



## PROJECT TERMINAL EVALUATION

# Scaling up the implementation of the Sustainable Development Strategy for the Seas of East Asia (SDS-SEA)

GEF ID 00087725

### STRATEGIC PROGRAM OF GEF 5:

**IW Objective 2:** Catalyze multistate cooperation to rebuild marine fisheries and reduce pollution of coasts and Large Marine Ecosystems (LMEs) while considering climatic variability and change.

**IW Objective 3:** Support foundational capacity building, portfolio learning, and targeted research needs for ecosystem-based joint management of transboundary water systems 1:

### Implementing Agency:

United Nations Development Programme

### Executing Entity/Implementing Partner:

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

### Implementing Entity:

PEMSEA Resource Facility (PRF)

### OTHER IMPLEMENTING AGENCIES:

Ministry of Environment Cambodia, State Oceanic Administration (Ministry of Natural Resources) China, Ministry of Environment and Forestry, Indonesia, Department of Water Resources/Ministry of Natural Resources and Environment Lao PDR, Department of Natural Resources and Environment Philippines, Department of Marine and Coastal Resources/Ministry of Natural Resources and Environment Thailand, Ministry of Agriculture and Fisheries Timor Leste and Vietnam Administration of Seas and Islands/Ministry of Natural Resources and Environment Vietnam with the Governments of Japan, RO Korea and Singapore participating on a self-financing basis

### REGION: ASIA AND THE PACIFIC

**COUNTRIES:** Cambodia, China, Indonesia, Lao PDR, Philippines, Thailand, Timor Leste, Vietnam

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from 13 November 2020–31 January 2021

Report submitted .....

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**I. OPENING PAGE:****Project Information Summary**

PROJECT INFORMATION	
Project Name:	Scaling up the implementation of the Sustainable Development Strategy for the Seas of East Asia (SDS-SEA)
Project ID:	PIMS ID: 4752
Region:	Asia and the Pacific
Countries:	Cambodia, China, Indonesia, Lao PDR Philippines, Thailand, Timor Leste, Vietnam
Focal Area:	International Waters (GEF-5)
Strategic Programs:	IW Objective 2: Catalyze multistate cooperation to rebuild marine fisheries and reduce pollution of coasts and Large Marine Ecosystems (LMEs) while considering climatic variability and change. IW Objective 3: Support foundational capacity building, portfolio learning, and targeted research needs for ecosystem-based joint management of transboundary water systems
Funding Source:	GEF Trust Fund
Implementing Agency	United Nations Development Program (UNDP)
Executing Agency:	PEMSEA Resource Facility (PRF)
FINANCIALS	
GEF Project Grant:	10,643,992
Co-financing Total:	157,265,467
Total Cost:	167,909,459
PROJECT TIMELINE	
PIF submitted to GEF:	16/04/2013
Project Approved:	26/08/2014
State Date:	05/09/2014
Closing Date (Planned):	05/09/2019
Actual Closing Date:	12/31/2020

**Acknowledgments**

The Terminal Review Team acknowledges the support of all who contributed to the review process including national and regional representatives who agreed to provide their insights, and Implementing Agency representatives, who provided valuable comments on the draft Report. Particular thanks are extended to the staff of the PEMSEA Resource Facility, led by Executive Director Ms. Aimee Gonzales and Project Manager Ms. Nancy Bermas.

## Review Team Composition

A team of international and national specialists was formed to conduct the evaluation.

## II. EXECUTIVE SUMMARY

- Project Summary Table

PROJECT NAME:	Scaling up the implementation of the Sustainable Development Strategy for the Seas of East Asia (SDS-SEA)		
Project ID:	PIMS ID: 4752	GEF Project ID:	00087725
Region:	Asia and the Pacific	Countries:	Cambodia, China, Indonesia, Lao PDR, Philippines, Thailand, Timor Leste, Vietnam
Focal Area:	International Waters (GEF-5)	Project Approved:	26/08/2014
Strategic Programs:	IW Objective 2: IW Objective 3:	State Date:	05/09/2014
Funding Source:	GEF Trust Fund	Closing Date (Planned):	05/09/2019
Implementing Agency	United Nations Development Program (UNDP)		
Executing Agency:	PEMSEA Resource Facility (PRF)		
FINANCIALS			
GEF Project Grant:	USD 10,643,992	Expenditure to Date:	USD 10,643,992.00
Co-financing Total:	USD 157,265,467 (committed in Prodoc) USD 362,037,958 (mobilized at the end of the project)	Amount disbursed Date:	
Total Cost:	USD 167,909,459		

- Project Description

Scaling up the implementation of the Sustainable Development Strategy for the Seas of East Asia (SDS-SEA) is a GEF project implemented by UNDP with UNDP Philippines serving as Principal Project Representative (PPR) and the Partnerships in Environmental Management for the Seas of East Asia (PEMSEA) Resource Facility (PRF) as the implementing partner in accordance with the agreement entered by the two parties. The countries bordering the East Asian Region, Cambodia, China, Indonesia, Lao PDR, Philippines, Thailand, Timor Leste, and Vietnam are the eight (8) countries in the project while Japan, Republic of Korea, and Singapore participated on a self-financing bases and provided project on a cofinancing basis co-financing.



The Project is the fourth phase (approved in May 2014) of the UNDP/GEF projects under PEMSEA.<sup>1</sup> It represents the transformation phase of GEF support culminating in the sustainability of PEMSEA as the regional coordinating mechanism for the implementation of SDS-SEA and makes a stronger linkage between sustainable development of river basins, coastal and marine areas, and local, national, and regional investment processes in a blue economy. This is thus the “child project” as part of the regional programmatic approach and tasked to report on the entire programme.

The Project is consistent with International Waters Objectives 2 and 3 in the GEF 5 Focal Area Strategies, which are meant to 1) catalyze multistate cooperation to rebuild marine fisheries and reduce pollution of coasts and large marine ecosystems while considering climatic variability and change and 2) support foundational capacity building, portfolio learning, and targeted research needs for ecosystem-based joint management of transboundary water systems.

The Mid-Term Review, which examined the status of the Project from 2014 to March 2018, recommended a 12-month extension to allow sufficient time to achieve progress towards the outcomes in countries that were delayed in starting implementation due to administrative requirements. The 12-month extension was endorsed by the eight participating countries at the 2019 PSC meeting, including the adoption of revised indicators and end of project targets that were incorporated into the Strategic Results Framework of the Project Document. UNDP sent PRF the formal notification on 18 June 2019, extending the project to 31 August 2020. Due to the COVID-19 pandemic, the project was granted a second extension until 31 December 2020.

This Terminal Evaluation is a normal requirement of UNDP/GEF at end of implementation. The results and lesson learned are aimed at the following key audiences: PEMSEA, UNDP, GEF, Member-states, Non-Member partners, etc., and all other partners and is intended to inform future programming, document lesson learned, and provide recommendations for follow up and sustainability.

#### • Evaluation Rating Table

Evaluation Ratings <sup>1</sup> :			
1. Monitoring and Evaluation	Rating	2. IA & EA Execution	Rating
M&E design at entry	HS	Quality of UNDP Implementation	HS
M&E Plan Implementation	HS	Quality of Execution/Executing Agency	HS
The overall quality of M&E	HS	The overall quality of Implementation/Execution	HS
3. Assessment of Outcomes	rating	4. Sustainability	Rating
Relevance	R	Financial resources	ML
Effectiveness	HS	Sociopolitical	ML
Efficiency	S	Institutional framework and governance	ML
Overall Project Outcome Rating	HS	Environmental	L
		The overall likelihood of sustainability	ML

<sup>1</sup> Pilot phase project (1994–1999): “Marine Pollution Prevention and Management of the East Asian Seas Region”; Second phase project (1999–2008): “Building Partnerships in Environmental Management for the Seas of East Asia”; Third phase project (2008–2013): “Implementation of the Sustainable Development Strategy for the Seas of East Asia.”

- Summary of conclusions, recommendations, and lessons

Progress Towards Results	MTR Rating (2018)	TE Rating (2020)
Project Objective	MS	S
Outcome 1 (Self-sustaining Regional Mechanism)	S	S
Outcome 2 (National Policy, Institutional Arrangements)	MS	S
Outcome 3 (Innovative Financing)	S	S
Outcome 4 (ICM Coverage/areal extent of habitats/MPAs)	MS	S
Outcome 5 (EAFM/Alternative Livelihood)	MU	S
Outcome 6 (Pollution Reduction)	MU	S
Outcome 7.1 (CCA/DRR/GOT/PSHEMS)	MS	HS
Outcome 8 (Innovative Economic Instruments)	HS	HS
Outcome 9.1 (Environmental Monitoring/NSOC/Networks/Targeted research)	S	S
Outcome 10 (Outreach Services)	HS	HS
Project Implementation & Adaptive Management	S	HS
Sustainability	ML	ML

#### TE ratings and achievement summary table HS, S, MS, green and yellow

PROGRESS TOWARDS RESULTS	2018 MTR RATING	JUSTIFICATION FOR RATING	2020 TE RATING	JUSTIFICATION FOR RATING (ACHIEVEMENTS, GAPS AND UNDERACHIEVEMENTS)
Project Strategy	N/A	N/A	NA	GEF project strategy has been in line with the PEMSEAs SAP and support phase four intentions to continue support PEMSEA to be relevant and needs-based with a robust membership and become a self-sustaining organization. The project has supported four interrelated PEMSEA SAP targets 1. National and Regional Governance, 2. ICM scaling up to cover at least 20% of the region's coastlines 3. Monitoring, Evaluation and Knowledge Management, 4 Capacity Development, Learning and Knowledge Management. It worked through strategies based on a bottom-up learning and partnering governance approach. It had three work components: one on patenting, one on science and planning in key areas including monitoring through SOC reporting and regional indicators development, and one on knowledge management, learning, and capacity development. It was well managed and had excellent implementation strategies, including through local governance and creation of learning networks regionally and nationally. Central to success is the implementing focus on the fostering of two regional learning networks to support implementation. The first is a mapped out "academic" network, and the second is a regional local government's network for ICM. These networks are central to the bottom-up approach to policy, which has also helped them get things done. The key lesson is how PEMSEA enters into agreements and fosters these networks to generate the ground ups work from Manila HQ.

Progress toward results Objective	MS	<ul style="list-style-type: none"> <li>All countries are participating in the project to some degree. However, delays with some countries in signing agreements have resulted in delays in project implementation. The overall rating of Satisfactory reflects the fact that, while progress to date has been significant, delays have prevented progress in some countries. As a result, at this stage, the project is considered unlikely to achieve all the project objectives within the project timeframe.</li> <li>All countries are participating in the project to some degree. However, delays in signing countries' agreements with some countries have resulted in delays in project implementation.</li> <li>The overall rating of Moderately Satisfactory reflects the fact that, while progress to date has been significant, delays have prevented progress in some countries.</li> <li>At this stage, the project is considered unlikely to achieve all the project objectives within the project timeframe.</li> </ul>	S	<ul style="list-style-type: none"> <li>The project was granted two extensions since MTR. With continuing strong delivery and positive changes against the most challenging indicators at MTR, it has at the final evaluation reached a satisfactory result.</li> <li>All countries have signed country agreements.</li> <li>The 12-month extension (31/08/2019 to 31/08/2020) has allowed the 3 countries (<b>Indonesia, Thailand, and Vietnam</b>) which were two years behind schedule from project start-up to achieve essential deliverables identified in the Project Document. The extension has also benefited the other participating countries (<b>Cambodia, China, Lao PDR, Philippines, and Timor Leste</b>) by giving them adequate time to review and evaluate project outputs and outcomes.</li> <li>The regional components have made good progress where the key project outcome, the establishment of a self-sustaining regional organization inclusive of innovative financing mechanisms, services, and instruments to support SDS-SEA implementation beyond the life of the project has gone beyond initiation and has been established but notably, with significant risks as is reported throughout this report in relation to the assured financing of the core operations of the secretariat from 2022 onwards.</li> <li>The COVID-19 pandemic, however, posed a great challenge to the remaining months of project implementation and completion due to the government-imposed lockdowns, travel, and mobility restrictions. The additional 4-month extension has allowed adjustments in the work plan to realign the budget for activities with high impact that can be completed within the project's timeframe.</li> <li>Overall, the project is rated as satisfactory. All 3 components have achieved the majority of their end of project targets. Under Component 2, final reports for some activities at the local level are expected to be submitted within January 2021.</li> </ul>
Outcome 1	S	<ul style="list-style-type: none"> <li>HQ Agreement and Host Country Agreement provide PRF with continuity required to continue operations.</li> <li>A third-party assessment recommended country consultations on voluntary contributions. These are ongoing, to be completed in Q2 of 2018</li> </ul>	S	<ul style="list-style-type: none"> <li>Output 1.1: Achieved <ul style="list-style-type: none"> <li>Host Country Agreement ratified by Philippine Senate in 2015</li> </ul> </li> <li>Output 1.2: Not fully achieved (Only five out of ten country partners are providing annual voluntary contribution to PEMSEA at the end of the project) <ul style="list-style-type: none"> <li>Danang Compact and Iloilo Declaration adopted by Ministers at the 2015 and 2018 Ministerial Forum setting the targets and affirming the country's commitments to sustaining PEMSEA.</li> <li>Cost-Sharing Agreements with China, Japan, RO Korea, and Singapore signed. Funds have been transferred for CY 2020.</li> </ul> </li> </ul>

		<ul style="list-style-type: none"> <li>CSAs signed with China, Japan, RO Korea, and Singapore; voluntary contributions continue with support to 2018 secured.</li> <li>PRF established 14 agreements/implementing arrangements with regional and international organizations.</li> <li>Long-term agreement with YSLME unlikely to proceed in the near future.</li> <li>Ten countries, two sub regional sea areas, and the regional SOCs will be published and submitted to the EAS Congress/Ministers Forum in November 2018</li> </ul>		<ul style="list-style-type: none"> <li>Hosting agreement with the Government of the Philippines renewed and signed in 2017, providing office building and amenities for PRF for 25 years</li> <li>Voluntary contribution of Cambodia confirmed and earmarked for the preparations for the 2021 EAS Congress</li> <li>Timor Leste's CSA for 2020 and 2021 submitted to the government for approval</li> <li>Indonesia's MOEF is seeking Presidential ratification of PEMSEA's legal agreement to enable it to enter into a CSA with PRF.</li> <li>Vietnam's VASI is reviewing the draft CSA with PRF.</li> <li>Government of Vietnam hosted the 2015 EAS Congress with 812 participants from 21 countries</li> <li>Government of the Philippines hosted the 2018 EAS Congress with 928 participants from 19 countries, 14 non-country partners, and 10 regional and international programs/organizations</li> <li>Agreements signed with 12 noncountry partners and other collaborators</li> <li>The updated 2015 SDS-SEA adopted at the 2015 Ministerial Forum</li> <li>SDS-SEA Implementation Plan 2018–2022 adopted by the EAS Partnership Council</li> <li>Mid-term review of the SDS-SEA implementation plan 2018–2022 and development of PEMSEA 2030 Roadmap initiated</li> <li>Output 1.3: Achieved <ul style="list-style-type: none"> <li>MoU between UNDP China and PEMSEA signed in August 2020 for YSLME-PEMSEA cooperation on knowledge management and capacity development</li> <li>WPEA Project portal and monitoring system developed and completed by PEMSEA in 2017 through a grant from WCPFC; WCPFC/PEMSEA Report on Sustainable Tuna Fisheries completed</li> </ul> </li> <li>Output 1.4: Achieved <ul style="list-style-type: none"> <li>Regional State of the Coasts (RSOC) Executive Summary launched at the EAS Congress 2018; full RSOC report finalized</li> <li>Policy briefs (for fisheries and aquaculture, coastal and marine ecotourism; ports and shipping; marine renewable energy) developed and disseminated at the EAS Congress</li> </ul> </li> </ul>
<b>Outcome 2</b>	<b>MS</b>	<ul style="list-style-type: none"> <li>Good progress was made on policies/legislations/plans and institutional mechanisms in support of coastal and ocean development in all countries. The development of national sector legislative priorities is progressing in all countries.</li> <li>The establishment of a functional multi-sectoral, institutional</li> </ul>	<b>S</b>	<ul style="list-style-type: none"> <li>Output 2.1: Achieved <ul style="list-style-type: none"> <li>National coastal and ocean policies and institutional arrangements in place in 6 countries (Cambodia, China, Indonesia, Thailand, Timor Leste, and Vietnam) <ul style="list-style-type: none"> <li>Cambodia: White Paper on Policies, Legislation, and Institutional Mechanisms for Sustainable Development of Coastal and Marine Areas refined and submitted to the Ministry of Environment</li> <li>China: National Marine Ecocivilization Implementation Plan and 13th five-year Development plan, "Expansion of Blue Economy 2016–2020" adopted; China PEMSEA Sustainable Coastal Management Cooperation Center established</li> </ul> </li> </ul> </li> </ul>

		<p>coordinating mechanism remains a significant challenge in all countries.</p> <ul style="list-style-type: none"> <li>• Development of national-sector legislative and priorities/ratification of international ocean-related conventions and agreements is progressing in all countries.</li> <li>• The 3 target countries have started to incorporate SDS-SEA objectives and targets into their MTDPs.</li> <li>• The project will further engage in the planning processes of the other 5 countries and among local governments implementing ICM programs.</li> <li>• By the end of the project, documentation should be provided for each country, indicating the priorities within each country and the levels of commitment.</li> </ul>		<ul style="list-style-type: none"> <li>▪ Indonesia: National Act No 32/2014 on Marine Affairs adopted (September 2014); Presidential Regulation No. 16/2017 on National Ocean Policy signed (March 2017)</li> <li>▪ Thailand: National Act on Promotion of Marine and Coastal Resources Management, B.E. 2558 (2015), adopted</li> <li>▪ Timor Leste: Draft National Ocean Policy (NOP) prepared and being reviewed by the Council of Ministers in Timor Leste. Development of NOP Implementation Plan initiated</li> <li>▪ Vietnam: a) National ICM Action Plan (SDS-SEA IP) to implement the National ICM Strategy to 2020 and Vision to 2030 approved by the Prime Minister in 2016; b) Draft ICM Circular prepared in support of Vietnam Law of Marine and Island Resources and Environment (Law No. 82/2015/QH13) and National ICM Strategy; c) Vietnam Sustainable Marine Economic Development Strategy to 2030 with Vision to 2045 approved by the Central Party Committee (October 2018), and d) National ICM Steering Committee to implement the Strategy approved by the Prime Minister (February 2020 )</li> <li>▪ 8 National State of Oceans and Coasts Reports completed and disseminated.</li> <li>▪ Seas of East Asia Knowledge Bank (SEAKB) developed and fully operational, including features for assessing enabling environment for investment, investment needs/opportunities, project attractiveness to investment, ability to submit potential investment projects</li> <li>▪ End-of-project forums conducted in 8 countries where highlights of SDS-SEA implementation at the national and local levels were presented, including lessons learned and sustainability measures.</li> <li>• Output 2.2: Achieved <ul style="list-style-type: none"> <li>○ Review of national sector legislative agenda and priorities completed in 6 countries (Cambodia, China, Indonesia, Lao PDR, Philippines, Thailand, and Vietnam)</li> <li>○ SDS-SEA targets incorporated into national and local medium-term development and investment plans at three (3) national governments (Indonesia, Philippines, Vietnam) and 10 local governments (Preah Sihanouk and Koh Kong, Cambodia; Dongying and Fangchenggang, China; Sukabumi and Tangerang, Indonesia; Guimaras and Pampanga, Philippines; Kien Giang and Thua Thien Hue, Vietnam) <ul style="list-style-type: none"> <li>• Indonesia: RPJMN 2020–2024 (national medium-term development plan) goals for the coastal and marine sector are in line with the SDS-SEA targets</li> <li>• Philippines: Philippine Development Plan 2017–2020 includes ICM in the priority legislative agenda of the Environment and Natural Resources Sector</li> <li>• Vietnam: Review document on the process of formulating socioeconomic development strategies and plans and proposal for mainstreaming ICM and scaling up in Vietnam to support SDS-SEA completed</li> </ul> </li> </ul> </li> </ul>
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<b>Outcome 3</b>	<b>S</b>	<ul style="list-style-type: none"> <li>For long-term sustainability, it is important that the member countries <b>make voluntary contributions</b>. At the time of the MTR, it is unclear whether financial contributions will be realized from all country partners.</li> <li>PEMSEA has produced innovative knowledge products. These products and services have a strong “<b>value proposition</b>” and should be promoted to other regions</li> </ul>	<b>S</b>	<ul style="list-style-type: none"> <li>Output 3.1: Not fully achieved (<i>Sustainable funding for 100% of PEMSEA’s operation not achieved at the end of the project</i>) <ul style="list-style-type: none"> <li>New PEMSEA brand launched in 2015 to reflect the new positioning of PEMSEA as a service-oriented organization</li> <li>Developed a number of innovative knowledge products (ICM Code; PSHEMS Code; SEA Knowledge Bank; investment landscape assessment; SOC reporting; etc.) and services (certification; on-line investment, training/internships; sustainable business network; etc.). These are also globally relevant.</li> <li>4 PNLG members received Level 2 ICMS recognition; 7 PNLG members received Level 1 ICMS re-certification</li> <li>PSHEMS implemented in ports in Cambodia (1), Philippines (2), and Thailand (2)</li> <li>PEMSEA Financial Sustainability Plan and Roadmap (2011–2016) completed and approved by the EAS partnership Council</li> <li>PEMSEA Post-2020 Futures Report and Strategy completed</li> <li>Pilot investment cases developed with partners on pollution reduction, waste management, sustainable aquaculture, and marine protection/eco-tourism</li> <li>Project proposal development actively pursued to ensure availability of steady funding stream to support PRF in addition to the country voluntary contributions: <ul style="list-style-type: none"> <li>Six (6) projects approved: a) ATSEA Phase 2 Project, b) Coca Cola Foundation Philippines Plastic recycling project in Cavite Province, c) DENR-PEMSEA project on assessment of effectiveness of coastal and marine projects, d) GEF-UNDP-IMO GloFouling Partnerships Project, e) GIZ-EU Rethinking Plastics: Circular Solutions to Marine Litter Sub-component on Ship Waste Management in Philippine Ports, and f) ASEAN Norwegian Cooperation Project on Capacity Building on Reducing Plastic Pollution in the ASEAN Region.</li> <li>Five (5) projects in the pipeline: a) UNDP/GEF Reducing Pollution and Preserving Environmental Flows in the East Asian Seas through the Implementation of Integrated River Basin Management in ASEAN Countries, b) IKI’s Blue Solutions for Reducing Maritime Transport GHG Emissions through Increased Energy Efficiency of Ship and Port Activities in Asia, c) UNDP/GEF/ASEAN MPA effectiveness in Large Marine Ecosystems in the ASEAN, d) Incheon Port Authority/PEMSEA on blue solutions in the maritime sector and e) World Bank Assessment of Policies and Regulations to Guide Country Dialogue at National Level and Facilitate Actions at Local Level to Reduce Plastic Waste in the Philippines.</li> </ul> </li> <li>Pending application to become a regional accredited entity of Green Climate Fund in Asia and EU Pillar Assessment, which if approved would enable PEMSEA to become a</li> </ul> </li> </ul>

				<p>funding conduit for GCF and EU for ocean grants, procurement services and investments in the region.</p> <ul style="list-style-type: none"> <li>Output 3.2: Achieved <ul style="list-style-type: none"> <li>Ongoing communications (communications plan, including social media, online articles, web site, e-newsletters, and annual report) to enhance PEMSEA's reach and visibility and the services provided to countries</li> </ul> </li> </ul>
<b>Outcome 4</b>	<b>MS</b>	<ul style="list-style-type: none"> <li>The project is on track to achieve 20% ICM coverage of the region's coastline by August 2019.</li> <li>Implementation of other targets is unlikely to be achieved by all countries due to delays in start-up experienced with several countries.</li> <li>The end of project targets for this outcome are very complex, which may result in the risk of them not being fully achieved.</li> <li>Management effectiveness of PAs/MPAs, EAFM, IRBCAM, and other management tools and processes have been initiated at ICM learning sites in all countries except Thailand and Vietnam.</li> <li>Hands-on capacity development is being achieved across ICM sites through the use of 15 ICM Learning Centers (PNLC).</li> </ul>	<b>S</b>	<ul style="list-style-type: none"> <li>Output 4.1: Achieved <ul style="list-style-type: none"> <li>ICM program coverage of 20 percent (45,000 km) of the region's coastline achieved. ICM program coverage was extended to an estimated 40.38 percent (86,285 km) of the region's coastline at the end of 2020. For the 8 participating countries of the project, ICM coverage is estimated at 46.7 percent (73,275 km) of the coastline at the end of 2020. National policies, strategies and programs on ocean and coastal area management and related policies have facilitated the replication of ICM implementation in the partner countries.</li> <li>Validation of the ICM coverage in the Philippines undertaken through a Third-Party Assessment using the ICM Code as the reference standard.</li> <li>1 book, <i>Local Contributions to Global Sustainable Development Agenda: Case Studies in ICM in the East Asian Seas Region</i>, published and disseminated</li> <li>64 case studies published/drafted</li> <li>34 State of the Coasts reports published/drafted</li> <li>Coordinating mechanisms established in the ICM sites in the 7 countries; China PEMSEA Center coordinates ICM implementation in China</li> <li>Coastal strategies/strategic environmental management plans and related strategic development plans prepared that serve as long-term comprehensive management framework for the coastal and marine areas of the 44 ICM sites.</li> </ul> </li> <li>Output 4.2: Achieved <ul style="list-style-type: none"> <li>213 training and capacity building activities conducted at regional, national, and local levels from 2014–2020 benefiting 7,122 participants and 16 interns and fellows</li> <li>An estimated 1,784 women participants have attended various project-related training workshops and consultations</li> <li>Application of ICM core tools and specialized tools to support ICM implementation facilitated through the conduct of regional, national, and local training workshops in collaboration with partners</li> <li>Coastal use zoning plans and marine spatial plans developed/drafted for 11 ICM learning sites in 4 countries</li> <li>3 training manuals published; ICM training manual in Thai and Vietnamese developed</li> </ul> </li> <li>Output 4.3: Achieved <ul style="list-style-type: none"> <li>Implemented in 12 ICM sites in 7 countries covering an approximately 14,928 hectares of critical coastal habitats contributing to the health and resiliency of 910 hectares of blue forests as identified in the Prodoc</li> </ul> </li> </ul>



