional target. | • 10% reductions in N discharges every 5 years. | **RED Not on target** | " |
| **Outcome 3.2:** Wider application of pollution-reduction techniques etc: | Types of technologies applied for pollution reduction. | Some innovations such as man-made wetlands are being undertaken nationally but without regional coordination or dissemination of results. | • Successful demonstration of use of artificial wetlands in pollution control in 1 sites and replicated in about 2 coastal municipalities and local government units. | **RED Not on target** | " |
| **Outcome 3.3:** Strengthened legal and regulatory processes to control pollution: | Status of legal and regulatory process to control pollution. | Weak legal and regulatory framework to control pollution in provinces bordering in the YSLME. | • Develop evaluation tools, in the first year, to assist in harmonizing national and provincial legislation to improve coastal water quality in Shandong, Jiangsu and Liaoning provinces). | **RED Not on target** | " |
| **Outcome 3.4:** Marine litter controlled at selected locations: | Status of the control of marine litter at selected locations. | Due to a lack of appreciation of the problem little action is currently being undertaken. | • Regional Guidelines on control of marine litter based on those initiated by NOWPAP produced and adopted for use in the Yellow Sea.<br>• Established regional database in the first year, and significant reduction in the quantities of marine litter at selected beach locations. | **RED Not on target** | " |
| **Outcome 4.2:** MPA Network etc: | Areas of critical habitats.<br>Status of mitigation of reclamation impacts. | Coastal habitats critical to maintaining ecosystem services continue to be converted or reclaimed unchecked. | • Areas of critical habitats maintained at current level.<br>• Impacts of reclamation prepared in 2 demo sites. | **RED Not on target** | " |
| **Outcome 4.3:** Adaptive management mainstreamed re. climate change etc: | Level of ecological connectivity in expansion of the Yellow Sea MPA system. | The planned expansion of the MPA system currently does not take into account ecological connectivity. | • The planned expansion of the MPA system currently does take into account ecological connectivity (measured by use of developed connectivity tool kit or other means).<br>• Increase to 3% total areas as MPAs. | **RED Not on target** | " |
| **Outcome 4.4:** Application EBM etc: | Status of incorporation of adaptive management of climate change regional strategies and in ICM plans for selected coastal communities. | Inadequate considerations are being given to the impacts of climate change. | • CC adaptation incorporated in regional strategies in response to changing characteristics of YSCWM and structured plankton communities.<br>• 2 coastal ICM model framework plans in coastal provinces and cities incorporate CC adaptation to improve climate resilience. | **RED Not on target** | " |

TABLE 9 **Progress Towards Results Matrix** - **Scenario 2:** With Project extension to Jan 2020

**Green** = Achieved **Yellow** = On target to be achieved **Red** = Not on target to be achieved

| Project Outcome | Indicators (from PRF) | Baseline Level (from PRF) | End-of-Project (EoP) Target (extended to Jan 2020) | Midterm (April 2018) Achievement Rating | Justification for Rating |
|---|---|---|---|---|---|
| **Outcome 1.1:** Regional governance structure etc: | Status of YSLME Commission and subsidiary bodies at regional level. | *Ad hoc* regional co-ordination through the YSLME Regional Project Board and weak cross sector management at the national level. | • Functioning YSLME Commission.<br>• All the Terms of Reference for the YSLME Commission and Subsidiary Bodies approved by all participating country Governments. | **YELLOW On target (with risks)** | • All ToRs for "interim " arrangements have been approved and all interim arrangements are now fully functional (ICC, MSTP, RWGs).<br>• So long as extremely high priority is given to completing ALL of Component 1, and especially bringing forward the schedule for the Task Forces and consultancies on legal and financial arrangements, there is good chance that this will be achieved.<br>• However, there are real risks to this Objective including an apparent 'softening" of PRC's desire for establishing the Commission.<br>• To address this it is also strongly recommended that once the current restructure of the PRC Government is complete (scheduled for June 18), that UNDP, PMO and ROK MOFA & MOF seek a ministerial-level meeting with new PRC Minister for Natural Resources, to brief them on the Project and seek high-level support in PRC for the YS Commission. Without this, this Project Objective may not be achieved by Jan 2020. |
| **Outcome 1.2:** Improved inter-sectoral coordination etc: | Status of Inter-Ministerial Coordinating Committee (IMCC). | Sector management has been the normal arrangements with limited inter-sector or inter-ministerial interactions; where coordination was done, it was on a case by case such as fishery management activities. | • Participation of Ministries in the IMCC will include but not limited to the following: Ministry of Foreign Affairs, Ministry of Finance, relevant department or Ministry of Ocean & Fisheries.<br>• At least one meeting of IMCC every year and functioning coordination. | **YELLOW On target** | • IMCC arrangements are now fully functional in each country.<br>• However, a glaring gap in both countries is absence of Min. of Environment - which by definition is a vital and essential sector in the EBM of an LME.<br>• It is strongly recommended that they be included in the national IMCCs and in the MSTP / ICCs, and relevant RWGs. |
| **Outcome 1.3:** Wider participation in SAP implementation etc: | Number of the YS Partnerships.<br>Number of activities on capacity building and public awareness.<br>Number of participants in capacity building activities. | 20 members of the Yellow Sea Partnership. | • YSLME Partnership guidelines prepared and agreed to guide the partnership development.<br>• Number of partnerships: 40<br>• Number of capacity building activities: 25<br>• Number of public awareness initiatives: 15<br>• Number of participants in capacity building activities: about 200 | **YELLOW On target** | • YSLME Partnership guidelines are now in place.<br>• Now that the PMO has been up and running for approx. one year, significant effort has been made to reach out to other partners and stakeholders, including through 'keystone' initiatives such as development of the regional biodiversity strategy, which will involve a wide range of partners, through the YS Partnerships.<br>• There is a need to more strongly involve some of the larger international NGOs (WWF, CI, IUCN etc) who are very active in the YSLME and represent potentially significant co-financing.<br>• There is also a need for much greater private sector involvement in SAP implementation (apart from some mariculture cos, private sector is currently not involved at all).<br>• As for Outcome 1.2, a glaring gap in government involvement in SAP implementation is the Ministries of Environment in both PRC and ROK. |

| Project Outcome | Indicators (from PRF) | Baseline Level (from PRF) | End-of-Project (EoP) Target (extended to Jan 2020) | Midterm (April 2018) Achievement Rating | Justification for Rating |
|---|---|---|---|---|---|
| **Outcome 1.4:** Improved compliance with regional and international treaties etc: | Status of recognition and compliance to regional and international treaties and agreements. | Regional and international treaties and agreements are recognized by China, but not fully compliant. | • Better compliance of the relevant regional and international treaties and agreement e.g. UNCLOS, The 1972 Convention on the Prevention of Marine Pollution by Dumping of Wastes and Other Matter, CBD, Ramsar, The FAO Code of Conduct for Responsible Fisheries, and the bilateral agreements between China & ROK on environment protection and fisheries. | **RED Not on target** | • Activities in support of this Outcome appear to have a low priority and in some cases even regressive actions have been taken (e.g. an inexplicable decision to delete implementation of the FAO Code of Conduct on Responsible Fisheries from the Project).<br>• Reprioritisation and adaptive management will be required to improve the rating of this Outcome towards Project-end. |
| **Outcome 1.5:** Sustainable financing etc: | Agreement on the financial arrangement for the YSLME Commission. | YSLME Commission does not exist at start of project. | • Financing agreement between and among countries agreed to fully support YSLME for at least 5 years. | **YELLOW On target** | • As per Outcome 1.1. |
| **Outcome 2.1:** Recovery of depleted fish stocks: | Number of fishing boats decommissioned from the fleet in YSLME waters. | About 1.2 million fishing boats. | • Fishing boat numbers substantially reduced by 10%, in line with the 2020 target of 30% reduction. | **GREEN Achieved** | • PMO and PRC Government reps report verbally that the 10% target has already been exceeded, through aggressive, large-scale fishing vessel buy-back schemes in PRC (a national initiative rather than a Project activity).<br>• These reports are taken at face-value however the MTR was not able to verify through independent analysis of quantitative data. |
| **Outcome 2.2:** Enhanced fish stocks etc: | Status of major commercially important fish stock from restocking and habitat improvement | Effectiveness of restocking and habitat protection not evaluated | • Measurable improvement (5%) in standing stock and catch per unit effort in three demo sites.<br>• Future management decisions on restocking based on effectiveness. | **YELLOW On target** | • Irrespective of Project delays both PRC and ROK, through their own national initiatives, have been extremely active in recent years in implementing measures to address this Outcome, including major fishing-boat buy-back schemes to reduce fishing effort, closed seasons, better regulation of net-mesh size and better coordination of transboundary enforcement through the YS Bilateral Fisheries Agreement.<br>• The commencement of relevant Project activities will now begin to assist in greater coordination, replication and catalyzing of these national initiatives.<br>• There may be a challenge to obtain objective, quantitative data to independently assess achievement of the EoP target (5% improvement) by Project end – it is recommended that PMO and PRC work to address this well in advance of the TE. |
| **Outcome 2.3:** Enhanced and sustainable mariculture etc: | Type of mariculture production technology.<br>Level of pollutant discharge from mariculture operations. | Declining quality of mariculture products.<br>Declining quantity of production per unit area from mariculture.<br>Environmental impacts of mariculture not evaluated. | • Reduction of contaminants caused by mariculture production (5% reduction in the demo sites).<br>• Measurable increase (5% increase in the demo sites) in mariculture production per unit area.<br>• Discharge of nutrient and other discharges from mariculture installations reduce 5%. | **RED Not on target** | • The Project activities reacting to mariculture are more focused on promoting IMTA than on reducing contaminants and nutrients from mariculture operations.<br>• Technically it appears highly unlikely that even full implementation of all Project activities relating to this Outcome will make any progress in addressing the EoP targets.<br>• This is more a Project-design issue than an implementation issue. |
| **Outcome 3.1:** Ecosystem health improved through a reduction in pollutants etc:. | Level of pollutant discharges particularly Nitrogen in YSLME tributaries. | Discharge reductions do not meet the regional target. | • 10% reductions in N discharges every 5 years. | **RED Not on target** | • Activities in support of this Outcome (largely desk-top reviews and reports) are unlikely to result in measurable reduction in pollution.<br>• Technically it appears highly unlikely that even full implementation of all Project activities relating to this Outcome will make any progress in addressing the EoP target.<br>• This is more a Project-design issue than an implementation issue. |

| Project Outcome | Indicators (from PRF) | Baseline Level (from PRF) | End-of-Project (EoP) Target (extended to Jan 2020) | Midterm (April 2018) Achievement Rating | Justification for Rating |
|---|---|---|---|---|---|
| | | | | | • The co-financing in Annex 7 indicates investment by Govts in measures to reduce N. However, there is no data available to the MTR to allow quantitative assessment of progress towards 10% reduction, and if this will be achieved by extend Project-end of Jan 2020. |
| **Outcome 3.2:** Wider application of pollution-reduction techniques etc: | Types of technologies applied for pollution reduction. | Some innovations such as man-made wetlands are being undertaken nationally but without regional coordination or dissemination of results. | • Successful demonstration of use of artificial wetlands in pollution control in 1 sites and replicated in about 2 coastal municipalities and local government units. | **RED Not on target** | • Activities in support of this Outcome (largely desk-top reviews and reports) are unlikely to result in successful demonstration of use of artificial wetlands in pollution control.<br>• Technically it appears highly unlikely that even full implementation of all Project activities relating to this Outcome will make any progress in addressing the EoP target.<br>• This is more a Project-design issue than an implementation issue. |
| **Outcome 3.3:** Strengthened legal and regulatory processes to control pollution: | Status of legal and regulatory process to control pollution. | Weak legal and regulatory framework to control pollution in provinces bordering in the YSLME. | • Develop evaluation tools, in the first year, to assist in harmonizing national and provincial legislation to improve coastal water quality in Shandong, Jiangsu and Liaoning provinces). | **RED Not on target** | • Activities in support of this Outcome appear to have a low priority and the nature of the Project activities designed to support this Outcome (largely desk-top reviews and reports) are unlikely to result in strengthening of national and provincial legislation on pollution.<br>• This is more a function of Project-design than implementation, plus the fact that legislating is a sovereign national responsibility, which it can be difficult for a project to influence. |
| **Outcome 3.4:** Marine litter controlled at selected locations: | Status of the control of marine litter at selected locations. | Due to a lack of appreciation of the problem little action is currently being undertaken. | • Regional Guidelines on control of marine litter based on those initiated by NOWPAP produced and adopted for use in the Yellow Sea.<br>• Established regional database in the first year, and significant reduction in the quantities of marine litter at selected beach locations. | **YELLOW On target** | • Irrespective of Project delays both PRC and ROK, through their own national initiatives, have been extremely active in recent years in implementing measures to address this Outcome, including physical measures to prevent marine litter entering the marine environment, regular, coordinated coastal cleanups, comprehensive marine litter monitoring and source identification, and major public awareness campaigns.<br>• NGOs are also very active on this issue, as are other international partners such as NOWPAP and IOC-WESTPAC.<br>• The commencement of relevant Project activities will now begin to assist in greater coordination, replication and catalyzing of these national and other regional initiatives. |
| **Outcome 4.2:** MPA Network etc: | Areas of critical habitats. Status of mitigation of reclamation impacts. | Coastal habitats critical to maintaining ecosystem services continue to be converted or reclaimed unchecked. | • Areas of critical habitats maintained at current level.<br>• Impacts of reclamation prepared in 2 demo sites. | **YELLOW On target** | • The three-year delay to Project start has affected the start of activities in support of this Outcome, however it appears that plans are well developed, including baseline work for the Rudong MPA and for the biodiversity planning workshop involving key partners, and that implementation will now proceed rapidly.<br>• There have also been significant initiatives at the national level in support of this Outcome, including new laws in PRC to ban all further reclamation of coastal wetlands and a directive to preserve at least 35% of the coastline in a natural state.<br>• There is significant opportunity for the Project to further expand the YS partnerships in relation to this Outcome, including the |

| Project Outcome | Indicators (from PRF) | Baseline Level (from PRF) | End-of-Project (EoP) Target (extended to Jan 2020) | Midterm (April 2018) Achievement Rating | Justification for Rating |
|---|---|---|---|---|---|
| | | | | | larger international NGOs (WWF, CI, IUCN etc) who are very active in the YSLME and represent potentially significant sources of co-financing. |
| **Outcome 4.3:** Adaptive management mainstreamed re. climate change etc: | Level of ecological connectivity in expansion of the Yellow Sea MPA system. | The planned expansion of the MPA system currently does not take into account ecological connectivity. | • Increase to 3% total areas as MPAs. | **YELLOW On target** | " |
| **Outcome 4.4:** Application EBM etc: | Status of incorporation of adaptive management of climate change regional strategies and in ICM plans for selected coastal communities. | Inadequate considerations are being given to the impacts of climate change. | • CC adaptation incorporated in regional strategies in response to changing characteristics of YSCWM and structured plankton communities.<br>• 2 coastal ICM model framework plans in coastal provinces and cities incorporate CC adaptation to improve climate resilience. | **RED Not on target** | • Activities in support of this Outcome appear to have a low priority and will need to be accelerated if EoP targets are to be met by Dec 2019. |

## 3.5 Sustainability

### *3.5.1 Financial risks to sustainability*

1. Clearly, the Project budget is well underspent and there is no shortage of funds available for the completion of Project Outcomes and Outputs. In fact there is a very real risk that if Project implementation is not significantly accelerated between now and Project-end, a significant proportion of the budget may have to be retuned to GEF. As outlined in section 3.2.5 this creates huge pressure on the PMO to do absolutely everything possible to significantly accelerate the rate of expenditure between now and Project end. While such acceleration is clearly very much needed, it creates serious potential for funds to be ineffectively and inefficiently used and even miss-used. ***Spending in itself is not a responsible measure of Project progress, and it is vital that funds are spent on the right activities in the right way, in order to actually deliver the planned Project Outcomes, and not just to 'use-up' the available funds.***

2. Clearly, as outlined in section 3.2.6, the level of co-financing invested by both PRC and ROK to date is significantly in excess of what was originally committed in the 2014 ProDoc. This trend is almost certain to continue as both countries more strongly reflect ecological sustainability in their national development policies and plans at the highest level. This bodes extremely well for financial sustainability of national actions and interventions in support of the Targets and Actions of the YSLME-SAP and the Objectives and Outcomes of the Phase II project, including post-Project.

3. The only possible financial risk to sustainability identified by the MTR is in relation to the proposed self-financing mechanism for the Yellow Sea Commission itself. Based on Project performance to date, there is a potential risk that the Component 1 Task Forces and consultancies that have responsibility for developing both the legal framework and self-financing mechanism for the Yellow Sea Commission, may be delayed, and even possibly not completed by Project-end. To address this it is vital that both the PMO and the countries give absolute highest priority to ensuring that these tasks are accelerated and completed, ideally well before Project-end.

### *3.5.2 Socio-economic risks to sustainability*

1. The economies of both PRC and ROK are extremely healthy, with current annual GDP growth rates of 6.7% and 2.8% respectively (https://data.worldbank.org/indicator). The levels of co-financing invested by both countries in YSLME-related activities to date are reflective of this, and are likely to continue and even increase. Even DPRK has officially announced that is seeks to give highest priority to economic development moving forward.

2. The MTR therefore assesses that there are very low socioeconomic risks to sustainability of the Project and the ongoing, post-Project implementation of the YSLME-SAP.

### *3.5.3 Institutional & governance risks to sustainability*

1. The MTR assesses that the key Government ministries, agencies and institutions in ROK have a rock-solid and unwavering commitment to the Project, to the establishment of the permanent Yellow Sea Commission and to the ongoing, long-term implementation of the YSLME-SAP in coordination and cooperation with PRC and eventually DPRK. There are no indicators at all of any institutional and governance risks to sustainability within the ROK government structure and system.

2. With respect to PRC, during MTR consultations a distinct signal was detected that there 'may' be a softening in enthusiasm for the establishment of the permanent Yellow Sea Commission. There appears to be a shift in PRC towards a preference to focus on national-level implementation of technical activities, and to addressing international issues through existing bilateral, sector-based mechanisms that are already in place between PRC and ROK (e.g. Bilateral Fisheries Body for fisheries issues, Joint Environment Forum for general environmental issues, NOWPAP for marine environmental issues, Joint Ocean Research Centre (JORC) for scientific issues).

3. Taking this path could be seen as regressive as it moves away from the holistic, integrated, cooperative, ecosystem-based approach to the management of the Yellow Sea as a whole, as embodied in the YSLME-SAP, to a divided, sector-based approach. The sector-based approach has been shown historically in case after case around the world, to be ineffective in halting and reversing declines in environmental quality and ecological carrying capacity. If this 'apparent' trend in preference in PRC continues, it may pose a fundamental threat to the core objective of the YSLME-SAP and the Phase II Project, as embodied in Component 1 of the Project.

4. It is possible that this 'apparent' change in preference in PRC may relate to the fact that responsibility for national coordination of YSLME activities has been shifted from the International Cooperation Department of the State Oceanic Administration (SOA), who are by nature focused on international cooperation, to the Marine Environmental Protection Department of SOA, who are more focused on operational implementation of technical actions nationally, and less familiar with international cooperation.

5. It is also possible that there may be a lack of awareness about the Project and the need for and benefits of the proposed Yellow Sea Commission at higher levels within SOA, up to Ministerial level. If Ministerial-level awareness was established, it might provide greater high-level policy direction and support for the Project, for SAP implementation and for the establishment of a permanent, sustainably financed Yellow Sea Commission.

6. There may be a significant opportunity to address this apparent trend through the current major restructure of the PRC Government. The SOA is being absorbed into a larger, integrated Ministry of Natural Resources, which may bring positive opportunities and benefits to the Project in terms of great intra- and inter Ministry coordination, clearer direction and availability of resources. It is understood that the restructure is scheduled for completion in June 2018.