				<ul style="list-style-type: none"> <li>○ Baseline assessments/risk and vulnerability assessments were conducted; management plans for 12 conservation-focused learning sites in 7 countries were developed</li> <li>○ Mangrove conservation activities are regularly undertaken in selected sites (e.g. Tangerang, Indonesia)</li> <li>○ Regular monitoring of critical habitats was undertaken in selected sites (i.e., biophysical assessment of the 46 marine/mangrove PAs in Batangas Province in collaboration with Malampaya Foundation; ecosystem health evaluation on the restoration of 27 ha. of Chinese tamarix in Changyi Special Marine Ecological Protected Area using agreed indicators; monitoring of coral reef and associated fishes in two MPAs in Guimaras, Philippines, conducted by UP Visayas, an ICM Learning Center, in coordination with the provincial government) but limited in a number of sites.</li> <li>● Output 4.4: Achieved <ul style="list-style-type: none"> <li>○ Implemented in 13 MPA sites in 5 countries with recorded METT ratings &gt;10%</li> <li>○ Baseline METT/MEAT assessments conducted; MPA management plans developed in 12 MPA-focused learning sites in 5 countries</li> <li>○ Monitoring of METT ratings to determine the effectiveness of MPA management undertaken in the 13 MPAs showed an increase in ratings against the baseline</li> <li>○ Monitoring of METT ratings made possible with support from various partners and other related projects.</li> </ul> </li> </ul>
<b>Outcome 5</b>	<b>MU</b>	<ul style="list-style-type: none"> <li>● Progress has been made with the conduct of baseline assessment of degraded habitats, fisheries management, and fisher household incomes at pilot sites in Cambodia, China, Indonesia, Lao PDR, Philippines, and Timor Leste. Thailand and Viet Nam have not started baseline assessments</li> <li>● EAFM management plans and sustainable alternative livelihood programs are being developed in the 6 countries in 2018, and are scheduled to be adopted and initiated in late 2018 and early 2019</li> <li>● Given the time delays in starting this activity in all countries, it is considered unlikely that these targets can be achieved within the existing project timeframe.</li> </ul>	<b>S</b>	<ul style="list-style-type: none"> <li>● Output 5.1: Not fully achieved (<i>Assessment for improved management and reduction in overall fishing effort not undertaken due to time constraints</i>) <ul style="list-style-type: none"> <li>○ Implemented in 6 ICM sites in 6 countries covering an estimated area of 297,047 hectares contributing to the management of 2,000 km<sup>2</sup> of threatened fishing areas as identified in the prodoc.</li> <li>○ Baseline assessments/ecological profiles prepared for 8 sustainable fisheries-focused learning sites in 6 countries</li> <li>○ Management plans/Ecosystem approach to fisheries management plans developed for the 6 sites.</li> </ul> </li> <li>● Output 5.2: Achieved <ul style="list-style-type: none"> <li>○ Sustainable livelihood programs implemented in 9 learning sites in 6 countries</li> <li>○ Sustainable livelihood programs included sustainable tourism in Koh Rong, Cambodia; financially sustainable and ecosystem-friendly livelihood activities in Lianyungang, China; alternative livelihood in mangrove conservation in Tangerang, Indonesia; traditional salt making in Manatuto, Timor Leste; replication of community-based fisheries and ecotourism development in Danang, Vietnam)</li> </ul> </li> </ul>



Outcome 6	MU	<ul style="list-style-type: none"> <li>Progress on the pollution reduction and water use/conservation projects in the 7 identified countries is underway but behind schedule.</li> <li>All countries (except Thailand &amp; Vietnam) are currently involved in the baseline assessment and profiling.</li> <li>Thailand and Vietnam are unlikely to complete planned project activities within the existing project timeframe.</li> <li>Some environmental quality (pollution) targets are considered difficult to quantify and unrealistic within the scope of this project.</li> </ul>	S	<ul style="list-style-type: none"> <li>Output 6.1: Achieved               <ul style="list-style-type: none"> <li>Pilot integrated river basin and coastal area management programs initiated in 12 priority watershed/coastal areas in 7 countries</li> <li>Profiling of the watersheds/river systems conducted including identification of pollutant sources (Haiphong and Quang Ninh, Vietnam; Cipalubahan and Cipanyaran rivers in Sukabumi, Indonesia) and initiation/conduct of pollutant loading studies and assessments in selected sites (Sihanoukville, Cambodia, and Batangas, Philippines)</li> <li>Sub-basin management plans for 3 rivers in Lao PDR developed</li> <li>Integrated river basin management program for Yellow River (China) in place</li> <li>Management programs on solid waste management in place in selected sites (Rayong, Thailand). In the Philippines, the ASEAN Project and Coca Cola Foundation grants provide opportunities for capacity building and expanding the current solid waste management program of the province to address marine debris</li> <li>Training for water quality monitoring; development of integrated environmental monitoring program and environmental monitoring place for selected sites</li> </ul> </li> <li>Output 6.2: Not fully achieved (<i>Demonstration of innovative technologies and good practices in nutrient management and water use conservation dependent on the IRBM Project</i>)               <ul style="list-style-type: none"> <li>7 profiles of priority river basins in ASEAN Region prepared and incorporated into the GEF/UNDP/ASEAN IRBM Project Proposal; Project document prepared and submitted to GEF and UNDP for final approval</li> </ul> </li> </ul>
Outcome 7	MS	<ul style="list-style-type: none"> <li>13 different communities currently involved in hazard identification and mitigation activities.</li> <li>Some countries have made good progress with the development of management plans for CCA/DRR while others have not started.</li> <li>No countries are forecast to complete by project end.</li> <li>Vietnam behind schedule in assessing risks and vulnerabilities of coastal areas threatened by CC and natural and manmade disasters.</li> <li>Although progress is being made on a regional oil spill response plan, ongoing</li> </ul>	HS	<ul style="list-style-type: none"> <li>Output 7.1: Achieved               <ul style="list-style-type: none"> <li>Risk and vulnerability assessments conducted in the 9 ICM sites as part of the local government's DRRM process</li> <li>CCA/DRRM programs in 9 ICM learning centers in 7 countries focused on natural disaster and mitigation planning and emergency preparedness and response (China), mangrove rehabilitation to strengthen coastal/shoreline protection (Cambodia, Philippines), oil spill contingency planning, marine spatial planning, and climate change adaptation planning (Thailand), coastal tree planting and livelihood training to improve the community's adaptive capacity to natural and climate-related disasters (Timor Leste), and updating the coastal use zoning plan of Kien Giang Province (Vietnam) to 2025 and Orientation to 2030, integrating CCA/DRR.</li> <li>State of the Coasts governance and management programs indicators incorporated into the Philippines National Resilience Council's Local Government Resilience Scorecard. The resilience scorecard is being applied in 10 local governments in the Philippines under NRC's LGU Resilience Program.</li> <li>While the above activities have incorporated awareness-raising activities, identifying and establishing evacuation routes and conducting regular emergency drills/exercises were not directly undertaken through the project since these</li> </ul> </li> </ul>

		<p>delays result from an inability of Cambodia to resolve institutional roles and responsibilities.</p> <ul style="list-style-type: none"> <li>• Very good progress was made concerning the adoption of the PSHEM Code with implementation at 7 ports in 3 countries.</li> </ul>		<p>activities are already covered and are being implemented by the local DRRM offices.</p> <ul style="list-style-type: none"> <li>• Output 7.1 (GOT): Achieved <ul style="list-style-type: none"> <li>○ The Gulf of Thailand (GOT) Environmental Sensitivity Index Maps published</li> <li>○ Subregional Oil Spill Contingency Plan developed</li> <li>○ National Guidelines on the use of Chemical Dispersants developed in coordination with OSRL, a noncountry partner</li> <li>○ GOT information sharing system developed</li> <li>○ GOT Strategic Action Plan 2017–2021 developed</li> <li>○ Annual National Contact Points Meeting conducted in 2014–2020</li> <li>○ Capacity for oil spill preparedness and response through the conduct of training workshops involving strategic partners such as OSRL, IPIECA, GISEA</li> </ul> </li> <li>• Output 7.2 (PSHEMS): Achieved <ul style="list-style-type: none"> <li>○ Port Safety Health and Environmental Management System (PSHEMS) Certification and surveillance services through cost-sharing arrangement implemented in ports in the Philippines (Batangas, Cagayan de Oro, Iloilo, General Santos), Thailand (Bangkok and Laem Chabang), and Cambodia (Sihanoukville)</li> <li>○ Environmental and economic benefits assessed: <ul style="list-style-type: none"> <li>▪ Achieved more than 90% compliance with regulatory requirements.</li> <li>▪ Increase in green cover in the ports</li> <li>▪ Reduction in CO2 emissions and accidental spills</li> <li>▪ Received the <i>Asia-Pacific Economic Cooperation (APEC) Port Services Network (APSN) Green Port Awards</i> twice (Bangkok Port and Laem Chabang Port).</li> </ul> </li> </ul> </li> </ul>
<b>Outcome 8</b>	<b>HS</b>	<ul style="list-style-type: none"> <li>• PRF has produced some innovative knowledge products and services.</li> <li>• The Project has achieved important milestones, including publishing an ICM investment Landscape Report, launching an online investment platform, and identifying investment features in the Seas of East Asia Knowledge Bank.</li> <li>• Activities are planned/underway in all priority sites identified in the ProDoc.</li> <li>• Solid engagement with the private sector in several sites, with notable successes in the establishment of PPPs.</li> </ul>	<b>HS</b>	<ul style="list-style-type: none"> <li>• Output 8.1: Achieved <ul style="list-style-type: none"> <li>○ Identified 300+ potential investment needs/opportunities within the UNDP/GEF project; published ICM investment Landscape Report</li> <li>○ Promotion of investment opportunities undertaken in various forum at regional and national levels</li> <li>○ New knowledge product, “Enabling Blue Economy Investment for Sustainable Development in the Seas of East Asia:” Lessons on Engaging the Private Sector for Partnership and Investment” published</li> <li>○ A report entitled, Understanding Blue Carbon Opportunities in the Seas of East Asia, provided direction and recommendations on application of blue carbon as an innovative financing mechanism at country and regional levels, which were well received by countries and other organizations. There were also a number of blue carbon workshops organized and co-organized under the project. As a financing mechanism blue carbon has merit and may be worth pursuing in the future.</li> <li>○ Pilot investment cases developed to validate and learn about process, partnerships, and expertise needed to develop investments on sustainable aquaculture; ocean plastic pollution; wastewater recovery; marine protection/sustainable tourism</li> </ul> </li> </ul>

		<ul style="list-style-type: none"> <li>Overall, Outcome 8 is considered to be on target for completion.</li> </ul>		<ul style="list-style-type: none"> <li>Generated learning on business model assessment, site assessment, types of potential investments, challenges, lessons for local engagement, etc.</li> <li>Output 8.2: Achieved <ul style="list-style-type: none"> <li>Eleven learning sites established in 7 countries implemented various programs involving private sector partners</li> <li>"Sustainable Business Award" handbook developed to serve as a guide in systematically evaluating and acknowledging the contributions of corporations, companies, and other private sector entities in ICM system implementation. Discussion on the roll-out of the award for selected private/business sector partners of Bataan and Batangas, Philippines, initiated</li> </ul> </li> </ul>
Outcome 9	S	<ul style="list-style-type: none"> <li>PNLG, PNLC</li> <li>ICM Professionals</li> </ul>	S	<ul style="list-style-type: none"> <li>Output 9.1: Not fully achieved (<i>Only 25% of the ICM sites have direct access to environmental monitoring programs</i>) <ul style="list-style-type: none"> <li>11 learning sites in 8 countries have established or accessed environmental monitoring programs and information management/decision support systems</li> </ul> </li> <li>Output 9.2: Achieved <ul style="list-style-type: none"> <li>8 National "State of Oceans and Coasts" reports completed</li> <li>3 local "State of the Coasts" reports published; 31 local SOC reports prepared and undergoing finalization</li> </ul> </li> <li>Output 9.3: Achieved <ul style="list-style-type: none"> <li>16 ICM Learning Centers in seven countries designated and accredited to provide technical assistance to ICM sites and facilitate knowledge sharing among agencies, institutions, projects.</li> <li>2 new Regional Centers of Excellence in CCA/DRR (Institute for Global Environmental Strategies) and Sustainable Coastal Development (Coastal and Ocean Management Institute, Xiamen University) designated to provide expert advice and scientific support to countries and their partners on areas of expertise; MOAs signed between PRF and IGES and COMI</li> <li>PEMSEA Network of Learning Centers (PNLC), comprising the ICM Learning Centers and RCOEs, launched in 2015 as a platform to link scientific and training institutions to facilitate and promote beneficial experience, develop good practices, and disseminate sound information</li> <li>Regional and National Task Forces mobilized to provide technical support to national and local governments in program development, project implementation, and capacity building</li> <li>PEMSEA Network of Local Governments (PNLG) with 51 members from 10 countries and 3 associate members</li> <li>Skills, knowledge, and support services to national and sub-national governments provided through regional, national, and subnational training</li> <li>ICM "Manager's Handbook" developed; it defines the criteria and process for ICM Manager's Certification; the process of certifying ICM managers from Cambodia, China, Indonesia, Philippines, Thailand, and Vietnam was initiated</li> </ul> </li> <li>Output 9.4: Achieved <ul style="list-style-type: none"> <li>Development of ACCORD (Addressing Challenges of Coastal Communities through Ocean Research for Developing Economies) Project in Kep, Cambodia, and Danang, Vietnam,</li> </ul> </li> </ul>

				<p>a UK funded project (2017–April 2020) run jointly by the Plymouth Marine Laboratory (PML) and the National Oceanography Centre (NOC)</p> <ul style="list-style-type: none"> <li>MOU between Plymouth Marine Laboratory and MOE Cambodia signed in May 2019 focusing on the vulnerability of Kep Province to the impacts of growing coastal tourism and other human activities and transboundary issues in the area; approaches include vulnerability assessment across the coastal area (including HABs), strengthening the rationale for land and sea use zoning and identifying carrying capacities to support planning, decision-making and improved management of the coastal and marine areas</li> <li>MOU between PML and Danang DONRE signed in June 2019 focusing on quantifying the capacity and socioeconomic value of Da Nang Bay in cycling, processing, storing, and exporting land derived carbon and nutrients</li> </ul>
<b>Outcome 10</b>	<b>HS</b>	<ul style="list-style-type: none"> <li>PRF has participating in a number of IW: Learn activities, both at the regional and global level.</li> <li>The PEMSEA.ORG and the SEA Knowledge Bank websites are well developed and accessible.</li> <li>PRF has started to explore opportunities to collaborate with other regions (notably the Caribbean LME+).</li> <li>Considerable scope exists for PRF to engage in outreach to others that would benefit significantly from the experience PRF has gained.</li> <li>Overall Outcome 10 is progressing well and is on track to be completed at project end.</li> </ul>	<b>HS</b>	<ul style="list-style-type: none"> <li>Output 10.1: Achieved <ul style="list-style-type: none"> <li>SEAKB interlinked with IW: LEARN global knowledge portal for promotion as a regional mode on coasts and oceans in East Asia</li> <li>Co-organization of workshops and seminars to promote cross-region knowledge and experience sharing</li> <li>Participation in IW conferences</li> </ul> </li> <li>Output 10.2: Achieved <ul style="list-style-type: none"> <li>Interregional Collaborative Opportunities which facilitated the exchange of knowledge and skills with the Caribbean and North Brazil Shelf Large Marine Ecosystems (CLME+) initiated</li> <li>Participation in GEF ECW for Asia Pacific and sharing PEMSEA's experience in ICM implementation</li> <li>ICM TOT training for NOWPAP member countries conducted</li> <li>IW: LEARN Regional Workshop on Data and Information Management involving LMEs in the EAS region conducted</li> </ul> </li> </ul>
<b>Project Implementation and Adaptive Management</b>	<b>S</b>	<ul style="list-style-type: none"> <li>The project management team is highly efficient and effective. Stakeholder engagement at the local government level is the key strength and internal project communications with stakeholders have been good.</li> </ul>	<b>HS</b>	<ul style="list-style-type: none"> <li>The former MTR finding on the efficiency and effectiveness of staff is echoed at TE. The implementation arrangement with UNDP and PRF has been excellent, and the focus on cross-cutting project communication and knowledge management has increased visibility and supported the partnering and the substantive thematic work of PEMSEA. The main risk is staff sustainability. PEMSEA needs a plan to foster a new generation of staff. This is a risk. The institutional memory and capacity of PEMSEA are currently held by key former staff, including the work on SOC and private partnerships and investment Project-based staffing.</li> </ul>

		<ul style="list-style-type: none"> <li>The complexity of the project and diverse reporting products have resulted in a fragmented set of output, sub-output, and activity reports.</li> <li>Lack of formal tracking and reporting of co-financing makes it difficult to assess the status of co-financing at any stage of the Project.</li> </ul>		
Sustainability	ML	<ul style="list-style-type: none"> <li>Several risks to project sustainability remain, the most significant being ongoing funding to support PRF and in-country implementation once the Project ends.</li> </ul>	ML	<ul style="list-style-type: none"> <li>While the Project has supported excellent results, the sustainability is a key risk in the absence of new projects, financed and implemented and especially in light of the Covid-19 pandemic.</li> <li>A <u>core responsibility</u> of PRF (and all regional organizations for that matter) is to assist with the development of new projects and secure required resources for upscaling SDS-SEA implementation at the country and regional levels. The GEF is the major source of funds for ocean-related/ICM-related projects in the East Asian region, <u>providing roughly 80% of the total donor funding in the region for the ocean sector</u>. PEMSEA's focus is ocean management and therefore it is in its best interest to continually nurture the relationship with GEF.</li> <li>PEMSEA had almost US\$42 million in pipeline projects in place in Dec 2019, including the IRBM Project Document already mentioned, which was submitted to GEF Secretariat in November 2018 along with the co-financing letters and signatures of the 8 participating countries. Two other project proposals (IMO IKI blue solutions, GEF ASEAN MPA management effectiveness) are still pending after two years of planning and preparation. In the interim, PEMSEA obtained grants largely focused on marine litter management which made it challenging to retain some of PEMSEA's staff. Quite obviously, PEMSEA's current financial issues are directly linked to the lack of success in bringing in broad-themed coastal and ocean governance projects online in a timely manner. Getting these projects approved and initiated needs to be prioritized with the full support of UNDP (IRBM and MPAs) and IMO (IKI Blue Solutions).</li> <li>In addition, there is the question of alternative sources of funding (GCF in particular) and innovations in sustainable financing (blue carbon; investment services; ocean resource facility). These new and innovative approaches, and others, were developed and financed under this project as a means of helping to accelerate the implementation of the SDS-SEA and blue economy, while also contributing to PEMSEA's value-added proposition and sustainability. However, other than the fact that reports were prepared and workshops were conducted, there does not appear to be any progress in operationalizing these innovations. Getting the GEF/UNDP to move on the approval of the IRBM Project in 2021 and IKI Project on Blue Solutions will enable PEMSEA to sustain activities on sustainable financing as providing basic business empowerment skills training, access to blended financing for business development and opening more public and private sector market opportunities especially to local partners.</li> </ul>

				<ul style="list-style-type: none"> <li>• PEMSEA also urgently needs to sort out the delivery of commitments that have already been made to sustaining the organization (e.g., Iloilo Declaration 2018). Specifically, the responsibility of the PEMSEA Partners in sustaining the secretariat services through regular and sustained country contributions, and the responsibility of the PRF in developing and financing a viable project pipeline and providing value-added products and services that PEMSEA Partners and others are willing to invest in, are priorities. For the regional organization and for oceans and coastal governance, some level of GEF support will always add value to the priorities and investments of governments, financial institutions, private sector and communities and generate a healthy mix of funding sources for PEMSEA.</li> <li>• To ensure the continuing partnership with GEF and other donors, it is no longer an issue of “either/or” options. It is clearly a matter of meeting obligations that PEMSEA’s country partners should honor in light of what was already agreed to in the Danang Compact and the Iloilo Declaration 2018, which was delivered with the support of resources provided through this project. For future for instance, PEMSEA might considered looking at the viability of a regional Fund with contributions from different sectors – private, governments, vertical funds, etc. so there is a programmatic approach to long term financial sustainability of programme implementation in EAS, rather than a project by project approach.</li> </ul>
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The TE established a series of strategic questions at the onset of the evaluation, considering the project’s aim to support a transformative period of PEMSEA regarding the partnering and regional cooperation approach (Outcome 1). These questions pertain to relevance (fit for PEMSEA’s purpose, including its effectiveness, efficiency, and sustainability) and are answered based on key stakeholders’/participants’ experiences in the project’s implementation and results. It will only be through performance that countries continue to come to the table and participate in the organization, work planning, and priority setting activities.

## RELEVANCE

Stakeholders interviewed and who were active in the priority setting and cooperative governance aspects of PEMSEA’s work program share the consensus that partnerships are needed for the ocean and coastal adoption of an updated regional ocean strategy, inclusive of climate, disaster risk reduction, and blue economy objectives and targets (2015), and the strengthening of regional cooperation and partnerships between PEMSEA and other regional and national stakeholders in public and private sectors to achieve international, regional, and national sustainable development and climate-related targets (2018).

This project has been directly focused on PEMSEA’s relevance with strategic interventions and focus on its governance/business model, mission, and mandate and priority setting processes (Component 1). The project support has squarely positioned PEMSEA against its comparative advantages (as a partnering and intergovernmental regional platform) and as a partner of choice regionally for ICM capacity building and oceans governance and policy support. PEMSEA is the go to regional coordinator for East Asia Oceans Policy and Capacity Building. The challenges of oceans and integrated ocean and coast

policy have not disappeared but have become more relevant with new global commitments on SDGs, ocean and ocean's governance, and blue economy since project inception.

What member states and partners say about PEMSEA's relevance and matching priorities here, for instance, the learning networks and EAS Congress, are valued-added to the national work program. While this is good, they also echoed that there is work to be done to improve the way the priorities are set and influence the work planning processes and also how to achieve financial sustainability for the core operations supported by its members. With regards to how the project supported the organization, regarding how it sets its priorities, and how those priorities are feeding back to work programming as a process of doing business and governance, this was questioned. Overwhelmingly, stakeholders (country and non country ) reported that PEMSEA is providing excellent regional ICM management leadership and vision as well as building capacity for coastal zone management and ocean governance policy and development. The Project has supported PEMSEA to establish niche areas of support and, through capacity building, to also spread the use of relevant innovative ICM tools. The PRF facilitates the setting of priorities in support of the SDS-SEA Implementation Plan 2018-2022 in coordination with country and non-country partners through the conduct of collaborative planning sessions during the EASPC meetings. The country and non-country partners confirm their commitment to SDS-SEA implementation by identifying priorities, outputs and indicative actions within 2018-2022 and provide them to PRF. Progress and achievements are tracked and highlighted during national and regional events as well as incorporated into PEMSEA's Annual Report. For the GEF Project, PRF facilitates the annual work planning in coordination with the National Focal Points and Project Management Offices at national and local levels, respectively, in line with the Project's strategic results framework. The PSC meeting, which is usually organized back-to-back with the EASPC meeting, serves as the reporting platform for progress made in project implementation including the identification of adaptive management measures to address the gaps and constraints in project implementation. More importantly, the PSC reviews and approves the annual work plan and budget for the regional and national activities.

Stakeholders generally agree that for an intergovernmental platform focused on policy and management support, the work program must be evidence- based. While PEMSEA is getting better at delivering to countries' needs and priorities, stakeholders say more is needed in term of the evidence for policy. There are assumptions on how priorities and needs are assessed and linked to the work programming. Generally, stakeholders say there are gaps, particularly concerning the question of the process of setting priorities as they emerge.

Insofar as setting of priorities by the Technical Session of the EAS Partnership Council, non-country technical partners generally agree that PEMSEA can make better use of its science knowledgeable partners to inform its emerging priorities. Here, there was an agreement among interviewees that PEMSEA should be more creative in how it employs the value-added of its partnerships for science<sup>ii</sup>. While the value of scientific input to policy and management decisions is well-recognized, say stakeholders, in PEMSEA strategy and action plans ,that is where scientific organizations can enhance input to PEMSEA policy and management operations The -science to policy or creative partnering for PEMSEA emerging priorities and adaptive planning for instance might be separated and the technical partnering might be improved through networking and/or developing a science leadership forum (similar or as part of the Ocean Leadership Forum) as part of the conduct of the EAS Partnership Council. For instance, one partnering stakeholder said, "If good members of the related science and technology STEM field are

working globally and regionally, the opportunity for sharing resources and partnering on the STEM should be maximized.” In terms of the regional ocean monitoring program for instance, existing scientific institutions, data, experience, and technologies are already available within the region and outside the region. China, Japan and Korea (and their respective non-country Partners in PEMSEA) and non-country Partners like IOC WESTPAC and PML have the technology and expertise to provide scientific advice and support to the PEMSEA work program. The knowledge and advice of all science-focussed Partners should be tapped through more proactive engagement and providing opportunities for exchanges of ideas, knowledge and challenges between policymakers, managers and scientists.

As a proxy for relevance and fitness for purpose, the TE queried whether PEMSEA member countries and its non-country partners would be willing to support PEMSEA as a self-sustaining regional organization, either through more cost-sharing and/or through permanent contributions for a sustained secretariat. The following paragraph provides a summary of the responses:

Stakeholders overwhelmingly share consensus (evidence reviewed) a key result regarding relevance has been that the current phase GEF-UNDP support (intended to be a transformative phase) has supported PEMSEA to grow into an independent regionally relevant organization. Stakeholders interviewed say countries remain highly supportive of PEMSEA and its mission (as evidenced with the signing of the Iloilo Ministerial Declaration 2018 and country statements at the Ministerial Forum 2018). That said only China, Japan, RO Korea, and Singapore have consistently contributed financial support for the operation of the PEMSEA secretariat since 2007, Timor Leste provided annual contribution since 2010, while the Government of the Philippines has generously provided office space and utilities for the operation of the PEMSEA Office for more than 25 years, there is a need for more commitment. Other countries have contributed to PEMSEA’s operation by supporting its events over the years, including hosting of 6 EAS Congresses, as well as numerous meetings of the Executive Committee and the EAS Partnership Council, training, and other capacity-building activities (Also see TE country reports, Appendix A). One option provided as an example of good practice is the ASEAN Center for Biodiversity ACB model where, through the DFA, the government, through the Department of Foreign Affairs, made regular budget commitments to its operations and staff.

The Iloilo Ministerial Declaration 2018 commits the respective governments to support PEMSEA’s operation through voluntary contributions beyond 2019. The challenge, however, say key interviewees, is in the word “voluntary.” No single approach or process has been agreed to by the countries for voluntarily supporting a self-sustaining PEMSEA, and China, RO Korea, and Japan are changing their perspective (based on interviewee reports) on voluntary support. PEMSEA needs to address this situation. Countries can be reminded of their commitment in the Iloilo Declaration 2018, pointing out PEMSEA’s budget needs and potential shortfalls for 2021 and highlighting possible implications concerning PEMSEA’s operation, including the organization and conduct of the EAS Congress 2021 and Ministerial Forum 2021. Further downsizing of PEMSEA is bound to have negative implications on the services that countries say they want. The full impact of an unsustainable PEMSEA needs to be resolved directly with the countries that created the organization.

As the constraints and challenges to sustainable development and management of the oceans are not dissipating, the stakeholders at the TE ascertained that PEMSEA’s business model and work program



need to be addressed and committed to by the countries. If countries want PEMSEA to serve primarily as a secretariat and provide services such as intergovernmental meetings and the EAS Congress, then a work program and business model can be developed, presented, and adopted covering secretariat services. However, if countries want technical advice, project development and management, capacity building, certification, access to investment, and sustainable financing, etc. to help achieve their respective priorities and objectives, then they must merge, or another business model is needed. Stakeholders interviewed say business model innovation is required in this instance, and governments will need to see the potential benefits and impacts of such models in how they can help overcome some specific challenges in their respective countries and at what cost. This is a central TER learning i.e. there is need for greater understanding as to why PEMSEA's investment work has not progressed as much it needed to. Funding is needed for capacity building at the local level/ICM sites.

The document "Enabling Blue Economy Investment for Sustainable Development in the Seas of East Asia" identified lessons learned and next steps, but financial resources is needed to operationalize the model and the country partners have yet to be convinced to embrace the model <http://www.pemsea.org/publications/brochures-and-infographics/executive-summary-enabling-blue-economy-investment>

A key lesson from this and past investment work is never to underestimate the capacity building needs and requirements to develop local entrepreneurs in terms of building their business skills, access to financing and market opportunities. Onsite coaching and mentoring is needed to develop sound business plans that cater to local needs. Unfortunately, there was a mismatch with the expectations of international investors who were looking for shovel ready investments and the unprepared local project development.