7. It is therefore strongly recommended that once the current restructure of the PRC Government is complete, that UNDP, PMO and ROK MOFA & MOF seek a ministerial-level meeting with new PRC Minister for Natural Resources, to brief them on the Project and seek high-level support in PRC for

the YS Commission. Without this, this Project Objective may not be achieved by end of Project in December 2019.

8. Additionally, it is understood that the Environment Ministers of both PRC and ROK have signed an MoU on bilateral cooperation on environmental matters, including the establishment of a Joint Environmental Research Centre in Beijing. This may serve a model and template for a similar MoU to be signed between the PRC Minister for Natural Resources and the ROK Minister for Oceans & Fisheries, specifically relating to cooperation in implementing the YSLME-SAP and establishing the Commission. Such a MoU might be structured so as to allow for future signing-in by DPRK as a tri-lateral MoU.

***Recommendation 13 - Risks to establishment of YS Commission:*** *It is strongly recommended that:*

- *Once the current restructure of the PRC Government is complete, that UNDP, PMO and ROK MOFA & MOF seek a ministerial-level meeting with new PRC Minister for Natural Resources, to brief them on the Project and seek high-level support in PRC for the Project, for SAP implementation and for the establishment of a permanent, sustainably financed Yellow Sea Commission. Without this, this Project Objective may not be achieved by end of Project in December 2019.*

- *The MoU on bilateral cooperation on environmental matters signed by the Environment Ministers of both PRC and ROK, be used as a model and template for a similar MoU to be signed between the PRC Minister for Natural Resources and the ROK Minister for Oceans & Fisheries, specifically relating to cooperation in implementing the YSLME-SAP and establishing the Commission. Such a MoU might be structured so as to allow for future signing-in by DPRK as a tri-lateral MoU.*

### *3.5.4 Environmental risks to sustainability*

1. As outlined in section 2.2, the YSLME faces numerous, varied and severe risks to its ecologically sustainability. However, these are risks to the LME, not to the Project, and in fact the very purpose of the Project is to work to address these risks, through implementation of the SAP.

## 3.6 Involving DPRK

1. As outlined in section 2.1, the beneficiary country in terms of GEF investment is PRC, while ROK's participation is fully self-funded (as an OECD country ROK is not GEF-eligible). Due to UN Security Council Resolutions and sanctions, DPRK is not formally part of the Project in terms of GEF investment. However, there is no reason why DPRK's involvement could not be facilitated by other means, including direct bi- and tri-lateral engagement by ROK and PRC.

2. Truly integrated, ecosystem based management of the YSLME can only be achieved with the full participation of all three littoral States. Progressive inclusion of DPRK, including in the regional governance framework, and eventually the Yellow Sea Commission, should be a high priority.

3. To date, the PMO has identified a private foundation (Hanns Siedel Foundation) (https://www.hss.de/en/) that has been working on environmental initiatives in DPRK, and which has recently had success in assisting DPRK to become a signatory to the Ramsar Convention on wetlands. This is an extremely positive development given the presence of extensive inter-tidal wetlands along the Yellow Sea coast of DPRK. These provide vital habitat for various species of rare and endangered migratory birds, and are ecologically interlinked with similar coastal wetlands along the Yellow Sea coasts of ROK and PRC. Building on this, the PMO has secured cooperation from the Foundation to assist in involving DPRK in the Project's biodiversity and MPA-network planning activities, including the forthcoming biodiversity planning workshop.

4. The current improvement in the strategic, geopolitical situation relating to DPRK and recent and forthcoming engagement between the highest political levels of DPRK and those in ROK, PRC and the USA, may well contribute to significantly improving the prospects for more complete involvement of DPRRK in the Project. It is thereof recommended that in addition to continuing to work through the Hanns Siedel Foundation to try and involve DPRK in the biodiversity and MPA-network planning activities, the Project should also work towards more complete participation of DPRK, including progressively in the regional governance framework. In doing so it will be vital for the PMO to coordinate very closely with the ROK and PRC MOFAs, and also the ROK Ministry of Reunification. As a UN program, it is also vital to ensure that UN Resolutions and rules, and GEF rules and procedures, are fully complied with.

   ***Recommendation 14 - Involving DPRK:*** *It is recommended that in addition to continuing to work through the Hanns Siedel Foundation to try and involve DPRK in the biodiversity and MPA-network planning activities, the Project should also work towards more complete participation of DPRK, including progressively in the regional governance framework.*

   *In doing so, given recent diplomatic progress, this effort might be led by ROK MOF and Ministry of Reunification through direct bilateral dealings with DPRK, in consultation with PRC and with support from PMO.*

   *As a UN program, it is also vital to ensure that relevant UN Resolutions and rules, and GEF rules and procedures, are fully complied with.*

# ANNEXES

(Annexes are attached in the same order as they are referenced in the body of this report).

# Annex 1: MTR Terms of Reference

**TERMS OF REFERENCE**
**UNDP-GEF Mid-Term Review Consultant (International)**

**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**

| | |
|---|---|
| **Location :** | Home-Based, with Mission Travels to China and Republic of Korea (refer to details below) |
| **Application Deadline :** | 25-February-18 **(Midnight New York, USA)** |
| **Type of Contract :** | Individual Contract |
| **Post Level :** | International Consultant |
| **Languages Required :** | English |
| **Starting Date :** | 12-March-2018 (date assignment expected to start) |
| **Duration of Initial Contract :** | 35 working days (refer to details below) |
| **Expected Duration of Assignment:** | From March 12, 2018 to September 30, 2018 |

**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**

**1. INTRODUCTION**

This is the Terms of Reference (ToR) for the UNDP-GEF Midterm Review (MTR) of the full-sized project titled ***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***, which is to be undertaken in late March 2018. This four-year project was signed in July 2014, launched in July 2017, and is expected to terminate in July 2018. A project extension is anticipated by the participating countries based on the findings and recommendations of the mid-term evaluator. In line with the UNDP-GEF Guidance on MTRs, this MTR process will be initiated before the submission of the second Project Implementation Report (PIR). This ToR sets out the expectations for this MTR. The MTR process must follow the guidance outlined in the document Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects.

**2. PROJECT BACKGROUND INFORMATION**

Yellow Sea Large Marine Ecosystem is a water body bordered by China, RO Korea and DPR Korea, covering an area of 400,000 km2. Rivers discharge about 1.6 billion tons of sediment and 1,500 billion tones of freshwater into the Yellow Sea. The low flushing rate between Yellow Sea and East China Sea of one every seven years, combined with weak water circulation, makes this sea vulnerable to pollution and its coastal areas highly susceptible to localized pollution discharges. Qingdao, Dalian, Shanghai, Seoul/Incheon (RO Korea) and Pyongyang/Nampo (DRP Korea) are the five cities with over tens of millions of inhabitants bordering the sea. This population replies on the Yellow Sea LME's ecosystem carrying capacity to provide capture fisheries resources in excess of two million tones per year, mariculture over 14 million tones per year, support for wildlife, provision of bathing beaches and tourism, and its capacity to absorb nutrients and other pollutants. Yet fishing efforts increased threefold between the 1960s and early 1980s, during which time the proportion of demersal species, such as small and large yellow croakers, hairtail, flatfish and cod, declined by more than 40 percent in terms of biomass. Other major transboundary problems include increasing discharge of pollutants; changes to ecosystem structure leading to an increase in jellyfish and harmful algal blooms; 40 percent loss of coastal wetlands from reclamation and conversions projects. Severe environmental degradation has cost the country approximately nine percent of its gross national income in 2009. This situation has been further exacerbated by incomplete legislation and insufficient enforcement. The environmental foundation needed to sustain economic growth may be irreversibly altered, and the important human health implications of a deteriorating environment such as increased agriculture and food contamination and air and water pollution, have resulted in a series of efforts to improve the environment.

The objective of the regional project is to achieve adaptive ecosystem-based management of the Yellow Sea Large Marine Ecosystem bordered by China, RO Korea and DPR Korea by fostering long-term sustainable institutional, policy and financial arrangements for effective ecosystem-based management of the Yellow Sea in accordance with the YSLME Strategic Action Programme (YSLME SAP) adopted by China and RO Korea in 2009.

To achieve this objective, the project will support the formation of the YSLME Commission oversee the implementation of the YSLME SAP, innovate institutional arrangements, improve management capacity and quality of function. This includes, developing robust governmental coordination mechanisms, strengthening regulatory mechanisms while strengthening the incentive structure to promote environmental protection, developing mechanisms to link land and sea and resource use to carrying capacity, and systems for the participation of a range of stakeholders.

There are four components in the project:

1. Sustainable national and regional cooperation for ecosystem based management.
2. Improved Ecosystem Carrying Capacity with respect to provisioning services.
3. Improved Ecosystem Carrying Capacity with respect to regulating and cultural services.
4. Improved Ecosystem Carrying Capacity with respect to supporting services.

The key outcomes sought are:

1. Establishment of a self-sustaining cooperative mechanism for ecosystem-based management.
2. Recovery of depleted fish stocks and improved mariculture production and quality.
3. Improved ecosystem health;

4. improved inter-sectoral coordination and mainstreaming of ecosystem based management principles at the national level, maintenance of habitat areas, strengthened stakeholder participation in management and improved policy making.
5. Skills and capacity significantly developed for region-wide ecosystem-based management.

**3. OBJECTIVES OF THE MTR**

The MTR will assess progress towards the achievement of the project objectives and outcomes as specified in the Project Document, and assess early signs of project success or failure with the goal of identifying the necessary changes to be made in order to set the project on-track to achieve its intended results. The MTR will also review the project's strategy, its risks to sustainability.

**4. MTR APPROACH & METHODOLOGY**

The MTR must provide evidence based information that is credible, reliable and useful. The MTR Consultant will review all relevant sources of information including documents prepared during the preparation phase (i.e. PIF, UNDP Initiation Plan, UNDP Environmental & Social Safeguard Policy, the Project Document, project reports including Annual Project Review/PIRs, project budget revisions, lesson learned reports, national strategic and legal documents, and any other materials that the consultant considers useful for this evidence-based review).
The MTR Consultant is expected to follow a collaborative and participatory approach[1] ensuring close engagement with the focal agencies of the two participating countries, UNDP Country Office, the UNDP Regional Technical Advisor for International Waters and UNOPS.
Engagement of stakeholders is vital to a successful MTR.[2] Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to; executing agencies, senior officials' component leaders, key experts and consultants in the subject area, Project Board, project stakeholders, academia, local government and CSOs, etc. Additionally, the MTR Consultant is expected to conduct a field mission to all three countries and selected project sites. Interviews will be held with the government focal agencies per country and as well as other stakeholders.
The final MTR report should describe the full MTR approach taken and the rationale for the approach making explicit the underlying assumptions, challenges, strengths and weaknesses about the methods and approach of the review.

**5. DETAILED SCOPE OF THE MTR**

The MTR Consultant will assess the following four categories of project progress. See the *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for extended descriptions.

**i. Project Strategy**

Project design:

- Review the problem addressed by the project and the underlying assumptions. Review the effect of any incorrect assumptions or changes to the context to achieving the project results as outlined in the Project Document.
- Review the relevance of the project strategy and assess whether it provides the most effective route towards expected/intended results. Were lessons from other relevant projects properly incorporated into the project design?
- Review how the project addresses country priorities. Review country ownership. Was the project concept in line with the national sector development priorities and plans of the country (or of participating countries in the case of multi-country projects)?
- Review decision-making processes: were perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process, taken into account during project design processes?
- Review the extent to which relevant gender issues were raised in the project design. See Annex 9 of *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for further guidelines.
- If there are major areas of concern, recommend areas for improvement.

Results Framework/Logframe:

- Undertake a critical analysis of the project's logframe indicators and targets, assess how "SMART" the midterm and end-of-project targets are (Specific, Measurable, Attainable, Relevant, Time-bound), and suggest specific amendments/revisions to the targets and indicators as necessary.
- Are the project's objectives and outcomes or components clear, practical, and feasible within its time frame?
- Examine if progress so far has led to, or could in the future catalyse beneficial development effects (i.e. income generation, gender equality and women's empowerment, improved governance etc...) that should be included in the project results framework and monitored on an annual basis.
- Ensure broader development and gender aspects of the project are being monitored effectively. Develop and recommend SMART 'development' indicators, including sex-disaggregated indicators and indicators that capture development benefits.

**ii. Progress Towards Results**

Progress Towards Outcomes Analysis:

- Review the logframe indicators against progress made towards the end-of-project targets using the Progress Towards Results Matrix and following the *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects*; colour code progress in a "traffic light system" based on the level of progress achieved; assign a rating on progress for each outcome; make recommendations from the areas marked as "Not on target to be achieved" (red).

Table. Progress Towards Results Matrix (Achievement of outcomes against End-of-project Targets)

| Project Strategy | Indicator[3] | Baseline Level[4] | Level in 1st PIR (self-reported) | Midterm Target[5] | End-of-project Target | Midterm Level & Assessment[6] | Achievement Rating[7] | Justification for Rating |
|---|---|---|---|---|---|---|---|---|
| **Objective:** | Indicator (if applicable): | | | | | | | |
| **Outcome 1:** | Indicator 1: | | | | | | | |
| | Indicator 2: | | | | | | | |
| **Outcome 2:** | Indicator 3: | | | | | | | |
| | Indicator 4: | | | | | | | |
| | Etc. | | | | | | | |
| **Etc.** | | | | | | | | |

**Indicator Assessment Key**

| | | |
|---|---|---|
| Green= Achieved | Yellow= On target to be achieved | Red= Not on target to be achieved |

In addition to the progress towards outcomes analysis:

- Compare and analyse the GEF Tracking Tool at the Baseline with the one completed right before the Midterm Review.
- Identify remaining barriers to achieving the project objective in the remainder of the project.
- By reviewing the aspects of the project that have already been successful, identify ways in which the project can further expand these benefits.

**iii. Project Implementation and Adaptive Management**

Management Arrangements:

- Review overall effectiveness of project management as outlined in the Project Document. Have changes been made and are they effective? Are responsibilities and reporting lines clear? Is decision-making transparent and undertaken in a timely manner? Recommend areas for improvement.
- Review the quality of execution of the Executing Agency/Implementing Partner(s) and recommend areas for improvement.
- Review the quality of support provided by the GEF Partner Agency (UNDP) and recommend areas for improvement.

Work Planning:

- Review any delays in project start-up and implementation, identify the causes and examine if they have been resolved.
- Are work-planning processes results-based? If not, suggest ways to re-orientate work planning to focus on results?
- Examine the use of the project's results framework/ logframe as a management tool and review any changes made to it since project start.

Finance and co-finance:

- Consider the financial management of the project, with specific reference to the cost-effectiveness of interventions.
- Review the changes to fund allocations as a result of budget revisions and assess the appropriateness and relevance of such revisions.
- Does the project have the appropriate financial controls, including reporting and planning, that allow management to make informed decisions regarding the budget and allow for timely flow of funds?
- Informed by the co-financing monitoring table to be filled out, provide commentary on co-financing: is co-financing being used strategically to help the objectives of the project? Is the Project Implementing Partner meeting with all co-financing partners regularly in order to align financing priorities and annual work plans?

Project-level Monitoring and Evaluation Systems:

- Review the monitoring tools currently being used: Do they provide the necessary information? Do they involve key partners? Are they aligned or mainstreamed with national systems? Do they use existing information? Are they efficient? Are they cost-effective? Are additional tools required? How could they be made more participatory and inclusive?
- Examine the financial management of the project monitoring and evaluation budget. Are sufficient resources being allocated to monitoring and evaluation? Are these resources being allocated effectively?

Stakeholder Engagement:

- Project management: Has the project developed and leveraged the necessary and appropriate partnerships with direct and tangential stakeholders?
- Participation and country-driven processes: Do local and national government stakeholders support the objectives of the project? Do they continue to have an active role in project decision-making that supports efficient and effective project implementation?
- Participation and public awareness: To what extent has stakeholder involvement and public awareness contributed to the progress towards achievement of project objectives?

Reporting:

- Assess how adaptive management changes have been reported by the project management and shared with the Project Board.
- Assess how well the Project Implementing Partner and country-partners undertake and fulfil GEF reporting requirements (i.e. how have they addressed poorly-rated PIRs, if applicable?)
- Assess how lessons derived from the adaptive management process have been documented, shared with key partners and internalized by partners.

Communications:

- Review internal project communication with stakeholders: Is communication regular and effective? Are there key stakeholders left out of communication? Are there feedback mechanisms when communication is received? Does this communication with stakeholders contribute to their awareness of project outcomes and activities and investment in the sustainability of project results?
- Review external project communication: Are proper means of communication established or being established to express the project progress and intended impact to the public (is there a web presence, for example? Or did the project implement appropriate outreach and public awareness campaigns?)
- For reporting purposes, write one half-page paragraph that summarizes the project's progress towards results in terms of contribution to sustainable development benefits, as well as global environmental benefits.

**iv. Sustainability**

- Validate whether the risks identified in the Project Document, Annual Project Review/PIRs and the ATLAS Risk Management Module are the most important and whether the risk ratings applied are appropriate and up to date. If not, explain why.
- In addition, assess the following risks to sustainability:

Financial risks to sustainability:

- What is the likelihood of financial and economic resources not being available once the GEF assistance ends (consider potential resources can be from multiple sources, such as the public and private sectors, income generating activities, and other funding that will be adequate financial resources for sustaining project's outcomes)?

Socio-economic risks to sustainability:

- Are there any social or political risks that may jeopardize sustainability of project outcomes? What is the risk that the level of stakeholder ownership (including ownership by governments and other key stakeholders) will be insufficient to allow for the project outcomes/benefits to be sustained? Do the various key stakeholders see that it is in their interest that the project benefits continue to flow? Is there sufficient public / stakeholder awareness in support of the long-term objectives of the project? Are lessons learned being documented by the Project Implementing Partner on a continual basis and shared/ transferred to appropriate parties who could learn from the project and potentially replicate and/or scale it in the future?

Institutional Framework and Governance risks to sustainability:

- Do the legal frameworks, policies, governance structures and processes pose risks that may jeopardize sustenance of project benefits? While assessing this parameter, also consider if the required systems/ mechanisms for accountability, transparency, and technical knowledge transfer are in place.

Environmental risks to sustainability:

- Are there any environmental risks that may jeopardize sustenance of project outcomes?

**Conclusions & Recommendations**

The MTR Consultant will include a section of the report setting out the MTR's evidence-based conclusions, in light of the findings. [8]

Recommendations should be succinct suggestions for critical intervention that are specific, measurable, achievable, and relevant. A recommendation table should be put in the report's executive summary. See the *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects*for guidance on a recommendation table.

The MTR Consultant should make no more than 10 recommendations total.

**Ratings**

The MTR Consultant will include its ratings of the project's results and brief descriptions of the associated achievements in a *MTR Ratings & Achievement Summary Table* in the Executive Summary of the MTR report. See Annex E for ratings scales. No rating on Project Strategy and no overall project rating is required.

MTR Ratings & Achievement Summary Table

| Measure | MTR Rating | Achievement Description |
|---|---|---|
| **Project Strategy** | N/A | |
| **Progress Towards Results** | Objective Achievement Rating: (rate 6 pt. scale) | |
| | Outcome 1 Achievement Rating: (rate 6 pt. scale) | |
| | Outcome 2 Achievement Rating: (rate 6 pt. scale) | |
| | Outcome 3 Achievement Rating: (rate 6 pt. scale) | |
| | Etc. | |
| **Project Implementation & Adaptive Management** | (rate 6 pt. scale) | |
| **Sustainability** | (rate 4 pt. scale) | |

**6. TIMEFRAME**

The total duration of the MTR will be approximately *6 weeks* starting March 2017, and shall not exceed four (2) months from when the consultant is hired. The tentative MTR timeframe is as follows:

| TIMEFRAME | ACTIVITY |
|---|---|
| February 25, 2017 | Application closes |
| 2 March 2018 | Select MTR Consultant |
| Within 1 week after contract signing | Prep the MTR Consultant (handover of Project Documents) |
| *2 weeks after contract signing (April 1)* | Document review and preparing MTR Inception Report |
| | Finalization and Validation of MTR Inception Report- latest start of MTR mission |
| *14 days (2 weeks)* | MTR mission: stakeholder meetings, interviews, field visits |
| 1 day | Mission wrap-up & presentation of initial findings to the Project Steering Committee |
| *10 days* | Preparing draft report |
| *2 days* | Incorporating audit trail from feedback on draft report/Finalization of MTR report |
| | Preparation & Issue of Management Response |
| 23 May 2018 | Expected date of full MTR completion |

Options for site visits should be provided in the Inception Report.

**7. MIDTERM REVIEW DELIVERABLES**

| # | Deliverable | Description | Timing | Responsibilities |
|---|---|---|---|---|
| **1** | **MTR Inception Report** | MTR Consultant clarifies objectives and methods of Midterm Review | No later than 2 weeks before the MTR mission | MTR Consultant submits to the Commissioning Unit and project management |
| **2** | **Presentation** | Initial Findings | End of MTR mission | MTR Consultant presents to project management and the Commissioning Unit |
| **3** | **Draft Final Report** | Full report (using guidelines on tent outlined in Annex B) with iexes | Within 3 weeks of the MTR mission | Sent to the Commissioning Unit, reviewed by RTA, Project Coordinating Unit, GEF OFP |
| **4** | **Final Report*** | Revised report with audit trail detailing how all received comments have (and have not) been addressed in the final MTR report | Within 1 week of receiving UNDP comments on draft | Sent to the Commissioning Unit |

*The final MTR report must be in English. If applicable, the Commissioning Unit may choose to arrange for a translation of the report into a language more widely shared by national stakeholders.

**8. MTR ARRANGEMENTS**

The principal responsibility for managing this MTR resides with the Commissioning Unit. The Commissioning Unit for this project's MTR is UNDP China. The commissioning unit will contract the consultant – after review of the selected candidate by UNDP CO together with the Project Management Office - and ensure the timely provision of per diems and travel arrangements to all countries to be visited for the MTR Consultant. UNDP CO will be responsible for liaising with the MTR Consultant to provide all relevant documents, set up stakeholder interviews, and arrange field visits. The MTR Consultant will meet virtually with the UNDP CO and UNDP RTA to discuss the evaluation's scope and objectives, as well as to debrief the UNDP on the evaluation's findings.

**9. QUALIFICATIONS**

The consultant cannot have participated in the project preparation, formulation, and/or implementation (including the writing of the Project Document) and should not have a conflict of interest with project's related activities.
The selection of consultant will be aimed at maximizing the overall qualities in the following areas:

- Experience applying SMART indicators and reconstructing or validating baseline scenarios (5%);
- Competence in adaptive management, as applied to sustainable fisheries (5%)
- Previous Experience working with the GEF or GEF-evaluations (20%);
- Experience working in the East Asian Region, particularly China and RO Korea (15%)
- Work experience in the field of ocean governance, or fisheries management, or ecosystem-based management, preferably at the LME level for at least 10 years (15%);
- Demonstrated understanding of issues related to gender; experience in gender sensitive evaluation and analysis (10%).
- Excellent communication analytical skills (10%);
- Project evaluation/review experiences within United Nations system will be considered an asset (10%);
- A Master's degree in environmental management, fisheries management, community development, or other closely related field (10%).

The International Consultant, will primarily cover the tasks, but not limited to the following:

1. Prepare the MTR Inception Report including a detailed plan of the mission with an interview schedule, evaluation questions and provide it to the UNDP and CPMU no later than 2 weeks before the MTR mission
2. Ensure the conduct of evaluation activities as agreed on with PMO and UNDP; (including visits to China and RO Korea)
3. Consolidate and analyze data and information gathered during the evaluation;
4. Finalize the MTE Report;

In consultation with the Consultant and as requested, the UNDP CO will make available all relevant documentation and provide contact information to key project partners and stakeholders, and facilitate contact where needed. The Consultant will request UNDP CO to assist in organizing any briefing de-briefing meetings including coordination of stakeholders' input in the evaluation draft report.

**10. PAYMENT MODALITIES AND SPECIFICATIONS**

Consultants will be contracted by UNDP and remunerated according to the reviewed and accepted financial proposal. The contract will be output-based and payment issued only upon delivery of satisfactory outputs/milestones.

**Table 6. Payment Schedule**

| % | Milestone |
|---|---|
| 20% | Following submission and acceptance of the MTR mission Inception Report |
| 40% | Following submission and approval of the 1ST draft MTR report |
| 40% | Following submission and approval (UNDP CO and IW RTA) of the final MTR report |

**11. APPLICATION PROCESS**

Applicants are requested to apply online (https://jobs.undp.org/cj_view_job.cfm?cur_job_id=76306). Individual consultants are invited to submit applications together with their CV for these positions.
The application should contain a current and complete C.V. in English with indication of the e-mail and phone contact. Shortlisted candidates will be requested to submit a price offer indicating the total cost of the assignment (lumpsum / daily fees only).

UNDP applies a fair and transparent selection process that will take into account the competencies/skills of the applicants as well as their financial proposals. Qualified women and members of social minorities are encouraged to apply.

## Annex 2: Documents reviewed

1. YSLME TDA (from Phase I Project).
2. YSLME SAP (from Phase I Project).
3. Terminal Evaluation (TE) Report for Phase I Project.
4. GEF Project Identification Form (PIF).
5. UNDP Project Document (ProDoc).
6. Project Inception Report (July 2017).
7. Project Implementation Report (PIR) (2017).
8. Two Annual Progress Reports (APRs) (2016 & 2017).
9. GEF-IW Tracking Tool for April 2018 (mid-term) (completed by PMO).
10. Terms of reference for Interim Commission Council (ICC) and subsidiary bodies.
11. Minutes of ICC and Management, Science and Technical Panel (MSTP) meetings.
12. Minutes of six Regional Working Group (RWG) meetings.
13. Project Cooperation Agreements (PCAs) between UNOPS and three partner institutions in PRC.
14. Various consultancy ToRs.
15. Various Technical reports (including relating to Phase I Project).
16. Workplan (2017-2019).

# Annex 3: MTR Questionnaire

- The Questionnaire was emailed to all stakeholders listed in Annex 4.
- Only five were returned by email. The responses are incorporated and reflected in the MTR findings as presented in the main sections of the MTR Report above.
- The Questionnaire was also used as a framework to guide discussions during consultation meetings with stakeholders.

# UNDP-GEF
# Yellow Sea Large Marine Ecosystem (YSLME) Project - Phase II

## MID TERM REVIEW (MTR)

## Stakeholder Questionnaire - March 2018

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EXPLANATORY NOTES:

1. In accordance with UNDP-GEF requirements a Mid-Term Review (MTR) is being carried out for the YSLME Project - Phase II.

2. The MTR is being carried out by Steve Raaymakers of EcoStrategic Consultants (www.eco-strategic.com).

3. This Questionnaire provides stakeholders with an opportunity to express their views on the successes, failures and lessons learned during the implementation of the Project **to date**.

4. Questionnaire responses will be used by the MTR Consultant to help formulate recommendations as to:
   - *how the YSLME Project might be improved for the remainder of its duration, and*
   - *how a possible extension to the project could be refined / designed / improved.*

5. This Questionnaire gives YOU / YOUR ORGANIZATION an opportunity to have YOUR SAY.

6. You do not need to answer all questions - but the more you answer - the more useful it will be.

7. All responses will be treated as **ANONYMOUS** in the MTR Report – there is no need to identify yourself on the Questionnaire.

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***Please feel free to add additional spaces / pages as required.***

Please complete and email to central@eco-strategic.com
before
cob **Friday 23 March 2018**.

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| ***Question*** | **Stakeholder Response** (please use as much text as you wish to explain your responses) |
|---|---|
| ***Project Strategy:*** | |
| 1. *In your view, to what extent is the project strategy relevant to country needs and priorities?* | |
| 2. *In your view, is there a good level of country "ownership" of the project? E.g:* | |
| *2.1 Do the countries feel that the project objectives, outcomes, outputs and activities are relevant to their needs and priorities?* | |
| *2.2 Do the countries give priority to allocating time and resources to implementing the project?* | |
| *2.3. Do the countries promote the project as being important, through international, national and local communications, public relations and media activities?* | |
| 3. *In your view, has the project to date been effective in building relationships and cooperation at the Regional level (between countries and with other regional programs)?* | |
| 4. *In your view, has the project to date been effective in building relationships and cooperation at the National level (between and across ministries and agencies and different sectors of the economy)?* | |
| 5. *Would you suggest any improvements to the Project Strategy at the Regional level?* | |
| 6. *Would you suggest any improvements to the Project Strategy at the National level?* | |
| ***Progress Towards Results:*** | |
| 7. *To what extent have the project objectives, outcomes and outputs been achieved to date?* | |
| 8. *How far do you think the project's objectives, outcomes and outputs will be achieved by project end?* | |
| 9. *To what extent has the project assisted in the development of sustainable policy, legal and institutional arrangements for the cooperative ecosystem based management of the YSLME, at both the regional and national levels?:* | |
| 10. *Would you suggest any improvements in achieving the project's objectives, outcomes and outputs? Please specify the areas for improvement:* | |

| ***Question*** | **Stakeholder Response** (please use as much text as you wish to explain your responses) |
|---|---|
| ***Implementation & Adaptive Management:*** | |
| *11. Do you have any comments on the organization, management and contractual arrangements for the project?* | |
| *12. Please comment on the performance of UNOPS, the PMO and other institutions that are implementing the project.* | |
| *13. Have the project's resources including personnel been appropriate for the project?* | |
| *14. Have there been any changes in external and internal conditions (e.g. political, institutional, financial etc) that have affected the project?* | |
| *15. Has project management successfully adapted to any changing conditions thus far?* | |
| *16. To what extent are monitoring and evaluation systems supporting project implementation?* | |
| *17. Would you suggest any improvements to assist in project implementation and adaptive management?* | |
| ***Sustainability:*** | |
| *18. What are your views on the following risks to sustaining long-term project results?* | |
| *- Financial risks:* | - |
| *- Political risks:* | |
| *- Institutional risks:* | |
| *- Socioeconomic risks:* | |
| *- Environmental risks:* | |
| 19. *What do you see as the prospects for ongoing sustainability of project-related activities after the current project ends?:* | |
| 20. *What measures have the project, countries and partners put in place to ensure ongoing post-project sustainability?* | |
| 21. *What additional measures are still needed in order to ensure long-term sustainability?* | |
| *22. Any other comments & recommendations:* | |

***Please feel free to add additional spaces / pages as required.***

Please complete and email to central@eco-strategic.com before cob **Friday 23 March 2018**.

# Annex 4: YSLME Stakeholders and those interviewed

[those interviewed are highlighted in **yellow**]

| | | |
|---|---|---|
| **INTERNATIONAL / REGIONAL / UN:** | **UNDP Regional:** | **Dr. Jose PADILLA**<br>Regional Technical Adviser<br>Coasts, Marine & Waters<br>UNDP Regional Hub Bangkok<br>jose.padilla@undp.org<br>**(consulted via Skype)** |
| | **UNDP China Country Office (CO):** | **Mr. Chaode MA**<br>Programme Director<br>Biodiversity & Ecosystems<br>UNDP China<br>Beijing<br>chaode.ma@undp.org<br>**(consulted via Skype)** |
| | | **Ms. Xinhua Zhao**<br>Programme Associate<br>Energy & Environment<br>UNDP China<br>Beijing<br>xinhua.zhao@undp.org |
| | | **Ms Cheng Zheng**<br>Programme Assistant<br>Energy & Environment<br>UNDP China<br>Beijing<br>cheng.zheng@undp.org |
| | **UNDP RoK Country Office (CO):** | **Mr. Balazs Horvath**<br>Director<br>UNDP Seoul Policy Center<br>Seoul<br>balazs.horvath@undp.org |
| | | **Ms. Sarwat Chowdhury**<br>Policy Specialist<br>UNDP Seoul Policy Center<br>Tel: 82-2-3290-5205<br>Cell: 010 2754 2814<br>Email: Sarwat.chowdhury@undp.org |
| | **UNOPS (non-PMO):** | **Ms. Katrin Lichtenberg**<br>Portfolio Manager<br>UNOPS Geneva<br>KatrinaL@unops.org |
| | **YSLME Phase II Project Management Office (PMO):** | **UNOPS Incheon**<br>Mr. Guo Yinfeng<br>Chief Technical Adviser / Project Manager<br>Email: YinfengG@unops.org |
| | | **Dr. Sangjin Lee**<br>Environmental Economist<br>Email: SangjinL@unops.org |
| | | **Mr. Zhengguang Zhu**<br>Environment Officer<br>Email: ZhengguangZ@unops.org |
| | | **Mr. Minsoo Kim**<br>Operations Associate<br>Email: MinsooK@unops.org |
| | **Regional Working Groups (RWGs):** | Chair – Habitat<br>**Mr. Gyung Soo PARK**<br>Dean, College of Letters and Science |

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| | | Department of Marine Biotechnology<br>Anyang university<br>602-14, Jungang-ro, Buleun-myeon<br>Ganghwa-gun, Incheon, 417-833<br>RO Korea<br>Tel: 82-32-930-6032, 82-10-2051-8699`<br>Fax: 82-32-930-6036<br>Email: gspark@anyang.ac.kr<br><br>Chair - Fisheries<br>**Mr. Xianshi JIN**<br>Director General<br>Yellow Sea Fisheries Research Institute (YSFRI) Chinese Academy of Fishery Sciences (CAFS)<br>No.106 Nanjing Road, Qingdao, Shandong, 266071, PR China<br>Email: jin@ysfri.ac.cn<br><br>Chair - Mariculture<br>**Mr. Jianguang FANG**<br>Professor<br>Yellow Sea Fisheries Research Institute,<br>Chinese Academy of Fishery Sciences<br>106 Nanjing Road, Qingdao, 266071, P.R. China<br>Tel: +86-532-85822957<br>Email: fangjg@ysfri.ac.cn<br><br>Chair - Pollution<br>**Ms. Juying WANG**<br>Deputy Director General<br>National Marine Environmental Monitoring Centre,<br>State Oceanic Administration,<br>Linghe Street 42, Dalian, 116023, P.R. China<br>Tel: +86-411-84782526<br>Email: jywang@nmemc.org.cn<br><br>Chair - Assessment & Monitoring<br>**Mr. Se-Jong JU**<br>Principal Research Scientist<br>Deep-Sea and Seabed Resources Research Division<br>**Korea Institute of Ocean Science & Technology**<br>787 Haeanro, Ansan, Gyeonggi-do, 15627, RO Korea<br>Tel: +82-31-400-7684, +82-10-3447-0526<br>Email: sjju@kiost.ac.kr<br>Chair - Governance<br><br>**Mr. Suh-Yong CHUNG**<br>Director<br>Division of International Studies of Korea University<br>Center for Climate and Sustainable Development, Law and Policy, Seoul International Law Academy<br>Inchon-ro 73, Seongbuk-Gu,<br>Seoul 136-701, RO Korea<br>Email: mahlerchung@gmail.com |
| | **PEMSEA:** | **Ms. Aimee GONZALES**<br>Executive Director<br>PEMSEA<br>PEMSEA Office Building, DENR Compound, Visayas Ave.,<br>Quezon City, Philippines 1101<br>Telephone: +63 (2) 9292992<br>E-mail Address: agonzales@pemsea.org<br><br>Jae-Young Lee<br>Deputy Head of Planning and Partnership Development<br>PEMSEA (Partnerships in Environmental Management for the Seas of East Asia)<br>tel: (632) 929-2992 (loc. 107)<br>fax: (632) 926-9712<br>email: jlee@pemsea.org / jylee0403@gmail.com<br>website: www.pemsea.org |

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| | **WWF Korea:** | **Mr. Sei-Woong Yun**<br>CEO<br>WWF Korea<br>Email: info@wwfkorea.or.kr |
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| | National Focal Point (NFP): | **Mr. Fengkui LIANG**<br>Associate Counsel<br>Department of International Cooperation,<br>State Oceanic Administration<br>1 Fuxingmen Avenue, Xicheng Qu, Beijing,<br>100045, P.R. China<br>Tel: +86-010-68019791<br>Email: liangfengkuisoa@163.com |
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| | National Working Groups (NWGs): | PRC NWG Habitat<br>**Dr. Zhaohui ZHANG**<br>Director<br>Research Center for Marine Ecology,<br>The First Institute of Oceanography,<br>State Oceanic Administration<br>NO.6 Xianxialing Road, Qingdao, 266061,<br>P.R. China<br>Tel: +86-532-88968526<br>Email: zhang@fio.org.cn<br>**[met with staff, not Dr Zhang)** |
| | | PRC NWG Fisheries<br>**Mr.XianshiJIN**<br>Director General<br>Yellow Sea Fisheries Research Institute (YSFRI), Chinese Academy of Fishery Sciences (CAFS)<br>No.106 Nanjing Road, Qingdao, Shandong, 266071, PR China<br>Email: jin@ysfri.ac.cn<br><br>**Ms. Xiujuan SHAN**<br>Deputy director<br>Division of Fishery Resources and Ecosystem<br>Yellow Sea Fisheries Research Institute (YSFRI), Chinese Academy of Fishery Sciences (CAFS)<br>No.106 Nanjing Road, Qingdao, Shandong, 266071, PR China<br>Email: shanxj@ysfri.ac.cn |
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| | | PRC NWG Assessment & Monitoring<br><br>**Mr. Shouqiang WANG** |

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| | PRC Local Govt.: | **Yubao Yuan**<br>Division Chief<br>Project Management Office<br>Shandong Ocean and Fisheries Department<br>Email: hssd.19166@163.com |
| | | |
| | PRC NGO: | **Ms. Bian Yuqin**<br>Secretary<br>BlueRibbon Ocean Conservation Association<br>1021362967@qq.com |
| | | **Mr. Jiaye MENG**<br>Secretary General<br>Blue Ribbon Ocean Conservation Association<br>Email: 86302786@qq.com<br><br>**Jing WANG**<br>Marine Program Manager<br>Conservation International China<br>Email: jwang@conservation.org |
| | PRC Gender: | Women engaged in Weihai mariculture |
| | | |
| | PRC Private Sector: | **Junwei Wang**<br>Chudao Fisheries Development Cooperation<br>Rongcheng, Weihai, Shandong |
| | PRC Marine Science | **Quanbin Wang**<br>Program Manager<br>China-Korea Joint Ocean Research Centre<br>Quingdao<br>wqb@ckjork.org |
| | **RO KOREA (RoK):** | |
| | National Focal Point (NFP): | **Mr. Sei-joong KWON**<br>Director-General<br>Climate Change, Energy and Environmental Affairs Bureau,<br>Ministry of Foreign Affairs (MOFA) |

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| | Other National Govt.: | **Mr. Jeong-ho SEO**<br>Head of Delegation-KOREA<br>Director<br>Marine Environment Policy Division,<br>Marine Policy Office,<br>Ministry of Oceans and Fisheries (MOF)<br>Government Complex Sejong, 5-Dong, 94, Dasom2-Ro,<br>Sejong-City, 30110, RO Korea<br>Email: seo2919@korea.kr |
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| | | **Mr. Young Jae IM**<br>Assistant Director<br>Marine Environment Policy Division, Marine Policy Office,<br>Ministry of Oceans and Fisheries (MOF)<br>Government Complex Sejong, 5-Dong, 94, Dasom2-Ro,<br>Sejong-City, 30110, RO Korea<br>Tel: +82-44-200-5286, +82-10-3044-9390<br>E-mail: navyblue922@korea.kr |
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| | | RoK NWG Habitat<br>**Mr. Keun-Hyung CHOI**<br>Assistant professor<br>Department of Oceanography and Ocean Environmental Sciences<br>Chungnam National University<br>99 Daehak-ro, Yuseong-gu, Daejeon, 34134 |