PEMSEA needs to secure additional capital to fund this 'investment enabler' role and/or partner with other business capacity development organizations. The IRBM and IKI Projects were identified to provide some of these services but other opportunities will have to be explored as part of the updated institutional sustainability plan.

## **EFFECTIVENESS**

The project has met almost all of its targets and reached a satisfactory result. (See final results and status of indicators - Annex). Targeting to achieve the 20% coverage of the region's coastline (45,000 km) by ICM programs, the Project strategizes to increase the area's extent and the resilience of ecosystems in selected priority sites of the 8 participating countries and to replicate good practices in the application of ICM tools to new sites (Component 2), supported by enabling policy, institutional arrangements, and legal environments to scale up ICM implementation on the ground (Component 1). This has been fully achieved and surpassed. In 2015, through the Danang Compact, countries agreed to a new target of 25% of ICM coverage by 2021.

For outcomes 2 and 3, the evaluation queried the perspective of the member states and partners on the utility and overall performance of PEMSEA's work program through GEF support to the development of tools, sharing and building knowledge products, and services (i.e., certification, code approaches, knowledge networks, learning services, other products, and intergovernmental forums, such

as Senior Government Officials Meeting, the Ministerial Forum and the EAS Congress). Stakeholders interviewed generally agreed that the partnership and networking forums, products, and services PEMSEA has developed, applied, codified, and fostered over the years are well-appreciated and recognized as innovative within the region and externally. Stakeholders interviewed say that none of these platforms, tools, and services were developed and rolled out in isolation. PEMSEA's good approach was to plan, develop, demonstrate, and evaluate innovations in close collaboration with partner countries, local governments of the region, and other partner institutions before adoption and dissemination. A process in place in PEMSEA requires that all manuals, codes, and training materials be validated and approved by partner countries before they are disseminated and applied as PEMSEA certified products. The two networks that PEMSEA has established, the PEMSEA Network of Local Governments and the PEMSEA Network of Learning Centers, as further examples, were authorized by member countries in advance of formal recognition as PEMSEA networks.

Additionally, based on the partner countries' feedback (review country reports, annex), the EAS Congress has been viewed as the "ocean event" of the region since its inception in 2003. It is hosted by a different partner country every three years, and provides the host governments at the national and local levels the opportunity to showcase their progress and contribution to the sustainable development of coastal and ocean resources within their jurisdictions and highlight how these actions are contributing to regional and global sustainable development objectives and targets. This was appreciated by host governments, government and nongovernment guests, and visitors alike as a unique occasion to see on-the-ground evidence of social, economic, and environmental impacts and benefits of ICM implementation. It allows their agencies, institutions, and communities to interact with people from the region and outside the region who are facing similar challenges. Not everything is perfect, and the Congress is seen as a learning and sharing event that enhances partnerships, networking, and mutual support across governments, institutions, projects, and programs.

In addition to the growing use of the ICM standard approaches and tools that led to bilateral transboundary cooperation, there have been many cases<sup>2</sup> in the region and even beyond the region where ICM standard approaches and tools developed by PEMSEA have been incorporated into the SAPs of LMEs, which focus on the protection and management of shared resources and ecosystem services, e.g., Yellow Sea (China and RO Korea), the Arafura-Timor Seas (Indonesia, PNG, and East Timor), and the Bay of Bengal (Bangladesh, India, Indonesia, Malaysia, Maldives, Myanmar, Sri Lanka, and Thailand) and LME's in Africa.

Key interviewees reported that bilateral agreements while not so common regionally two stick out as key results. These are the Gulf of Tonkin Fisheries Agreement (2000) that was signed between China and Vietnam, and focusing on the protection and management of shared marine resources in the Beibu Gulf. Both countries had established ICM demonstration sites (Xiamen, China, and Da Nang, Vietnam) and this has "provided a common understanding of integrated governance and management of the area, particularly among local governments sharing the Gulf".

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<sup>2</sup> TER learned the decision to use ICM have been a conscious exercise and not just by chance. Other LME's consulted PEMSEA or worked with PEMSEA or urged by country partners and have seen the merits is using the ICM mechanism (admitted by IUCN, YSLME, ATS)

Key stakeholders interviewed reported other good examples, for instance, of the implementation of the Gulf of Thailand Framework Programme for Joint Oil Spill Preparedness and Response (2006) by Cambodia, Thailand, and Vietnam. Here they say these experiments have built and enhanced the capability of the three littoral states in planning and responding to oil spill incidents as part of the global efforts to protect the marine environment. The GOT Cooperation for example, was developed and implemented with a focus on the protection of coastal and marine resources within the jurisdiction of each country as well as common ecosystem services that sustained those assets.

These national governments had jointly developed a **gulf-wide environmental sensitivity atlas** that identified critical habitats/ecosystem services, infrastructure, and cultural sites in the area and strengthened the capacities of local governments implementing ICM programs in oil spill preparedness and response (e.g., Conjure, Thailand). In both cases, the agreements were forged reflecting the PEMSEA model of partnership and integrated management. Stakeholders say that equally important, is the fact that developed and developing country partners have adopted national ocean policies inclusive of ICM and/or a national ICM policy based on PEMSEA's efforts in ICM and ocean management. Japan, Singapore, and RO Korea, as developed nations, benefited from the ICM learning experience in other countries and developed and/or amended their national policies accordingly. China, Cambodia, Indonesia, Philippines, and Vietnam all developed and adopted a national ocean/ICM policy founded on/supported by PEMSEA. East Timor is in the process of developing and adopting national ocean policy, with ICM as a principal approach to the delivery of policy objectives and expectations.

When queried on PEMSEA's work program as to whether it was spread too thin or was just right and what suggestions might be for its scope of work, stakeholders interviewed generally agreed that PEMSEA has and should remain focused on the priorities of the country partners and develop its work program accordingly, keeping in mind that not everything can or should be done solely by the PEMSEA Resource Facility. The foundation of PEMSEA as an intergovernmental regional cooperation forum is to serve as a "partnership" organization. In this regard, PEMSEA needs to focus on what it does best with value-added support and services to its partners and who it should partner with to cover those areas of the work program that are best suited to their organization/institution. This priority setting needs to come from the member states.

While some stakeholder say this is where the funds and technical leadership might be more proactive to facilitate discussion concerning its role in generating the science and baselines toward a regional oceans monitoring program, others have the perspective that PEMSEA is not the organization to lead a discussion on an evidence-based regional monitoring program and that one might look to PEMSEA Partners, e.g., IOC WESTPAC, as the lead organizations to take on the challenge of initiating/scaling up, guiding and leading such a programs, and sharing the resulting information. Examples such as IOC WESTPAC, a PEMSEA non-country partner, were provided and already engaged in scientific activities of this nature. These stakeholders also say the likely solution would be "setting up a harmonized system of monitoring and information sharing across countries rather than a regional ocean monitoring program". Adding the caveat that "this (regional ocean monitoring) has been tried before (ASEAN-Canada-Japan-Australia 1980s-1990s) but was not sustainable and that the way forward is to revisit previous efforts and assess the lessons". TER feel based on this diversion in stakeholder views there is need for clarity and debate and come to a final agreement on what is the role of PEMSEA in a regional ocean monitoring program.

The PEMSEA's SD Framework is robust and can adapt to new challenges, including helping in the recovery from the COVID-19 pandemic. In this regard, the TE has probed key and informed stakeholders for some solutions for improving priority setting and evidence-based policymaking for regional nature impacts.

The National State of Oceans and Coasts reports developed by SDS-SEA project focused on blue economy transformation in the partner countries. Key stakeholders interviewed say the evidence to policy work is an excellent starting point for PEMSEA and partner countries to identify relevant business model innovations that will transform their economies while delivering the SDS-SEA IP, SD, and SDG priorities within the countries, as well as other regional and global SD and ocean-related obligations that the countries have. These SOC tools are powerful for clearly articulating environmental and socio-economic status (SOC) and recognize and understand the linkages (policy, actions at various levels and their interconnectedness). Once there is information sharing, there is powerful tools to help pinpoint issues and interventions and can help with context-based prioritization. If used properly (with participation, political will, resources), then interventions and policies and programs can create enabling environment for blue economy/ business innovations

In response to questions about what things will encourage the member countries to pull the organization forward, possibilities put forward by stakeholders interviewed ranged from regional coastal zone and ocean monitoring to a new business model. Partners also say there is a need for more clarity in terms of the technical work program priorities of the organization<sup>iii</sup>.

Stakeholders interviewed reported that more is needed on the transformation concerning bridging the national policy and institutional learning goals with the decentralized work. The opportunity here is to step up work to help partners fully embrace the blue economy nexus in policy, planning, and program implementation nationally. Stakeholders interviews say "start utilizing all of this valuable information and recommendations to develop a comprehensive, practical program and/or services to facilitate blue economy development and growth" and "keep in mind that the PEMSEA approach is bottom-up, not top-town". This means "putting effort into establishing blue economy investments and success stories on the ground in countries that require assistance, and then develop requisite policy, legislation, financing mechanisms, sources of investment, and partnerships based on the real-life experiences". Others contend that although most countries have done a good job, more is "required to incorporate this work at the policy level" in terms of private sector investment and sustainable livelihoods. Stakeholders stated the creation of sustainable livelihood opportunities needs "institutional change strategies" that link policy and investment stakeholders i.e. ministers of finance and budgeting planning processes. Additionally, stakeholders share the consensus that there are some issues with linking or local-level downstream to upstream to policy and budgeting work, but countries generally have some related policies in place that are linked to the work of building capacity and expanding the ICM approach to the relevant coastlines. The approach has been to advocate for national-level coordination and/or build on what exists.

## **EFFICIENCY**

In terms of value for money and cost-effectiveness, the decentralized and building capacity 'learning by doing' mode of implementation in partnership model has promoted efficiencies. The project has promoted efficiencies through an effective implementation modality and effective, capable staff. However, there is disconnect between PEMSEA's technical work (i.e., project development and management, ICM capacity building and other technical support services) and the efficient and effective delivery of a sustainable regional business model. For instance, PEMSEA's existing business model indicates that Partners (should be) support(ing) the secretariat via voluntary contributions, and the technical services should be self-funded through externally-funded projects and value-added services. Science and monitoring are not part of PEMSEA's core operations, but are sometimes funded through externally-supported projects (e.g., Plymouth Marine Laboratory projects in Cambodia and Vietnam). A business model innovation would identify new ways/approaches to generating revenue to support technical services while accelerating SDS-SEA implementation and investments. Some of these have already been identified during this project. Again TER feel these questions need to be put on the table in a discussion on PEMSEA governance and mandate before and during the next EAS Partnership Council.

When questioned about a legally binding regional ocean instrument, the key informants say that it is considered to be a desirable goal in regional cooperation as it would establish greater political will and commitment, providing firmer instrumental and financial foundations and legality to all of the aforementioned commitments that countries have made to strengthen ocean governance. However, the East Asian Seas region remains one of the few areas of the world without a regional convention. When questioned further, key informants say the idea of a regional convention was brought up in several cases, primarily by the UNEP as part of its regional seas program, encompassing both the East Asian Seas and the Northwest Pacific regions but the concerned countries remain unconvinced that the legally binding approach is the best option for the region given the wide diversity of countries, particularly in terms of sociopolitical and economic capacity aspects. Addressing territorial and maritime boundary disputes is another issue that complicates discussions on a regional ocean convention. Alternatively, the region has opted for nonbinding options (COBSEA, NOWPAP, and PEMSEA) that allow countries more flexibility.

The partnership approach, or establishment of a collaborative network of government and nongovernment stakeholders in the East Asia Region, was thus a "new paradigm" in resource management when PEMSEA was set up in 2006. PEMSEA has sought to address many of the problems associated with regional governance by building collaborative networks between nations and nongovernment stakeholders (e.g., EAS Partnership Council), and between subnational governments and stakeholders at local levels. All are involved in these governance partnerships, creating the climate for more effective, vision-focused regional cooperation.

#### **SUSTAINABILITY**

For the future, with all its success financial security of PEMSEA is not guaranteed given the length of time to process approvals for multi-year, multi country project proposal development and/or develop innovative financing, The COVID 19 pandemic has also slowed down the process of negotiations and approvals. PEMSEA has secured buffer funding from country partners and bilateral grants for 2021 and continue to work on securing IRMB and IKI projects, market PEMSEA services more and prepare for GEF 8 cycles as part of the institutional sustainability plan. It is still evolving and with increased demand for technical support, GEF funding and the projects sustainability (PEMSEA) need PEMSEA needs a proper

strategy to look for a diverse mix of funding from various sources rather than heavily rely on GEF funding and UNDP partnership.

For a multilateral sustainable development oriented regional organization, there will always be a requirement for some level of GEF support or joint implementing arrangement. The onus, however, is on PEMSEA and the PRF to better understand GEF programming, and to be more proactive in aligning its project pipeline with the GEF portfolio. PEMSEA relies heavily on UNDP to advise it on potential GEF projects. Other approaches need to be explored, including national implementation and/or partnering with other/multiple regional implementing agencies to plan and develop regional projects. PPP investments, blue carbon, MPAs, biodiversity, climate change, etc. are all priorities of countries of the region, and are included the GEF portfolio, including STAR allocations, (as well as GCF). PEMSEA has the tools and networks that provide a unique space for developing and implementing such projects, and GEF already recognizes that value.

In terms of PEMSEA's work program going forward, there is no reason why GEF will not continue to work with PEMSEA to strengthen governance and management of oceans and coasts and encourage blue economy growth and keeping the oceans and coast under review in the subregion. UNDP has been supportive of PEMSEA particularly through the ongoing ATSEA2 project and the still pending ASEAN IRBM project, both of which are funded by the GEF.

**Institutional:** GEF still finances around 80 percent of PEMSEA operations. The fact that PEMSEA has reached an independent intergovernmental organization status is an amazing thing and psychologically provides room for growth as an independent functional organization that is very useful to members. PEMSEA must however continue to address the gaps, needs and priorities of countries as it moves towards its goal of sustainable development of coasts and oceans of the region. PEMSEA's success and longevity is not by chance; it is a consequence of its leadership, innovation, and dedication to the needs and capacities of the countries. Sustainability is not a question of doing more of the same, but demands creativity and innovation in upscaling value-added management solutions to sustainable development and blue economy growth among its partners. These are the vision and mission of PEMSEA, backed by the SDS-SEA. In addition, PEMSEA is an organization founded and operationalized through partnership, and it is a continuing responsibility of the Executive Director and the PRF to develop new and value-added partnerships that will add strength and required services to its program, including scientific input and monitoring as needed, among others.

**Financial:** The GEF project has made a significant effort in this phase of "positioning PEMSEA as the partner of choice in the region" and with a focus on its performance with capacity building, tools, and services, achieving results, and being responsive to members states' needs and priorities. This has inevitably contributed to the prospect of financial sustainability with new projects and initiatives are in the pipeline, as discussed previously. If PEMSEA can continue to deliver and provide regional function, there is need to secure its financial sustainability especially for core operations and capacities. Most of PRF staff are employed through the projects. Also concerning financial sustainability, the TE asked to what extent member states and other in-country and external partners are in line with the expected outcome of outcome 1 and are willing to fund PEMSEA as an implementing partner for ICM and related projects. Here partnering stakeholders agree that PEMSEA is well-recognized, both regionally and globally, for its contribution to the development and operationalization of ICM as a governance and management system

for coastal and ocean management. Country partners, non-country partners, and external organizations and institutions have indeed utilized PEMSEA's services over the years to develop and implement ICM and other related projects and programs.

Occasions include RO Korea funding ICM project development/capacity building in DPR Korea, East Timor funding capacity development/ training and shared learning experiences; China supporting the secretariat for the PEMSEA Network of Local Governments implementing ICM since its inception in 2006; GEF IW: LEARN funding ICM experience-sharing between PEMSEA and the Caribbean region in 2018; NOWPAP funding the participation of senior officers from its member states in PEMSEA ICM training courses, including representatives from Russia; GEF/UNDP identifying PEMSEA as the implementing agency for a regional ocean management project in the Arafura-Timor Seas (which is outside of PEMSEA's geographical coverage, involving two PEMSEA partner countries, East Timor and Indonesia) as well as Australia and Papua New Guinea; BOBLME project supporting participating countries in a PEMSEA ICM training course; and China supporting training of its local government officials in PEMSEA's ICM Code and Certification System, etc.

Evidence exists (confirmed by TE consultation, also see country reports) of the willingness of countries and external organizations to utilize PEMSEA services to assist in the development, implementation, and/or certification of ICM programs at the local, national, and regional levels. However, TE could find no strategy or initiative in PEMSEA at present to package, market, and deliver such services. There is a "blurring" of the budgets for secretariat services and technical support services and this is not conducive to a sustainable PEMSEA. Clearly lacking is a dedicated communication/marketing specialist to do such work. Countries do not want to fund such position but they have done the best they could with a small secretariat.

Partners might consider funding this position and providing marketing and branding solutions and partnerships in addition to knowledge and learning services. Technical services alone will not make PEMSEA self-sustaining but they are being requested and appreciated by participating governments and external organizations; voluntary contributions are essential for the effective operation of the secretariat. Partner country actions in support of a sustainable PEMSEA will strengthen PEMSEA's brand regionally and internationally and, potentially, lead to new opportunities. Countries (and GEF) need to fully recognize the existing funding gap for secretariat services and the risk that it represents to a sustainable PEMSEA.

**Socioeconomic:** Progress in the region on ICM is linked to learning in communities and at the local level. The local governance and learning networks are major spin-offs and will support more local-level involvement with civil society and relevant work plans that impact the socioeconomic well-being of marginalized and remote groups. The linkages and educational work with civil society are critical for socioeconomic sustainability and linked to the relevance of the work. More communication can go to these national exercises towards the project's transformative goals. Additionally, countries and the PRF should consider the excellent outcomes of the SOC reporting at the local and national levels. Socio-economic indicators, including employment, income, public health, education, water quality, sanitation, etc. are included in the SOCs, and changes (positive, negative, neutral) are tracked over time, along with recommendations for improving blue economy growth at the local and national levels.

Apart from marketing PEMSEA's technical, project management, capacity development, training and knowledge management services, there is a need for sustained information dissemination and sharing of positive socio-economic outcomes, lessons and impacts of PEMSEA's initiatives and projects. PRF has generated numerous technical documents and knowledge products that need to be translated into easily accessible language and format to target non-traditional partners and expand its reach into business and industry, finance and planning ministries, etc. Some of these materials can be accessed at:

- <http://www.pemsea.org/publications/brochures-and-infographics/executive-summary-enabling-blue-economy-investment>
- <http://pemsea.org/sites/default/files/2019%20PEMSEA%20SDGs%20brochure.pdf>
- <http://www.pemsea.org/news/new-impact-investment-management-firm-issues-call-proposals-recycling-solutions-remediate-and>
- <http://www.pemsea.org/news/capturing-regional-efforts-oceans-and-coasts-through-sea-knowledge-bank>

## CONCLUSIONS

Generally based on this TER, PEMSEA has performed BASED on its plan and countries are happy. However, at this juncture of UNDP/GEF support, the critical things that need addressing including sustainability and how emerging independent intergovernmental organization status is an amazing thing. Psychologically, stakeholders say it "provides the organization the room to grow as an independent function perceived to be useful to members". How needs and priorities are being raised. Continuing to address the needs and priorities requires a reflection on governance and coordination of the regionally available evidence and with expert guidance. In terms of transformation on the institutional side, there is a room to fully embrace the blue economy in the governance plan as evidence by the SOC reports.

Stakeholders share a view that PEMSEA is getting better at delivering to needs and with adaptive management, an approach learned through this project assistance, but more is needed to consistency assess priorities and needs linked to work programs and to facilitate an evidence (science)-based work program. There were some issues raised during the TER evaluation about how to more concretely link the local level downstream work to upstream to policy work but, generally, countries have some form of related policies in place that are linked to the work at building capacity and expanding the ICM approach the relevant coastlines. PEMSEA's governance and management mode has always been directed at three levels: local, national and regional. The work program on the other hand has tended to be more bottom-up than top-down, with the objective of validating approaches and policy on-the-ground before advancing/proposing national and regional policy. Previous statements in this TE report indicate that all PEMSEA countries, including developed country partners, have learned from PEMSEA's approach and have incorporated the experiences and knowledge products into national ICM and/or ocean policies.

Furthermore, if PEMSEA wishes to differentiate itself from other regional organizations operating in the Seas of East Asia, it must continue to provide leadership and innovation in sustainable development of coasts and oceans, and continually refresh its outlook. "Similar or at a minimum" should not be acceptable to PEMSEA... only a PEMSEA that helps countries achieve successful and replicable solutions to sustainable development and blue economy growth should be acceptable.



### **Outcome 1: Partnership and ‘Oceans and Coasts Governance’ PEMSEAs Business Model**

Key stakeholders put forth that for regional efforts to be meaningful, the work must be complemented by actions at the national and local levels, particularly the planning and decision-making processes. At the national level, for instance key stakeholder put forth that PEMSEA countries supported by this project have set pragmatic, measurable targets that are *indicative of progress for improved coastal and ocean governance, including adoption and/or upgrading of national ocean policy, national SDS-SEA/ICM implementation plans, multi-agency/multi-stakeholder institutional mechanisms, scaling-up ICM coverage of national coastlines, capacity building, ratification, and implementation of ocean-related international conventions, and monitoring, evaluation, and adjustment of progress toward national and regional policy objectives and targets (e.g., State of Ocean and Coasts)*. Most of these targets have been achieved by the completion of this project. Additionally, the devolution of work authority to local levels has been viewed by stakeholders as ‘progress’ in ocean governance in various areas discussed

Stakeholder share a consensus that solid leadership is an essential element in successful ocean governance. Leadership in the sense that it does not simply refer to rank or position, but more to actions “that demonstrate conviction and determination to bring about change, willingness to champion, effective use of available resources and networks, willingness to take risks, efficient teamwork and collaboration, innovation and creativity, effective communication and knowledge sharing, and a result- and impact-oriented focus”. The role of leaders and champions say stakeholders interviewed, is critical to further coastal and ocean governance in the region. Identifying innovative measures is essential to overcome existing governance challenges, and empower persistent and committed leaders from not only government but also civil society, business, and the community as well to take positive steps that effect change and bring benefits. It is not an easy task, but stakeholders agree that PEMSEA has been able to take it on in the past and must stay committed for a successful future transformation.

Proposals for improving governance were put forth by key informants to consider. For example, several put forth the following: a) develop sub regional conventions or agreements between neighboring countries (e.g., Gulf of Thailand) where sociopolitical and economic conditions are similar and which could later be incorporated into a greater whole, b) merge various institutional programs on ocean management into a unitary institutional regime (e.g., ASEAN +3); or c) create business model innovations that cut across and are shared by different regional arrangements, thereby strengthening cooperation and interaction across institutions and programs. Other approaches or combinations of approaches may be considered in close collaboration with countries and regional institutions. Stakeholder say “that while it may not be possible to reach a consensus before the next Ministerial Forum, it may be possible to reach an agreement on a road map to strengthened ocean governance with acceptable signposts and a timeframe”. The TER conclusion is that PEMSEA consider moving forward with an informed discussion on Governance.

### **Outcome 2: Substance and work program, Science-for Policy Related ICM work**

Stakeholder share a view that PEMSEA is getting better at delivering to needs and with adaptive management, an approach learned through this project assistance. There were some issues raised during the TER evaluation about how to more concretely link the local level downstream work to upstream to policy work but, generally, countries have some form of related policies in place that are linked to the work at building capacity and expanding the ICM approach the relevant coastlines.

The approach has been to advocate through these active networks for national-level coordination and/or build on what exists. More might be done to network the business community and the ministers of finance into this work, especially for the blue economy-development nexus.

The technical meat of ICM and ICM assessment work, i.e., SOC reporting, is viewed to be central to the PEMSEA mandate and might continue with greater focus on supporting holistic data sets and GIS pictures (Evidence for Policy) and linking this to PEMSEA's 'binding' governance potential and work planning processes. SOC is one instrument in the ICM tool box, but the entire tool box needs to be employed to achieve sustainable development. To this end, PEMSEA's work can better link to existing scientific organizations and institutions through partnerships, not to duplicate their work. Based on this evaluation, there is a need to have discussion on monitoring during the governance meetings for clarity.

Other cross-cutting issues such as land-use change and climate change, the nitrogen cycle, ridge to reef management, etc. entail transboundary, regional governance and management. In the past this has been achieved through advocating and being a knowledgeable ambassador with a wide range of stakeholders to mobilize (a key value-added). Being a science STEM to policy management lead has begun in the subregion, but more work is needed. This could be through LMEs in order to better coordinate the science. Gaps and clarity on regional ocean monitoring program are needed. Improved networking and partnership arrangement would strengthen opportunities for scientific input into PEMSEA strategies and work programs and to identify emerging concerns and priorities for targeted research.

### **Outcome 3: Knowledge management and sharing**

In terms of good practice and promoting regional cooperation, the need expressed is to continue to build the partnership model, share regional and nationally the good practices and provide the capacity building on needs on priorities expressed by the countries with our audience and scientific inputs at a minimum to remain relevant.

The work under component three is regarded as central to PRF and project good performance and expected results. Knowledge management approaches have been a key asset of the PRF. In this regard, PRF can continue its good practice on resourcing partnerships, knowledge management (products and services), visibility, and communication and specifically on quantifying the expected results. PEMSEA can continue supporting local and regional knowledge networks to support national implementing and downstream-upstream policy work, share the innovations and good practices regionally and nationally, and support networking and capacity building on the need for priorities expressed by the countries to remain relevant.

- Finally, the emerging challenges and issues in the East Asian Seas region that PEMSEA should focus on highlighted by the informed stakeholders interviewed and the review in general show that regional priorities have shifted. While this is an evolutionary process for PEMSEA, it is not an abandonment of what PEMSEA does. PEMSEA can continue to scale up the application of ICM or more broadly integrated management approaches across the region, both geographically and functionally, addressing existing and emerging challenges to sustainable development through building resilience and fostering climate adaptation and innovation. Blue economy is an emerging

challenge for many countries, as evidenced in the national SOCs. PEMSEA, in keeping with its vision and mission, can address this challenge through innovation, value-added services, and novel partnership arrangements.

- An example of working towards this direction is the pending proposal to IKI-BMU (German Environment Ministry) to assist EAS countries reduce maritime transport emissions through integrated transport modality in partnership with IMO. This will facilitate PEMSEA country partners' implementation of IMO's 2018 initial strategy for reducing GHG emissions from ships: in the short-term by adopting reduction measures applicable by 2023 (e.g. ship speed regulation, energy efficiency reinforcement), and by using low carbon fuels, among others. The project appraisal mission to develop the full-blown proposal will start in March 2021 for a period of 6-8 months.
- Other emerging opportunities are currently in motion to help countries/local governments secure and/or allocate climate financing and dedicate specific budget allocation of these funds to coastal and ocean related action through the application to GCF as a regional accredited agency and/or working with LGUs/country partners to navigate budget sources for climate change and disaster risk reduction programs.
- Work on Blue economy policy and private sector engagement and networking can be stepped up.