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|---|---|---|
| | | RO Korea<br>Tel: 82-42-821-6432<br>Email: keunhchoi@cnu.ac.kr |
| | | RoK NWG Fisheries<br>**Mr. Junghee CHO**<br>Director General<br>Fisheries Research Division<br>Korea Maritime Institute (KMI)<br>26 Haeyang-ro 301 beon-gil, Yeongdo-gu,<br>Busan, 49111, RO Korea<br>Email: jcho5901@kmi.re.kr; Kingfish21@gmail.com |
| | | RoK NWG Mariculture<br>**Ms. Mi Seon PARK**<br>Chair<br>Researcher<br>Southeast Sea Fisheries Research Institute<br>National Institute of Fisheries Sciences<br>Ministry of Oceans and Fisheries<br>397-68, Sanyangilju-ro, Sangyang-eup, Tongyeong-si,<br>Gyoengsangnam-do, RO Korea, 53085<br>Tel: +82 55-640-4770<br>Email: oysterking@korea.kr |
| | | RoK NWG Pollution<br>**Mr. Jae Ryoung OH**<br>ROK National Coordinator<br>Principal Researcher<br>South Sea Research Institute, Korea Institute of Ocean Science and Technology(KIOST)<br>41 Jangmok-myon, Geoje, Gyungnam, 656-834, RO Korea<br>Email: jroh@kiost.ac.kr; jaekordi@gmail.com |
| | | RoK NWG Assessment & Monitoring<br>**Mr. Jung Hoon KANG**<br>Principal Research Scientist<br>South Sea Research Institute,<br>**Korea Institute of Ocean Science & Technology**<br>41 Jangmok-myon, Geoje, Gyungnam,<br>656-834, RO Korea<br>Tel: +82-10-5059-1249<br>Email: jhkang@kiost.ac |
| | RoK Local Govt.: | **Mr. Naksik JUNG**<br>Marine Environment Team Manager<br>Marine & Islands Policy Division, Marine Environment Team of Incheon Metro Politan City<br>#1402, Meet-You-All-tower, 12 Gaetbeol-ro, Yeonsu-gu,<br>Incheon, 21999, RO Korea<br>Tel: +82-(0)32-440-4891<br>Email: 4403613@korea.kr |
| | | **Ms. Kookhwa LEE**<br>Marine & Islands Policy Division, Marine Environment Team of Incheon Metro Politan City<br>#1402, Meet-You-All-tower, 12 Gaetbeol-ro, Yeonsu-gu,<br>Incheon, 21999, RO Korea<br>Tel: +82-(0)32-440-4893 / +82-10-<br>Email: i4403535@korea.kr |
| | | |
| | RoK NGO: | **Ms. Ji Young JANG**<br>Principal Researcher<br>Eco-Horizon Institute<br>2F, 561-60, Yeonnam-dong Mapo-gu, Seoul<br>121-869, RO Korea<br>Tel: 82-2-338-9572, 82-18-730-7775 |

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| | | Fax: 82-2-338-9575<br>Email: ecojangjy@gmail.com<br><br>**Ms. Yongran LEE**<br>Ocean Programme Senior Officer<br>WWF Korea<br>Seoul Global Center,<br>38 Jong-ro, Jongno-gu,<br>Seoul 03188, RO Korea<br>Tel: +82-070-7434-4253<br>Email: ylee@wwfkorea.or.kr |
| | RoK Gender: | |
| | | |
| | RoK Private Sector: | **Mr. BonKyung KOO**<br>Director<br>HydroCore LTD<br>1104 Byuksan-Digital-Valley-6, Gumcheon, Seoul, RO Korea 153-704<br>Tel (office): 82-2-2627-3571<br>Mobile: 82-10-7271-5811<br>Fax: 82-2-2627-3579<br>Email: bkkoo@hydrocore.co.kr<br>Website:www.hydrocore.co.kr |
| | | **Mr. Si Wan LEE**<br>Director<br>Korea Institute of Environmental Ecology<br>754 Gwanpyung-dong Yusung-gu<br>Daejeon, 305-509, RO Korea<br>Tel: 82-42-825-6477<br>Fax: 82-42-825-6478<br>Email: jiam@kienv.co.kr<br><br>**Mr. Jinho CHAE**<br>Head Researcher<br>Marine Environmental Research Lab<br>B1601 Gunpo IT Valley 17, Gosan-ro 148 beon gil<br>Gunposi, Gyeonggi-do, 15850,<br>RO Korea<br>Tel: +82-10-5616-3969<br>Email:jinhochae@gmail.com |
| | ROK Marine Science | **Jung, Kyung Tae**<br>Deputy Director<br>China-Korea Joint Ocean Research Centre<br>Quingdao<br>ktjung@ckjork.org |

# Annex 5: MTR mission itinerary

| Date | Activities |
|---|---|
| 25 March (Sun) | • Arrive in Dalian. |
| 26 March (Mon) | • Initial briefings from PM and staff. |
| 27-28 March (Tues-Wed) | • Participate in MSTP and ICC.<br>• Present MTR Inception Report PM 27 March.<br>• Meeting with UNOPS.<br>• Meetings with PRC Govt delegates as time allowed during coffee and lunch breaks. |
| 29 March (Thurs) | • AM: Field visit to spotted seal MPA in Dalian Bay.<br>• PM: Visit to NMEMC, consultations with staff and tour of facilities. |
| 30 March 30 (Fri) | • Consolidate material and begin drafting report. |
| 31 March 31 – 1 April (Sat-Sun) | • Fly to Weihai.<br>• Visit Blue Bay and Double Island Bay coastal development sites.<br>• Visit Sungo Bay IMTA site.<br>• Meet with Weihai Ocean and Fishery Bureau to discuss:<br>  • Fish buyback scheme implementation.<br>  • Sustainable livelihoods for fishermen participating in buyback scheme.<br>  • Marine litter management and cooperation. |
| 2 April (Mon) | • Train Weihai to Qingdao.<br>• Consultations at FIO.<br>• Consultations at JORC.<br>• Fly to Incheon. |
| 3 April (Tues) | • Day off due to illness. |
| 4 April (Weds) | • Meetings with PMO in Songdo. |
| 5 April (Thurs) | • Meetings with ROK Govt in Seoul. |
| 6 April (Fri) | • Work-planning session and wrap-up meeting with PMO. |
| 7 April (Sat) | • Fly back to home-base. |

# Annex 6: Project Activities and Gantt Chart workplans to Project-end

**YSLME Phase II: Gantt Chart - Activity Workplan for reminder of project timeline**
**COMPONENT 1: Ensuring sustainable regional and national cooperation for ecosystem based management, based on strengthened institutional structures and improved knowledge for decision making**

***In 'Status' column Insert: 'C' (Completed), 'U' (Underway), 'NYS' (Not Yet Started) or 'D' (deleted at ICC2 March 18)**

| Output | Activity | Budget (US$) | *Status Mar 18 | 2018 | | | | | | | | | 2019 | | | | | | | | | | |
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| **OUTCOME 1.1:** Regional governance structure, the YSLME Commission established and functional, based on strengthened partnerships & regional co-ordination; wider stakeholder participation and enhanced public awareness. | | | | | | | | | | | | | | | | | | | | | | | |
| **Output 1.1.1:** Regional agreement to establish the YSLME Commission, Management, Science and Technical Panel (MSTP) and Regional Working Group (RWGs); national and regional policies drafted and implemented. | **Activity 1.** Review, refine and adopt TORs of ICC and subsidiary bodies (MSTP, RWGs, IMCCs, NCs, NWGs, UNOPS) and membership of ICC and subsidiary bodies (MSTP, RWGs, IMCC, NWGs); appoint NCs; | | C | | | | | | | | | | | | | | | | | | | | |
| | **Activity 2.** Evaluate the NSAP implementation, update TDA and develop policy recommendations of SAP (2020-2030) | 25,952 | NYS Consultant | | | | | | | | | | | | | | | | | | | | |
| | **Activity 3.** Prepare, agree to and implement a roadmap for a sustainable regional mechanism for implementation of SAP | | C | | | | | | | | | | | | | | | | | | | | |
| | **Activity 4.** Refine and adopt rules of procedure of Interim Commission Council | | C | | | | | | | | | | | | | | | | | | | | |
| | **Activity 5.** Recruit UNOPS staff, refine and adopt TOR | | C | | | | | | | | | | | | | | | | | | | | |
| | **Activity 6.** Conduct inception workshop, 1st Interim Commission Council meeting and annual meetings of the Council, and publish proceedings of meetings | 25,705 | U PMO task | | | | | | | | | ICC -3 | | | | | | | | | | ICC - 4 | | |
| | **Activity 7.** Conduct preparatory meeting for inception | | C | | | | | | | | | | | | | | | | | | | | |
| | **Activity 8**. Conduct annual meetings of MSTP and publish proceedings of meetings: | 25,705 | U PMO task | | | | | | | | | MSTP-3 | | | | | MSTP-4 | | | | | | |
| | **Activity 9.** Conduct RWG meetings and prepare proceedings to | 97,073 | U PMO task | | | RWG-A | RWG - G | RWG - M | RWG – H/ RWG- | | | | RWG meetings | | | | | | | | | | |

| Output | Activity | Budget (US$) | *Status Mar 18 | 2018 | | | | | | | | | 2019 | | | | | | | | | | |
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| | review TORs, regional guidelines/ strategies/ plan, and progress reports as specified in component 2-4 | | | | | | | | F/ RWG-P | | | | for 2019 are TBD → | | | | | | | | | | |
| | **Activity 10.** Identify, agree and establish legal personality or other arrangement of the YSLME Commission to enable it enter into agreements with other legal entities; | 32,850 | U TF/consultant | | Follow-on activities critically dependent on rapid UNOPS processing of consultants | | | | | | | | | | | | | | | | | | | |
| | **Activity 11.** Establish quality management system of the Secretariat including financial management system, HR rules and regulations, staff code of conduct, audit mechanism, program management, etc. | 13,140 | NYS TF/consultant | | | Follow-on activities critically dependent on rapid UNOPS processing of consultants | | | | | | | | | | | | | | | | | | |
| | **Activity 12.** Conduct of TF meetings on issues identified by the MSTP | 41,635 | NYS PMO task | | | | | | | | | | | | | | | | | | | | | |
| | **Activity 13.** Strengthening partnerships and develop joint programme(s) to mobilize resources with regional institutions. | 21,900 | NYS PMO task | | | | | | | | | | | | | | | | | | | | | |
| **OUTCOME 1.2:** Improved inter-sectoral coordination and collaboration at the national level, based on more effective IMCCs | | | | | | | | | | | | | | | | | | | | | | | | |
| **Output 1.2.1** National level agreements regarding ecosystem-based management actions, policies, regulations and standards promulgated, as appropriate | **Activity 1.** Organize bi-annual meetings of the IMCC to coordinate implementation of YSLME SAP | | U (national responsibility) | | | | | | | | | | | | | | | | | | | | | |
| | **Activity 2.** Establish inter-sector management boards for demonstration sties including provincial and local governments and organize meetings and operationalize the mechanisms | | C | | | | | | | | | | | | | | | | | | | | | |
| | **Activity 3.** Assemble data and review National SAP implementation plans | 87,600 | U (China – PCA with all 3/ RO Korea – Co-financing) | | | | | | | | | | | | | | | | | | | | | |
| | **Activity 4.** Conduct consultation and adopt | | D | | | | | | | | | | | | | | | | | | | | | |

| Output | Activity | Budget (US$) | *Status Mar 18 | 2018 | | | | | | | | | 2019 | | | | | | | | | | |
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| | NSAP and Implementation Plan by IMCC | | | | | | | | | | | | | | | | | | | | | | |
| | **Activity 5.** Prepare NSAP implementation review reports and make strategic policy recommendations | 16,425 | NYS Combined with output 1.1.1 Act2 | | | | | | | | | | | | | | | | | | | | |
| **OUTCOME 1.3:** Wider participation in SAP implementation fostered through capacity building and public awareness, based on strengthened Yellow Sea Partnership and wider stakeholder participation; improved environmental awareness; enhanced capacity to implement ecosystem-based management | | | | | | | | | | | | | | | | | | | | | | | |
| **Output 1.3.1:** Agreements with partners on overall environment co-operation and management, relevant fishery management, marine habitat conservation and pollution reduction, at both national and regional levels; cross sector partnerships established and operational | **Activity 1.** Develop Regional and National Guidelines regarding the involvement of Stakeholder groups in the implementation of the Yellow Sea SAP management actions | | C | | | | | | | | | | | | | | | | | | | | |
| | **Activity 2.** Strengthening partnerships with existing regional mechanisms (NOWPAP, PEMSEA, IOC/WESTPAC, COBSEA, EAAFP, UNESCAP): Guideline development, regional agreements, regular meetings erc. | 68,766 | U PMO task | | | | | | | | | | | | | | | | | | | | |
| | **Activity 3.** Strengthening partnerships with existing bilateral mechanisms: Joint activity & Regional workshop | 45,443 | U (combined with biodiversity forum – output 4.2.1 Act 1) PMO task | | | | | | | | | | | | | | | | | | | | |
| | **Activity 4**. Design, establish, maintain and support an interactive YSLME Partnership portal with functionalities of helpdesk, search, partner website linkage, component integration, virtual EBM-LME academy (English, Chinese, Korean) | 43,800 | NYS PMO and UNOPS task | | | | | | | | | | | | | | | | | | | | |
| | **Activity 5.** Populate portal of legal clearing | 78,840 | U PMO and UNOPS task | | | | | | | | | | | | | | | | | | | | |

| Output | Activity | Budget (US$) | *Status Mar 18 | 2018 | | | | | | | | | 2019 | | | | | | | | | | |
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| | house with support of internship | | | | | | | | | | | | | | | | | | | | | | |
| **Output 1.3.2:** National public awareness in support of YSLME SAP achieved; data and information collected; jointly managed databases developed, publicly accessible information for implementing management plans at the regional, national and local levels. | **Activity 1.** Produce project profile (brochure) | | C | | | | | | | | | | | | | | | | | | | | |
| | **Activity 2.** Develop/refine YSLME strategy of public awareness and participation and conduct activities that lead to raising awareness of YSLME status and actions/behavior change among target stakeholders and visibility of YSLME | 118,501 | NYS Subcontract PMO and UNOPS task<br><br>Communication specialist is to draft a TOR and be reviewed by RWG-G in July 2018 | | | | | | | | | | | | | | | | | | | | |
| **Output 1.3.3:** Transfer lessons, experiences and best practices between the local demonstration sites | **Activity 1.** Exchange local government officials/experts for cross- learning of experiences of updated knowledge and good practices in the areas of IMTA, stock assessment, boat buy-back scheme, alternative livelihood, artificial wetland, PPP, recovery of fishery stocks, impact assessment of habitat modifications, assessment of impact of climate change on plankton communities, migration pattern of jelly fish. | 39,420 | NYS PMO task | | | | | | | | | | | | | | | | | | | | |
| **Output 1.3.4:** Training of at least 10 stakeholder groups on public participation on relevant management actions, in particular on fishery management, marine habitat conservation and economic assessment | **Activity 1.** Conduct of 10 training workshops to 200 trainers/experts in collaboration with partners for up to 10 stakeholder groups on ecosystem-based management, social safeguards, environmental treaties and agreements, carrying capacity, regional cooperation, CBA and valuation such as benefits of IMTA, impacts of coastal and marine habitat modifications, habitat- | 104,025 | Unlikely to be achievable in the timeline | | | | | | | | | | | | | | | | | | | | |

| Output | Activity | Budget (US$) | *Status Mar 18 | 2018 | | | | | | | | | 2019 | | | | | | | | | | |
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| | based and food-chain based approaches for habitat conservation, economic | | | | | | | | | | | | | | | | | | | | | | |
| **OUTCOME 1.4:** Improved compliance with regional and international treaties, agreements and guidelines | | | | | | | | | | | | | | | | | | | | | | | |
| **Output 1.4.1:** Enhanced national and regional legal instruments to comply with regional & global treaties, agreements and guidelines | **Activity 1.** Review and identify gaps between domestic and regional and global standards, and to make legal recommendation to harmonize domestic legislation. | 17,520 | U Consultant | | | | Report to be reviewed by RWG - G | | | | | | | | | | | | | | | | | |
| | **Activity 2.** Develop regional guidelines for incorporating Code of Conduct for Responsible Fisheries in YSLME context: | 29,456 | D (PCA with YSFRI needs to be amended) | | | | | | | | | | | | | | | | | | | | |
| | **Activity 3.** Technical assistance to develop national standards and management measures to comply with regional guidelines of Code of Conduct for Responsible Fisheries, and trainings | 49,385 | D (PCA with YSFRI needs to be amended) | | | | | | | | | | | | | | | | | | | | |
| **OUTCOME 1.5:** Sustainable financing for regional collaboration on ecosystem-based management secured, based on cost-efficient and ecologically-effective actions | | | | | | | | | | | | | | | | | | | | | | | |
| **Output 1.5.1:** Periodic economic assessments of costs and ecological effectiveness | **Activity 1.** Conduct biennial estimations of SAP Implementation costs and benefits analysis | 13,140 | NYS Included in TOR for financing specialist (Output 1.5.2 Act 1) | | | | | | | | | | | | | | | | | | | | |
| | **Activity 2.** Conduct pilot CBA and valuation studies of IMTA demonstration, impacts of modification of marine habitats; and effectiveness of fishing both in areas and in time | 39,420 | NYS Combined under Contract No 1 of procurement plan 2018 | | | | | | | | | | | | | | | | | | | | |
| | **Activity 3.** Publication of three study reports in English | | D | | | | | | | | | | | | | | | | | | | | |
| | **Activity 4.** Mid-term and terminal evaluation | 107,310 | U Consultant | MTR | | | | | | | | | | | | | | | | TE | | | |

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| **Output 1.5.2:** Sustainable financing agreed; at least 150% increase in government financing for regional collaboration | **Activity 1.** Assess operational costs of YSLME commission, and agree on sources of funding to cover costs of operations | 10,950 | Combined with Financing specialist (Output 1.5.2 Act 1) | | | | | | | | | | | | | | | | | | | | |
| | **Activity 2.** Conduct negotiations for financing YSLME as a regional collaboration mechanism | 17,192 | Combined with two TFs under RWG – G (Output 1.1.1 Act 12) | | | | | | | | | | | | | | | | | | | | |
| **Total budget as per PIR:** | | 1,970,043.00 | | | | | | | | | | | | | | | | | | | | | |
| **Revised total budget ICC2 Mar 28:** | | 2,044,712.48 | | | | | | | | | | | | | | | | | | | | | |

***In 'Status' column Insert: 'C' (Completed), 'U' (Underway), 'NYS' (Not Yet Started) or 'D' (deleted at ICC2 March 18)**

**YSLME Phase II: Gantt Chart - Activity Workplan for reminder of project timeline**
**COMPONENT 2: IMPROVING ECOSYSTEM CARRYING CAPACITY WITH RESPECT TO PROVISIONING SERVICES**

***In 'Status' column Insert: 'C' (Completed), 'U' (Underway), 'NYS' (Not Yet Started) or 'D' (deleted at ICC2 March 18)**

| Output | Activity | Budget (US$) | *Status Mar 18 | 2018 | | | | | | | | | 2019 | | | | | | | | | | | |
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| **OUTCOME 2.1:** Recovery of depleted fish stocks as shown by increasing mean trophic level | | | | | | | | | | | | | | | | | | | | | | | | |
| **Output 2.1.1**: Reduction of fishing by around 10% in demonstration sites through e.g. boat buy-back scheme over the duration of the project. | **Activity 1.** Review current national criteria and develop guidelines for vessel selection. | | D | | | | | | | | | | | | | | | | | | | | | |
| | **Activity 2.** Assess socio-economic implications of buy-back schemes at two demonstration sites (one site each in China and RO Korea). | 53,327 | NYS Subcontract | | | | | | | | | | | | | | | | | | | | | |
| | **Activity 3.** Assess effectiveness of license system (legal and policy adequacy, institutional capacity, individual capacity, availability of capacity, fish landing over years) and recommendations for improvement of licensing system. | 63,401 | U PCA with YSFRI | | | | To be reported to RWG – F in Sep | | | | | | | | | | | | | | | | | |
| **Output 2.1.2:** Provision of alternative livelihoods to fisher folks taking into account the contribution of women. | **Activity 1.** Identify possible compensation schemes and alternative livelihoods in demonstration sites. | | D | | | | | | | | | | | | | | | | | | | | | |
| | **Activity 2.** Design and test microfinance and tax rebate for alternative livelihoods for demonstration sites. | | D | | | | | | | | | | | | | | | | | | | | | |
| | **Activity 3.** Conduct national and regional experience sharing workshops on income generation from tourism and other opportunities. | 37,669 | NYS PMO task | | | | | | | | | | TBD in Jan | | | | | | | | | | | |
| **OUTCOME 2.2:** Enhanced fish stocks through re-stocking and habitat improvement. | | | | | | | | | | | | | | | | | | | | | | | | |
| **Output 2.2.1:** Science-based management of fisheries. | **Activity 1.** Regional training in stock assessment and replenishment. | 28,716 | NYS PMO task | | | | | | | | | | | | | | | | | | | | | |
| | **Activity 2.** Implement national strategy and participation to increase public Awareness of benefits of ecosystem-based fishery management and assess impact of awareness programs. | | NYS Integrated into Subcontract Output 1.3.2 Act 2 | | | | | | | | | | | | | | | | | | | | | |
| | **Activity 3.** Regional networking and harmonization of methodology of stock assessment. | | D (by RWG-F in Oct 2017) cause phase I methodology is adequate | | | | | | | | | | | | | | | | | | | | | |
| | **Activity 4.** Technical assistance to improve techniques of replanting of sea grass/macroalgae. | 25,185 | U PCA with YSFRI | | | | | | | | | | | | | | | | | | | | | |
| | **Activity 5.** Joint study of fish behaviour/gear selectivity. | 32,850 | NYS PMO task | | | | | | | | | | | | | | | | | | | | | |
| | **Activity 6.** Study visit to improve techniques of artificial reefs construction and placement. | 14,235 | NYS PMO task | | | | | | | | | | | | | | | | | | | | | |
| | **Activity 7.** Organize national workshop on science-based fishery management. | 48,399 | NYS PMO task | | | | | | | | | | | | | | | | | | | | | |
| | **Activity 7.** Monitoring of implementation results in three demo sites | 135,781 | U PCA with YSFRI | | | | | | | | | | | | | | | | | | | | | |

| Output | Activity | Budget (US$) | *Status Mar 18 | 2018 | | | | | | | | | 2019 | | | | | | | | | | | |
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| | **Activity 8:** joint assessment of the effectiveness of closure and buy-back scheme | 98,550 | U PCA with YSFRI | | | | | | | | | | | | | | | | | | | | | |
| **OUTCOME 2.3:** Enhanced and sustainable mariculture production, by increasing production per unit area as means to ease pressure on capture fisheries. | | | | | | | | | | | | | | | | | | | | | | | | |
| **Output 2.3.1:** Widespread practice of sustainable mariculture, where appropriate, increasing productivity and reducing pollution. | **Activity 1.** Develop regional guidelines for IMTA, including nutrient reduction and disease diagnosis, prevention and warning. | 68,438 | U PCA with YSFRI | | | | | | | | | | | | | | | | | | | | | |
| | **Activity 2.** Study visit to improve capacity in disease diagnoses: | | D | | | | | | | | | | | | | | | | | | | | | |
| | **Activity 3.** Develop BMP for IMTA. | | Combined with Output 2.3.1 Act 1 | | | | | | | | | | | | | | | | | | | | | |
| | **Activity 4.** Survey coastal areas suitable for IMTA, and economic analysis of benefits for replication of IMTA across YSLME and China. | 49,275 | U PCA with YSFRI | | | | | | | | | | | | | | | | | | | | | |
| | **Activity 5.** Develop national plan to promote IMTA | 8,760 | U Changed to provincial plan PCA with YSFRI | | | | | | | | | | | | | | | | | | | | | |
| | **Activity 6.** Implement national strategy to increase public awareness of benefits of ecosystem-based fishery management and IMTA. | | Combined with output 1.3.2 Act 2 | | | | | | | | | | | | | | | | | | | | | |
| **Output 2.3.2:** Adoption of integrated multi-trophic aquaculture (IMTA) where appropriate. | **Activity 1.** Prepare an IMTA training module | 14,585 | C | | | | | | | | | | | | | | | | | | | | | |
| | **Activity 2.** Conduct IMTA training workshop in collaboration with IW:Learn. | 12,374 | NYS PMO task | | National | | | | | | | | | | | | | | | | | | | |
| | **Activity 3.** Support to demonstrate IMTA in three sites. | 109,500 | U PCA with YSFRI | | | | | | | | | | | | | | | | | | | | | |
| | **Activity 4.** Knowledge sharing on IMTA and replication elsewhere. | 67,890 | NYS PMO task | | | | | | | | | | | | | | | | | | | | | |
| **Total budget as per PIR:** | | 1,437,606.00 | | | | | | | | | | | | | | | | | | | | | | |
| **Revised total budget ICC2 Mar 28:** | | 1,429,058.88 | | | | | | | | | | | | | | | | | | | | | | |

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**YSLME Phase II: Gantt Chart - Activity Workplan for reminder of project timeline**
**COMPONENT 3: IMPROVING ECOSYSTEM CARRYING CAPACITY WITH RESPECT TO REGULATING AND CULTURAL SERVICES**

***In 'Status' column Insert: 'C' (Completed), 'U' (Underway), 'NYS' (Not Yet Started) or 'D' (deleted at ICC2 March 18)**

| Output | Activity | Budget (US$) | *Status Mar 18 | 2018 | | | | | | | | | 2019 | | | | | | | | | | |
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| **OUTCOME 3.1:** Ecosystem health improved through a reduction in pollutant discharge (e.g. nutrients) from land-based sources. | | | | | | | | | | | | | | | | | | | | | | | | |
| **Output 3.1.1:** Reduced pollutant levels by enforcement and control in demonstration sites. | **Activity 1.** Establish regional pollution monitoring guideline, environmental quality standards and network based on any existing ones: harmonize regional methodology and update regional monitoring guideline including for emerging contaminants. | 50,480 | NYS Consultant | | | Consultant TOR was approved by RWG-P in Oct 2017 and then included in the procurement plan 2018 approved by ICC – NB: UNOPS procurement system should be prepared for the rapid recruitment | | | | | | | | | | | | | | | | | | |
| | **Activity 2.** Support to apply modelling & calculate nutrient loading in hot spots/ critical habitats: 2 pilot sites in China and 2 sites in RO Korea. | 50,370 | U reduced to 1 site in China agreed by RWG-P PCA with NMEMC | | | | | | | | | | | | | | | | | | | | | |
| | **Activity 3.** Review of control mechanisms from point sources and evaluate facilities and equipment to control/reduce discharge from industrial and municipal sources and control/mitigation mechanisms of pollution from point sources. | | D | | | | | | | | | | | | | | | | | | | | | |
| | **Activity 4.** Economic analysis of reduction of nutrients for better environment and ecosystem of the pilot sites. | 19,710 | NYS Subcontract | | | | | | | | | | | | | | | | | | | | | |
| | **Activity 5.** Organize training on operation of PPP to provincial and demo site government officials from finance, environment, and ocean management sectors. | | D | | | | | | | | | | | | | | | | | | | | | |
| | **Activity 6.** Prepare two bidding documents for local governments to mitigate nutrients using PPP. | | D | | | | | | | | | | | | | | | | | | | | | |
| | **Activity 7**. Support to negotiation in contracting | | D | | | | | | | | | | | | | | | | | | | | | |
| | **Activity 8.** Prepare two case studies and lesson learnt reports. | | D | | | | | | | | | | | | | | | | | | | | | |
| **Output 3.1.2:** Enhanced data and information sharing regarding sources | **Activity 1**: Diagnostic analysis of ID sources & sinks of pollutants, review available data & info, report environmental status and | 23,652 | U Consultant | | | | | | | | | | | | | | | | | | | | | |

| Output | Activity | Budget (US$) | *Status Mar 18 | 2018 | | | | | | | | | 2019 | | | | | | | | | | |
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| and sinks of contaminants. | trends of Yellow Sea, and identify gaps and explore mechanisms for data and information sharing between the two countries. | | | | | | | | | | | | | | | | | | | | | | |
| | **Activity 2.** Support for monitoring and acquisition of data for sharing on pollutants from atmosphere-based sources. | 54,750 | U Under PCA with NMEMC | | | | | | | | | | | | | | | | | | | | |
| | **Activity 3**. Support for monitoring and data acquisition for sharing on fertilizer use. | 54,750 | U Under PCA with NMEMC | | | | | | | | | | | | | | | | | | | | |
| | **Activity 4.** Support for monitoring and data acquisition for sharing from sea-based sources. | 54,750 | U Under PCA with NMEMC | | | | | | | | | | | | | | | | | | | | |
| | **Activity 5**: Support production of data products of yellow sea agreed by two countries. | 1,643 | U Under PCA with NMEMC | | | | | | | | | | | | | | | | | | | | |
| | **Activity 6:** Collaborative arrangement with other organizations in marine environment, e.g. NEAR-GOOS, Data and information system of UNEP/NOWPAP to improve understanding of YSLME. | 8,213 | NYS | | | | | | Nutrient in ROK | | | | | | | | | Marin-litter in China | | | | | | |
| **OUTCOME 3.2:** Wider application of pollution-reduction techniques piloted at demonstration sites. | | | | | | | | | | | | | | | | | | | | | | | |
| **Output 3.2.1:** New and innovative techniques for pollution reduction (e.g. artificial wetlands and habitats) applied at demonstration sites. | **Activity 1.** Develop regional strategy for using wetlands as nutrient sink. | 8,760 | NYS Consultant | | Consultant TOR was approved by RWG-P in Oct 2017 and then included in the procurement plan 2018 approved by ICC – NB: UNOPS procurement system should be prepared for the rapid recruitment | | | | | | | | | | | | | | | | | | | |
| | **Activity 2.** Cost-effective and sustainable mechanism to treat municipal wastewater & sewage: good practices and experience sharing and learning. | 21,900 | Combined with Output 3.2.1 Act 1 | | | | | | | | | | | | | | | | | | | | |
| | **Activity 3.** Technical support to design wetland habitats to achieve blue bay in three pilot sites in China and application of clean production technologies and relevant technology transfer. | 263,090 | NYS Subcontract combined in subcontract No. 1 of procurement plan 2018 | | | | | | | | | | | | | | | | | | | | |
| | **Activity 4.** Prepare a case study and share experiences in using wetland to treat nutrients in wastewater. | 9,308 | Combined with Output 3.2.1 Act 1 | | | | | | | | | | | | | | | | | | | | |
| **OUTCOME 3.3:** Strengthened legal and regulatory processes to control pollution | | | | | | | | | | | | | | | | | | | | | | | |
| **Output 3.3.1:** Strengthened legal instruments and | **Activity 1**. Review of policies and regulations in China and RO Korea dealing with | 10,950 | NYS Consultant | Consultant TOR was approved by RWG-P in Oct 2017 and then included in the procurement plan 2018 approved by ICC – NB: UNOPS procurement system should be prepared for the rapid recruitment | | | | | | | | | | | | | | | | | | | |

| Output | Activity | Budget (US$) | *Status Mar 18 | 2018 | | | | | | | | | 2019 | | | | | | | | | | |
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| | | | | Apr | May | Jun | Jul | Aug | Sep | Oct | Nov | Dec | Jan | Feb | Mar | Apr | May | Jun | Jul | Aug | Sep | Oct | Nov | Dec |
| better regulatory processes to control pollution. | pollution control and assess compliance with UNCLOs, the Future We Want, multi-lateral environmental agreements and programmes ratified by both countries, and prioritize legal and regulatory reforms in both countries. | | | | | | | | | | | | | | | | | | | | | | |
| | **Activity 2**. Review of international and regional instruments and policies on waste management, guidelines on marine litter monitoring and assessment, and develop a harmonized regional microplastics monitoring and assessment guidelines. | 22,338 | NYS Changed to training Use IOC - WESTPAC SOP | | | | | | | | | | | | | | | | | | | | |
| | **Activity 3.** Review technologies for waste reduction, reuse, recovery, and economic studies on recycling uses. | | Subcontract combined in subcontract No. 1 of procurement plan 2018 | | | | | | | | | | | | | | | | | | | | |
| | **Activity 4**. Support to develop regulatory measures for marine litter monitoring, disposal, handling, reuse, recycle in pilot province or city of Yellow Sea to enable investment on recycling economies. | 66,138 | NYS Subcontract Bid proposal is currently under review by PMO | | | | | | | | | | | | | | | | | | | | |
| | **Activity 5**. Support to two pilot projects on recycling economies. | 21,900 | Subcontract combined in subcontract No. 1 of procurement plan 2018 | | | | | | | | | | | | | | | | | | | | |
| **OUTCOME 3.4:** Marine litter controlled at selected locations. | | | | | | | | | | | | | | | | | | | | | | | |
| **Output 3.4.1:** Procedures in place to control and remove marine litter at demonstration sites. | **Activity 1.** Regional review of existing policies and regulations regarding solid waste disposal as well as technologies for reducing production including recycling opportunities | 24,528 | NYS Consultant | | Consultant TOR was approved by RWG-P in Oct 2017 and then included in the procurement plan 2018 approved by ICC – NB: UNOPS procurement system should be prepared for the rapid recruitment | | | | | | | | | | | | | | | | | | | |
| | **Activity 2.** Develop & test monitoring (early warning) system, and conduct a regional baseline survey of marine litter in collaboration with other relevant organizations | 8,760 | U PCA with NMEMC | | | | | | | | | | | | | | | | | | | | |
| | **Activity 3**. Demonstration projects to implement programmes for cleaning marine litter through PPP | 35,040 | D Budget shift to subcontract No 1 of | | | | | | | | | | | | | | | | | | | | |

| Output | Activity | Budget (US$) | *Status Mar 18 | 2018 | | | | | | | | | 2019 | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | Apr | May | Jun | Jul | Aug | Sep | Oct | Nov | Dec | Jan | Feb | Mar | Apr | May | Jun | Jul | Aug | Sep | Oct | Nov | Dec |
| | | | procurement plan 2018 | | | | | | | | | | | | | | | | | | | | |
| | **Activity 4**: implement regular community-based approach for reducing marine litter. | 83,658 | D Budget shift to subcontract No 1 of procurement plan 2018 | | | | | | | | | | | | | | | | | | | | |
| | **Activity 5**. Implement National Strategy for Awareness and Participation: production of information packages and outreach activities to raise awareness of responsible solid waste responsible disposal and beach clean-up campaigns (combined with Activity 2 of output 1.3.2 in contracting). | | Combined with Output 1.3.2 Act 2 | | | | | | | | | | | | | | | | | | | | |
| | **Activity 6.**Support start-up local recycling enterprises. | 6,570 | D Budget shift to subcontract No 1 of procurement plan 2018 | | | | | | | | | | | | | | | | | | | | |
| **Total budget as per PIR:** | | 1,155,411.00 | | | | | | | | | | | | | | | | | | | | | |
| **Revised total budget ICC2 Mar 28:** | | 1,255,427.48 | | | | | | | | | | | | | | | | | | | | | |

**YSLME Phase II: Gantt Chart - Activity Workplan for reminder of project timeline**
**COMPONENT 4: IMPROVING ECOSYSTEM CARRYING CAPACITY WITH RESPECT TO SUPPORTING SERVICES**

***In 'Status' column Insert: 'C' (Completed), 'U' (Underway), 'NYS' (Not Yet Started) or 'D' (deleted at ICC2 March 18)**

| Output | Activity | Budget (US$) | *Status Mar 18 | 2018 | | | | | | | | | 2019 | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | Apr | May | Jun | Jul | Aug | Sep | Oct | Nov | Dec | Jan | Feb | Mar | Apr | May | Jun | Jul | Aug | Sep | Oct | Nov | Dec |
| **OUTCOME 4.1:** Maintenance of current habitats and the monitoring and mitigation of the impacts of reclamation. | | | | | | | | | | | | | | | | | | | | | | | | |
| **Output 4.1.1:** Agreement at all levels to implement the relevant management actions to regulate new coastal zone reclamation projects. | **Activity 1.** Conduct rapid assessment of coastal and marine habitats and species of critical global and regional significance and prepare the YSLME Biodiversity Conservation Plan in implementation of CBD, Ramsar and other conventions. | 17,520 | U Consultant (Regional/ ROK/ China) Chinese consultant to be hired | Report to RWG-H in September 2018 | | | | | | | | | | | | | | | | | | | | |
| | **Activity 2**: Identify approved reclamation up to 2015 in each country, and any further reclamation from 2016 onwrds. | 8,760 | U Consultant | Report to Biodiversity forum in Sep 2018 | | | | | | | | | | | | | | | | | | | | |
| | **Activity 3**: Harmonize valuation methodologies, standards, and guidelines for evaluation of the effectiveness and impact of ecosystem-based restoration project. | 8,760 | U Consultant | | | | | | | | | | | | | | | | | | | | | |
| | **Activity 4**: Conduct regional and national workshops to share experience and good practice of restoration projects including valuation methodologies, standards and guidelines. | 21,900 | Combined with Output 1.3.1 Act2 | | | | | | | | | | | | | | | | | | | | | |
| | **Activity 5**. Develop strategies and governance mechanisms to achieve regional habitat and species targets at 2 demonstration sites, including assessment of impacts of modifications of areas of critical habitats and monitoring the effectiveness of management plans. | 65,700 | U PCA with FIO | | | | | | | | | | | | | | | | | | | | | |
| | **Activity 6.** Regional evaluation of implementation of CBD and RAMSAR convention and country reports within the YSLME. | 39,968 | U PCA with FIO | | | | | | | | | | | | | | | | | | | | | |
| **OUTCOME 4.2:** MPA Network strengthened in the Yellow Sea. | | | | | | | | | | | | | | | | | | | | | | | | |
| **Output 4.2.1:** MPA networks strengthened in the YSLME. | **Activity 1**: Review and agree on assessment scopes and methodologies. | 29,565 | Combined with BD Forum | | | | | | | | | | | | | | | | | | | | | |
| | **Activity 2.** Analysis of country coastal management guidelines, identification of conservation areas according to planning zones. | 19,710 | U PCA with FIO | | | | | | | | | | | | | | | | | | | | | |
| | **Activity 3**: Survey and produce overlays to analyze gaps and conservation needs of critical species and habitats (i.e. seal, migratory birds, fish spawning and nursery, cold water mass, etc.) and make recommendations on new MPAs. | 197,100 | U PCA with FIO | | | | | | | | | | | | | | | | | | | | | |
| | **Activity 4**: conduct regional training seminars focusing on enhancing | 65,591 | NYS | | | | | | | | | | | | | | | | | | | | | |