#### **KEY LESSON LEARNED**

- Complex challenges facing sustainable development of coastal and ocean resources and ecosystem services require good governance, which is an integration of policy, legislation, education, financing, capacity building, education, science and inclusiveness/partnerships to effect change.
- Given limited budget and time, establish synergy and partnerships with relevant agencies and organizations with similar programs and build on the accomplishments of completed and existing programs on coastal and marine management for cost effectiveness and efficiency.
- Identify national and local leaders who can serve as champions
- Recognize the contribution of partners and stakeholders encourages greater participation.
- Showcase local benefits creates better appreciation of project's impacts
- Strategic adaptive management needs to be applied in cases where political and administrative conditions and changes are affecting the implementation of agreed project work plans/actions.
- Project implementation is not a "one size fits all" arrangement. The process of adaptive change takes time.
- People with capacity, capability and commitment to carry on required work, even after donor funding terminates contributes to its sustainability.
- Do not underestimate the time and resources to make meaningful progress to develop projects to attract private capital. There is a need to invest in building entrepreneurial skills and capacity within PEMSEA and local partners. Collaborating with business training enterprises could be useful.
- The crisis triggered by the Covid-19 pandemic offers valuable lessons on how project implementation can still be effectively undertaken through remote and online work. It is anticipated

that the pandemic will shape future planning, implementation and monitoring of projects by instituting adaptive measures that are proven to be working in the current crisis.

Country-specific lessons:

**See the full list of country specific lessons in the last section of the report (P.).**

## **RECOMMENDATIONS**

### **1. Institutional and financial sustainability**

- As to future PEMSEA institutional sustainability, the onus is on the PRF to improve its capability of accessing and working within the GEF programming and portfolios to fulfil the needs of countries for SDS-SEA upscaling.
- PEMSEA needs to support the design of an institutional continuity plan and the design of a next-generation human resources strategy to supplement the good human resourcing already in place. Most of the staff members are on projects, and this poses a risk. As discussed, this is inconsistent with PEMSEA's structure and function as a) secretariat; b) technical services support.
- The current COVID-19 disaster represents an opportunity to consider the importance of assessing the digitalization and technological situation of PEMSEA business and work processes. This work will also need to be conducted soon to keep the knowledge-based organization relevant and functioning optimally.
- Concerning PEMSEA's regional oceans and coastal management work as a scientific policy-regional organization, some level of GEF support or partnering/joint implementing arrangement is required.
- Work on private sector engagement and networking should be stepped up.

### **2. Partnering: Governance, Mandate**

- Governance arrangements should be reviewed. It is necessary and imperative for all country partners to contribute financially to the operation of the PEMSEA secretariat as soon as possible. Financial support from *all* PEMSEA members is conducive to a lasting partnership arrangement. Voluntary contributions from countries need to be committed and submitted on a regular basis.
- An impact study of PEMSEA value-added at national and regional levels can be done as soon as possible. While it is almost impossible to quantify the value-added, the indirect effect of being able to make practical use of ICM approaches and monitor the state of oceans and coastal at the regional level is tremendous. Countries need to be asked to consider the importance of value-added and put it to use. A report on Post-2020 direction for PEMSEA was developed and provides a general guide for future work programming. PEMSEA's 2020 report is being used as guide and helped develop the operational plan or institutional sustainability plan which is a living document. In light of current pandemic opportunities and challenges and current international developments PRF should put some time and effort into evaluating what this project has accomplished (SOCs, financing mechanisms, new services, business model innovation, new partnership opportunities) and develop an updated business plan/project proposal(s) to countries, Council, partners, etc. based on these outputs, the expertise and knowledge the SDS-SEA Project has generated, and the partnerships that

have been forged. There is no magic solution! It's all there...but it needs to be digested and packaged in a manner that Partners can better understand and appreciate.

- The PEMSEA focus on good performance should continue as it will be through performance that it can work towards a value-added intergovernmental platform on the ocean and coastal governance and the scale-up of the ICM/blue economy work. PEMSEA has something to add to the region. Such success will be based on evidence of merit and benefit from the PEMSEA program.

### **3. Monitoring and capacity for ICM science-based policy, priority setting, and implementation of SAP target areas<sup>iv</sup>**

- PEMSEA can continue to show its value proposition and value-added by augmenting its science- and non-member partnerships, integration and inclusiveness including the political and science stakeholders and partnering and bridging with them. For instance, if there are good people globally and regionally, maximize the opportunity with other LMEs. SOC is a promising planning and management tool; this work can be extended in partnership with ongoing work in the region for instance synergies should be explored with ADB –coral triangle project and other oceans research funding, UNESCAP- SDG and environmental statistics are good examples of possible partners.

### **4. Knowledge management and building capacity for policy and SAP implementation**

- Fostering regional and academic learning networks of the local government to support the PEMSEA SDS-SEA implementation, communication, and visibility for policy and regional governance has been a global good practice. This solid work forms a key implement strategy for PEMSEA. This coordination, inclusive work planning, and networking work must continue to support the implementation of capacity building and also achieve the policy targets.
- Advanced technology and strategies for knowledge management, strategic communications and sharing of results and lessons from work might be reviewed in light of the experience of working through the Covid 19 pandemic for optimization.

### III. ACRONYMS AND ABBREVIATIONS

ACB	ASEAN Centre for Biodiversity
ADB	Asian Development Bank
BOD	Biochemical Oxygen Demand
CBD	Convention on Biological Diversity
CCA	Climate Change Adaptation
CI	Conservation International
COBSEA	Coordinating Body on the Seas of East Asia
CSA	Cost-sharing Agreement
CSR	Corporate Social Responsibility
CTI	Coral Triangle Initiative
DPSIR	Drivers-Pressures-State-Impact-Response
DRR	Disaster Risk Reduction
EAFM	Ecosystem-based Approach to Fisheries Management
EAS	East Asian Seas
EAS PC	East Asian Seas Partnership Council
EBM	Ecosystem-based management
FAO	Food and Agricultural Organization of the United Nations
GDP	Gross Domestic Product
GEF	Global Environment Facility
GIWA	Global International Waters Assessment
GPA	Global Plan of Action
HAB	Harmful Algal Bloom
IBA	Important Bird Area
ICM	Integrated Coastal Management
IEMP	Integrated Environmental Monitoring Program
IFAD	International Fund for Agricultural Development
IFI	International Financial Institution
IIMS	Integrated Information Management System
ILO	International Labor Organization
IMO	International Maritime Organization
IRBCAM	Integrated River Basin and Coastal Area Management
ISO	International Standards Organization
IT	Information Technology
IUCN	International Union for the Conservation of Nature (World Conservation Union)
IUU	Illegal, unreported, and unregulated fishing
IW	International Waters
IW: LEARN	International Waters Learning Exchange and Resources Network
KBA	Key Biodiversity Area
KMI	Korea Maritime Institute
LME	Large Marine Ecosystem
LOI	Letter of Intent
MDG	Millennium Development Goals

M&E	Monitoring and Evaluation
MOA	Memorandum of Agreement
MOU	Memorandum of Understanding
MPA	Marine Protected Area
MSP	Medium-Sized Project
N	Nitrogen
NBSAP	National Biodiversity Strategic Action Plan
NCC	National Coordinating Committee
NFP	National Focal Point
NGO	Nongovernmental Organization
NOWPAP	Northwest Pacific Action Plan of UNEP
RTF/NTF	Regional Task Force/National Task Force
OHSAS	Occupational Health and Safety Standard
P	Phosphorus
PCC	Project Coordinating Committee
PDR	People's Democratic Republic
PEMSEA	Partnerships in Environmental Management for the Seas of East Asia
PES	Payments for Ecosystem Services
PNLG	PEMSEA Network of Local Governments
PO	People's Organization
POI	Plan of Implementation
POW PA	Program of Work for Protected Areas
PPP	Public-Private Partnership
PR	People's Republic
PRF	PEMSEA Resource Facility
PSC	Program Steering Committee
PSHEMS	Port Safety, Health, and Environmental Management System
PSSA	Particularly Sensitive Sea Area
RO	Republic of
RPO	Regional Program Office
RTF	Regional Task Force
SAP/NAP	Strategic Action Plan / National Action Plan
SBAA	Standard Basic Assistance Agreement
SDS-SEA	Sustainable Development Strategy for the Seas of East Asia
SEAKB	Seas of East Asia Knowledge Bank
SGP	Small Grants Program of GEF/UNDP
SOC	State of Coasts
SRF	Strategic Results Framework
STAP	Scientific and Technical Assessment Panel
TPLM	Total Pollution Load Management
TPR	Tripartite Review
UN	United Nations
UNCLOS	UN Convention on the Law of the Sea 1982
UNDP	United Nations Development Program
UNEP	United Nations Environment Program

UNFCCC	United Nations Framework Convention on Climate Change
WB	World Bank
WCPFC	Western Central Pacific Fisheries Commission
WI	Wetlands International
WSSD	World Summit on Sustainable Development
YSLME	Yellow Sea Large Marine Ecosystem



## 1. INTRODUCTION

### 1.1. Purpose of the evaluation

1. The UNDP/GEF Project on Scaling up the Implementation of the Sustainable Development Strategy for the Seas of East Asia (SDS-SEA) is a GEF project being implemented by UNDP with UNDP Philippines serving as Principal Project Representative (PPR) and the Partnerships in Environmental Management for the Seas of East Asia (PEMSEA) Resource Facility (PRF) serving as the implementing partner in accordance with the agreement entered by the two parties. The countries bordering the East Asian Region, Cambodia, China, Indonesia, Lao PDR, Philippines, Thailand, Timor Leste, and Vietnam, are the eight (8) participating countries in the project while Japan, Republic of Korea, and Singapore provide co-financing to the Project. The Project is the fourth phase of the UNDP/GEF projects under PEMSEA<sup>3</sup>.

2. It represents the “transformation phase” of GEF support culminating in PEMSEA’s sustainability as the regional coordinating mechanism for the implementation of SDS-SEA and makes a stronger linkage between sustainable development of river basins, coastal and marine areas, and local, national, and regional investment processes in a blue economy.

3. The Project is consistent with International Waters Objectives 2 and 3 in the GEF 5 Focal Area Strategies, which are to catalyze multistate cooperation to rebuild marine fisheries and reduce pollution of coasts and large marine ecosystems while considering climatic variability and change and support foundational capacity building, portfolio learning, and targeted research needs for ecosystem-based joint management of transboundary water systems.

4. The Mid-Term Review, which examined the status of the Project in 2014 through March 2018 recommended a 12-month extension to allow sufficient time to achieve progress towards the outcomes in countries that have been delayed in starting implementation due to some administrative requirements. The 12-month extension was endorsed by the 8 participating countries at the 2019 PSC meeting, including the adoption of revised indicators and end of project targets that were incorporated into the Strategic Results Framework of the Project Document.

5. PRF received the formal notification from UNDP on 18 June 2019, extending the project to 31 August 2020. Due to the COVID19 pandemic, the project was granted a second extension until 31 December 2020

6. Under UNDP and GEF M&E policies and procedures, all full and medium-sized UNDP-supported, GEF financed projects are required to undergo a terminal evaluation upon completion of implementation. The objective of the Terminal Evaluation is to enable the GEF, UNDP, and the participating countries to assess the relevance, efficiency, effectiveness, impact, and sustainability of the Scaling up Implementation of the Sustainable Development Strategy for the Seas of East Asia Project. The Terminal Evaluation will assess the achievements of the project against its objectives. It also identifies the

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<sup>3</sup> Project Document

factors that have facilitated or impeded the achievement of the objectives. While a thorough review of the past is in itself very important, the in-depth evaluation is expected to lead to a detailed overview and lessons learned for the future and to provide recommendations that will contribute to sustaining the outcomes of the project to the stakeholders including PEMSEA as a regional mechanism for SDS SEA implementation.

7. The main users of the Terminal Evaluation include PEMSEA and other implementing partners, the partnering governments and donor partners, the GEF, and the UNDP.

## **1.2. Scope & Methodology**

8. The Terminal Evaluation (TE) was tasked to assess project performance against expectations set out in the project's Logical Framework/Results Framework. Key considerations included learnings of potential impact and sustainability of the intervention's expected outcomes and outputs, consideration of project inputs and outputs contribution to enabling policy and regulatory framework, developing local-level capacity, and garnering increased public awareness and education.

9. The standard GEF evaluation criteria and questions were used as a guide to assess the project's results and performance. The guidance has been augmented with the following emerging strategic questions as the inception study progressed.

- Would PEMSEA member countries and its other partners be willing to support PEMSEA as a self-sustaining regional organization either through cost-sharing and/or through permanent contributions for a sustained secretariat? Sub-question: To what extent are member states and other in-country and external partners willing to fund PEMSEA as an implementing partner for ICM and related projects?
- What is the perspective of the countries and partners on the utility and overall relevance and performance of PEMSEA's work program, including the governance arrangement /agreements and the work to develop capacity including: development of tools, knowledge products, and services, i.e., certification, code approaches, knowledge networks, learning services, other products, and intergovernmental forums such as the Senior Government Officials Meeting, the Ministerial Forum and the EAS congress?
- Are there any examples whereby the learning from the project has, in addition to growing the use of the ICM standard approaches and tools, led to bilateral transboundary cooperation?
- Is the PEMSEA's work program spread too thin, or is it just right? What are suggestions for its scope of work? Is science-based monitoring a critical work area? How well has the country set up monitoring systems and governance arrangements linked to the work in the regional strategy, national strategy, and institutional arrangements for supporting the regional agreements?
- To what extent has PEMSEA as a regional organization supported regional ICM beyond this UNDP/GEF support to the project and established itself as a self-sustaining organization?

10. The above line of questioning has cumulated with the following key question and was answered through discussions with PEMSEA partners and staff.

- To what extent has UNDP/GEF project provided optimal regional cooperation support to the ongoing needs and priorities for the technical assistance and south south (triangular) cooperation and related sub-question, how well has the PRF established itself as a self-sustaining organization?

## **A. EVALUATION PHASES**

### **1. DESK PHASE, INCEPTION PERIOD (13–23 November 2020)**

11. This first phase confirmed the clients' and the international and national consultants'<sup>4</sup> understanding of the TOR (**Annex 1**). This step included obtaining the evaluation stakeholder's agreement on the chosen methods and drafting the evaluation guidance framework for national consultants, the evaluation matrix, and the questionnaires to support implementation and smooth rollout. The evaluation framework was derived from the standard OECD DAC criteria of efficiency, effectiveness, relevance, and sustainability. A survey tool was drafted in line with 'strategic level' evaluation questions and to reach a broader group of stakeholders including former key staff and non-country partners. A drop box folder for all stakeholder inputs of key documentation was created and shared (**Annex 2**). The phase included scrutiny on the theory of change, expected results, and a critique of the indicators and targets with the key stakeholders. Finally, to achieve ownership and legitimacy of the process, this phase involved hosting a validation evaluation inception workshop with a reference group and key stakeholders online.

### **2. DATA COLLECTION (20 November – 10 December 2020)**

12. The second phase included a national rollout of the evaluation by the international and national consultants and the dissemination of questionnaires and surveys for key GEF project stakeholders.

13. While data collection phases normally include a project visit to sites for data collection, observations, and interviews with the project beneficiaries at the regional, national, and community-levels; this time, site visit travel was restricted to the international consultant due to the coronavirus disease (COVID-19). For this evaluation, the data collection was primarily conducted online for regional elements and nationally by the eight consultants who had judged the situation and followed through accordingly based on COVID-19 protocols in the country.<sup>5</sup> The evaluators had all transcribed and coded their notes throughout the process. This ensured teamwork and the production of an evidence-based report.

14. The evaluation had aimed to collect primary and secondary data from a representative group of stakeholders at all levels of the PEMSEA UNDP GEF project activities: regional, national, and subnational levels, including the regional and national PEMSEA focal points, GEF project coordination and management units, other participating agencies, government agencies, and the financing partners. Groups interviewed had included non-country partners, country partners, private sector, NGO/CSOs, civil

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<sup>4</sup> This evaluation has been supported by eight consultants (USA, Timor Leste, Laos PDR, Cambodia, China, Thailand, Vietnam, Philippines), for data collection and national rollout. This represents an expression to go deep on information collection. This level of evaluation has proven superior. The preparation of national rollout guidance is an important step for the international consultant.

<sup>5</sup> The TOR has been the starting point for methods.

society, and other implementing partners (**Annex 3**).

15. The data collection phase had focused on developing a study of the indicators, framework, and validating the program stated expected results and gathering lessons for future PEMSEA work planning as a forward-leaning exercise. The methods were mixed and entailed collecting data through in-person, online, surveys, focus groups, questionnaires, Zoom, Skype, reports, and through country case studies developed with the strategic questions. The orientation of those questions was intended to test the theory of change in particular the idea of transformation. The evaluation considered the results against the targets and indicators (i.e., consideration of MTR and whether the monitoring framework was smart and logical). The evaluation has conducted an assessment of the partnership and capacity development approach and activities delivery mode including scrutinizing “capacity development” against the GEF CB tracking tools and baseline and targets set. The evaluation had examined whether the capacity assessment and baseline had been adequately established and used as a monitoring framework.

### **3. ANALYSIS AND SYNTHESIS PHASE (10–31 December 2020)**

16. This phase involved the analysis of data and includes primary stakeholder perception data. This phase is the longest for synthesizing the data as objective as possible analysis of the results against the framework and the criteria set out. The final analysis includes validation of the data collected against the stated success indicators and deep dive into the theory of change. This stage includes developing relevant approaches for joint analysis (i.e., organizing a reference group to review and study trends and expected results based on the comparative experiences and support all aspects of evaluation data collected): reporting back on findings and incorporating comments.

17. This stage included preparation and presentation to the evaluation reference group (PEMSEA, UNDP, RTA UNDP, and Team of Evaluation Consultants) and key partners. It included preparing the draft evaluation document that was used to gather initial feedback after the initial presentation of evaluation results to governments, donors, and other stakeholders.

### **4. DISSEMINATION PHASE (01 – 31 January 2021)**

18. The final stage involved draft finalization and reporting to the project steering committee and clients. It involved incorporating comments from the implementation team and relevant stakeholders and developing a preliminary draft report and presentation to the steering committee meeting on December 18, 2020. The evaluator developed a PowerPoint presentation with preliminary and draft findings report after which the entire team vetted and incorporated the final comments into a final draft. The international lead evaluator completed a final audit report.

### **5. EVALUATION LIMITATIONS**

19. This evaluation has been limited by COVID-19. Normally, there would be international travel to the project sites. This evaluation was conducted through online consultation surveys with key resource persons as well as evidence-gathering and national evaluation work completed with national consultants. The key challenge for the international consultant was the time difference with all night calls

to stakeholders. Due to COVID-19, the evaluation was led by the international consultant with the close and collegial support of the national consultants for all aspects and particularly for the design, the data collection and for analyzing the final results. Protocols were established for communication during the evaluation process. The evaluators engaged jointly in developing the international and national data collection guidance, conduct of interviews, and surveys. The international consultant and the national consultants had maintained flexibility and used snowballing<sup>6</sup> to identify the best regional and national level informants as the evaluation progressed. The entire conduct of this evaluation was supported by the PRF staff.

### **1.3. Structure of the evaluation report**

20. This TE Report follows the structure set out in the TOR comprising Executive Summary, Section 1: Introduction to the TR, Section 2: Project Description and Background, Section 3: Findings, and Section 4: Section 5, Section 6 and 7 – Conclusions, Lessons and Recommendations. The bulk of the information on the TE status and results of the project is presented in Section 3 and 4.

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

### **2.1. Project start and duration**

21. The UNDP and GEF have supported continuous PEMSEA initiatives to support elaboration and implementation of the Sustainable Development Strategy for the Seas of East Asia (SDS-SEA). The continuous support over the past 26 years consisted of a transition period and this transformation and sustainable operation period. The fourth phase of UNDP/GEF support was approved in May 2014<sup>7</sup>. It had been originally planned to end in December 2019 but was extended and actually ended in December 2020. The fourth phase is being implemented by UNDP and executed by PRF and represents the transformation phase, and culminating in the sustainability of PEMSEA as the regional coordinating mechanism for implementation of the SDS-SEA.

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

22. The problem statements and situational analysis have been laid out clearly in the original project document and reiterated during the MTR. For instance, the project problem context in the MTR was stated as:

23. “The marine waters of the EAS show signs of serious degradation due to human activities.<sup>v</sup> The consequences of this degradation include loss of livelihoods and economic opportunities, loss of natural protection of the coastline, and loss of natural habitats for flora and fauna. The East Asian Seas (EAS) region includes six semi-enclosed and interconnected large marine ecosystems (LMEs) including the Yellow Sea, East China Sea, South China Sea, Sulu-Celebes Sea, Indonesian Sea, and the Gulf of Thailand. Collectively, these LMEs occupy a total sea area of 7 million sq. km, a coastline of 234,000 km, and a total watershed area of about 8.6 million sq. km. The marine waters support extremely high biological diversity

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<sup>6</sup> Snowballing as method - To find key informants from other key informants.

<sup>7</sup> Project Document 2014

and biologically diverse marine environments, provide a variety of ecological services, such as the provision of spawning and nursery grounds for many pelagic fish, and are home to complex biotic communities. As a result, the coastal and marine ecosystems of the EAS region are central to the development of the economies of the countries which share their resources. At a global level, overexploitation and poor management of oceans have resulted in heightened food insecurity and diminished economic opportunities for some of the world's poorest people. Countries bordering the sea face numerous environmental threats; coral reefs, mangroves, seagrasses, wetlands, and other coastal habitats that are part of these ecosystems are exposed to varying degrees of pressure and show signs of continuous and serious degradation due to human activities. Water quality in seas, coastal areas, and river basins is at risk of serious deterioration due to unsustainable practices and polluting human activities. The unsustainable exploitation of fish and other living resources, pollution from marine and land-based sources, and habitat damage are concerns. Climate change has added to these pressures and may also lead to an increase in the cumulative impacts of these factors. The consequences of these impacts include loss of livelihoods and economic opportunities to fishers, hoteliers, and related businesses, loss of natural protection of the coastline, loss of natural habitats for flora and fauna, and loss of recreational opportunities.”<sup>8</sup>

24. Key targeting indicators for the regional approach include 13 coastal nations; 1 land-locked country; 4 of the largest archipelagic countries in the world; 6 large marine ecosystems; 4 major river systems; a coastline of 235,000 km; a sea area of 7 million km<sup>2</sup>; usage as food supply, livelihood, medicine, energy, minerals, transport, recreation; closeness to 72% of the estimated 2 billion people living within 100 km of the coastline: and hosting of 9 of the world's megacities (10M population).

25. The project seeks to demonstrate local-to-global benefits through scaled-up national ICM programs that cover the following:

- a. The protection and sustainability of coastal and marine ecosystem services,
- b. Climate change adaptation and enhanced resilience in the coastal zone,
- c. Sustainable fisheries and alternative livelihoods,
- d. Water conservation and use management/pollution reduction.

### **2.3. Immediate development objectives and expected results of the project**

#### **A. Project components and expected outputs**

26. **The project goal** is to reduce pollution and rebuild degraded marine resources in the East Asian Seas through the implementation of intergovernmental agreements and catalyzed investments.

27. **The project objective** is to catalyze actions and investments at the regional, national, and local levels to rehabilitate and sustain coastal and marine ecosystem services and build a sustainable coastal and ocean-based economy in the East Asian region. This objective will be achieved through the implementation of the following three interconnected Project components: To achieve the objective, the project's intervention has been organized in three parallel components under which ten planned outcomes are to be achieved.

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<sup>8</sup> Ibid

**28. COMPONENT 1 Partnerships in Coastal and Ocean Governance Enabling a Self-Sustaining, Country Owned Regional Mechanism Governing the LMEs in the East Asian Region, focusing on establishing, aligning, and strengthening local and national policies and legislation on ocean and coastal governance, as well as integrated river basin and water use/management and integrating these with medium-term development plans. Collaborative planning, consensus-building, and other initiatives are being supported to this end.**

- Outcome 1: A self-sustaining, country-owned, regional mechanism governing and managing LMEs and coastal waters, rebuilding and sustaining ecosystems services and reducing the impacts of climate change on coastal populations in the East Asian Seas region,
- Outcome 2: National and local governments; adopting and initiating ocean policy, legal instruments, institutional improvements, and programs, and mainstreaming SDS-SEA targets into their medium-term development and investment plans,
- Outcome 3: Innovative financing mechanisms in place for sustained operation of the country-owned, regional coordinating partnership mechanism.

**29. COMPONENT 2 Healthy and Resilient Marine and Coastal Ecosystems Through Conservation-Focused ICM Programs Thereby Increasing Areal Extent of Healthy and Resilient Habitats, implemented primarily at local/site levels, at several locations provisionally identified through national stakeholder consultative processes. It features practical, technical interventions using ICM/IRBCAM tools, methods, and approaches to reduce threats to ecosystem services in coastal and marine areas.**

- Outcome 4: Increased areal extent of healthy, resilient habitats (i.e., blue forests), including mangroves, coral reefs, seagrass, and other coastal habitats/ areas
- Outcome 5: Improved management of overexploited and depleted fisheries, leading to recovery
- Outcome 6: Reduced discharge of pollutants from land-based activities and improved water use efficiency/conservation in priority river basins and coastal areas
- Outcome 7: Increased preparedness and capability of coastal communities to respond to natural and manmade hazards.

**30. COMPONENT 3 A Knowledge Platform for Building a Sustainable Ocean-Based Blue Economy, addressing targets related to IW Objective 3, by focusing on active learning, experience sharing, and knowledge management in the GEF IW portfolio in the EAS region. Also supporting targeted research and networks to fill scientific and knowledge gaps. It is expected that availability of, and access to, credible scientific and technical knowledge and information will drive political commitments to contribute to prevention of further depletion or degradation of coastal and marine resources.**

- Outcome 8: Innovative economic and investment instruments generate funds to rehabilitate and sustain coastal and marine ecosystem services
- Outcome 9: Regional knowledge-sharing platform for ecosystem management established and enabling decision-makers to translate policies and strategies into actions
- Outcome 10: Program contributed to global learning on scaling up of investments is sustainable coastal and ocean management.

Table 1. Project implementation sites.

COUNTRY	NO. OF PROJECT SITES	ICM PROJECT SITES	COUNTRY	NO. OF PROJECT SITES	ICM PROJECT SITES
Cambodia	4	Preah Sihanouk Kampot Kep Koh Kong	Philippines	8	Bataan Batangas Cavite Guimaras Macajalar Bay Oriental Mindoro Pampanga Romblon
China	10	Fangchenggang Yangjiang Changyi Quanzhou Nanji, Zhejiang Province Haizhou Bay, Lianyungang City Jiulong River Dongying, Shandong Sanya, Hainan	Thailand	4	Chantaburi Trat Rayong Chonburi
Indonesia	6	Sukabumi Regency Bali Province Tangerang Regency Bontang City East Lombok Regency Semarang City	Timor Leste	3	Manatuto Dili Liquica
Lao PDR	3	Champasack Saravan Sekong	Vietnam	6	Danang Hai Phong Kien Giang Quang Nam Quang Ninh Thua Thien Hue



## 2.4. Baseline Indicators established

Table 2. Baseline and end of project target

Objective		
To catalyze actions and investments at the regional, national, and local levels to rehabilitate and sustain coastal and marine ecosystem services and build a sustainable coastal and ocean-based economy in the East Asian region, in accordance with the Sustainable Development Strategy for the Seas of East Asia (SDS-SEA).		
Description of Indicator	Baseline Level	End of project target level
Percentage of participating countries and local governments that have mainstreamed SDS-SEA/ICM programs into their respective development and investment plans	<ul style="list-style-type: none"> <li>• SDS-SEA regional strategy and 5-year Regional SDS-SEA Implementation Plan adopted by the EAS Partnership Council (2012)</li> <li>• 5-year National SDS-SEA/ICM Implementation Plans developed in 7 countries (Cambodia, Indonesia, Lao PDR, Philippines, Thailand, Timor Leste, Vietnam) and adopted and mainstreamed into the investment plans in one country (China) and two local governments (Chonburi, Thailand; Xiamen, China).</li> </ul>	<ul style="list-style-type: none"> <li>• Three (3) participating national governments (Indonesia, Philippines, Vietnam) and eight (8) local governments (Preah Sihanouk and Koh Kong, Cambodia; Dongying and Fangchenggang China; Sukabumi and Tangerang, Indonesia; Guimaras and Pampanga, Philippines; Kien Giang and Thua Thien Hue, Vietnam) have mainstreamed SDS-SEA/ICM programs into their respective development and investment plans to rehabilitate and sustain coastal and marine ecosystem services and build a sustainable coastal and ocean-based blue economy</li> </ul>
Number of agreements signed and initiated with Country and Non-Country Partners, and regional and international organizations, donors, and corporate sector	<ul style="list-style-type: none"> <li>• Haikou Partnership Agreement signed in 2006 establishing PEMSEA as a regional partnership mechanism</li> <li>• Host Country Agreement signed between PEMSEA and the Government of the Philippines (July 2012)</li> <li>• Cost-Sharing Agreements have been signed and operationalized with 3 PEMSEA Partner Countries (China, Japan, and RO Korea) in support of the PEMSEA Resource Facility Secretariat Services</li> <li>• The Government of the Philippines has signed a 10-year agreement (2007-2017) providing office building and amenities for the PEMSEA Resource Facility operation.</li> <li>• The Government of Timor Leste is providing in-cash support to the PEMSEA Resource Facility to conduct training and other capacity development activities in the country.</li> </ul>	<ul style="list-style-type: none"> <li>• Host Country Agreement ratified by the Government of the Philippines providing PEMSEA and its officers and staff with immunities and privileges that facilitate effective, efficient operation</li> <li>• Signed Agreements with Country and Non-Country Partners provide voluntary financing and in-kind commitments to sustain PEMSEA's core operations.</li> <li>• Letters of Cooperation signed between PEMSEA and YSLME Interim Commission, WCPFC Commission, and other regional governance mechanisms for collaborative planning and implementation of projects and activities that contribute to the objectives and targets among the respective SAPs.</li> <li>• Regional State of the Oceans and Coasts Report published and disseminated, providing governments and stakeholders with up-to-date information on changes, trends, impacts, and benefits of SAP implementation in the EAS region.</li> </ul>

	<ul style="list-style-type: none"> <li>• An MOU was signed between PEMSEA and the GEF/UNDP YSLME Project to facilitate cooperation across projects.</li> </ul>	
<ul style="list-style-type: none"> <li>• Number of countries adopting coastal and ocean policy, and implementing national SDS-SEA implementation plans, including supporting legislation and institutional arrangements</li> <li>• Number of countries mainstreaming national SDS-SEA/ICM programs into development and investment plans</li> </ul>	<ul style="list-style-type: none"> <li>• Coastal and ocean policy and legal instruments in place in 2 Partner countries (Japan, RO Korea), and underdevelopment in 6 countries (Cambodia, China, Indonesia, Thailand, Timor Leste, and Vietnam),</li> <li>• 5-year national SDS-SEA/ICM Implementation Plans developed in 6 countries (Cambodia, Indonesia, Philippines, Thailand, Timor Leste, Vietnam), and adopted and mainstreamed into the investment plans in one country (China) and two local governments (Xiamen, China; Chonburi, Thailand)</li> </ul>	<ul style="list-style-type: none"> <li>• National coastal and ocean policies and institutional arrangements in place in 6 countries (Cambodia, China, Indonesia, Thailand, Timor Leste, and Vietnam), providing the platform and management framework for national programs focused on integrated management of priority coastal and marine areas, surrounding watersheds and blue economy development.</li> <li>• National sector legislative agenda and priorities developed in 6 countries (Cambodia, China, Indonesia, Lao PDR, Philippines, and Vietnam) to align sector-based regulatory and economic instruments with national coastal and ocean policy, as well as ratifying international ocean-related conventions and agreements.</li> <li>• SDS-SEA targets incorporated into national and local medium-term development and investment plans in at least 3 participating countries (Indonesia, Philippines, Vietnam) and 8 participating local governments (Preah Sihanouk and Koh Kong, Cambodia; Dongying and Fangchenggang, China; Sukabumi and Tangerang, Indonesia; Guimaras and Pampanga, Philippines; Kien Giang and Thua Thien Hue, Vietnam), covering ICM programs encompassing CCA/DRR, biodiversity conservation and management, sustainable fisheries, water supply, conservation and use management, pollution reduction, etc., in priority coastal areas.</li> </ul>
<ul style="list-style-type: none"> <li>• Percentage of PEMSEA's operational funding covered by sustainable financing mechanisms and partnership arrangements</li> </ul>	<ul style="list-style-type: none"> <li>• PEMSEA Sustainable Financing Plan and Road Map adopted and initiated</li> <li>• PEMSEA's PSHEMS, ICM, and CSR recognition systems under development/refinement</li> <li>• Several project proposals conceptualized/drafted for funding agencies with national and local governments, Non-Country Partners</li> </ul>	<ul style="list-style-type: none"> <li>• Suite of products, services, funding mechanisms (ICM and special skills training and technical assistance services; ICM, PSHEMS, and CSR recognition system; PEMSEA Trust Fund) and partnership arrangements (MOA/MOU/CSA, PPP, CSR) adopted and implemented in collaboration with PEMSEA Partners, non-partner governments, Sponsoring Organizations, donors, and private sector/business community, providing sustainable funding for 100% of PEMSEA's operation.</li> <li>• PEMSEA's outreach services being provided to non-Partner countries covering capacity development and technical assistance in support of improved coastal</li> </ul>

	<ul style="list-style-type: none"> <li>• Concept paper/guideline for PEMSEA outreach services prepared and submitted to EAS Partnership Council</li> </ul>	and ocean governance and the development of national ICM programs.
<ul style="list-style-type: none"> <li>• Increased proportion of healthy and resilient coastal/watershed habitats with effective and sustainable management systems in place</li> </ul>	<ul style="list-style-type: none"> <li>• About 12% (27,245 km) of the region's coastline covered by ICM programs</li> <li>• Capacity needs assessment partially conducted in 2 countries (Lao PDR and East Timor)</li> <li>• National program or plan of action covering coastal habitat restoration and management including biodiversity conservation in place in 6 countries (Indonesia, Lao PDR, Philippines, Thailand, Timor Leste, Vietnam) and partially in one (China)</li> <li>• Subnational / local action plans or management programs support targets in habitat restoration and management partially in all 8 participating countries</li> <li>• Indicative baseline data for new ICM sites prepared and will be validated/expanded during the inception phase</li> </ul>	<ul style="list-style-type: none"> <li>▪ Scaled up implementation of ICM programs by national and local governments in 8 participating countries contributed 20% (45,000 km) ICM coverage of the region's coastline</li> <li>▪ 100% of the local governments implementing ICM programs complete SOC reports</li> <li>▪ 1,000 ha. increase in the areal extent of healthy, resilient coastal and marine habitats (i.e., coral reefs; mangroves, seagrass; seaweed) at identified conservation-focused ICM sites (functional scaling up)</li> <li>▪ 10% improvement in the METT ratings of MPAs and locally managed marine areas (LMMAs) over baseline conditions at identified conservation-focused ICM sites.</li> </ul>
<ul style="list-style-type: none"> <li>• Increased proportion of fishing grounds with reductions in overexploitation of fisheries and improved incomes for fishers' households</li> </ul>	<ul style="list-style-type: none"> <li>• National programs or plans of action that cover food security and livelihood management including fisheries and aquaculture in place in 4 countries (Cambodia, Indonesia, Thailand, Vietnam), and partially in place in 4 others (China, Lao PDR, Philippines, Timor Leste)</li> <li>• Subnational/local action plans/management programs on food security and livelihood management, including fisheries and aquaculture, partially in place in all 8 participating countries</li> <li>• Some fisheries management activities ongoing, but fragmented and limited to small geographic areas</li> <li>• Some livelihood development activities are ongoing but fragmented and limited to small geographic areas</li> </ul>	<ul style="list-style-type: none"> <li>• Sustainable fisheries-focused ICM pilot demonstration projects, covering 2,000 km<sup>2</sup> of threatened fishing grounds with evidence of improved stock management and a reduction in the overall fishing effort using an ecosystem-based approach to reduce overexploitation</li> <li>• Increased proportion of fishing grounds with reductions in overexploitation of fisheries and improved incomes for fishers' households</li> </ul>

	<ul style="list-style-type: none"> <li>• Indicative baseline data for new ICM sites prepared and will be validated/expanded during the inception phase</li> </ul>	
<ul style="list-style-type: none"> <li>• Increased proportion of priority river basins and coastal areas (i.e., pollution hotspots) with measurable reductions in pollutant discharges and improved water use efficiency/conservation</li> </ul>	<ul style="list-style-type: none"> <li>• IRBCAM developed/tested in Pasig River-Laguna Lake- Manila Bay, Jakarta Bay-Ciliwung River, Bohai Sea</li> <li>• National program or action plan for water supply/use/river basin management partially in place in 3 countries (China, Philippines, Timor Leste) and fully in place in four (Indonesia, Lao PDR, Thailand, Vietnam)</li> <li>• Local-level action plans or management programs for water supply/use/river basin management partially in place in all 8 countries</li> <li>• National program or plan of action that covers pollution reduction and waste management in place in place in 4 countries (Cambodia, China, Indonesia, Thailand) and partially in place in three (Philippines, Timor Leste, Vietnam)</li> <li>• Subnational/local action plans or management programs support targets in pollution reduction and waste management partially in place in all 8 countries</li> </ul>	<ul style="list-style-type: none"> <li>• Pilot integrated river basin and coastal area management demonstration projects initiated in priority watershed/coastal areas covering 25,000 km<sup>2</sup>, focused on management strategies and investments to reduce levels of target pollutants (BOD; nutrients; and pathogens) and improve water resource conservation and use management.</li> <li>• Innovative technologies and good practices in nutrient management and water use conservation demonstrated in priority coastal areas and river basins, with replication of good practices initiated in 5 other priority river basin and coastal areas.</li> </ul>
<ul style="list-style-type: none"> <li>• Increased proportion of vulnerable coastal communities with effective preparedness, response, and recovery systems to address natural and manmade hazards</li> <li>• Number of international ports in participating countries achieving/expanding PSHEMS recognition</li> </ul>	<ul style="list-style-type: none"> <li>• National program or plan for CCA in place in 8 countries</li> <li>• National program or plan for DRRM in place in all countries except Cambodia</li> <li>• Local-level programs or plans of action for CCA partially in place in 7 countries, completely in one (Vietnam)</li> <li>• Local-level programs or plans of action for DRRM partially in place in 7 countries, completely in one (Vietnam)</li> <li>• One VA conducted (Cambodia)</li> <li>• PSHEMS recognition achieved in 3 international ports (Bangkok, Laem Chabang, Tanjung Pelepas)</li> </ul>	<ul style="list-style-type: none"> <li>• CCA/DRRM focused ICM pilot demonstration projects, covering 11 highly vulnerable coastal communities provide evidence of community awareness meetings conducted; evacuation routes established and publicized, and emergency drills/exercises conducted regularly.</li> <li>• Three littoral countries of the Gulf of Thailand (Cambodia, Thailand, Vietnam) publish and disseminate Sensitivity Maps for the Gulf and adopt a subregional oil spill contingency plan.</li> <li>• Port safety, health, and environmental management (PSHEM) code adopted as an international standard for voluntary use in ports of 3 participating countries (Cambodia; Philippines; Thailand).</li> </ul>
<ul style="list-style-type: none"> <li>• Number of priority sites testing, adopting, and</li> </ul>	<ul style="list-style-type: none"> <li>• Government policies/regulations facilitate investment by the business sector in the</li> </ul>	<ul style="list-style-type: none"> <li>• Innovative economic and investment mechanisms (e.g., revolving funds, PPP, PES, carbon credits) tested</li> </ul>

implementing innovative economic and investment mechanisms within ICM frameworks and processes of local governments	<p>sustainable development of the coastal and marine economy partially in 3 countries (China, Timor Leste, Vietnam) and fully in 3 countries (Indonesia, Philippines, Thailand)</p> <ul style="list-style-type: none"> <li>• CSR Road Map drafted with a focus on Philippines</li> <li>• Evaluation of PPP experience undertaken with recommendations provided</li> <li>• Case study on Bataan Coastal Care Foundation</li> </ul>	<p>and applied to help participating countries' national and local governments sustain and scale up ICM programs and investments.</p> <ul style="list-style-type: none"> <li>• Corporations and the business community engaged as partners of 3 local governments in ICM programs and investments in the blue economy.</li> </ul>
<ul style="list-style-type: none"> <li>• Number of collaborative knowledge sharing initiatives among regional programs</li> <li>• Increased proportion of national and local governments implementing ICM programs with environmental monitoring programs and SOC reporting systems</li> <li>• Improved access to capacity development/training and education opportunities and technical assistance for SDS-SEA/ICM implementation</li> </ul>	<ul style="list-style-type: none"> <li>• National communications program for knowledge sharing in place in 3 countries (Philippines, Thailand, Vietnam) and partially in place in 3 others (China, Indonesia, Lao PDR)</li> <li>• &gt; 600 individuals trained up to 2012</li> <li>• National level ICM training programs partially in place in 7 countries (Cambodia, China, Indonesia, Philippines, Thailand, Timor Leste, Vietnam)</li> <li>• Subnational monitoring and reporting systems on ICM effectiveness partially in place in 7 countries (Cambodia, China, Indonesia, Philippines, Thailand, Timor Leste, Vietnam)</li> <li>• National monitoring and reporting system in place in 3 countries (China, Thailand, Vietnam) and partially in place in 3 countries (Indonesia, Lao PDR, Philippines)</li> <li>• 6 PEMSEA ICM Learning Centers operational</li> <li>• Some relevant university-level training courses in place in 7 countries (China, Indonesia, Lao PDR, Philippines, Thailand, Vietnam)</li> <li>• ICM professional certification system under development</li> <li>• PNLG membership at 29 (with 2 associate members)</li> </ul>	<ul style="list-style-type: none"> <li>• National and subnational environmental monitoring programs for ICM sites, coastal seas and priority watersheds provide scientific data and evidence-based data on the effectiveness and impacts of management interventions and commitments</li> <li>• State of Coasts reports published and disseminated by all participating countries</li> <li>• Skills, knowledge, and support services of national and subnational governments enhanced through ICM Communities of Practice, including the PEMSEA Network of Local Governments (PNLG), Regional Task Force/National Task Forces (RTF/NTF), etc.</li> <li>• Evidence-based sound policy on ICM, climate change adaptation and disaster risk reduction (DRR) in priority areas supported by research results on ecosystem modeling, including total allowable nutrient loading, economic valuation of ecosystem services, and macro-scale zoning of vulnerable coastal and watershed areas</li> </ul>

	<ul style="list-style-type: none"> <li>• Two RCOEs (Hong Kong and Philippines) established</li> <li>• &gt; 100 RTF/NTF individuals engaged up to 2012</li> <li>• XWOW conducted successfully in 2013</li> <li>• Fourth Ministerial Forum and EAS Congress conducted successfully in Korea (2012)</li> <li>• Two national leadership forums conducted (Indonesia and Vietnam)</li> </ul>	
<ul style="list-style-type: none"> <li>• Number of collaborative/joint initiatives between IW: LEARN and PEMSEA</li> <li>• Number of assessment reports on ICM program development from outreach and exploratory activities</li> </ul>	<ul style="list-style-type: none"> <li>• PEMSEA representatives participating regularly in GEF IW Biennial conference</li> <li>• PEMSEA website linked to IW: LEARN website</li> <li>• Regional KM programs on coastal and ocean management lacking strategy, coordination, and sustainability across IW projects, regional organizations and programs</li> <li>• Limited outreach activities with non-PEMSEA countries and no strategy or approach to developing such services</li> </ul>	<ul style="list-style-type: none"> <li>• One percent of IW budget committed to the regional knowledge platform to contribute to IW: LEARN activities, including IW: LEARN project websites, experience notes, and IW Conferences.</li> <li>• Knowledge and best practice in ICM facilitated by outreach to programs promoting sustainable coastal and ocean development in large marine ecosystems of South Asia, South Pacific, Latin America, and the Caribbean, etc.</li> </ul>

## 2.5. Main stakeholders

31. The project stakeholder engagement and partnership strategy has been a central implementing strategy and is evaluated twice in this evaluations findings sections on stakeholders and partnerships. The original project document ProDoc clearly outlined UNDP/GEF's expected stakeholders and their role in implementation. Based on the ProDoc, stakeholders expected to be involved all implementation partners, the relevant development institutions at all levels, the target beneficiaries, the government partners, and all the vested regional and national stakeholders including CBO/NGOs (Table 3).

32. The Stakeholder Involvement Plan (from ProDoc) lists explicitly the main stakeholder categories and their expected level of involvement. The following categories of stakeholders would be involved in implementation (Per Prodoc): a) regional level, including regional intergovernmental organizations, and donor and financing agencies; b) national level, including national ministries, departments, and agencies covering natural resources and environment, agriculture, fisheries, health, education, transportation, energy, tourism, industry, foreign affairs, economic development, and finance; c) local level, including village/township, municipalities, city, district, and provincial governments and their respective national/central government counterparts; d) corporate sector/business community at all

three levels.

### 33. Expected stakeholder participation (ProDoc)

Table 3. List of stakeholders and roles and responsibilities.

STAKEHOLDER	ROLES AND RESPONSIBILITIES
PEMSEA National Focal Points	Primary operational focal points in each participating country will coordinate, facilitate, and implement project activities (NFPs are identified in Table 25 below.).
Other national-level Ministries, Departments, and Agencies (e.g., fisheries, coastal management, pollution control, environmental monitoring, maritime transport and affairs, finance, budget, and development planning, etc.)	Serve as the main points of contact for communications, coordination, capacity-building, policy and legislative development, and implementation concerning a) ocean and coastal development policies, b) aligning sectoral line agencies with ICM, and c) mainstreaming ICM with medium-term development plans
Provincial Governments	Responsible for provincial administration, legislation, and regulation, ICM development planning, and implementation. Leveraging participation of constituent districts, cities, municipalities, villages/townships related to site-based ICM implementation. Leadership and coordination for knowledge management and scaling up of good practices.
District, city, municipal, village/township-level governments	Responsible for coordination of legislation and regulation functions at localized levels. Front line leadership for development and implementation of ICM programs. Sharing of knowledge with provincial and national governments.
PEMSEA Non-Country Partners (including the private sector, research institutions, regional intergovernmental bodies, NGOs, foundations, other project facilities, etc.)	Fill technical and knowledge gaps through research, training, capacity building, and other forms of support and technical assistance, etc. Facilitate and leverage investments in project activities. Some areas include sustainable fisheries management, sustainable livelihood development, CSR, water quality monitoring, and development of laboratories, etc. May also be responsible for social marketing, community mobilization, and policy advocacy.
Convention on Biological Diversity (CBD) National Focal Points	Responsible for endorsement and coordination of activities related to strengthening the effectiveness of conservation areas and protection of threatened species at priority project sites
National and subnational ministries, departments, agencies, and bureaus related to fisheries, wildlife, forestry, etc.	Responsible for planning, coordinating, and managing the conservation of fauna and flora. Coordinate project activities related to habitat preservation and restoration, sustainable fisheries management, and related livelihood development at priority project sites

STAKEHOLDER	ROLES AND RESPONSIBILITIES
National and subnational ministries, departments, agencies, and bureaus related to integrated water resources management, waste management, sanitation, and health	Responsible for policy development and implementation, planning, coordinating, and managing water use and conservation, reducing pollution at priority project sites
National and subnational ministries, departments, agencies, and bureaus related to climate change, disaster risk reduction and management, public works, engineering and infrastructure, port development, management, and oversight	Responsible for development and implementation of policies and laws related to climate change mitigation and adaptation, disaster and emergency response, compensation and liability, port development, and oil spill response measures. Coordinate project activities related to increasing public and private preparedness and capacity to respond to natural and man-made disasters. Coordinate project activities to mainstream CCA/ DRR with other policies and legislation. Coordinate activities related to capacity-building for ports to achieve PSHEMS recognition
Chambers of commerce, business support organizations, industry associations, women's groups, microfinance institutions, development banks, and tour operators	Coordinate and support the implementation of project activities related to sustainable livelihoods and eco-enterprise development, formulation of CSR roadmap, enable the formation of PPPs, and investment opportunities, and engage with PNLG and other stakeholders in the conduct of "blue economy" business forums, etc.
Universities, research, academic, scientific, and technical institutions	Responsible for project activities that require scientific and technical support, including environmental monitoring, water quality testing, pollutant load monitoring, the conduct of ecosystem assessments and valuations, hazards mapping, gender assessments, capacity-building, and skills development related to ICM professional certification, etc. Involved in the packaging of knowledge products that integrate science-based evidence into policy-making processes
Law enforcement agencies, coast guard, maritime police, armed forces, community-based monitors, meteorology departments/organizations, and related networks	Responsible for enforcement of marine and coastal laws and regulations. Participate in relevant capacity building activities, including strengthening of disaster response/implementation of early warning systems
Local target communities and related local project partners	Primary resource users and traditional management of coastal and marine ecosystems. Will be participants in co-management activities as well as beneficiaries of habitat restoration, sustainable fisheries management, pollution reduction/waster use/conservation, livelihood support, strengthening of resilience to disasters, and other project interventions

### 34. Project Milestones

- PIF submitted to GEF: 16 April 2013,
- Concept approved: 01 June 2013 GEF CEO,
- Endorsement: 05 May 2014,



- Project Approved by UNDP for Implementation: 25 August 2014,
- Start Date: 5 September 2014,
- Project End Date (planned): 5 September 2019,
- Actual Project End: 31 December 2020.

## **2.6. Global Expected Results**

35. The expected Global Environmental Benefits generated by the project include the following:

- Strengthened subnational/local government capacities to scale up existing ICM activities,
- Strengthened information dissemination and knowledge-sharing capabilities and enhanced investments in capital (both natural and manmade) assets of a sustainable ocean-based blue economy,
- Increased public and private sector investments in activities that contribute to sustainable development and a blue economy at the regional, national, and local levels. The socioeconomic benefits and gender mainstreaming will serve to strengthen the impacts of the interventions on the governance and management of the seas of East Asia. A mutually reinforcing effect is expected between and among the objectives of improving the environment, optimizing economic benefits, and improving the role of women.

## **3. FINDINGS**

### **3.1. PROJECT DESIGN/FORMULATION**

#### **3.1.1. Theory of Change TOC**

36. The project theory of change TOC (based on the reading of the Project Document and review) premises that change is to build upon the results and fundamental put in place regionally and nationally by the previous UNDP/GEF support to PEMSEA. The project was designed to catalyze political commitment, actions, and investments to achieve SDS-SEA targets put in place for building a sustainable coastal- and ocean-based economy in the East Asian region<sup>9</sup>. The following is a recap and analysis of the strategy for change provided by the project document. It has been further clarified and vet with key respondents and interviewees during the TER evaluation.

37. Based on the rationale and design theory presented by the project document (2014), it was during the Fourth Ministerial Forum held in Changwon, RO Korea (2012), the Governments of Cambodia, PR China, Indonesia, Japan, Lao PDR, the Philippines, RO Korea, Singapore, Timor Leste, and Vietnam adopted the five-year regional Implementation Plan for the SDS-SEA 2011–2016. (Thailand participated as an observer. Actions identified in the SDS-SEA Implementation Plan were prepared within the context of the 6 strategies of the SDS-SEA and their associated objectives, as well as the 4 regional targets agreed on by Country Partners (see below). It consists of five components, namely governance, ICM scaling up, monitoring, evaluation and reporting, capacity development and knowledge management, and sustainable financing.

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<sup>9</sup> Information from ProDoc 2014 and MTR 2018

38. To facilitate the implementation of SDS-SEA at the national level, Country Partners including Cambodia, PR China, Indonesia, Lao PDR, Philippines, Thailand, Timor Leste, and Vietnam have prepared their country-specific implementation plans to parallel the regional SDS-SEA implementation plan. At the project approval date, 2014, China for example had adopted its 5-year implementation plan, while other countries were at different stages of adoption. Table 4 provides details on the updated process of adoption of the 5-year implementation plans in the participating countries of this project.

Table 4. Status (in 2014) of National 5-year SDS-SEA Implementation Plan in participating countries.

COUNTRY	TITLE	STATUS
Cambodia	Five Year Implementation Plan of SDS-SEA in Cambodia (2013–2017)	In the process of adoption
China	China's Framework Plan for SDS-SEA Implementation (2012–2016)	Adopted in 2012
Indonesia	5-year SDS-SEA Implementation Plan	In the process of adoption
Lao PDR	National Water and Water Resources Strategy 2021-2025	In the process of adoption
Philippines	National ICM Program (2012–2016)	In the process of adoption
Thailand	5-year SDS-SEA Implementation Plan	In the process of adoption
Timor Leste	Draft National Oceans Policy (NOP) Implementation Plan	To be completed after adoption of the NOP
Vietnam	National ICM Strategy up to 2020 with Vision to 2030 (Decision No. 2295/QĐ-TTg) approved by the Prime Minister on 17 December 2014 National ICM Action Plan 2016-2020 (Decision No. 914/QĐ-TTg) approved by the Prime Minister on 27 May 2016).	Adopted in 2014 Adopted in 2016

39. The current project was thus to support **implementing the SDS-SEA** and is contributing to its four major targets highlighted below. In this way, the new project would continue to 'build capacity' while doing through PEMSEA PRF.

40. Key expected actions under each of the project components linked to the 2012-2016 SDS-SEA Implementation Plan are summarized in Table 5.

Table 5. Key actions of Regional SDS-SEA Implementation Plan (2012-2016).