| Output | Activity | Budget (US$) | *Status Mar 18 | 2018 | | | | | | | | | 2019 | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | Apr | May | Jun | Jul | Aug | Sep | Oct | Nov | Dec | Jan | Feb | Mar | Apr | May | Jun | Jul | Aug | Sep | Oct | Nov | Dec |
| | connectivity in MPA network (2 in China and 1 in RO Korea). | | | | | | | | | | | | | | | | | | | | | | |
| | **Activity 5**: Technical assistance to revise/update the MPA development tools (such as management plan/ zoning plan) and implementation for increased connectivity and effectiveness in selected MPAs. | 93,075 | NYS Subcontract | | | | | | | | | | | | | | | | | | | | |
| | **Activity 6**: YSLME MPA annual meeting for development of a 5-year workplan for YSLME MPA Network and reporting implementation progress and cross-MPA learning and review of management effectiveness. | 16,425 | Combined with BD Forum | | | | | | | | | | | | | | | | | | | | |
| **OUTCOME 4.3:** Adaptive Management mainstreamed to enhance the resilience of the YSLME and reduce the vulnerability of coastal communities to climate change impacts on ecosystem processes and other threats identified in the TDA and SAP. | | | | | | | | | | | | | | | | | | | | | | | |
| **Output 4.3.1:** Regional strategies adopted and goals agreed; site-based Integrated Coastal Management (ICM) plans enhancing climate resilience, in place for selected sites in YSLME; conservation areas and habitats for migratory species identified. | **Activity 1**: Stock-taking of vulnerabilities of coastal communities and ecosystem services in YSLME to impact of climate change. | 8,760 | U Consultant | shortlisted by PMO and waiting for UNOPS clearance | | | | | | | | | | | | | | | | | | | |
| | **Activity 2**: Prepare communication package to raise awareness of vulnerabilities to impact of climate change. | | Combined with Output 1.3.2 Act 2 | | | | | | | | | | | | | | | | | | | | |
| | **Activity 3**: Monitoring and studies of relationships between the changes in sea surface temperature and characteristics of YSCWM and structure of plankton communities and development of regional strategy for adaptive management. | 114,975 | U PCA with FIO | | | | | | | | | | | | | | | | | | | | |
| | **Activity 4**: Workshops/training programs on climate change and its impact on coastal and marine ecosystem services and adaptation. | 105,449 | NYS Meeting | | | | | | | | | | | | | | | | | | | | |
| | **Activity 5**: Develop CC adaptation ICM model framework plan or strategic framework plan for 2 coastal cities and provinces. | 197,100 | NYS Subcontract Changed to 1 city by RWG-A | | | | | | | | | | | | | | | | | | | | |
| | **Activity 6**: Experience sharing and dissemination. | 10,950 | NYS Meeting | | | | | | | | | | | | | | | | | | | | |
| **OUTCOME 4.4:** Application of ecosystem-based community management (EBCM) preparing risk management plans to address climate variability and coastal disasters. | | | | | | | | | | | | | | | | | | | | | | | |
| **Output 4.4.1:** Public awareness of Yellow Sea environmental problems enhanced; strong local support for and awareness of | **Activity 1.** Design and implement a small grant program to support NGOs and community-based organizations in conducting participatory adaptation planning, preparedness and management, awareness raising for implementation of YSLME SAP; review | 8,760 | NYS Consultant Design of Yellow Sea GP Concept note sent to UNOPS in Mar 2018, waiting for response | | NB: UNOPS HR system should be prepared for the rapid recruitment | | | | | | | | | | | | | | | | | | | |

| Output | Activity | Budget (US$) | *Status Mar 18 | 2018 | | | | | | | | | 2019 | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | Apr | May | Jun | Jul | Aug | Sep | Oct | Nov | Dec | Jan | Feb | Mar | Apr | May | Jun | Jul | Aug | Sep | Oct | Nov | Dec |
| demonstration activities. | of SGP and award criteria, and M&E system | | regarding grant modality | | | | | | | | | | | | | | | | | | | | |
| | **Activity 2**: implement the SGP and conduct M&E, communication and other management activities. | 229,950 | NYS<br>Yellow Sea GP | | | | | | | | | | | | | | | | | | | | |
| **Output 4.4.2:** Established monitoring network; regular basin-wide assessments; enhanced information exchange; periodic scenarios of ecosystem change; allocation of 1% of project budget for IWLEARN activities. | **Activity 1.** Make regional assessment (including trend of introduced species in the region) and make policy-relevant recommendations. | 132,167 | U<br>PCA with FIO | | | | | | | | | | | | | | | | | | | | |
| | **Activity 2.** Develop regional strategies for long-term ecosystem forecasts, and conduct modelling and scenario analysis and sharing of estuary data. | 69,423 | U<br>PCA with FIO | | | | | | | | | | | | | | | | | | | | |
| | **Activity 3.** Hold a conference to review and link existing monitoring network; workshop with participation of 50 regional and international experts. | 43,253 | NYS<br>Meeting | | | | | | | | | | | | | | | | | | | | |
| | **Activity 4.** Create regional jellyfish monitoring program: Create regional committee to coordinate monitoring, assessment and data sharing, and develop national and regional monitoring methodologies of jellyfish blooms. | 32,850 | U<br>PCA with NMEMC | | | | | | | | | | | | | | | | | | | | |
| | **Activity 5.** Create regional HAB (including macro-algae) monitoring program: Create regional committee to coordinate monitoring, assessment and data sharing. Combine with jellyfish committee develop national and regional monitoring methodologies of HAB. | 10,950 | U<br>PCA with NMEMC | | | | | | | | | | | | | | | | | | | | |
| | **Activity 6.** Establish a comprehensive regional monitoring system: Develop regional monitoring strategies for N/P/Si changes, climate change, jellyfish blooms, and HAB. | 66,795 | U<br>PCA with NMEMC | | | | | | | | | | | | | | | | | | | | |
| | **Activity 7.** Prepare 12 training modules on ecosystem-based management in LME, 1) EBM in LME: conceptualization, 2) ecosystem carrying capacity - fish restocking; 3) ecosystem carrying capacity - IMTA; 4) ecosystem carrying capacity - habitat-based and food-chain based approaches for habitat conservation; 5) ecosystem carrying capacity: MPA networking; 6) social safeguards in fishing boat buy-back scheme; 7) ecosystem carrying capacity: contaminants from river-sea interaction and atmospheric | 147,825 | U<br>5 Consultants<br>Consultant for MPA networking and 2 legal experts are in place, now in the process of hiring mariculture IMTA and fishery consultants<br><br>Keep: 2,3,5,9<br>Delete: 1,4,6,7,8,10,11,12 | NB: UNOPS HR system should be prepared for the rapid recruitment | | | | | | | | | | | | | | | | | | |

| Output | Activity | Budget (US$) | *Status Mar 18 | 2018 | | | | | | | | | 2019 | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | Apr | May | Jun | Jul | Aug | Sep | Oct | Nov | Dec | Jan | Feb | Mar | Apr | May | Jun | Jul | Aug | Sep | Oct | Nov | Dec |
| | deposition; 8) design, plan and implement an integrated ecosystem-based monitoring system of LME; 9) synergizing implementation of environmental treaties and agreements using EBM approach in LME; 10) economic valuation: concept and practices in YSLME - case studies of IMTA, assessment of impacts of coastal and marine habitat modifications, effectiveness of fishing both in areas and in time; 11) ecosystem carrying capacity: case study of algae blooms in YSLME; 12) Ecosystem carrying capacity: case study of Jellyfish outbreak in YSLME. | | Due to lack of remaining time to recruit experts | | | | | | | | | | | | | | | | | | | | | |
| | Activity 8: Printing of phase I technical report. | 10,950 | Changed to phase II reports | | | | | | | | | | | | | | | | | | | | | |
| | Activity 9: Develop/adapt training modules in virtual EBM/LME academy. | 10,950 | NYS Subcontract | | | | | | | | | | | | | | | | | | | | | |
| **Total budget as per PIR:** | | 2,621,370.00 | | | | | | | | | | | | | | | | | | | | | | |
| **Revised total budget ICC2 Mar 28:** | | 2,457,879.88 | | | | | | | | | | | | | | | | | | | | | | |

***In 'Status' column Insert: 'C' (Completed), 'U' (Underway), 'NYS' (Not Yet Started) or 'D' (deleted at ICC2 March 18)**

# Annex 7: Co-financing

## MTR Notes

- At July 2018 the reported level of co-financing from the government of PRC is at least $190 million, 2x the level committed in the July 2014 ProDoc ($93 million). When considering unreported co-financing and further investment to project-end, PRC's investment may well be >3x the original commitment.

- At July 2018 the reported level of co-financing from the government of ROK is at least $4.1 billion, 31.5x the level committed in the July 2014 ProDoc ($130 million). When considering unreported co-financing and further investment to project-end, ROK's investment may well be >12.3 billion, or nearly 95x the original commitment.

- As outlined in the following tables, ROK has very usefully reported its investments against each SAP Target.

- NB: The MTR has accepted the co-financing values as reported by PRC and ROK in the following tables at "face-value" and of course has no way of assessing the veracity and accuracy of these figures.

- NB: When the figures were received from ROK, given their extremely large quantums the MTR consultant sought to clarify the definition of "million" and "billion" used, in terms of the number zeros before the decimal point (six zeros for million and nine zeros for billion), and the figures as presented were confirmed by ROK.

**PRC Investments in YSLME-related activities between July 2014 and July 2018**

| Activity name | Dates (from / to) | Description of activity | Location(s) | Funded by (Ministry or agency name) | Total investment (USD) |
|---|---|---|---|---|---|
| Marine resources and environment carrying capacity monitoring and pre-warning. | 2016-2017 | Development of marine resources and environment carrying capacity monitoring and pre-warning system and guideline, including carrying capacity on marine space resources, marine biological resources, marine ecological and environmental resources, and islands resources. Assessment and pre-waring of marine resources and environment carrying capacity in different pilot sites. | County-level regions of Jiangsu Province | National Development and Reform Commission，State Oceanic Administration | 300,000 |
| Subsidy to fishing vessel buyback. | 2015-2018 | A total of 622 fishing Boats and 31268 kilowatts of power were scrapped. | Weihai | Ministry of Agriculture, Ministry of Finance and Shandong Provincial Government | 40,733,000 |
| Special Project for protection of islands and sea areas. | 2017-2018 | Vegetation planting and restoration of coastal wetlands. Marine pollution prevention and control. Coastal rehabilitation. Improvement ability of marine ecological monitoring. | Weihai | State Oceanic Administration, Ministry of Finance, Shandong Provincial Government, Weihai Municipal Government | 117,600,000 |
| Blue Bay Remediation Action (Yellow Sea area). | 2016-2018 | In order to improve the environmental quality of coastal waters, restore and upgrade the ecological functions of coastal waters, SOA carry out remediation and restoration activities in damaged areas such as bays and coastal wetlands. | Dalian | State Oceanic Administration, Ministry of finance | 27,000,000 |
| The national marine special public welfare industry research. | 2015-2018 | Evaluation technology and demonstration application of biological and ecological effect of microplastic in offshore area. | Yellow Sea | State Oceanic Administration | 257,600 |
| Regional baseline survey of marine litter. | 2014-2018 | Routine baseline survey of marine litter (2014-2018) and microplastics (2016-2018). | 11 hot spots | State Oceanic Administration, Local governments | 200,000 |
| Atmospheric deposition monitoring. | 2014-2018 | Monitoring of nutrients and heavy metals. | Laohutan, Dalian, Liaoning Province Xiaomaidao, Qingdao, Shandong Province Beishuang, Lianyungang, Jinagsu Province | State Oceanic Administration | 100,000 |
| Monitoring of land-based input of nutrients and heavy metals | 2014-2018 | Baseline survey of land-based outlets and input of nutrient and HM through rivers. | Coastal zone of Liaoning, Shandong, Jiangsu Province\142 outlets, 23 rivers | State Oceanic Administration, Local governments | 200,000 |

| **Activity name** | **Dates (from / to)** | **Description of activity** | **Location(s)** | **Funded by** (Ministry or agency name) | **Total investment (USD)** |
|---|---|---|---|---|---|
| | | | | | |
| Organise bi-annual meetings of the IMCC to coordinate implementation of YSLME SAP | 2014-2018 | Inter-sessional coordination. | Beijing | State Oceanic Administration | 50,000 |
| Travel costs for participation of IMCC meetings for inter-sector coordination and demonstration sties selection | 2014-2018 | Coordination with 3 provinces. | Beijing, Dalian, Qingdao, Jinan | State Oceanic Administration | 30,000 |
| Analysis of country coastal management guidelines and identification of conservation areas according to planning zones | 2016 | Marine ecological red line. | Shandong, Jiangsu, Liaoning | State Oceanic Administration | 80,000 |
| Survey to analyze gaps and conservation needs of critical species and habitats in YS region | 2014-2018 | Survey for baseline. | Shandong, Jiangsu, Liaoning | State Oceanic Administration | 200,000 |
| Conduct regional training seminars focusing on enhancing connectivity in MPA network | 2014-2018 | Annual training workshop for MPAs<br>(more than 400 MPA managers and officers were trained). | Nanjing; Nan'ao, Zhoushan | State Oceanic Administration | 120,000 |
| Develop regional strategy for adaptive management | 2014-2015 | Provincial strategy and plans for climate change. | Shandong, Jiangsu, Liaoning | Shandong, Jiangsu, Liaoning Provincial Governments | 50,000 |
| climate change adaptation and adaptive management training in collaboration with Asia Disaster Preparedness Center (ADPC) and PEMSEA to enhance regional, national, provincial and local capacity under site-based ICM plan | 2014-2018 | ICM implementation. | Qingdao, Lianyungang | Qingdao, Lianyungang Municipal Governments | 50,000 |
| Climate change assessment and adaptation strategizing | 2014-2018 | Provincial adaptation strategy and ICM plans. | Shandong, Jiangsu, Liaoning | Shandong, Jiangsu, Liaoning Provincial Governments | 100,000 |
| Routine jellyfish monitoring | 2014-2018 | Jellyfish monitoring. | Yellow Sea | State Oceanic Administration | 500,000 |
| Routine HAB monitoring | 2014-2018 | HAB (including macro-algae) monitoring. | Yellow Sea | State Oceanic Administration | 500,000 |

| Activity name | Dates (from / to) | Description of activity | Location(s) | Funded by (Ministry or agency name) | Total investment (USD) |
|---|---|---|---|---|---|
| Meetings and travel. | 2014-2018 | Workshop and meetings for technical support and coordination. | Beijing, Qingdao, Dalian, Jinan | State Oceanic Administration | 200,000 |
| Seminar of spotted seal networking and conservation. | March 29, 2018 | Marine protected area seminar, more than 70 persons joined the seminar and networking building. | Dalian | Ministry of Agriculture, and Liaoning Marine and fishery institution | 4,000 |
| Implementation of conservation action plan of spotted seal. | 2017 - 2018 | MOA granted 150,000 USD dollars every year to Liaoning institute of marine and fishery science for research work. | Dalian | Ministry of Agriculture | 300,000 |
| **Total Govt:** | | | | | **188,574,600** |

**NGO Activities undertaken in YS region between July 2014 and July 2018**

| Activity name | Dates undertaken (from / to) | Description of activity | Location(s) | Funded by (NGO or donor name) | Total investment (USD) |
|---|---|---|---|---|---|
| Land-based IMTA demonstration. | 2016-2017 | Land - based multi - nutrient level integrated mariculture. | Haiyang, Yantai, Shandong Province | Haiyang yellow sea aquatic products co. LTD | 79,500 |
| Shallow sea IMTA demonstration. | 2015-2018 | Shallow sea multi-nutrient level integrated mariculture. | Rongcheng, Weihai, Shandong Province | Rongcheng Dongchu island ocean technology co. LTD | 158,600 |
| IMTA Training. | 2017 | Shallow sea multi-nutrient level integrated mariculture. | Rongcheng, Weihai, Shandong Province | Rongcheng Dongchu island ocean technology co. LTD | 126,900 |
| Total NGOs (actually appear to be Cos, not NGOs): | | | | | **365,000** |

**PRC ombined total for July 2014 - July 2018**

| | |
|---|---|
| Govt: | 188,574,600 |
| NGOs: | 365,000 |
| **Total:** | **188,939,600** |

## ROK Investments in YSLME-related activities between July 2014 and July 2018

### ROK - Ministry of Oceans & Fisheries (MOFA)

| SAP Target | Activity | 2014 | 2015 | 2016 | 2017 | 2018 |
|---|---|---|---|---|---|---|
| 1 | Preparation for the Production of Fisheries Statics | - | - | 231 | 476 | 930 |
| 1 | Education and Management of IUU | 20,800 | 22,500 | 28,291 | 85,045 | 121,088 |
| 1 | Management and Operation of Fisheries Control Vessels | 28,519 | 30,016 | 28,403 | 29,434 | 33,752 |
| 1 | Location Verification System for Coastal and Off-shore Fishing Boats | - | - | - | - | 10,000 |
| 1 | Operation of Fisheries Management Information System | - | - | 668 | 667 | 567 |
| 1 | Management of Fisheries Resources in Special Management Areas in the Coast and Off-shore | | | 13,413 | 2,290 | 2,500 |
| 1 | Construction of Fisheries Resources Survey Vessel | 14,266 | 860 | 10,871 | 6,935 | 31,358 |
| 1 | Informatization of Fisheries Information | 1,970 | 2,705 | 3,255 | 1,852 | 2,717 |
| 1 | Management of Origins of Fisheries Products | 3,231 | 3,403 | 5,266 | 3,691 | 5,613 |
| 1 | Buy-back of Fishing Boats | 20,136 | 22,452 | 18,535 | 17,640 | 19,328 |
| 1 | Modernization of Old Fishing Boats | 500 | 1,018 | 933 | 190 | 833 |
| 1 | Operation of Fishing Boat Dealing System | - | - | - | - | 408 |
| 1, 2 | Training and Technical Support for Fishermen | 9,050 | 8,820 | 28,302 | 28,352 | 44,044 |
| 1, 2 | Support Fishermens' Welfare | - | 1,100 | 1,623 | 2,618 | 3,115 |
| 2 | Operation of Fisheries Resources Recovery Program | 2,280 | 2,738 | 3,235 | 2,591 | 2,502 |
| 2 | Support Production of Environment Friendly Compounded Fish Feed | 10,878 | 10,456 | 11,034 | 9,381 | 8,842 |
| 2 | Upbringing Environment Friendly Mariculture | 24,393 | 28,433 | 22,887 | 14,314 | 30,538 |
| 2 | Distribution of Environement Friendly Fishing Gears | 5,303 | 5,703 | 4,986 | 5,911 | 9,400 |
| 2 | Fostering Strategic Items of Mariculture Products | 25,406 | 16,880 | 16,024 | 9,303 | 9,150 |
| 2 | Fostering Aquarium Fish Industry | - | - | - | 1,129 | 2,538 |
| 2 | Fostering Self governing Fisheries management | 13,564 | 13,869 | 10,039 | 4,940 | 7,339 |
| 2 | Support Fisheries Resource Enhancement | 63,236 | 70,001 | 78,156 | 57,452 | 74,269 |
| 2 | Modernization of Fishing Industry (Angler) | 2,348 | 1,519 | 3,088 | 1,564 | 1,998 |
| 2 | Establishment of Sustainable Fisheries Production System | 1,815 | 1,380 | 1,548 | 1,730 | 2,168 |
| 2 | Golden Seed Project (Fisheries) | 6,946 | 8,000 | 7,963 | 6,627 | 6,750 |
| 2 | Development of Practical Techniques for Fisheries | 16,600 | 19,900 | 22,159 | 17,585 | 19,240 |
| 3 | Establishment of Fisheries Disease Control System | 8,000 | 8,430 | 9,813 | 8,069 | 8,197 |
| 4 | Management and Establishment of Marine Environmental Management Area | 13,817 | 14,200 | 8,307 | 10,175 | 10,518 |
| 4 | Integrated Coastal Management | 470 | 300 | 273 | 112 | 85 |
| 4 | Support Recovery of Affected Areas by Oil Spill | 14,690 | 15,000 | 12,278 | 12,385 | 11,900 |
| 4 | Development of Counter-measures on Marine Environmental Change | 9,500 | 9,262 | 10,224 | 10,186 | 10,168 |
| 4 | Operation of National Marine Environmental Information System | 210 | 220 | 213 | 218 | 220 |
| 4 | Monitoring system of marine radioactive materials | - | 510 | 510 | 510 | 510 |
| 4 | Management of Cleanup Vessels and Treatment of Waste Oil | 10,388 | 10,431 | 12,099 | 12,209 | 12,046 |
| 4, 8 | Establishment and Management of Natgional Monitoring System | 33,951 | 40,524 | 30,916 | 28,394 | 28,466 |
| 6 | Neglected Ship Management | 79 | 93 | 78 | 65 | 100 |
| 6 | Distribution of Pressor of Used ESP | 182 | 364 | 200 | 79 | 200 |
| 6 | Construction of Marien Waste Treatment Facility (Shinan) | - | - | 4,475 | - | - |
| 6 | Management of Wastes in Esturies | - | 318 | 430 | 466 | 500 |
| 6 | Integrated Management of Marine Plastic Wastes | - | - | 325 | 326 | 500 |
| 6 | Recovery from Marine Wastes | 1,173 | - | 434 | 442 | 500 |
| 6 | Development of Counter-measures on Marine Pollution | 1,500 | 3,000 | 2,000 | 3,000 | 3,700 |
| 8 | Public Awareness of Coastal Education | - | 135 | 164 | 157 | 122 |