COMPONENTS	SDS-SEA TARGETS	ACTIONS
1. National and regional governance	Target 1	Complete the transformation of PEMSEA into a self-sustaining regional governance mechanism
	Target 2	Achieve coastal and ocean policy
	Target 3	Maximize local government capacity

COMPONENTS	SDS-SEA TARGETS	ACTIONS
2. ICM scaling up to cover at least 20% of the region's coastlines		Realize climate change adaptation (CCA) and disaster risk reduction (DRR) measures in vulnerable coastal areas through ICM programs
		Integrated sustainable use of coastal and marine ecosystem services into ICM programs in biodiversity and fishery hotspots
		Advance water supply conservation and management, pollution reduction, and waste management through ICM programs in priority coastal and watershed areas
3. Monitoring, evaluation, and reporting	Target 4	Implement integrated environmental monitoring to strengthen knowledge and understanding of ecosystems and their management from "ridge to reef"
		Apply the State of Coasts reporting system
4. Capacity development and knowledge management	Enabling	Establish accredited ICM and special skills training courses and programs
		Enable ICM Learning Center, National, and Regional Centers of Excellence and educational institutions to train, educate, and build awareness in coastal and ocean management
5. Sustainable financing	Enabling	Build a knowledge platform and support network to facilitate scientifically sound decisions and investments in sustaining ecosystem services
		Increase public and private sector investments in enterprises, technologies, practices, and services that contribute to a sustainable ocean-based economy
		Mobilize donors, domestic and foreign investors, and other concessional sources of funding to help address program gaps in means and capacity
6. National and regional governance	Target 1	Complete the transformation of PEMSEA into a self-sustaining regional governance mechanism
	Target 2	Achieve coastal and ocean policy
7. ICM scaling up to cover at least 20% of the region's coastlines	Target 3	Maximize local government capacity
		Realize climate change adaptation (CCA) and disaster risk reduction (DRR) measures in vulnerable coastal areas through ICM programs
		Integrate sustainable use of coastal and marine ecosystem services into ICM programs in biodiversity and fishery hotspots
		Advance water supply conservation and management and pollution reduction and waste management through ICM programs in priority coastal and watershed areas
8. Monitoring, evaluation, and reporting	Target 4	Implement integrated environmental monitoring to strengthen knowledge and understanding of ecosystems and their management from "ridge to reef"
		Apply the State of Coasts reporting system
9. Capacity development and knowledge management	Enabling	Establish accredited ICM and special skills training courses and programs

COMPONENTS	SDS-SEA TARGETS	ACTIONS
		Enable ICM Learning Center, National and Regional Centers of Excellence, and educational institutions to train, educate, and build awareness in coastal and ocean management
10. Sustainable financing	Enabling	Build a knowledge platform and support network to facilitate scientifically sound decisions and investments in sustaining ecosystem services
		Increase public and private sector investments in enterprises, technologies, practices, and services that contribute to a sustainable ocean-based economy
		Mobilize donors, domestic and foreign investors, and other concessional sources of funding to help address program gaps in means and capacity

41. Historically in 2012, UNDP GEF PEMSEA reviewed the progress, projects, and initiatives undertaken by countries of the region, non-country Partners of PEMSEA, and regional organizations and programs that contributed to the SDS-SEA objectives and action programs since 2003.<sup>10</sup> Specifically, the document reviewed the current status of the regional coordinating mechanism, national coastal and ocean policy development, and ICM program implementation across the region. The results of the assessment of progress and how this project would help in achieving the four targets are below:

***COMPONENT ONE OF PHASE FOUR IS CONTRIBUTING TO TARGET ONE (REGIONAL MECHANISM)***

***Target 1: A self-sustained regional partnership mechanism for the implementation of SDS-SEA***

42. Eight countries (Cambodia, DPR Korea, PR China, Indonesia, Lao PDR, Philippines, RO Korea, and Timor Leste) signed the Agreement recognizing the PEMSEA Legal Personality in 2009. Also, an assessment of all GEF-supported regional and subregional projects in the East Asian Seas region, conducted in 2010, concluded that PEMSEA and the SDS-SEA, respectively, provide the strongest regional mechanism and framework for coastal and marine management in the East Asian Seas region.<sup>11</sup>

***COMPONENT ONE, OUTCOME 2 IS CONTRIBUTING TO TARGET 2 (National ocean policies, legislation and institutional arrangement)***

***Target 2: National coastal and ocean policies and supporting institutional arrangements in place in at least 70% of Partner Countries***

43. Countries had shown considerable progress in formulating and initiating national action plans for sustainable coastal development. Since 2003, nine (9) of the 12 PEMSEA Country Partners have initiated the development and/or are now in process of adopting and implementing respective national coastal and ocean policies and strategies.

<sup>10</sup> ProDoc -Regional Review: Implementation of the Sustainable Development Strategy for the Seas of East Asia (SDS-SEA 2003-2011; July 2012).

<sup>11</sup> East Asian Seas Stocktaking Meeting Chair's Summary, Manila, Philippines, 28-29 October 2010

44. In addition to coastal and ocean policy, various sectoral policies had been developed and adopted by governments of the region. They support the objectives of the SDS-SEA, covering the following:

- i. Environmental management and protection,
- ii. Hazards (e.g., disaster risk reduction, climate change, oil spills, etc.),
- iii. Biodiversity conservation and sustainable use,
- iv. Fisheries management,
- v. Water resources management,
- vi. Pollution reduction.

**Component 2, Outcomes 4-8 are contributing to this target**

***Target 3: ICM programs for sustainable development of coastal and marine areas and climate change adaptation covering at least 20% of the region's coastline***

45. Countries are progressing towards Target 3, with ICM programs covering approximately 12% of the region's 234,000 km coastline<sup>12</sup>. To facilitate the development, implementation, and replication of ICM programs, PEMSEA enhanced its capacity development programs to support the demands of the countries for skilled human resources, tools, and instruments and services. Between 2003 and 2011, PEMSEA conducted 84 training and workshop activities involving 2,311 participants in 10 Partner Countries. In 2012, an additional 600 individuals received specialized training. Major regional training workshops covered a wide number of topics including a) ICM development and implementation, b) ICM training of trainers, c) project proposal development, d) project management (including financial management), e) oil spill preparedness and response, f) planning, implementation, and enforcement of land and sea use zoning, g) tourism zone development, h) shoreline assessment and oil spill clean-up, i) total maximum daily pollutant loading, j) sustainable fisheries management, k) port safety, health, and environmental management, l) port auditing, m) integrated information management systems (IIMS), and n) SOC reporting.

**COMPONENT 3, OUTCOME 9 (SOC REPORTING, ENVIRONMENTAL MONITORING, ETC.) CONTRIBUTES TO THIS TARGET.**

***Target 4: A report on the progress of the ICM programs every three years, including measures taken for climate change adaptation.***

46. ***At the time of this project approval (2014),*** the Guidebook for the State of the Coasts (SOC) Reporting (for local governments implementing ICM in the East Asian Seas region) had been approved by the EAS Partnership Council (July 2011), for the purpose of consolidating information coming from administrative, social, economic and environmental sectors, including: a) establishing baseline conditions in a coastal area prior to the start-up of an ICM program, b) assessing progress, achievements and shortcomings of on-going ICM programs, and adjusting to changing conditions regarding various governance, social, economic and environmental changes or issues, and c) developing recommendations for continual improvement of ICM programs by Local Chief Executives/local governments. The PEMSEA Network of Local Governments for Sustainable Coastal Development also adopted the State of Coasts

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<sup>12</sup> Lengths of coastlines vary by source.

reporting system in July 2011 through the **Dongying Declaration on Building a ‘Blue Economy’ through Integrated Coastal Management**. The Declaration committed the Network to apply the SOC reporting system to 100 percent of its members by 2015, to identify and validate social, economic and environmental status and changes in coastal and marine areas, and measure progress and impacts of ICM implementation among local governments of the region. Through this fourth phase many project sites have initiated and finished their respective SOC reports. (For updates on these expected results- see results section below).

47. The project was thus designed upon a basic premise that the coastal and marine ecosystems of the EAS region are central to the development of the economies of the countries that share its resources.

48. TER took note that the project theory of change was posited on a renewed focus on the “blue economy” models, tools, and methods. During the TER evolution, key country stakeholders interviewed during the TER say work on blue economy is much appreciated and a key area for further policy and operational level work and conformity.

49. Finally, the project would also focus support the impacts of climate variability and change that were found to be increasingly felt around the region with programmes needed to address these types of natural occurrences within a comprehensive, strategic regional framework since these are shared problems that require shared responses and solutions. During TER (PSC meeting) countries appreciated the work on climate change and expressed interest to learn from each other more in this area.

### **3.1.2. LFA/Results Framework (Project logic /strategy; Indicators)**

50. While the project strategy and design framework were coherent and stakeholder say had an excellent baseline assessment i.e. SAP Implementation and capacity building, the project results framework was comprehensive and complex to monitor according to stakeholders, with 17 multifaceted indicators having a cumulative total of 35 end-of-project targets, 6 at the objective level, and 29 among the 10 project outcomes distributed across regional, subregional, national, and local dimensions. A total of 41 outputs are listed across the 10 project outcomes, each with targets. The choice of indicators (per ProDoc), were developed based on two key criteria: their pertinence to the design assumptions listed in ProDoc and reiterated below, the feasibility of obtaining/producing and updating the data necessary to monitor and evaluate the project through those indicators.

51. Stakeholders interviewed about design were very pleased with the overall coverage and of the design of the knowledge management and cross cutting work. Needs were however put forth for a more robust national institutional implementation and monitoring arrangement with policy level results and institutional coordination that was beyond the ministries of environment and lining to the productive sectors and ministries linked to finance and budget. The stakeholders interview largely contain that the M&E at country level was not discussed in detail in the project document and was left to the country focal agency to lead as part of the implementation on the ground including preparing work plan, and coordination with the sub-national government to establish and implement activities at the ICM pilot sites. The national level support plan needs to be made clear in future project documents for consistent monitoring. Much work was about showcasing the blue economy policy and coordination and this is inherently cross sectoral work.

52. As a general observation, the MTR team for example noted (TE agree) that, for many of the outcomes, the relationship between the indicators and targets were unclear due to the way the SRF was constructed. The project indicators contained in Section II/Part II (Strategic Results Framework) ProDoc were impact (or “objective”) indicators and outcome (or “performance”) indicators, and all designed “SMART.”<sup>13</sup> The project document stipulated the use of adaptive management and stated it would need to further develop and/or refine a certain number of process-oriented indicators to support ongoing site-based M&E and SOC reporting processes. The TE noted that during the inception period, the management did not make any significant changes in the indicator framework. The indicators were reviewed and suggestion for corrections were made at MTR in 2018. Generally, the MTR recognized the targets were overambitious for the project timeframe. These changes are outlined in the adaptive management section.

### 3.1.3. Assumptions

53. The project strategy makes the following underlying assumptions:

- Baseline conditions in the selected areas can be extrapolated with high confidence to other regional seas, and lessons learned can be successfully disseminated.
- Increased awareness and capacity will lead to a change of behavior in addressing the threats to sustainable coastal and marine management.
- ICM/IRBCAM will gradually become a national priority for stakeholders in the EAS region as knowledge and information are made available.

54. The key assumptions underlying the project concept are based on previous project engagement, especially the guidance provided by the EAS Partnership Council, which formulates programs and operational policy for the SDS-SEA. Throughout this implementation period in a diverse and dynamic region, several of the project key assumptions however have been challenged. For example, raising awareness and capacity and making knowledge and information available does not necessarily result in changes in behavior or national priorities. Based on the TER, this is a continuous process and requires time as well as targeted policy advocacy work and showcasing the national institutional arrangements for coordination at two levels.

55. Another key **assumption** was concerned with the term ‘transformational scale-up’ and one that assumes continuous flow of resources and sustainability for core operations by end. The ProDoc says the proposed GEF funds and technical support would cover the transformation period, into a self-sustaining, long-term regional facility with its legal personality. At the time of ProDoc approval and design, the strategy did not focus on binding agreement and constant contributions. Now while a sustainable regional mechanism for the implementation of the SDS-SEA has been firmly put in place with a hosting agreement, PRF is still receiving “voluntary” contributions<sup>14</sup>. Stakeholder say while there has been

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<sup>13</sup> Specific, Measurable, Achievable, Relevant, and Time-bound.

<sup>14</sup> In fact actually legislated/ earmarked in annual budget allocations in Japan, Philippines (support to PC/EC meetings), Timor Leste and ROKorea

progress there is work to do on securing PEMSEA's operational business model. The Secretariat is operating on a modest budget from members for core operations.

#### **3.1.4. Lessons from other relevant projects incorporated into project design**

56. According to the Project Document, the project was designed to contribute to the approved GEF/UNDP regional program entitled, "Reducing Pollution and Rebuilding Degraded Marine Resources in the East Asian Seas through Implementation of Intergovernmental Agreements and Catalyzed Investments". This project would thus be a vehicle for facilitating and channelling collaborative planning, learning experiences and good practices in sustainable development of marine and coastal areas, reducing the impacts of climate variability and change, and building an ocean-based blue economy through scientifically sound investments at the national and local levels.

57. According to the ProDoc, it was intended to harmonize the planned outcomes with two other LME and sub regional sea-based projects identified under the GEF/UNDP program, as follows: the Implementation of the Yellow Sea LME Strategic Action Programme for Adaptive Ecosystem-Based Management; and Sustainable Management of Highly Migratory Fish Stocks in the West Pacific and East Asian Seas.

58. The project document points out the project plan was to complement five investment and knowledge sharing projects implemented under the approved WB/GEF program on Scaling Up Partnership Investments for Sustainable Development of the Large Marine Ecosystems of East Asia and their Coasts, as well as other related GEF, UNDP and World Bank projects in the East Asian Seas and Western/Central Pacific regions. The project sought to complement the ongoing activities of the countries, UNDP, UNEP, the World Bank, the Asian Development Bank, and bilateral projects aimed at similar objectives. The project was also viewed to fit programmatically with existing and proposed GEF projects in the region including the Yellow Sea LME Project; CTI Arafura, and Timor Seas Ecosystem Action Program (ATSEA) under the Coral Triangle Initiative; CTI Coastal and Marine Resources Management in the Coral Triangle; Southeast Asia under Coral Triangle Initiative; CTI Sulu-Celebes Sea Sustainable Fisheries Management Project (SCS); Hai River Basin Marine Pollution Reduction (China); Coral Reef Rehabilitation and Management Project Phase II (COREMAP III) (Indonesia); Bay of Bengal LME Project (Indonesia); Integrated Coastal Resources Management Project (Philippines); Marine Electronic Highway Demonstration Project (Straits of Malacca); Fifth Operational Phase of GEF Small Grants Program (Regional GEF/UNDP).

59. The SDS-SEA project has established linkages with the other projects through engagement in the: a) development of the Regional SOC and National SOC reports; b) co-organization of training workshops; c) knowledge sharing and joint publication of policy documents and technical reports; d) collaborative planning to identify synergies and complementation; e) participation in Project Steering Committee meetings, and f) co-organization of EAS Congress events.



### 3.1.5. Planned (and actual) stakeholder participation

60. The MTR 2018 reiterated and updated, in project implementation section, the Project Documents stakeholder list. This original list is provided in Table 3 while **Annex 4** shows the list of actual stakeholders involved in project implementation. Included as key stakeholders as partners, are a large number (38) of nongovernment partners supporting the implementation of the SDS-SEA program, providing expert advice and technical assistance on coastal policy, legislation, and institutional arrangements; water resource conservation, pollution reduction, and waste management; climate change adaptation and disaster risk reduction; habitat and fisheries management; MPA/MPA networking; biodiversity conservation; and alternative livelihood development and sustainability.

61. In fact, MOAs were established with each partner detailing the terms of the partnership, areas of collaboration, and roles and responsibilities. Similarly, MOAs have been signed with national agencies and local governments for the implementation of ICM projects and activities within their jurisdiction and areas of competence. Tables 6 and 7 provide the list of signed MOAs with country, ICM sites and ICM Learning Center and noncountry partners, respectively.

Table 6. List of MOAs signed with National Focal Agencies, Local Governments and ICM Learning Centers.

TITLE OF MOA	SIGNATORIES	DATE SIGNED
<b>CAMBODIA</b>		
Memorandum of Agreement on Scaling Up the Implementation of the SDS SEA in Cambodia (2014-2019)	<ul style="list-style-type: none"> <li>Ministry of Environment Cambodia (Mr. Long Rithirak, Deputy Director General, MOE)</li> <li>PEMSEA (Mr. Stephen Adrian Ross, Executive Director, PRF)</li> </ul>	May 7, 2015
Memorandum of Agreement on Scaling Up the Implementation of the SDS SEA in Kampot Province (2014-2019)	<ul style="list-style-type: none"> <li>Ministry of Environment Cambodia (Mr. Long Rithirak, DDG, MOE)</li> <li>Provincial Government of Kampot (H.E. Saut Yea, Deputy Governor, Kampot Province)</li> <li>PEMSEA (Mr. Stephen Adrian Ross, ED, PRF)</li> </ul>	May 7, 2015
Memorandum of Agreement on Scaling Up the Implementation of the SDS SEA in Kep Province (2014-2019)	<ul style="list-style-type: none"> <li>Ministry of Environment Cambodia (Mr. Long Rithirak, DDG, MOE)</li> <li>Provincial Government of Kep (H.E. Ken Satha, Governor, Kep Province)</li> <li>PEMSEA (Mr. Stephen Adrian Ross, ED, PRF)</li> </ul>	May 7, 2015
Memorandum of Agreement on Scaling Up the Implementation of the SDS SEA in Preah Sihanouk Province (2014-2019)	<ul style="list-style-type: none"> <li>Ministry of Environment Cambodia (Mr. Long Rithirak, DDG, MOE)</li> <li>Provincial Government of Preah Sihanouk (H.E. Chhit Sokhon, Governor, Preah Sihanouk Province)</li> <li>PEMSEA (Mr. Stephen Adrian Ross, ED, PRF)</li> </ul>	May 7, 2015
Memorandum of Agreement on Scaling Up the Implementation of	<ul style="list-style-type: none"> <li>Provincial Government of Koh Kong (Governor, Koh Kong Province)</li> </ul>	March 17, 2016

the SDS SEA in Koh Kong Province (2014-2019)	<ul style="list-style-type: none"> <li>Ministry of Environment Cambodia (Mr. Long Rithirak, DDG, MOE)</li> <li>PEMSEA (Mr. Stephen Adrian Ross, ED, PRF)</li> </ul>	
<b>CHINA</b>		
Memorandum of Agreement on Scaling Up Implementation of SDS-SEA in the People's Republic of China (2014-2018)	<ul style="list-style-type: none"> <li>State Oceanic Administration (Dr. Zhang Haiwen, Director General of Department of International Cooperation)</li> <li>PEMSEA (Mr. Stephen Adrian Ross, ED, PRF)</li> </ul>	December 9, 2014
Memorandum of Agreement on Facilitating Access to Education Opportunities under the Patronage of Marine Scholarship of China by PEMSEA Country Partners in Support of Achieving Strategic Targets of Danang Compact	<ul style="list-style-type: none"> <li>State Oceanic Administration (Dr. Zhang Haiwen, Director General of Department of International Cooperation)</li> <li>PEMSEA (Mr. Stephen Adrian Ross, ED, PRF)</li> </ul>	July 14, 2016
Memorandum of Understanding on the Implementation of SAP of YSLME and SDS-SEA of PEMSEA	<ul style="list-style-type: none"> <li>UNDP China (Devanand Ramiya, Resident Representative)</li> <li>PEMSEA (Ms. Aimee Gonzales, ED, PRF)</li> </ul>	August 28, 2020
Memorandum of Agreement on Cooperating with and Supporting the Pemsea Resource Facility to Facilitate the Implementation of the Sustainable Development Strategy of the Seas of East Asia (SDS-SEA)	<ul style="list-style-type: none"> <li>China PEMSEA Center (Dr. Qiao Fangli, Director)</li> <li>PEMSEA (Ms. Aimee Gnzales, ED, PRF)</li> </ul>	December 28, 2020
Memorandum of Agreement on the Continuation of China-PEMSEA Sustainable Coastal Management Cooperation Center	<ul style="list-style-type: none"> <li>Ministry of Natural Resources (Dr. Zhang Zhanhai, Director General of Department of International Cooperation)</li> <li>PEMSEA (Ms. Aimee Gonzales, ED, PRF)</li> </ul>	December 29, 2020
<b>INDONESIA</b>		
Memorandum of Understanding on the Scaling Up of the Implementation of the SDS SEA in Indonesia (2015-2019)	<ul style="list-style-type: none"> <li>The Government of the Republic of Indonesia, represented by the Ministry of Environment and Forestry (Mr. M.R. Karliansyah, Director General for Environmental Pollution and Degradation Control, MOEF)</li> <li>PEMSEA (Mr. Stephen Adrian Ross, Executive Director, PRF)</li> </ul>	November 25, 2015
Amendment to the Memorandum of Understanding on the Scaling Up of the Implementation of the SDS SEA in Indonesia (2015-2019)	<ul style="list-style-type: none"> <li>The Government of the Republic of Indonesia, represented by the Ministry of Environment and Forestry (Mr. M.R. Karliansyah, Director General for Environmental Pollution and Degradation Control, MOEF)</li> <li>PEMSEA (Mr. Stephen Adrian Ross, Executive Director, PRF)</li> </ul>	December 1, 2016

LAO PDR		
Memorandum of Agreement on Scaling Up the Implementation of the SDS SEA in Lao PDR (2015-2019)	<ul style="list-style-type: none"> <li>Department of Water Resources, Ministry of Natural Resources and Environment (Mr. Chanthanet Boulapha, Director General, DWR)</li> <li>Provincial Department of Natural Resources and Environment, Provincial Government of Champasack (Mr. Bounkham Phothisan, Deputy Director General, PONRE)</li> <li>Provincial Department of Natural Resources and Environment, Provincial Government of Saravane (Mr. Ounheun Leusisamout, DDG, PONRE)</li> <li>Provincial Department of Natural Resources and Environment, Provincial Government of Sekong (Mr. Bounlith Sackbuavong, DDG, PONRE)</li> <li>PEMSEA (Mr. Stephen Adrian Ross, ED, PRF)</li> </ul>	March 26, 2015
Memorandum of Agreement on Scaling Up the Implementation of the SDS SEA in Lao PDR (2015-2019)	<ul style="list-style-type: none"> <li>Department of Water Resources, Ministry of Natural Resources and Environment (Mr. Chanthanet Boulapha, DG, DWR)</li> <li>PEMSEA (Mr. Stephen Adrian Ross, ED, PRF)</li> </ul>	July 21, 2017
PHILIPPINES		
Memorandum of Agreement on Scaling Up the Implementation of the SDS SEA in the Philippines (2015-2019)	<ul style="list-style-type: none"> <li>Government of the Republic of the Philippines, Department of Environment and Natural Resources (Atty. Analiza Rebueta-Teh, Undersecretary, DENR)</li> <li>PEMSEA (Mr. Stephen Adrian Ross, ED, PRF)</li> </ul>	October 15, 2015
Memorandum of Agreement on the Scaling Up the Implementation of ICM in the Province of Cavite (2015-2019)	<ul style="list-style-type: none"> <li>Provincial Government of Cavite (Mr. Juan Victor Remulla, Governor)</li> <li>Cavite State University (Dr. Divinia Chavez, President)</li> <li>PEMSEA (Stephen Adrian Ross, ED, PRF)</li> </ul>	5 October 2015
Memorandum of Agreement on the Strengthening ICM Implementation in Guimaras Province in Support of the SDS-SEA (October 2016-December 2018)	<ul style="list-style-type: none"> <li>Provincial Government of Guimaras (Dr. Samuel Gumarin, Governor)</li> <li>PEMSEA (Mr. Adrian Ross, ED, PRF)</li> </ul>	November 22, 2016
Memorandum of Agreement on Scaling up the Implementation of ICM in Macajalar Bay (2016-2019)	<ul style="list-style-type: none"> <li>Macajalar Bay Development Alliance (Ms. Maria Abogado, Chairperson, MBDA)</li> <li>Department of Environment and Natural Resources Region 10 (Ms. Ruth Tawantawan, Regional Director)</li> <li>Department of Agriculture-Bureau of Fisheries and Aquatic Resources Region 10 (Dr. Visa Tan Dimerin, Regional Director)</li> <li>PEMSEA (Mr. Stephen Adrian Ross, ED, PRF)</li> </ul>	December 10, 2016

Memorandum of Agreement on the Strengthening ICM Implementation in Oriental Mindoro Province in Support of the SDS-SEA (December 2016-December 2018)	<ul style="list-style-type: none"> <li>Provincial Government of Oriental Mindoro (Mr. Alfredo Umali, Governor)</li> <li>PEMSEA (Mr. Stephen Adrian Ross, ED, PRF)</li> </ul>	December 18, 2016
Memorandum of Agreement on the Strengthening ICM Implementation in Romblon province in Support of the SDS-SEA (December 2016-December 2018)	<ul style="list-style-type: none"> <li>Provincial Government of Romblon (Dr. Eduardo Firmalo, Governor)</li> <li>PEMSEA (Mr. Stephen Adrian Ross, ED, PRF)</li> </ul>	December 2, 2016
Memorandum of Agreement on Supporting the Implementation of the Sasmuan Bangkung Malapad Critical Habitat and Ecotourism Area Management Plan and the Wider Sasmuan Pampanga Coastal Wetlands (August – November 2020)	<ul style="list-style-type: none"> <li>Pampanga State Agricultural University (Dr. Honorio M. Soriano, Jr., President, PSAU)</li> <li>Municipal Government of Sasmuan (Mr. Nardo M. Velasco, Mayor, Municipality of Sasmuan)</li> <li>PEMSEA (Ms. Aimee Gonzales, ED, PRF)</li> </ul>	September 9, 2020
Memorandum of Agreement on Supporting the Implementation of the Sasmuan Bangkung Malapad Critical Habitat and Ecotourism Area Management Plan and the Wider Sasmuan Pampanga Coastal Wetlands (August – November 2020)	<ul style="list-style-type: none"> <li>Angeles University Foundation (Dr. Joseph E.L. Angeles, President, AUF)</li> <li>Municipal Government of Sasmuan (Mr. Nardo M. Velasco, Mayor, Municipality of Sasmuan)</li> <li>PEMSEA (Ms. Aimee Gonzales, ED, PRF)</li> </ul>	September 9, 2020
Memorandum of Agreement on Supporting the Implementation of the Sasmuan Bangkung Malapad Critical Habitat and Ecotourism Area Management Plan and the Wider Sasmuan Pampanga Coastal Wetlands (August – November 2020)	<ul style="list-style-type: none"> <li>Municipal Government of Sasmuan (Mr. Nardo M. Velasco, Mayor, Municipality of Sasmuan)</li> <li>Department of Environment and Natural Resources – Regional Office III (Engr. Paquito T. Moreno, Jr., CESO III, Regional Executive Director, DENR R3)</li> <li>PEMSEA (Ms. Aimee Gonzales, ED, PRF)</li> </ul>	November 11, 2020
<b>THAILAND</b>		
Memorandum of Agreement on Scaling Up the Implementation of the SDS SEA in Thailand (2015-2019)	<ul style="list-style-type: none"> <li>Ministry of Natural Resources and Environment, The Kingdom of Thailand (Mr. Wijarn Simachaya, Permanent Secretary, MoNRE)</li> <li>PEMSEA (Mr. Stephen Adrian Ross, Executive Director, PRF)</li> </ul>	July 11, 2017
<b>TIMOR LESTE</b>		
Memorandum of Agreement on Scaling Up the Implementation of the SDS SEA in Timor Leste (2015-2019)	<ul style="list-style-type: none"> <li>The Government of Timor Leste, Ministry of Agriculture and Fisheries (Eng. Lourenco Borges Fontes, Director General, Cooperation Services, MAF)</li> <li>PEMSEA (Mr. Stephen Adrian Ross, Executive Director, PRF)</li> </ul>	February 27, 2015

VIETNAM		
Memorandum of Agreement on the Scaling up the Implementation of the SDS-SEA in the Socialist Republic of Vietnam (2015-2019)	<ul style="list-style-type: none"> <li>The Government of the Socialist Republic of Vietnam through the Ministry of Natural Resources and Environment and Vietnam Administration of Seas and Islands and the Provincial People's Committee of 14 priority provinces (Dr. Vu Si Tuan, Deputy Director General, VASI)</li> <li>PEMSEA (Mr. Stephen Adrian Ross, ED, PRF)</li> </ul>	March 10, 2016
ICM LEARNING CENTERS		
Memorandum of Agreement on Capacity Building for ICM	<ul style="list-style-type: none"> <li>National University of Timor Leste (r. Aurelio Guterres, Rector)</li> <li>PEMSEA (Mr. Sephen Adrian Ross, ED, PRF)</li> </ul>	November 6, 2015
Memorandum of Agreement on Capacity Building for ICM	<ul style="list-style-type: none"> <li>Zhejiang University (Prof. Zhu Shiqiang, Assistant President)</li> <li>PEMSEA (Stephen Adrian Ross, ED, PRF)</li> </ul>	November 18, 2015
Memorandum of Agreement on Capacity Building for ICM	<ul style="list-style-type: none"> <li>Burapha University (Prof. Sompol Phongthai Acting President)</li> <li>PEMSEA (Mr. Stephen Adrian Ross, ED, PRF)</li> </ul>	November 18, 2015
Memorandum of Agreement on Capacity Building for ICM	<ul style="list-style-type: none"> <li>Prince of Songkla University (Assoc. Prof. Wilaiwan Chotigeat, Dean of the Faculty of Science)</li> <li>PEMSEA (Mr. Stephen Adrian Ross, ED, PRF)</li> </ul>	18 November 2015
Memorandum of Agreement on Capacity Building for ICM	<ul style="list-style-type: none"> <li>University of Timor Leste (Dr. Roberto Seixas, Rector)</li> <li>PEMSEA (Mr. Stephen Adrian Ross, ED, PRF)</li> </ul>	18 November 2015
Memorandum of Agreement on Capacity Building for ICM	<ul style="list-style-type: none"> <li>Udayana University (K.G. Dharma Putra, Director for Sustainable Development)</li> <li>PEMSEA (Mr. Stephen Adrian Ross, ED, PRF)</li> </ul>	1 June 2017
Memorandum of Agreement on Capacity Building for ICM	<ul style="list-style-type: none"> <li>Diponegoro University (Prof. Dr. Ir. Agus Sabdono, Dean of Faculty of Fisheries and Marine Sciences)</li> <li>PEMSEA (Mr. Stephen Adrian Ross, ED, PRF)</li> </ul>	29 November 2017
Memorandum of Understanding on the Establishment of COMI as PEMSEA RCoE	<ul style="list-style-type: none"> <li>Coastal and Ocean Management Institute, Xiamen University (Dr. Qingshun Li, Director)</li> <li>PEMSEA (Ms. Aimee Gonzales, ED, PRF)</li> </ul>	26 August 2020

## 62. GENERAL COOPERATION/PARTNERSHIP AGREEMENTS WITH OTHER REGIONAL PARTNERS ON SDS-SEA IMPLEMENTATION (WITH MOA, MOU, or LOC)

Table 7. List of noncountry partners with cooperation/partnership agreements.

NO	EVENT TITLE	KEY PARTNERS	COVERAGE DATE
1	Cooperation for the Sustainable Development and Management of Marine and Coastal Environment of the Seas of East Asia	International EMECS Center	2020–(not identified)
2		IOI	2020–2025

NO	EVENT TITLE	KEY PARTNERS	COVERAGE DATE
3	Implementation of mutually agreed activities on sustainable development and management of marine and coastal environment with a special focus on knowledge sharing and capacity building	MABIK	2017–2020
4	Establishment of IPECA as PEMSEA Non-Country Partner	IPECA	2016
5	Cooperation on national and local capacity building for achieving the Aichi Biodiversity Targets and UN Sustainable Development Goals (SDGs); information exchange and knowledge transfer among partners and other collaborating organizations; and new projects for the conservation and management of key coastal marine habitats and ecosystems	ASEAN Center for Biodiversity	2018–2021
6	Designation of NIVA as PEMSEA's Non-Country Partner	NIVA	2020–2022
7	Designation of COMU as PEMSEA RCoE	COMI	2020–2022

63. The following represents the key mechanisms enacted during implementation for enhancing stakeholder engagement (project implementation) in line with what was listed /expected by the project document:

- Representation on EAS Partnership Council
- Ministerial Forums, EAS Congress and other special events/exhibitions
- National Coordinating Committees
- Technical Working Groups
- Policy forums
- Expert/scientific advisory groups
- Collaborative/joint initiatives and sub-projects
- PEMSEA Network of Local Governments (PNLG)
- Network of ICM Learning Centers
- Regional Centers of Excellence
- Regional and national task forces
- Corporate Social Responsibility Network
- Other Communities of Practice.

### 3.1.8. GEF additionality (See related findings in section below – Replicability /Scale up)

64. The project document provided the baseline scenario since the adoption of the Sustainable Development Strategy for the Seas of East Asia (SDS-SEA) in 2003. For instance, as cited from the Project document, the East Asian countries had made meaningful progress towards the goals set at the 1992 Earth Summit on Environment and Development (Rio Declarations), especially Chapter 17 of Agenda 21 covering oceans and coasts, the Millennium Development Goals, and the Johannesburg Plan of Implementation of the World Summit for Sustainable Development. And additionally, ProDoc says the GEF alternative scenario was to support for objectives of the GEF/UNDP Program Framework for Reducing Pollution and Rebuilding Degraded Marine Resources in the East Asian Seas through Implementation of Intergovernmental Agreements and Catalyzed Investments for Scaling up Investment Partnerships in East

Asian Seas. By scaling up implementation of the SDS-SEA, these countries are removing barriers and reducing threats to common and interlinked resources that are brought about by growing population pressures, competition over limited resources, and ineffective governance systems. The theory and additionality /replication strategy was thus through time, improved management, conservation, and sustainable use of coastal and marine resources hold promise to alleviate problems related to poverty/inequality of income and opportunity in coastal communities, address transboundary issues, and transfer knowledge, skills, experience, lessons, and good practices developed and acquired through the program within the region as well as other regions in the world that face similar challenges.

65. Per ProDoc 2014, the GEF increment was thus to be a “consolidated and transformative set of actions that will serve as a model for other regions and national and subnational governments at the global level”. ICM serves as a management and governance framework within which well-coordinated, cohesive, scientifically credible, networked sets of actions and support systems hold the potential to generate benefits and equitable access at multiple scales. Notably, the ProDoc also posits that there are over 60 LMEs and linked watersheds/catchment areas around the world that would benefit from sharing of knowledge and exchange of ideas based on the PEMSEA experience. It would be facilitated through a series of knowledge management initiatives, innovative platforms and media.

66. The unique approach was that the cooperation could be achieved in a region where there is marked social/cultural, political, economic, and environmental heterogeneity across the countries.

67. The project has attribution by way of examples of the benefits generated from the project and their contribution to global, national and local SD targets. Targeted good practice examples are provided in the outcome table and the national reports in the Appendix. A few critical examples follow.

68. OCEANS AND COASTAL GOVERNANCE AND MANAGEMENT IS IMPROVED BY WAY OF EXAMPLE OF COOPERATION

- Host Country Agreement ratified by Philippine Senate in 2015
- Cost-Sharing Agreements with China, Japan, RO Korea, and Singapore signed. Funds have been transferred for CY 2020.
- Hosting agreement with the Government of the Philippines renewed and signed in 2017, providing office building and amenities for PRF for 25 years
- Voluntary contribution of Cambodia confirmed and earmarked for the preparations for the 2021 EAS Congress
- Timor Leste’s CSA for 2020 and 2021 submitted to the government for approval
- Indonesia's MOEF is seeking Presidential ratification of PEMSEA’s legal agreement to enable it to enter into a CSA with PRF.
- Vietnam’s VASI is reviewing the draft CSA with PRF.
- Government of Vietnam hosted the 2015 EAS Congress with 812 participants from 21 countries
- Government of the Philippines hosted the 2018 EAS Congress with 928 participants from 19 countries, 14 non-country partners, and 10 regional and international programs/organizations
- Agreements signed with 12 noncountry partners and other collaborators

- MoU between UNDP China and PEMSEA signed in August 2020 for YSLME-PEMSEA cooperation on knowledge management and capacity development
- WPEA Project portal and monitoring system developed and completed by PEMSEA in 2017 through a grant from WCPFC; WCPFC/PEMSEA Report on Sustainable Tuna Fisheries completed
- Regional State of the Coasts (RSOC) Executive Summary launched at the EAS Congress 2018; full RSOC report finalized
- Policy briefs (for fisheries and aquaculture, coastal and marine ecotourism; ports and shipping; marine renewable energy) developed and disseminated at the EAS Congress
- Danang Compact and Iloilo Declaration adopted by Ministers at the 2015 and 2018 Ministerial Forum setting the targets and affirming the country's commitments to sustaining PEMSEA.
- The updated 2015 SDS-SEA adopted at the 2015 Ministerial Forum
- SDS-SEA Implementation Plan 2018–2022 adopted by the EAS Partnership Council
- Mid-term review of the SDS-SEA implementation plan 2018–2022 and development of PEMSEA 2030 Roadmap initiated

### **3.1.9. Linkages between project and other interventions within the sector**

70. Also see history per ProDoc, paragraph 58 above. Also see history per ProDoc, paragraph 58 above.

71. Linkages were generally carried out during the regional and country coordination and learning activities. See **Annex 5** for the list of additional synergistic projects. Regional stakeholders interviewed generally concur that while linkages were made in the course of implementation of activities and expected outputs, more might be done to assess the regional linkages, needs, and value-added to these initiatives in terms of scientific monitoring and capacity development. Many of these linkages were expressed through the regional partnerships and agreements entered into as they were logical towards the expected results. See the list of partnerships in the section on partnerships below. At the national level, in the course of implementing pilots, national reports show that linkages were made as they made sense. See the national reports attached.

### **3.1.10. Management and Oversight Arrangements**

72. The project is being implemented by UNDP as a GEF Implementing Agency. The UNDP Philippines serves as the Principal Project Resident Representative. A Project Cooperation Agreement signed between PRF and the UNDP in September 2014 formalized PRF as the Implementing Partner for the project.

73. Project oversight is provided by the Intergovernmental Session of the EAS Partnership Council, which serves as the Project Steering Committee (PSC) and includes representatives from the eleven PEMSEA Country Partners, UNDP Philippines, and the UNDP/GEF Regional Technical Advisor for Marine, Coastal and Island Ecosystems based at the Regional Bureau for Asia and the Pacific in Bangkok, Thailand. The PSC provides advice, guidance, and facilitation of scientific, technical, financial, and administrative matters related to project implementation.



74. Operational oversight was ensured by UNDP and with strategic technical oversight by the UNDP/GEF Regional Technical Advisor<sup>vi</sup>. As discussed further below, the PSC was said to be instrumental for implementation and for results. It was through this mechanism that UNDP and PRF provided technical advice on work plans, guidance and facilitation of scientific, technical, financial and administrative matters related to project implementation. Operational oversight is ensured by UNDP and strategic oversight by the UNDP/GEF Regional Technical Advisor. This has been consistent. UNDP value-added was noted as an excellent relationship it has with the GEF, the country counterparts and with PEMSEA PRF. The TER participated in the December 2020 PSC meeting to present the results of the TE. In general, the PSC mechanism has been effective in fulfilling its advisory and decision-making role.

75. The PEMSEA Resource Facility PRF was responsible for the coordination of project implementation under the Executive Director, who is the primary responsible authority for the project, including its effective management and delivery of expected outputs and outcomes and accountable for financial management. The relationships between the EAS Partnership Council, the PRF, and the implementation of the SDS-SEA project are shown in the figure below.

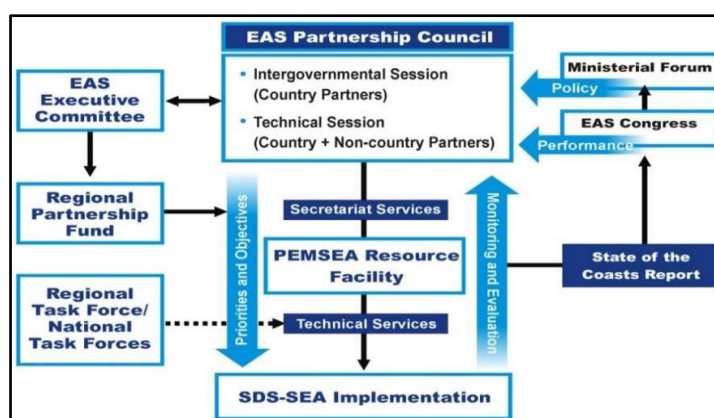


Figure 1. PEMSEA organizational chart

76. These arrangements were assessed during the MTR. There were a few notable changes since the MTR that happened. The project has a full-time Project Manager (new PM was promoted from role of country manager in 2019), and reporting to the Executive Director (notably the former Executive Director who concurrently served as PM was also rotated to full-time senior PM and country manager for China – a major change since MTR) and who manages the implementation of the project and ensures that the project is delivered per the outputs and outcomes listed in the Strategic Results Framework. The 2018 transfer of executive director was reported to have been a smooth process and there was not a significant disruption to implementation as one would expect.

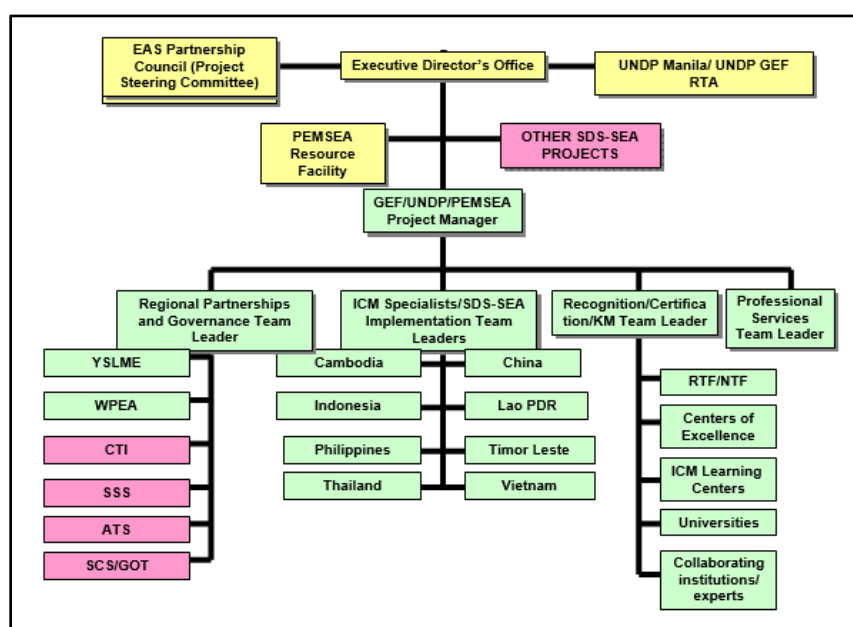
77. Additionally, the following team leaders were in place to support project implementation and report to the Project Manager: a) Regional Partnerships and Governance Team Leader, b) ICM Specialists/SDS-SEA Implementation Team Leader, c) Recognition/Certification/Knowledge Management Team Leader, and d) Professional Services Team Leader. In addition to the project manager, the team comprises three country managers, one capacity development team leader, one certification/knowledge

management team leader, one sustainable management/investment team leader and one junior staff member. Since MTR there was some staff attrition, i.e., business development investments, but the work had continued with contracts. The final list of staff since project inception is included in **Annex 6**.

78. Per Project Document, the structure of the project management team and its reporting lines to the Executive Director and EAS Partnership Council are shown below. This structure generally remained the same.

79. Reportedly the PRF project team met quarterly or as the need arises to assess project and financial delivery. The team held regular planning and review sessions at the beginning of each year, and at mid-term, when two-year work plans and budgets are prepared or updated.

Figure 2. PEMSEA Regional Coordinating Mechanism Organizational Chart (Also see Partnership Section)



## 3.2. PROJECT IMPLEMENTATION

### 3.2.1. Adaptive management

79. Stakeholders interviewed during TER reported that the flexibility inherent in adaptive management has been key towards the results and objectives and particularly those at the regional level, i.e., Securing a host country agreement and the consistency in the EAS and ministerial conference, where substantive decisions have been made, i.e., Danang Compact, Iloilo Declaration.

80. PEMSEA has been operating as a trusted project facilitator and taking actions based on decision made collectively on implementation through the PSC. The institutional arrangements for implementation at national and sub-national level was put in place early on, and expressed good structure at provincial level with management teams (inter-provincial departments) and ICM project team. During

TER however, there was lesson learned on how national level institutional coordination could be improved.

81. Stakeholder say the PRF team has approached the implementation as a ‘strategic partnering’. For instance, for results of such a large scope endeavour, it continued to establish supportive implementation networks of local government and learning centres (see **Annex 7**). This project management addressed the work and issues through partnerships, knowledge sharing, and cooperation and pilots. One criticism in the design is that the components work on knowledge management, results-based monitoring and capacity development were ‘cross cutting’ and the project design in hindsight, could have included a fourth component for better monitoring results. This is a lesson learned.

82. The steering committee was thus an essential mechanism for project adaptive management with decisions on work programme prepared for and commented on before and during these oversight meetings which were normally conducted during the EAS meetings.

83. More recently, during TER for instance, the project management team has had to adapt itself from the beginning of the project to challenging condition, and recently to delays presented by the COVID19 pandemic.

84. The project management team as continually reported as being highly efficient and effective. Stakeholder engagement at local government level was noted by key interviewees as a key strength and internal project communications with stakeholders as excellent. Based on informants reports and in line with the MTR findings, the project teams both national and subnational has proactively taken actions based on their roles and responsibility through task-oriented work for example, conduct of a good base line capacity assessment, targeting site selection, doing field monitoring and follow-up with targeted training and guidance. TER learned that due to the delays in the start-up phase of the project in Indonesia, Thailand and Vietnam and the delays cause by the Covid 19 pandemic, the project management team provided adequate documentation and justification for a project extension arrangement which led to an extension of the project period to 31 December 2020 and this time was essential for reaching the goals of implementation. The COVID-19 pandemic present both a challenge and opportunities for learning about efficiency and online project implementation. The restrictions on gatherings and travel have been difficult, but digital alternatives for meetings through video and phone calls have been utilized to resolve some of these issues.

Table 8 . Implementing key events.

•	Inception meeting (March 2015)
•	PSC meeting (June 2015)
•	MOAs (Cambodia, China, Indonesia, Lao PDR, Philippines, Timor Leste)
•	AWP 2015–2016
•	PSC meeting (July 2016)
•	MOA Vietnam
•	MOA Indonesia amendment
•	Financial audit
•	AWP 2016–2017
•	PSC meeting (July 2017)

•	MOA Thailand
•	MOAs Indonesia and Lao PDR amended
•	Financial audit
•	MTR TOR • AWP 2017–2018
•	MTR 2018- noted 50 percent delivered and issues with timelines for expected results
•	PSC meeting (July 2018)
•	Financial audit
•	MTR results and recommendations
•	AWP 2018–2019
•	PSC meeting (April 2019)
•	Financial audit
•	SRF revisions
•	Budget for Jan–Aug; 2019; 12-month Extension (Sept 2019–Aug 2020)
•	Special PSC Meeting (July 2019)
•	Budget reallocation
•	Project extension (Sept–Dec 2020)
•	AWP Jan– Aug; Jan–Dec 2020
•	Terminal Evaluation
•	PSC meeting (December 2020)
•	Operational closure (December 2020)
•	Changes in project management (Adrian Ross to Nancy Bermas in 2019)

85. The MTR (as illustrative of an adaptive management key point) reviewed the original project framework and targets and provided course correction toward more realistic final results as follows:

- Objective and Outcome Targets: reassess targets for the Objective and follow outcomes to ensure that they are realistic, measurable, and achievable by the end of the project:
- Objective: delete Indicator 2 and related Targets 2–6 since it to be more appropriate as an outcome indicator since it is not considered to be directly related to the stated objective.
- Outcome 1 Review Target 1.3: assess if signing a Partnership Agreement with YSLME is achievable and if not, either delete this reference or consider amending it to “establishing short-term collaborative arrangements with YSLME.”
- Move Target 1.4 to Outcome 9.
- Outcome 4: move Target 4.5 to Outcome 3.
- Outcome 5: amend Target 5.1 to read: “Sustainable fisheries-focused ICM pilot demonstration projects, covering 1,140 km<sup>2</sup> of threatened fishing grounds providing evidence of improved stock management and a reduction in the overall fishing effort using an ecosystem-based approach to reduce overexploitation, with replication of good practices initiated in 4 other threatened fishing grounds.” Consider whether Target 5.2 is an appropriate measure for this indicator.
- Outcome 6: amend Target 6.1 to read: “Pilot integrated river basin and coastal area management demonstration projects completed in priority watershed/coastal areas 25,000 km<sup>2</sup> as identified in Table 16), providing evidence of management strategies

implemented to reduce levels of target pollutants (BOD, nutrients, and pathogens) and water resource conservation and use management.”

- Outcome 7: review Target 7.1 and introduce metrics to provide evidence that it has been achieved, e.g., community awareness-raising meetings held, evacuation routes established, emergency drills conducted.

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

86. As highlighted by the stakeholder engagement section of this report, the project was to be implemented towards results through a “partnering participatory and inclusive” collaborative governance approach. This idea of partnerships was thus embedded in the project design for results and in the implementation in line with GEF and UNDP requirements, thus ensuring maximum stakeholder buy-in to the project objectives and outcomes.

87. Outcome 1 for instance, was centered on supporting PEMSEA’s governance through building partnerships for regional oceans and coastal government and implementation of the PEMSEA strategic action plan SAP. The status of these results is provided in the outcome table above, section on results findings below and in attached annexes. A key project feature as noted by interviews during TER was the strength of the partnering relationships between the PRF and the project stakeholders. Interviewees at the regional and national level reported that the relationships have been well established in earlier phases and, as follow-on projects, have been leveraged through a well-developed stakeholder involvement plan (also see MTR 2018).

88. *At the regional Level: Cooperation facilitated through the EAS Partnership Council.* The main partnership agreement with ministers and key partners is the Haikou Partnership Agreement signed during the Ministerial Forum of the 2006 East Asian Seas Congress. This includes a partnership operating arrangement that spells out the roles and responsibilities of the country and non-country partners in implementing the SDS-SEA. This agreement also had formally established PEMSEA as the regional coordinating mechanism for implementing the SDS-SEA. The current work program of PEMSEA is under the SDSSEA implementation plan 2018–2022. It is working on implementing the Sustainable Development Strategy of the Seas of South East Asia-Putrajaya agreement. The strategy is linked to five SDG goals directly, including 14, 6, 13, 11, and 17.

89. The regional framework for cooperation is linked to the strategic action plan SAP and the declaration of commitment to implement a shared vision adopted by 14 countries. The common view is that this is anchored on the principle of sustainable development: balancing social progress, economic development, and environmental protection. Participatory governance is involved in integrated planning to address a range of issues and concerns that affect sustainable development. It allows regular monitoring and reporting to keep things focused: “what gets measured, gets done” (from a PowerPoint presentation of the project’s background). SDS-SEA 2015 incorporates new and emerging priorities at the global level, e.g., SDGs, Aichi Biodiversity Targets, Sendai Framework, UNFCCC, and Paris Agreement. It advances the role of partnerships and innovative financing as a means of achieving sustainable development and blue economy objectives through the application of ICM approaches. PEMSEA’s R & D Agenda is in line with the UN Decade of Ocean Science. Regionally, the governance concentrates on

addressing policy and management interventions targeting priority transboundary issues among countries of the EAS region.

90. Nationally, the goals are developing and operationalizing national ocean policy, harmonizing national legislation in support of integrated management of coasts and oceans, and building/strengthening institutional mechanisms. Additionally, national partnership building was through National Coordinating Mechanisms. At the national level the project is implemented with country Project Focal Agencies as follows:

- Cambodia Ministry of Environment
- PR China Ministry of Natural Resources/China-PEMSEA Center
- Indonesia Ministry of Environment and Forestry
- Lao PDR Department of Water Resources of the Ministry of Natural Resources and Environment
- Philippines Department of Environment and Natural Resources
- Thailand Department of Marine and Coastal Resources of the Ministry of Natural Resources and Environment
- Timor Leste Ministry of Agriculture and Fisheries
- Vietnam Administration of Seas and Islands of the Ministry of Natural Resources and Environment

91. ***At the subnational Level: Provincial/Municipal/City/Regency Coordinating Committees.*** Per ProDoc, and MTR and TER, a key project strength has been the direct involvement of local governments, reinforced through the work of the PEMSEA Network of Local Governments with over 50 members across 10 countries (see Table 9). TER stakeholders interviewed made note of excellent relationships between local government partners and their respective country managers. It became evident through TER that the bottom-up approach to ICM has led to raised awareness of coastal resource management issues and a strong sense of ownership at the local level. Concrete examples of local government collaboration are provided by the eight national TERs in the AppendixA.

Table 9. Local government members of the PNLG.

COUNTRY	LOCAL GOVERNMENT
Cambodia	(4) Kampot, Kep, Koh Kong, Sihanoukville
China	(15) Beihai, Changyi, Dongying, Fangchenggang, Haikou, Haiyang, Jinjiang, Laoting, Lianyungang, Pingtan, Qinzhou, Quanzhou, Sanya, Xiamen, Wenzhou
Indonesia	(15) Badung, Bali, Bontang, Buleleng, Denpasar, Gianyar, Jakarta, Jembrana, Karangasem, Klungkung, South Bangka, Sukabumi, Tabanan, Tangerang
Japan	(1) Shima
Malaysia	(3) Klang, Northern Selangor, Sepang
Philippines	(4) Bataan, Batangas, Cavite, Guimaras
RO Korea	(3) Ansan, Changwon, Shihwa

Thailand	(1) Chonburi
Timor Leste	(3) Dili, Liquica, Manatuto
Vietnam	(3) Danang, Quang Nam, Thua Thien Hue

92. Additional, in earlier phases PEMSEA had established ICM Learning Centers, mobilized regional and national task forces, partnered with the Korean Maritime Institute (KMI) to set up a regional twinning network on an integrated river basin and coastal area management (IRBCAM), and recognized two Regional Centers of Excellence (Centre for Marine Environmental Research and Innovative Technology (MERIT) in Hong Kong, and Marine Science Institute, University of the Philippines). Table 10 shows the updated list of institutions that were recognized as ICM Learning Centers and Regional Centers of Excellence, which have supported collaborative activities and training and support services for ICM sites.

Table 10. PEMSEA Network of Learning Centers.