| SAP Target | Activity | 2014 | 2015 | 2016 | 2017 | 2018 |
|---|---|---|---|---|---|---|
| 8 | Development of Forecasting Techniques of Ecosystem Based Fisheries Resources Variation | - | - | - | - | 3,786 |
| 8 | Development of Marine Ecosystem Management Technique | 5,000 | 4,500 | 5,300 | 6,227 | 6,754 |
| 8 | Establishment and Operation of Integrated System of Marine Ecosystem Information | 358 | 351 | 349 | 364 | 1,468 |
| 9 | Restoration of Mudflat Ecosystem | 1,350 | 1,283 | 4,954 | 3,293 | 5,454 |
| 9 | Survey of Marine Bioresources | 363 | 300 | 338 | 361 | 300 |
| 9 | Operation of National Marine Biodiversity Institute of Korea | 5,268 | 24,726 | 22,192 | 24,085 | 23,104 |
| 9 | Development of Marine Fisheries Bioengineering Techniques | 20,261 | 22,866 | 25,289 | 30,558 | 30,242 |
| 9 | Research on Marine Genomics | 5,500 | 4,500 | 5,669 | 5,800 | 5,800 |
| 10 | Management of Marine Protected Area (MPA) | 4,172 | 3,777 | 3,798 | 6,302 | 4,095 |
| 10 | Survey and Management of Marine Ecosystem | 5,303 | 6,120 | 6,856 | 9,091 | 10,666 |
| 10 | Survey of Status of Coastal Area | 482 | 287 | 279 | 267 | 300 |
| 10 | Change of Land Reclamation Plan | 284 | 371 | 131 | 224 | 210 |
| 10 | Strenthening Capacities of Maritime Territory Management | 617 | 1,279 | 1,073 | 1,616 | 2,247 |
| 10 | Marine Survey and Publication of Charts | 29,721 | 38,514 | 39,214 | 45,220 | 48,467 |
| 10 | Information System of Environmental Impact Assessment for Marine Space Usage | 97 | 99 | 117 | 117 | 120 |
| 10 | Coastal Management Information System | 500 | 453 | 431 | 385 | 398 |
| 10 | Marine and Fisheries Information System | - | - | - | - | 1,300 |
| 11 | Research on Forecast of Movement and Risk Reduction of Macroalgae | - | - | - | - | 200 |
| | **Korean WON(KRW) (Millions)** | **444,477** | **483,966** | **529,639** | **532,420** | **683,630M** |
| | **US dollar (USD) (Millions)** | **414** | **451** | **493** | **496** | **637 M** |
| | **Total(2014-2018) USD** | | | | | **2,491 M** |

### ROK - Chungnum Provincial Government

| SAP Target | Activity | | 2014 | 2015 | 2026 | 2017 | 2018 | |
|---|---|---|---|---|---|---|---|---|
| 1 | Operation of vessels for fisheries guidance | **Sub-total** | 365.3 | 261.3 | 2556.4 | 3503.5 | 562.1 | |
| 2 | Support marine bio industry | | 0 | 0 | 180 | 0 | 20 | |
| 2 | HRD for fisheries | | 394.7 | 2893.3 | 1531.9 | 356 | 121.7 | |
| 2 | Prevent IUU and support autonomous management fishery | | 1114 | 1185.8 | 7490.6 | 10030.4 | 1240 | |
| 2 | Support fishery seedling production and management | | 2827.6 | 1576.8 | 1407.5 | 2032.5 | 2580.2 | |
| | | **Sub-total** | **4336.3** | **5655.9** | **10610** | **12418.9** | **3961.9** | |
| 3 | Improve conditions of seaweed aquaculture farms and support production facilities | | 3253 | 3080.7 | 1294.9 | 1256.5 | 1545 | |
| 3 | Improve conditions of sea cucumber aquaculture farms and support production facilities | | 500 | 569 | 875 | 294.4 | 379 | |
| 3 | Management and improve environmental conditions of aquaculture farms | | 365 | 400 | 700 | 240 | 150 | |
| 3 | Environment friendly shrimp aquaculture | | 1064.7 | 400 | 672 | 10800 | 160 | |
| 3 | Support bivalve aquaculture | | 1527.6 | 600 | 1137.6 | 180 | 310 | |
| 3 | Support management of aquaculture farms and production facilities | | 4094.8 | 5431.3 | 5450.7 | 3578.8 | 4199 | |
| 3 | Support for fisheries disease | | 139.7 | 250 | 230 | 258 | 240 | |
| | | **Sub-total** | **10944.8** | **10731** | **10360.2** | **16607.7** | **6983** | |
| 4 | Compensation and preparedness for oil spill accidents | | 9867.9 | 10140.2 | 9794.5 | 7651.6 | 7675 | |
| 4 | Marine environment monitoring | | 50 | 90 | | | | |
| | | **Sub-total** | **9917.9** | **10230.2** | **9794.5** | **7651.6** | **7675** | |
| 5 | Construction of sewer systems in fishing and agriculture villages | | 0 | 181 | 98 | 31355 | 31370 | |
| 5 | Gum River watershed monitoring and pollutant management | | 335 | 62 | 483 | 271.7 | 878.9 | |
| | | **Sub-total** | **335** | **243** | **581** | **31626.7** | **32248.9** | |
| 6 | Collection and management of marine debris | | 4284.1 | 5298.2 | 4131 | 1917.1 | 1984.7 | |
| 6 | Distribution of environment friendly buoy | | 35 | 19 | 5 | 1042.7 | 13.5 | |
| | | **Sub-total** | **4319.1** | **5317.2** | **4136** | **2959.8** | **1998.2** | |
| 7 | Collection of wastes in the beach | **Sub-total** | | | | | 90 | |
| 8 | HABs monitoring | **Sub-total** | | 20 | | 483 | 483 | |
| 10 | Management of MPA | **Sub-total** | 582 | 420 | 822 | 1643 | 2848.6 | |
| 11 | Protect fisheries from invasive species | **Sub-total** | 235.4 | 239.3 | 191.3 | 241.3 | 194.7 | |
| **TOTAL (KRW Millions):** | | | **31036** | **33118** | **39051** | **77136** | **57045** | |
| **TOTAL (USD Millions)** | | | US$29.4M | US$31.4M | US$37.0M | US$73.0M | US$54.0M | **US$224.8 M** |

### ROK - Gyunggi Provincial Government

| SAP Target | Activity | | 2014 | 2015 | 2016 | 2017 | 2018 | |
|---|---|---|---|---|---|---|---|---|
| 1 | Buy-back of fishing boats | | | | | 80 | 50 | |
| | | **Sub-total** | | | | **80** | **50** | |
| 2 | Expansion of fishery infrastructure | | 950 | 1020 | 322.5 | 72 | 1697.6 | |
| 2 | Support for self-managed fishery upbringing | | 995 | 750 | 315 | | 50 | |
| 2 | Survey on coastal fisheries | | 80 | 80 | 80 | | | |
| 2 | Seaweed farming facility support | | | 16.3 | 13.6 | 121.5 | 295 | |
| 2 | Eco-friendly shrimp aquaculture | | | 750 | 1500 | | | |
| 2 | Support shellfish seed scattering | | 21.6 | | | | | |
| 2 | Support for aquatic life disease prevention medicine | | 21 | 54.9 | 56.1 | 51.66 | 51.66 | |
| 2 | Fisheries resources furtherance | | 3646 | 5173.25 | 3233.89 | 4111.1 | 3048.1 | |
| 2 | Establishment of fisheries order and support of fisheries administration | | 90.25 | 88.2 | 80.4 | 60 | 55 | |
| 2 | Operation and management of government vessels to support fisheries | | 619.86 | 1688 | 476.7 | 348 | 398 | |
| 2 | Operation of Marine Fisheries Resources Institute | | 3308.3 | 7624.87 | 5265.8 | 5029.7 | 7705.7 | |
| | | **Sub-total** | **9732.01** | **17245.52** | **11343.99** | **9793.96** | **13301.06** | |
| 3 | Seaweed processing water purification facility | | | | 36 | | | |
| 3 | Enhance eco-friendly fishing industry competitiveness | | | | | | 472 | |
| | | **Sub-total** | | | **36** | | **472** | |
| 4 | Reduction of air pollutant Emissions | | 11676.9 | 10299 | 10732.5 | 28041 | 62633 | |
| 4 | Establishment of infrastructure to improve the atmosphere quality | | 47 | 66.55 | 69.55 | 1562 | 2113.2 | |
| 4 | Reduction of environmental pollutant Emissions | | 333.1 | 307.5 | 1330.2 | 5340 | 18298 | |
| 4 | Establishment of scientific measurement system | | 322.3 | 374.6 | 337.6 | 1124.5 | 461.4 | |
| 4 | Establishment of infrastructure for environmental safety management | | | 28 | 28 | 42 | 38.3 | |
| 4 | Technical support for environmental safety management | | 15 | 108 | 88 | | | |
| 4 | Establishment of chemical accident response system | | 153.9 | 220.5 | 312.6 | 191.6 | 593.3 | |
| 4 | Improvement of air quality in industrial complex | | 219.3 | 461.3 | 302.2 | 632.4 | 705.4 | |
| 4 | Inspection of environment pollutant discharge facilities | | 102.9 | 107.3 | 246.9 | 114.6 | 188.2 | |
| 4 | Reduction of air pollutant emissions | | 300 | 860 | 300 | 0 | 227.5 | |
| | | **Sub-total** | **13170.4** | **12832.75** | **13747.55** | **37048.1** | **85258.3** | |
| 5 | Reduction of water pollutants emission | | | | | 300 | 209 | |
| | | **Sub-total** | | | | **300** | **209** | |
| 6 | Distribution of biodegradable fishing gears | | | | 43 | | | |
| 6 | Environmental protection of marine and inland waters | | 384.8 | 958.28 | 725.1 | 559.3 | 565.3 | |
| 6 | Establishment of wastewater and air management infrastructure | | 22.79 | | | | | |
| | | **Sub-total** | **407.59** | **958.28** | **768.1** | **559.3** | **565.3** | |
| **TOTAL (KRW Millions)** | | | **23310** | **31036.55** | **25895.64** | **47781.36** | **99855.66** | |
| **TOTAL (USD Millions)** | | | US$22.1M | US$29.4M | US$24.5M | US$45.2M | US$94.6M | **US$215.8** |

### ROK - Jeonbuk Provincial Government

| SAP Target | Activity | | 2014 | 2015 | 2016 | 2017 | 2018 | |
|---|---|---|---|---|---|---|---|---|
| 1 | Restructuring of offshore fisheries | | 157.8 | 1069 | 1074 | 894 | 396.3 | |
| 1 | Operation of vessels for fisheries guidance | | 512.6 | 499.3 | 504.9 | 474.3 | 483.7 | |
| | **Sub-total** | **Sub-total** | **670.4** | **1568.3** | **1578.9** | **1368.3** | **880** | |
| 2 | Prevent IUU and support autonomous management fishery | | 754.8 | 1572 | 264 | 444 | 592 | |
| 2 | Support fishery seedling production and release | | 1094.8 | 983.6 | 834.2 | 3136.1 | 3487.3 | |
| 2 | Furtherance of hatching and nursery grounds | | 300 | 0 | 0 | 399 | 420 | |
| 2 | Promotion of fisheries | | 0 | 413.4 | 50 | 84 | 220 | |
| 2 | HRD for fisheries | | 49.5 | 41.4 | 39.6 | 79.7 | 78.5 | |
| 2 | Survey and furtherance of fisheries resources | | 50 | 0 | 630 | 20 | 20 | |
| 2 | Support for fisheries manufacture facilities | | 0 | 1211 | 0 | 0 | 0 | |
| | | **Sub-total** | **2249.1** | **4221.4** | **1817.8** | **4162.8** | **4817.8** | |
| 3 | Support for seaweed production facilities | | 144.7 | 240 | 93 | 117 | 119.4 | |
| 3 | Support for environment friendly aquaculture | | 1040 | 1393.2 | 70.3 | 113.2 | 171.3 | |
| 3 | Environmental management of aquaculture farms | | 879 | 0 | 700 | 400 | 1513 | |
| 3 | Support for fisheries disease management | | 0 | 0 | 24 | 161.3 | 2201.5 | |
| | | **Sub-total** | **2063.7** | **1633.2** | **887.3** | **791.5** | **4005.2** | |
| 4 | Improvement of oil spilled area | | 637 | 2200 | 1100 | 1084 | 936 | |
| | | **Sub-total** | **637** | **2200** | **1100** | **1084** | **936** | |
| 5 | Wastewater treatment | | 5827 | 189695.1 | 148699.9 | 150555 | 130214.4 | |
| 5 | Livestock manure treatment | | 140 | 640 | 908 | 1426 | 3974 | |
| 5 | Reducing non-point source pollution | | 100 | 4819 | 6608 | 5708 | 9771 | |
| 5 | Watershed management and water quality protection | | 64 | 794 | 388 | 166.6 | 566.6 | |
| | | **Sub-total** | **6131** | **195948.1** | **156603.9** | **157855.6** | **144526** | |
| 6 | Marine litter collection and management | | 1910.4 | 1131 | 1118 | 2281.4 | 2387 | |
| | | **Sub-total** | **1910.4** | **1131** | **1118** | **2281.4** | **2387** | |
| 7 | Waste management and improving bathing beach conditions | | 0 | 0 | 487.4 | 237 | 331.2 | |
| | | **Sub-total** | **0** | **0** | **487.4** | **237** | **331.2** | |
| 10 | Wetland recovery and management | | 5020 | 4000 | 2950 | 564 | 2147 | |
| 10 | Management of MPA | | 350 | 250 | 244 | 275 | 328.4 | |
| | | **Sub-total** | **5370** | **4250** | **3194** | **839** | **2475.4** | |
| 11 | Removal of jellyfish and star fish | | 577.5 | 105 | 105 | 322.5 | 222.5 | |
| | | **Sub-total** | **577.5** | **105** | **105** | **322.5** | **222.5** | |
| **TOTAL (KRW Millions):** | | | **19609** | **211057** | **166892** | **168942** | **160581** | |
| **TOTAL (USD Millions):** | | | US$18.6M | US$199.8M | US$158.0M | US$160.0M | US$152.1M | **US$688.5** |

### ROK - Jeonnum Provincial Government

| SAP Target | Activity | | 2014 | 2015 | 2016 | 2017 | 2018 | |
|---|---|---|---|---|---|---|---|---|
| 1 | Operation of vessels for fisheries guidance | **Sub-total** | 2768 | 2983 | 2920.3 | 2869.5 | 2927 | |
| 2 | Support fishery seedling production and release | | 2924.9 | 2942.8 | 3586.3 | 3878.3 | 3963.3 | |
| 2 | Furtherance of marine resources in the mud flat | | 1086.2 | 1389.5 | 732.2 | | | |
| 2 | Improvement of environmental conditions of oil spilled fishing grounds | | 2752 | 3300 | 2700 | 1533 | 1533 | |
| 2 | HRD for fisheries | | 99 | 99 | 134 | 131 | 131 | |
| 2 | Development of fishing villages and unmaned islands | | 0 | 8095 | 6022 | 0 | 0 | |
| 2 | Support autonomous management fisheries | | 2666.9 | 3061.9 | 1187 | 822 | 670 | |
| 2 | Environmental management of aquaculture farms | | 1423 | 2800 | 2020 | 0 | 0 | |
| 2 | Furtherance of environment friendly aquaculture | | 1250 | 1000 | 3710 | 2229 | 1704 | |
| | | **Sub-total** | 12202 | 22688.2 | 20091.5 | 8593.3 | 8001.3 | |
| 3 | Management of aquaculture farms | | 0 | 0 | 450 | 2790 | 2890 | |
| 3 | Support sea surface aquaculture | | 0 | 23 | 23 | 3115 | 2968 | |
| 3 | Support seaweed aquaculture | | 447.8 | 208.3 | 214.1 | 0 | 0 | |
| 3 | Pilot study of compound feeds | | | | | | | |
| 3 | Distribution of vaccines for marine animal disease | | 1000 | 2550 | 2720 | 1855 | 1806 | |
| 3 | Improve seaweed manufacturing | | 0 | 400 | 280 | 280 | 1437 | |
| | | **Sub-total** | 1447.8 | 3181.3 | 3687.1 | 8040 | 9101 | |
| 4 | Marine environment monitoring | **Sub-total** | | | 100 | | | |
| 5 | Marine environment protection | **Sub-total** | 0 | 2385.8 | 2262 | 2751.3 | 2977.2 | |
| 6 | Marine debris collection and management | | 3791 | 19398 | 15811 | 10479 | 8803 | |
| 6 | Distribution of environment friendly buoy | | 993 | 900 | 2590 | 2588.4 | 2266.8 | |
| | | **Sub-total** | 4784 | 20298 | 18401 | 13067.4 | 11069.8 | |
| 7 | Environmental management of beach | **Sub-total** | 0 | 187 | 170 | 90 | 90 | |
| 9 | Protection of fisheries from HABs and jellyfish | | 965 | 1116 | 1617 | 3377 | 3611.7 | |
| 9 | Support developing marine bio business | | 812.5 | 0 | 0 | 385 | 438.6 | |
| | | **Sub-total** | 1777.5 | 1116 | 1617 | 3762 | 4050.3 | |
| 10 | Management of MPA and restoration of mud flat | **Sub-total** | 1661 | 1310 | 3600 | 10501 | 8805.6 | |
| **TOTAL (KRW Millions):** | | | **24640** | **54149** | **52849** | **49675** | **47022** | |
| **TOTAL (USD Millions):** | | | US23.3M | US$51.3M | US$50.0M | US$47.0M | US$44.5M | **US$216.2** |

### ROK - Incheon Municipal Government

| SAP Target | Activity | | 2014 | 2015 | 2016 | 2017 | 2018 | |
|---|---|---|---|---|---|---|---|---|
| 1 | Operation of vessels for fisheries guidance | **Sub-total** | **0** | **0** | **1700** | **0** | **2192.68** | |
| 2 | Fishery seedling management and release | | 3800 | 3500 | 200 | 0 | 2669 | |
| 2 | Fisheries resources release | | 0 | 0 | 100 | 0 | 526.015 | |
| 2 | Management of offshore fisheries resources | | 0 | 0 | 418 | 2196 | 14 | |
| 2 | Support fisheries resource upbringing | | 400 | 100 | 8730.6 | 8186.3 | 266.346 | |
| 2 | Support autonomous management fishery | | 300 | 0 | 306.7 | 117.9 | 119 | |
| | | **Sub-total** | **4500** | **3600** | **9755.3** | **10500.2** | **3594.361** | |
| 3 | HRD for fisheries | | 0 | 0 | 479.5 | 71.5 | 90.279 | |
| 3 | Management of aquaculture farms | | 1300 | 900 | 1253.3 | 1336.5 | 450 | |
| 3 | Support aquaculture of sea cucumber and blue crab | | 2800 | 1900 | 1600 | 0 | 900 | |
| 3 | Sanitation and fisheries disease control | | 0 | 0 | 100 | 0 | 2112.451 | |
| 3 | Improve aquaculture techniques | | 0 | 0 | 0 | 0 | 3223.655 | |
| | | **Sub-total** | **4100** | **2800** | **3432.8** | **1408** | **6776.385** | |
| 4 | Construction and management of wastewater treatment plants | **Sub-total** | **0** | **4300** | **41200** | **0** | **3168.99168** | |
| 5 | Management and construction of sewer pipes and | | 12700 | 3000 | 5000 | 0 | 7006 | |
| 5 | Construction of resoviors for wastewater treatment | | 1200 | 27400 | 16800 | 0 | 0 | |
| | | **Sub-total** | **13900** | **30400** | **21800** | **0** | **7006** | |
| 6 | Management of marine debris | **Sub-total** | **8200** | **8200** | **7746** | **7745** | **7702** | |
| 7 | Environmental management of beach | **Sub-total** | **0** | **2000** | **1600** | **0** | **250** | |
| 10 | Management of MPA and recovery of mud flat ecosystems | **Sub-total** | **0** | **400** | **1700** | **0** | **2112.856** | |
| 11 | Removal of invasive species | **Sub-total** | **0** | **0** | **0** | **0** | **741.643** | |
| **TOTAL (KRW Millions):** | | | **30700** | **51700** | **88934** | **19653** | **33545** | |
| **TOTAL (USD Millions):** | | | US$29.1M | US$49.0M | US$84.2M | US$18.6M | US$31.8M | **US$212.6** |

### ROK total combined investments 2014-2018 (as reported)

| Organization | USD (Millions) |
|---|---|
| Ministry of Oceans & Fisheries: | 2,491.0 |
| Chungnum Provincial Govt.: | 224.8 |
| Gyungii Provincial Govt.: | 215.8 |
| Jeonbuk Provincial Govt.: | 688.5 |
| Jeonnum Provincial Govt.: | 216.2 |
| Incheon Municipal Govt.: | 212.6 |
| **Total:** | **4,048.9** |

**Note:** This is still a significant under-estimate, as it does not include expenditure by the Ministry of Foreign Affairs (MOF) (e.g. in attending ICC, MSTP and RWG meetings), and expenditure in the Yellow Sea region by ROK-based NGOs.