ICM LEARNING CENTERS	COLLABORATIVE ACTIVITIES (2008–2020)
Royal University of Phnom Penh, Cambodia	<ul style="list-style-type: none"> <li>• National ICM Training Course 1 in Cambodia</li> <li>• Regional Workshop on Strengthening Capacities for SDS-SEA implementation</li> <li>• Regional ICM Training of Trainers Workshop</li> <li>• Satellite Data Training</li> </ul>
Center for Coastal and Marine Resources Studies, Bogor Agricultural University, Indonesia	<ul style="list-style-type: none"> <li>• National ICM Training Course (2) in Indonesia</li> <li>• Resource person for National ICM Training Course in Cambodia and East Timor</li> <li>• Technical support for ICM Policy Development and Implementation in East Timor and Indonesia</li> <li>• Training on State of Coasts Report in Indonesia</li> <li>• Using Science and Technology to Scale up Integrated Coastal Management: Regional Workshop on Tools and Instruments for Implementation of SDS-SEA</li> <li>• Regional Workshop on Strengthening Capacities for SDS-SEA implementation</li> <li>• Regional ICM Training of Trainers Workshop</li> <li>• International Conference on ICM and Marine Biotechnology</li> <li>• Satellite Data Training</li> <li>• SDS-SEA Planning Workshop in Indonesia</li> <li>• Regional Training Workshop on Coastal Use Zoning Development and Implementation</li> </ul>
Xavier University-Ateneo de Cagayan, Philippines	<ul style="list-style-type: none"> <li>• Planning Workshop for ICM Development and Implementation in Macajalar Bay</li> <li>• Regional Workshop on Strengthening Capacities for SDS-SEA implementation</li> <li>• Regional ICM Training of Trainers Workshop</li> <li>• Orientation Training on the Application of Nutrient Load Model</li> </ul>
De la Salle Lipa, Philippines	<ul style="list-style-type: none"> <li>• ICM Training of Trainers for the ICM Core Team of DSLU-Lipa</li> </ul>

	<ul style="list-style-type: none"> <li>• Resource person in ICM Training Course for Region 6, Philippines</li> <li>• IIMS Training</li> <li>• Regional Workshop on Strengthening Capacities for SDS-SEA implementation</li> <li>• Regional ICM Training of Trainers Workshop</li> <li>• Orientation Training on the Application of Nutrient Load Model</li> </ul>
University of Danang, Vietnam	<ul style="list-style-type: none"> <li>• National ICM Training Course in Vietnam</li> <li>• Regional ICM Training of Trainers Workshop</li> <li>• Orientation Training on the Application of Nutrient Load Model</li> </ul>
Xiamen University, China	<ul style="list-style-type: none"> <li>• National ICM Training-Trainers Workshop, Xiamen, China</li> <li>• Using Science and Technology to Scale up Integrated Coastal Management: Regional Workshop on Tools and Instruments for Implementation of SDS-SEA</li> </ul>
University of the Philippines in the Visayas	<ul style="list-style-type: none"> <li>• Regional Workshop on St Regional ICM Training of Trainers Workshop Strengthening Capacities for SDS-SEA implementation</li> <li>• Regional ICM Training of Trainers Workshop</li> <li>• Satellite Data Training</li> <li>• Regional Training Workshop on Coastal Use Zoning Development and Implementation</li> </ul>
Kim Il Sung University, DPR Korea	<ul style="list-style-type: none"> <li>• ICM Training of Trainers for ICM Core Team, Pyongyang, DPRK</li> <li>• Regional ICM Training of Trainers Workshop</li> </ul>
Zhejiang University, China	<ul style="list-style-type: none"> <li>• ICM performance index system application in 3 coastal cities in China</li> <li>• SDS-SEA Planning Workshop in Indonesia National MPA Training Workshop</li> </ul>
Burapha University, Thailand	<ul style="list-style-type: none"> <li>• ICM Training for Bay of Bengal LME</li> <li>• Regional ICM Training of Trainers Workshop</li> <li>• Regional Training Workshop on Marxan with Zones and MAPS-MSA</li> <li>• Satellite Data Training</li> <li>• SDS-SEA Planning Workshop in Thailand</li> <li>• Regional Training Workshop on Coastal Use Zoning Development and Implementation</li> </ul>
Prince of Songkla University, Thailand	<ul style="list-style-type: none"> <li>• Regional ICM Training of Trainers Workshop</li> <li>• Satellite Data Training</li> <li>• SDS-SEA Planning Workshop in Thailand</li> <li>• Regional Training Workshop on Coastal Use Zoning Development and Implementation</li> </ul>
Diponegoro University, Indonesia	<ul style="list-style-type: none"> <li>• Regional ICM Training of Trainers Workshop</li> <li>• Satellite Data Training</li> </ul>
Udayana University, Indonesia	<ul style="list-style-type: none"> <li>• Regional ICM Training of Trainers Workshop</li> <li>• Satellite Data Training</li> </ul>



Cavite State University, Philippines	<ul style="list-style-type: none"> <li>• Cavite SOC validation workshops</li> <li>• Cavite Water Summit (2017, 2019)</li> <li>• Orientation Training on the Application of Nutrient Load Model</li> <li>• Satellite Data Training</li> </ul>
National University of Timor Leste	<ul style="list-style-type: none"> <li>• Regional ICM Training of Trainers Workshop</li> <li>• Training Workshop on the Development of Coastal Strategy for ICM Sites in Timor-Leste</li> <li>• Satellite Regional Training Workshop on Coastal Use Zoning Development and Implementation Data Training</li> <li>• Workshop on National Oceans Policy (NOP) Development</li> </ul>
Oriental University of Timor Leste	<ul style="list-style-type: none"> <li>• Regional ICM Training of Trainers Workshop</li> <li>• Training Workshop on the Development of Coastal Strategy for ICM Sites in Timor-Leste</li> <li>• Satellite Data Training</li> <li>• Workshop on National Oceans Policy (NOP) Development</li> <li>• Regional Training Workshop on Coastal Use Zoning Development and Implementation</li> </ul>
<b>REGIONAL CENTERS OF EXCELLENCE</b>	
Marine Science Institute, University of the Philippines	<ul style="list-style-type: none"> <li>• Training workshop on Nutrient Loading and Ecosystem Modeling in Manila Bay</li> <li>• Using Science and Technology to Scale up Integrated Coastal Management: Regional Workshop on Tools and Instruments for Implementation of SDS-SEA</li> <li>• Regional Workshop on Strengthening Capacities for SDS-SEA implementation</li> </ul>
Institute for Global Environment Strategies (Japan)	<ul style="list-style-type: none"> <li>•</li> </ul>
Coastal and Ocean Management Institute, Xiamen University, China	<ul style="list-style-type: none"> <li>• Regional Workshop on Strengthening Capacities for SDS-SEA implementation</li> </ul>

### Learning and Knowledge Sharing

93. The project has been reported by stakeholder as being “excellent” at supporting partners as a regional knowledge bank and sharing centre. Project results were disseminated widely through information-sharing networks and forums. The project in line with expected results in comment three has participated actively in IW: LEARN events and SDG’s OCEANS events. The project established an electronic platform for sharing lessons between the project coordinators. The participated in scientific, policy-based, and/or any other networks of benefit to project implementation though lessons learned. A full list of knowledge products and engagements are provided as evidence in **Annex 8** while **Annex 9** include the capacity and learning events supported by the project. The project team reportedly made it PRF culture to identify, analyse, and share lessons learned that were beneficial in implementation of SEA SDA. Identifying and analysing lessons learned as part of monitoring was an ongoing process.

**3.2.3. Monitoring and evaluation: design at entry (S), implementation (S), and overall assessment (S), including Feedback from M&E activities used for adaptive management**

94. The project Monitoring & Evaluation and Reporting requirements were detailed in the Project Document and had been further discussed and agreed to, at the Project Inception meeting. The project ME protocols followed included the following:

95. The project document outlined the standard UNDP/GEF project monitoring requirements including the requirement for the HACT assessment of PRF, submission of annual reports, and PIRs. The project management reportedly provided quarterly and annual reports as required. The PRF monitored the implementation of project activities and progression through submission of QPRs every quarter, APRs and PIRs on an annual basis, and annual financial audits. This was verified and reviewed during the TER desk study.

96. The project was subjected to two independent external evaluations including an independent Mid-Term Evaluation undertaken in 2018 which had determined the progress being made towards the achievement of outcomes and identified course correction (see MTR recommendations).

97. The relevant GEF Focal Area Tracking Tools were completed during the mid-term evaluation cycle and now at TER. These results are provided in annex. This independent Final Evaluation took place in November 2020, two months before the termination of the project.

98. As per MTR finding, that at the country-specific level, there did not appear to be any formal progress reporting provided by the country partners, other than presentations delivered at the annual PSC meetings, and when questioned as to the changes implemented since the MTR to address this, the project management responded: 1) PEMSEA signed umbrella MOAs with the countries through the National Focal Agencies (NFAs) with supporting work plans and budgets following the ProDoc. The MOAs have provisions for progress and financial reporting to PRF by the NFAs. The same is true with local governments and university partners that have entered into MOAs and contracts with PRF; 2) Progress reports are therefore submitted to PRF by the NFAs, local governments, and university partners and the details are captured in the QPRs, APRs, and PIRs that PRF submits to UNDP regularly. While the progress and financial reports that were submitted to UNDP were consolidated at the project level, the independent financial audits and spot checks have evaluated and reaffirmed that the country- and site-level expenditures were consistent with the approved activities and budgets, as indicated in the MOAs and contracts. The TE reviewed the sample progress and financial report of Macajalar Bay, one of the ICM sites in the Philippines as a reference; 3) An annual review and work planning were conducted to review progress and constraints and develop a work plan and budget for the succeeding year. The AWP is presented at the PSC meeting for review and final approval. Moreover, the countries report the consolidated progress and level of expenditures per their budget allocations and agreed on activities, as indicated in the MOAs and contracts. Reporting of progress in implementation and fund utilization has been a regular undertaking at the PSC meetings.

99. Finally, TE was aware (review of MTR and verified in discussions with implementing stakeholders) that while the PRF has been subject to an annual independent financial audit, the MTR team

could not identify regular specific reporting of budget performance to either UNDP or the PSC. It said that the financial tracking data was included in the 2014 and 2015 APRs but not in the 2016 and 2017 APRs due to a change in the APR report format in 2016.

100. Thus, it was not clear to the MTR team how the project's financial performance has been tracked and reported to the PSC and UNDP consistently. When questioned about changes made to address this issue since the MTR, tracking and reporting of financial performance has been done in the following manner: PRF complies with UNDP's financial management requirements: 1) the APR and QPRs include tracking of financial performance against the physical performance including the fund utilization rate based on the approved budget for each outcome/output. UNDP monitors the % fund utilization and if it is considered low by mid-year, revised work and financial plans are developed in consultation with the countries and with UNDP's subsequent approval; 2) PRF undertakes internal and external audits for the project. The HACT audit that UNDP commissions annually determines and affirms whether the funds were used for intended purposes and in accordance with the approved work plan, including the % completion of each activity and output against the approved budget; 3) PRF submits quarterly Funding Authorization and Certificate of Expenditures (FACE) forms for requesting cash advance from UNDP and for reporting of actual project expenditures. In addition, UNDP keeps track of expenditures made through the FACE forms to determine consistency with the approved annual work plans. The final independent audit for the project is scheduled in February – March 2021.

101. TER reviewed the final GEF International Waters Tracking Tool. The TER was provided with Baseline (ProDoc version), MTR results and the final GEF Tracking Tool Results. Generally, these are as follows:

a) Baseline, 22/01/2014

b) MTR, 14/05/2018

c) TER, 08/02 2021

Table 11. Summary of GEF IW Tracking Tool Ratings

PROCESS INDICATORS				
		Baseline	MTR	Final
1	Regional legal agreements/cooperative frameworks	3	4	4
2	Regional management institutions (RMI)	N/A	3	3
3	<b>(ABNJ only:)</b> Management measures incorporated in the institutional mandates and/or management action frameworks of Global/Regional Management Bodies	N/A	1	1
4	National Inter-Ministerial Committees (IMCs)	3	3	4
5	National/Local reforms	3	3	3
6	Transboundary Diagnostic Analysis, <u>including revised</u> (TDA): Agreement on transboundary priorities and root causes	4	4	4
7	Development of Strategic Action Plan (SAP)	4	4	4

8	SAP addresses groundwater governance and enhancing conjunctive management of surface and groundwater (as applicable)	N/A	1	1
9	TDA/SAP addresses Nexus dimensions	4	2	2
10	Proportion of Countries that have adopted SAP	14/14	14/14	14/14
11	Proportion of countries that are implementing specific measures from the SAP (i.e. adopted national policies, laws, budgeted plans)	12/14	13/14	13/14
12	SAP implementation finance secured by governments and development partners	3	Not rated	1
	STRESS REDUCTION INDICATORS			
13	Are there mechanisms in place to produce a monitoring report on stress reduction measures?	4	3	3
14	Stress reduction measurements incorporated through: <ul style="list-style-type: none"><li>Increased length of coastline covered under ICM</li></ul>	12% (2013)	17.6% (2018)	40.4% (2020)
15	Stress reduction measurements incorporated by the project through improved management of: <ul style="list-style-type: none"><li>Restored habitats, including wetlands</li></ul>	National and sub-national plans of action in place	892 ha	14,928 ha
	<ul style="list-style-type: none"><li>Conserved/protected wetland, MPAs</li></ul>		10% METT	>10% METT
	<ul style="list-style-type: none"><li>Reduced fishing pressure and alternative livelihoods introduced</li></ul>		1,140 km2	2,970 km2
	<ul style="list-style-type: none"><li>Water use efficiency measures*</li></ul>		1,100 HH	633 HH in Lao PDR; 9.2 ha of headwaters protected
	<ul style="list-style-type: none"><li>Municipal wastewater pollution reduction*</li></ul>		25,000 km2	12 priority watersheds
	<ul style="list-style-type: none"><li>CCA/DRRM*</li></ul>		DRRM enhancement	9 sites with CCA/DRRM programs Gulf of Thailand (3 countries) PSHEMS in ports in 3 countries
	WATER, ENVIRONMENTAL & SOCIOECONOMIC STATUS INDICATORS			
19	Types of mechanisms and project indicators in place to monitor the environmental status of the waterbody?	3	3	3
	IW: LEARN INDICATORS			
20	Participation in IW events (GEF IWC, Training, Twinning and other IW: LEARN activities)	3	3	3

21	Project website (according to IW: LEARN guidelines)	4	3	4
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\*End of project targets adjusted based on MTR recommendations

102. Generally, the TER agrees with the final ratings. The following provide some notes on the above.

### **Process Indicators**

103. TE noted that Indicator 12 has a different rating criterion from baseline.

### **Stress Reduction Indicators**

104. At mid-term, indicator 13 has been reduced from 4 at the Baseline to 3. TER rating is maintained at 3 since 4 indicates that mechanisms are in place to produce monitoring reports on stress reduction measures and sustainable over the long term. While the project was able to establish the indicator-based SOC reporting for local governments implementing ICM, which meets the reporting requirements to assess changes in environmental indicators at the local level, in terms of its sustainability, this can be measured if majority of the sites are able to produce their second reports. This will indicate that the SOC reporting has been institutionalized as part of the regular and long-term M & E and reporting mechanism of local governments.

105. For indicator 14, the project target of covering 20% of the regional coastline with ICM was fully achieved and a book containing 25 good management practices was published and disseminated

106. For indicator 15, significant accomplishments have been achieved in the implementation of management programs focusing on habitat conservation and restoration, MPA management, sustainable fisheries and livelihood, water use and conservation, pollution reduction and CCA/DRR in collaboration with various projects and partners. Strengthening and sustaining the monitoring programs to measure stress reduction in the areas/sites covered based on the prescribed indicators is necessary.

### **Water, Environment & Socioeconomic Indicators**

107. Only one indicator was rated at the Baseline and the rating at TER remains unchanged.

### **IW: LEARN Indicators**

108. TER reviewed the MTR report rating on these which indicated that --- *Of the two indicators in this field, one remained the same and one received a lower rating at the mid-term than at the Baseline. However, this appears to be because the TT rating scale was changed between the Baseline and the mid-point, whereas the indicator achievement itself rated has not.*

109. The TE rating is 4 as the PEMSEA Website is in line with IW: LEARN guidelines, and have contributed spatial and other data to IWLEARN.net. For instance, the PRF provides regular updates on the project's progress/achievements in the GEF IW Portfolio Bulletin; experience notes on issue-specific best

management practices; announcements on training and webinars and other important events such as the EAS Congress, etc.

**3.2.4. Project Finance**

110. Table 12 shows that 99 percent of the total budget has been utilized as of project closure on 31 December 2020.

Table 12. Yearly expenditures and balance per component.

	2014	2015	2016	2017	2018	2019	2020*	TOTAL	BUDGET**	BALANCE	Utilization %
Component 1	254,217.92	718,270.96	737,342.91	794,609.68	584,758.46	379,627.73	161,305.65	3,630,133.31	2,876,907.00	(753,226.31)	126%
Component 2	129,249.00	570,426.60	761,984.09	915,188.71	1,063,253.17	960,425.87	831,164.83	5,231,692.27	5,607,870.00	376,177.73	93%
Component 3	16,790.99	95,623.26	145,733.01	244,695.55	300,121.05	178,697.80	202,697.69	1,184,359.35	1,628,278.00	443,918.65	73%
Proj Mgt	45,963.61	117,782.53	66,757.43	70,067.58	114,937.60	64,834.91	50,127.47	530,471.12	530,937.00	465.88	100%
	<b>446,221.52</b>	<b>1,502,103.35</b>	<b>1,711,817.44</b>	<b>2,024,561.52</b>	<b>2,063,070.28</b>	<b>1,583,586.31</b>	<b>1,245,295.63</b>	<b>10,576,656.05</b>	<b>10,643,992.00</b>	<b>67,335.95</b>	<b>99%</b>

\* *with commitment*

\*\* *per project document*

111. Co-financing - The project builds upon the foundation established in the region over the past 20 years of GEF support to participating countries (also paragraphs 5 through 29 of Part 1 of Project Document). The ownership and commitment developed among countries and their partners were said to evident in terms of the co-financing support—more than USD 150 million. The project document noted that the leverage factor for this project is 1:13, based on the country and non-country-level commitments for co-financing of about USD 157,265,467. In this regard the Non-country partners had identified the strengthening of coordination among regional and subregional ocean governance mechanisms as their focus for co-financing contributions (Component 1) and for building and strengthening on-the-ground capacities in ICM and knowledge sharing among project, programs, and research institutions (Components 2 and 3). Also see stakeholder cooperation section above.

112. The updated co-financing for the project is shown in the Table 13.

Table 13. Co-financing at the end of the project.

CO-FINANCING (TYPE/SOURCE)	UNDP (USD)		GOVERNMENT (USD)		PARTNER AGENCY (USD)		TOTAL (USD)	
	PLANNED	ACTUAL	PLANNED	ACTUAL	PLANNED	ACTUAL	PLANNED	ACTUAL
Grants/Cash			6,800,000	78,470,196		376,368	6,800,000	78,846,564
Loans/Concessions								
In-kind support	16,150,000	16,150,000	109,219,200	263,011,394		4,030,000	125,369,200	283,191,394
Other								
<b>TOTALS</b>	<b>16,150,000</b>	<b>16,150,000</b>	<b>109,219,200</b>	<b>341,481,590</b>		<b>4,406,368</b>	<b>132,169,200</b>	<b>362,037,958</b>



113. The in fact, realized co-financing commitments from the national and local levels has been the strong investment in developing and implementing their respective national SDS-SEA/ICM plans, including the work putting in place the necessary governance mechanisms and capacities to achieve national targets for scaling up ICM programs (i.e., Components 1 and 2 of the project), and thereby addressing national sustainable development priorities, while contributing to global and regional commitments for protection, restoration, and sustainable use of coastal and marine resources. Also see project results section and refer to the country TER reports in annex for evidence and details.)

### **3.2.5. Implementing Agency execution (S) and Executing Agency execution (S), overall project implementation/execution (S), coordination, and operational issues**

114. The project is being implemented by UNDP in its capacity as a GEF Implementing Agency, with UNDP Philippines serving as the Principal Project Resident Representative. A Project Cooperation Agreement was signed between PRF and the UNDP in September 2014 which formalized PRF as the Implementing Partner for the project. Stakeholders reported that UNDP has been an effective partner in implementation and has provided excellent day to day program support to the project. The countries have all reported excellent positioning of UNDP for support to implementation at country level. The value added has been noted as a trust built relationship and also UNDP's ability to access global and regional programmatic links and partners at all levels including global and to bring in funding and resources to country implementation and transboundary cooperation work.

115. The PRF has actively played the role of a catalyst for facilitating partnerships and linkages, building bridges, and for resource mobilization. See Annex 10 for the PRF services that are provided to the countries. Additionally, stakeholder agreed, the leadership has been vibrant and continues strong. A leader must have a clarity of vision and purpose. Additionally, the PRF has been reported as having excellent communications and networking strategies keeping stakeholder engaged fully at regional, national and local levels;

116. The project management provided by the PRF was reported as being 'highly efficient and effective'. All stakeholders interviewed at TER rated the efficiency of the project management team as excellent. The PRF performance was said to be influenced by the strong relationship between the country managers and country counterparts. The PRF was said to be fast in responses to partner's enquiries and its flexibility to adapt to problems and changing circumstances.

117. TE agree with the MTR assessment as well as that of all national evaluators during TE, that the responsibilities and reporting lines at the PRF are clear and the decision-making was transparent and timely.

### **3.2.6. Risk and Adaptive Management including Social and Environmental Standards**

118. The key risks presented in the ProDoc include the following:

- Changes in policy and decision-makers, or other events beyond the control of the project, led to changes in support for the project objective of sustaining ocean and coastal ecosystem services through scaling up partnerships, capacities, and/or investments. Potential conflicts between participating countries could occur over the use and management of the shared resources of the EAS region;

- Innovative financial mechanisms (e.g., special accounts, user fees, PES, PPP, CSR, etc.) failed to deliver additional resources to support sustainable coastal and marine management;
- The SDS-SEA implementation is taking place concurrently in 8 countries at national and subnational levels. Varying capacities, skills, knowledge, access to resources, information, and technologies constrain the scaling up of ICM;
- There may be circumstances when ICM governance frameworks implemented in one location will drive those who engage in destructive activities to locations where regulations are not well developed or enforced (e.g., fisheries). There may also be circumstances when ICM interventions may inadvertently increase other stresses and threats to the environment;
- Mainstreaming of ICM, CCA/DRR, and NAPs/SAPs targets into national- and local-level targets and investment plans constrain progress in scaling up;
- Variability in environmental patterns and climate change compromise project achievements in terms of sustaining ecosystem services.

Table 14. Original project risks and mitigation measures identified in the project document.

IDENTIFIED RISKS	IMPACT	LIKELIHOOD	RISK ASSESSMENT	MITIGATION MEASURES
Variance or inconsistencies in government support for scaling up implementation of the SDS-SEA	LOW	LOW	The project is in line with agreed strategies, targets and implementation plans at regional, sub-regional, national and local levels, and is thus, strongly anchored in existing policies. Strong stakeholder participation in the project will further reinforce support from policy and decision makers at all levels	Engagement through regular policy dialogue, Ministerial Forums, EAS Congress, PNLG, demonstration of good practices and tangible benefits
Resource use conflicts between participating countries			With countries agreeing to cooperate in the implementation of the SDS-SEA, conflicts should be resolved through high level policy dialogue and regional cooperation	Participatory and transparent processes and transactions, combined with promoting a better understanding of the benefits of well-maintained and shared ecosystem services will reduce/prevent any potential resource use conflicts. The project will also provide science-based evidence, timely information and a venue/platform for regional dialogue on perceived or real conflicts.
Innovative financial mechanisms less than optimal			The project will explore test and validate new and innovative financing	Pilot testing of innovative financing instruments and sharing of knowledge on good

IDENTIFIED RISKS	IMPACT	LIKELIHOOD	RISK ASSESSMENT	MITIGATION MEASURES
			options and provide guidance to project partners on sustainable financing for scaling up of ICM, IRBCAM, CCA/DRR and implementation of NAPs	practices will help countries understand the range of options available, and implement those instruments that are appropriate/customized for their social, political, economic and environmental context.
Variance in capacities to scale up implementation of the SDS-SEA			The project will have a strong focus on building capacity at the local, site level. Capacity needs assessments will be matched with required technical assistance, and to the extent possible combine use of local with external forms of support. Building of local capacity based on a regional knowledge management platform that has common sets of standards and approaches (e.g., ICM Code) will help address gaps.	A knowledge management strategy which features common principles of sharing, the establishment of communities of practice – networks of ICM Learning Centres focussed on local problems and local solutions, regional centres of excellence, network of local chief executives (i.e., PNLG), regional and national task forces, public advocacy and various other forms of outreach and communications will help address unevenness in capacity.
Threat transfers and/or additional stresses created through ICM interventions			The high level of stakeholder participation and consultative processes inherent in ICM ensure that sufficient cost benefits analysis will be undertaken prior to commitment any course of action.	The UNDP Environment and Social Screening Procedure (ESSP) will serve as one tool to address and mitigate these types of concerns. The ESSP has been shared with national counterparts, and through participatory project management processes make efforts to reduce/prevent unintended consequences of project interventions.
Failure to mainstream ICM, CCA/DRR, NAPs/SAPs			The scope of the project has been agreed by the national governments in their 5-year SDS-SEA implementation plans, and local governments participating in ICM activities. Existing co-financing commitments of the partners is proof of their willingness to	The project strategy considers the importance of keeping investments in sustainable development of coastal and marine areas high on the political agenda in all participating countries.

IDENTIFIED RISKS	IMPACT	LIKELIHOOD	RISK ASSESSMENT	MITIGATION MEASURES
			mainstream program targets into their development and investment frameworks	
Environmental variability and climate change			The project has been designed to mitigate adverse climate change impacts at vulnerable sites and communities through the development of risk management plans, establishment of early warning systems, and implementation of a suite of climate change adaptation and disaster risk reduction measures on the ground	Addressing climate variability and change is an inherent element of the project. Building of capacity for hazard identification, climate change adaptation and disaster risk reduction management plans and actions will help coastal communities adjust to the potential impacts.

- These risk and adaptive needs were managed and monitored diligently through normal UNDP GEF monitoring devices including the audits, the quarterly and annual reporting and PIRs.
- There was a critical risk identified at MTR recommendation to track national level expenditure and co-financing. The TE national evaluations have captured the final tally however, the lesson learned is that national monitoring of financing and co-financing is needed.
- At the TER, there remain number of risks to sustainability, the most significant being the ongoing funding to support core operations and capacities to support substantive work at PRF and in country implementation.
- Climate change has been flagged by stakeholders as a significant risk to oceans governance and a source of considerable uncertainty in terms of long-term impacts and changes to marine and coastal ecosystems.
- For social safeguards, the lesson from the interviews and TER national reports is to establish a monitoring system linked to planning at the local level. The safeguards for identifying pilots have been monitored by local governments in general as a national implementation approach. This area can be improved in future work. More work can be done on mainstreaming social safeguards in national implementation for future.

### 3.3. PROJECT RESULTS

#### 3.3.1. Overall results (attainment of objectives and outcomes by indicators) (S)

Table 15. Overall project results.

PROGRESS TOWARDS RESULTS	TE RATING	JUSTIFICATION FOR RATING	COMMENTS
<b>Project Objective</b>	<b>S</b>	<ul style="list-style-type: none"> <li>The 12-month extension (8/31/2019 to 8/31/2020) has allowed the 3 countries (Indonesia, Thailand and Vietnam) which were two years behind schedule from project start up to achieve essential deliverables identified in the Project Document. The extension has also benefited the other participating countries (Cambodia, China, Lao PDR, Philippines, and Timor Leste) by giving them adequate time to review and evaluate project outputs and outcomes.</li> <li>The regional components have made good progress where the key project outcome, the establishment of a self-sustaining regional organization inclusive of innovative financing mechanisms, services, and instruments to support SDS-SEA implementation beyond the life of the project has been established but notably, with significant risks as reported throughout this report in relation to the assured financing of the core operations of the secretariat.</li> <li>The Covid-19 pandemic, however, posed great challenge to the remaining months of project implementation and completion due to the government-imposed lockdowns, travel and mobility restrictions. The additional 4-month extension has allowed adjustments in the workplan to realign the budget for activities with high impact that can be completed within the project's timeframe.</li> <li>Overall, the project is rated as satisfactory. All 3 components have achieved the majority of their end of project targets. Under Component 2, final reports for some activities at the local level are expected to be submitted within January 2021.</li> </ul>	Key outcome of transformative period has been met, with the establishment of self-sustaining organization including negotiation of host country agreement and an appreciated and highly functioning organization. However, there are notable risk to sustainability as elaborated throughout this report. PEMSEA is expressing in the region (based on perception feedback from partners) as a leader on ICM and sustainable development and blue economy globally. The SOC work and integration of SDGs, Blue economy and