The total level of investment in YSLME-related activities by all relevant parties in ROK for the period July 2014 - July 2018 may well be more than 3x the $4 billion shown above, i.e**. > $12 billion,** which is just over 95x the original commitment by ROK in the ProDoc.

# Annex 8: GEF-IW Tracking Tool at April 2018

**MTR Comments:**

- The Project is required to complete the GEF-IW Tracking Tool at the start of the Project, at the MTR and again at Project-end, to track and assess how the project is meeting GEF-IW strategic programs and priorities. The PMO updated the GEF-IW Tracking Tool in April 2018, during the MTR. As with the APRs and PIRs the GEF-IW Tracking Tool is a "self-assessment" by the PMO. In reviewing the Tracking Tool as completed in April 2018, the MTR notes that as with the APRs and PIR, the PMO has a tendency to perhaps be more positive than the actual level of implementation achieved. For example:

    - For Indicator 1: Regional legal agreements and cooperation frameworks, the PMO gives a score of 2, "Regional legal agreement negotiated but not yet signed". This is totally incorrect, as at April 2018 there is no draft regional agreement available to negotiate (although development of such is planned from now until Project-end).

    - For Indicator 10: Proportion of Countries that have adopted SAP. The PMO claims that all three littoral States, including DPRK, have adopted the SAP. As far as can be ascertained by the MTR, there is no formal record or informal evidence of DPRK having adopted the SAP.

    - For some indicators (e.g. no. 13, 14, 15 and 16), national activities that are conducted outside of and irrespective of the Project are listed as evidence to support a positive rating against the indicator. While this is valid to a certain extent, it does give an over-positive impression that the Project itself is achieving these results when in fact they are being achieved directly by the Countries, without the Project. For clarity this should be pointed out in the descriptive notes against the rankings.

- Finally, some of the Tracking Tool indicators relate more to the Phase I Project and are not relevant to the Phase II project, e.g. indicators 6 and 8 on the TDA and 9 on SAP. Reporting positively against these for the current Project falsely implies that this Project has achieved those results, when in fact they were achieved during Phase I. It is recommended that this should simply be pointed out in the descriptive notes against the rankings.

# IW Tracking Tools

**(initial draft was prepared by CTA, and is subject to review, confirmation and finalization by PR China and RO Korea for submission to MTR consultant for inclusion in this evaluation report)**

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.

**GEF International Waters Tracking Tool**

| | | | |
|---|---|---|---|
| *NOTE:*<br>*Please address all boxes colored blue* | | GEF Project ID:4343 | GEF Implementing Agency: UNDP |
| | | Project Title: Implementation of the Yellow Sea LME Strategic Action Programme for Adaptive Ecosystem-Based Management | |
| 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 | 2 | | | | PR China and RO Korea agreed to set up two tasks forces to elaborate on the process and work out the legal documents to institutionalize the Yellow Commission. TORs of the two TFs were agreed along with the TORs for a Legal Expert and a Financing Specialist. | 1 = No legal agreement/cooperation framework in place<br>2 = Regional legal agreement negotiated but not yet signed<br>3 = Countries signed legal agreement<br>4 = Legal agreement ratified and entered into force |
| 2 | Regional management institutions (RMI) | 2 | | | | While there is no political agreement to establish a YSLME Commission as regional cooperating body for the Yellow Sea, PR China and RO Korea agreed to establish the Interim YSLME Commission (ICC) during the project duration. TORs of the Interim Commission and subsidiary bodies and rules of governance of the Council were agreed and | 1 = No RMI in place<br>2 = RMI established but functioning with limited effectiveness, < 50% countries contributing dues<br>3 = RMI established and functioning, >50% of countries contributing dues<br>4 = RMI in place, fully functioning and fully sustained by at or near 100% country contributions |

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| | | | | | | ICC is now operationalized. PR China's participation in ICC and subsidiary bodies meetings are partially supported by GEF while RO Korea participation is fully self-financed. | |
| 3 | Management measures in ABNJ incorporated in Global/Regional Management Organizations (RMI) institutional/ management frameworks | 4 | | | | 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 is in its full swing. | 1 = No management measures in ABNJ in (RMI) institutional/ management frameworks<br>2 = Management measures in ABNJ designed but not formally adopted by project participants<br>3 = Management measures in ABNJ formally adopted by project participants but not incorporated in RMI institutional/management frameworks<br>4 = Management measures in ABNJ fully incorporated in RMI institutional/ management frameworks |
| 4 | National Inter-Ministry Committees (IMCs) | 4 | | | | IMCC established in the participating countries and fully operating to provide guidance to negotiations and SAP implementation issues. | 1 = No IMCs established<br>2 = IMCs established and functioning, < 50% countries participating<br>3 = IMCs established and functioning, > 50% countries participating<br>4 = IMCs established, functioning and formalized thru legal and/or institutional arrangements, in most participating countries |
| 5 | National/Local reforms | 3 | | | | NSAP adopted, and programs (fishing vessel buyback, marine ranching, coastal reclamation, suspension of coastal reclamation in Bohai Bay, PPP, etc) are being implemented. Legal reforms are also under way in developing MSP legislation in RO Korea and Basic Ocean Law in PR China. | 1 = No national/local reforms drafted<br>2 = National/ local reforms drafted but not yet adopted<br>3 = National/legal reform adopted with technical/enforcement mechanism in place<br>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<br>2 = Priority TB issues identified and agreed on but based on limited effect information; inadequate root cause analysis<br>3 = Priority TB issues agreed on based on solid baseline effect info; root cause analysis is inadequate<br>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 | | | | TDA is in the process of update in 2018 | 1 = No revised TDA or SAP<br>2 = TDA updated to incorporate climate variability and change<br>3 = revised SAP prepared including Climatic Variability and Change<br>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 actives<br>2 = MNITS committee established and contributed to the TDA development<br>3 = TDA includes technical annex, documenting data and analysis being collected<br>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<br>2 = SAP developed addressing key TB concerns spatially<br>3 = SAP developed and adopted by ministers<br>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 | 3 | | | | SAP targets including Fishing vessel buy-back scheme, YSLME Commission and MPA increase have been reported to UN Ocean Conference as country commitments for support by national programs. | 1 = No progress<br>2 = Limited progress, very generic with no specific agency/government(s) commitments<br>3 = Priorities specifically incorporated into some national development/assistance frameworks with clear agency/government(s) commitments and time frames for achievement<br>4 = Majority of national development/assistance frameworks have incorporated priorities with clear agency/government(s) commitments and time frames for achievement |

| **B** | **STRESS REDUCTION INDICATORS** | | |
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| | Indicators | *Scroll down menu of ratings* | Ratings |

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| 13 | Are there mechanisms in place to produce a monitoring report on stress reduction measures? | 3 | Mechanisms in place in both RO Korea and PR China and sustainable for long-term monitoring. Harmonization of some indicators related with fish stocks and marine pollution reduction is being facilitated with project support. | 1 = No mechanisms in place to monitor/report change<br>2 = Some national/regional monitoring mechanisms, but they do not satisfy the project related indicators.<br>3 = monitoring mechanisms in place for some of the project related indicators<br>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:<br>1 = Integrated Water/River Resource Management (Watershed, lakes, aquifers)<br>2 = Integrated Coastal Management (Coast)<br>3 = Marine Spatial Planning (Marine)<br>4 = Marine Protected areas (Fisheries/ABNJ) |
| | | 2<br>4 | 0/100,000 ha<br>42,880 ha (size of a newly proposed MPA) | |
| 15 | *Please specify the types of technologies and measures implemented in local investments (Column D) and their respective results (Column I):* | | | |
| | 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) | 1 = Municipal wastewater pollution reduction - N, P & BOD (kg/yr)<br>2 = Industrial wastewater pollution reduction - pollutant; estimated kg/yr<br>3 = Agriculture pollution reduction practices - ha of practices; estimate of N, P & BOD kg/yr<br>4 = Restored habitat, including wetlands - ha restored<br>5 = Conserved/protected wetland, MPAs, and fish refugia habitat - ha applied<br>6 = Reduced fishing pressure - tons/yr reduction; % reduction in fleet size<br>7 = Improved use of fish gear/techniques - % vessels applying improved gear/techniques<br>8 = Water use efficiency measures - m^3/yr water saved<br>9 = Improved irrigation practices - m^3/ha/yr water saved<br>10 = Alternative livelihoods introduced - # people provided alternative livelihoods<br>11 = Catchment protection measures - ha under improved catchment management<br>12 = Aquifer pumping reduction - m^3/yr water saved<br>13 = Aquifer recharge area protection - ha protected<br>14 = Pollution reduction to aquifers - kg/ha/year reduction<br>15 = Invasive species reduction - ha and/or #'s of targeted area<br>16 = Other - please specify in box below | In the YSLME Demonstration City of Dalian, reduction of nutrient inputs from an upstream river into vulnerable Linshui Bay and restoration of bay area are prioritized by national and local governments with earmarking of 320,000,000 yuan (equivalent to 48 million US dollars). In 2017, the central government support focused on strengthening the coastal embankment, restoration of sand beach, restoration of estuarine wetland while local investment of Dalian City upgraded the sewage treatment capacity of existing facilities. |
| | | 6 = Reduced fishing pressure - tons/yr reduction; % reduction in fleet size | | PR China has set the national targets to reduce 20,000 fishing vessels with a total capacity of 1.5 million KW and reduce fish landings by 15 percent during 13th FYP (2016-2020). According to the document of Agricultural and Rural Ministry, a target of reducing 6,100 fishing vessels with a total capacity of 0.36 million kW is set for the Yellow Sea. In addition, fishing closure in Yellow Sea from May 1 to |

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| | | | | September 16 has been introduced in 2017 by Agricultural and Rural Ministry to restore the declining fish stocks. In Weihai City, national and Shandong Provincial governments has invested a total of 256,800,000 *yuan* and 622 fishing vessels with a total capacity of 31,268 kW have been reduced (Weihai Ocean and Fishery Bureau).<br><br>In RO Korea, Ministry of Oceans and Fisheries has implemented fishing efforts reduction programme from 1994 to 2013 to strengthen fishing competitiveness and protect coastal resource. During that period, a total of 18,560 vessels has been reduced with 1,589 billion KRW investment. In total 45,589 vessels are registered in 2013. In addition, a total of 520 vessels have been reduced with costs of 32.1 billion KRW. |
| | | 4 demon projects on re-planting seagrass habitats (?) | | Three groups of national marine ranches are piloted and supported by Agricultural and Rural Ministry with a total of 24 national marine ranches being established in Yellow Sea. In RO Korea, a total of 36 marine ranches are established to restock the fish population including in the Yellow Sea. Initial study by Shandong Ocean and Fisheries Department indicate positive results of marine ranching in restocking fish population. |
| | | 3 = Agriculture pollution reduction practices - ha of practices; estimate of N, P & BOD kg/yr | | Based on the experiences of IMTA in Sungo Bay, IMTA proves to be highly energy-efficient, increasing production and social acceptability of culturing systems, optimizing the carrying capacity of coastal embayments, improving water quality, increasing protein yields, and through carbon capture contributing to mitigation of the effects of climate change. In RO Korea, IMTA was demonstrated from 2011 onwards in coastal areas beyond YSLME by NIFS of RO Korea on IMTA of sea tangle, Gulfweed, Korean rockfish, Pacific Oyster and sea cucumber indicating that sea cucumber grew 2.7 times faster; survival rate of Korean rockfish increased |

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| | | | | by 33.4% (from 56.8% to 90.5%); no fish disease occurred in IMTA (40% of Rockfish farmed in monoculture infected with disease). In the IMTA in Namhae of Korean rockfish, sea cucumber, Pacific Oyster, Undaria and *Saccharina japanoca*, studies found no significant difference in growth of body length and weight of Korean rockfish; no disease found in rockfish (36.7% under monoculture); Pacific Oyster grow faster by >20% in shell height and whole and meat weight, and 22.5% higher fatness; and sea cucumber grew >40% faster. |
| | | 6 = Reduced fishing pressure - tons/yr reduction; % reduction in fleet size | | Both PR China and RO Korea have introduced total allowable catch (TAC) system in fishery management to reduce over-fishing. Currently RO Korea applies TAC system to 11 species with 70 TAC observers. PR China introduced the system in 2017 starting with two species. Swimming Crab (*Portunus trituberculatus*) and Small Yellow Croaker will be selected by the two countries as the species to pilot stock assessment and implementation of joint fish stock management measures to improve management effectiveness through cooperation. |
| | | *Briefly describe investment in a 100 words or less:* | | |
| | Local investment #2 | *Stress Reduction Measurements (Choose up to five)* | | *Please enter amount/value of respective stress reduction below:* |
| | | 5 = Conserved/protected wetland, MPAs, and fish refugia habitat - ha applied | 1 = Municipal wastewater pollution reduction - N, P & BOD (kg/yr)<br>2 = Industrial wastewater pollution reduction - pollutant; estimated kg/yr<br>3 = Agriculture pollution reduction practices - ha of practices; estimate of N, P & BOD kg/yr<br>4 = Restored habitat, including wetlands - ha restored<br>5 = Conserved/protected wetland, MPAs, and fish refugia habitat - ha applied<br>6 = Reduced fishing pressure - tons/yr reduction; % reduction in fleet size<br>7 = Improved use of fish gear/techniques - % vessels applying improved gear/techniques<br>8 = Water use efficiency measures - m^3/yr water saved<br>9 = Improved irrigation practices - m^3/ha/yr water saved | The Project commissioned a study of biological and ecological significance of Xiaoyangkou intertidal mudflat of Rudong County, Jiangsu Province. Based on the results of the survey, a technical proposal has been prepared to include 42,880 ha of intertidal mudflat as a special MPA at national level to protect the Spoon-billed Sandpiper (*Calidris pygmaea*), a critically endangered species with nearly 40% of its population wintering in Xiaoyangkou and the habitats for many other migratory waterbird species. The proposal has been approved by SOA. |

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| | | 4 = Restored habitat, including wetlands - ha restored | 10 = Alternative livelihoods introduced - # people provided alternative livelihoods<br>11 = Catchment protection measures - ha under improved catchment management<br>12 = Aquifer pumping reduction - m^3/yr water saved<br>13 = Aquifer recharge area protection - ha protected<br>14 = Pollution reduction to aquifers - kg/ha/year reduction<br>15 = Invasive species reduction - ha and/or #'s of targeted area<br>16 = Other - please specify in box below | Engineering efforts in RO Korea are being made to build connectivity of marine and coastal ecosystems. In RO Korea, a 7 million US dollar project is now being implemented in Ganghwa to restore the ecosystem connectivity of intertidal mudflats through replacing a causeway linking Donggum-Do and Ganghwa-Do by a bridge between the two islands in RO Korea. Pre-project assessment of ecological effects have been conducted and post-project assessment is also integrated into the project. |
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| | | *Briefly describe investment in a 100 words or less:* | | |
| | Local investment #3 | *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)<br>2 = Industrial wastewater pollution reduction - pollutant; estimated kg/yr<br>3 = Agriculture pollution reduction practices - ha of practices; estimate of N, P &BOD kg/yr<br>4 = Restored habitat, including wetlands - ha restored<br>5 = Conserved/protected wetland, MPAs, and fish refugia habitat - ha applied<br>6 = Reduced fishing pressure - tons/yr reduction; % reduction in fleet size<br>7 = Improved use of fish gear/techniques - % vessels applying improved gear/techniques<br>8 = Water use efficiency measures - m^3/yr water saved<br>9 = Improved irrigation practices - m^3/ha/yr water saved<br>10 = Alternative livelihoods introduced - # people provided alternative livelihoods<br>11 = Catchment protection measures - ha under improved catchment management<br>12 = Aquifer pumping reduction - m^3/yr water saved<br>13 = Aquifer recharge area protection - ha protected | |
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| | | | 14 = Pollution reduction to aquifers - kg/ha/year reduction<br>15 = Invasive species reduction - ha and/or #'s of targeted area<br>16 = Other - please specify in box below | |
| | | *Briefly describe investment in a 100 words or less:* | | |
| | | *NOTE: If the project has more than three local investments, please fill out the Annex A found in the worksheet tabs below.* | | |

| **C** | **WATER, ENVIRONMENTAL & SOCIOECONOMIC STATUS Indicators** | | | |
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| | Indicators | *Scroll down menu of ratings* | | 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<br>2 = Some national/regional monitoring mechanisms, but they do not satisfy the project related indicators.<br>3 = Monitoring mechanisms in place for some of the project related indicators<br>4 = Mechanisms in place for project related indicators and sustainable for long-term monitoring |

| **D** | **IW:LEARN Indicators** | | | |
|---|---|---|---|---|
| | Indicators | *Scroll down menu of ratings* | | Ratings |
| 17 | Participation in IW events (GEF IWC, Community of Practice (COP), IW:LEARN) | 4 | | 1 = No participation<br>2 = Documentation of minimum 1 event or limited COP participation<br>3 = Strong participation in COPs and in IWC<br>4 = Presentations with booth participation and hosting of staff/twinning |
| 18 | Project website (according to IW:LEARN guidelines) | 2 | | 1 = No project website<br>2 = Website not in line with IW:LEARN guidelines, not regularly updated<br>3 = Website in line with IW:LEARN guidelines, not regularly updated<br>4 = Website in line with IW:LEARN guidelines, regularly updated |
| | | | Date Completed: | 06/04/2018 |

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## Annex 9: Evaluation Consultant's Agreement Form

**Evaluators:**

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.

2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.

3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and respect people's right not to engage. Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.

4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.

5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.

6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study imitations, findings and recommendations.

7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

**Evaluation Consultant Agreement Form**
**Agreement to abide by the Code of Conduct for Evaluation in the UN System**
**Name of Consultant:** Steve Raaymakers
**Name of Consultancy Organization** (where relevant): EcoStrategic Consultants
**I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.**
Signed at *Cairns, Australia* on *23 March 2018*

Signature: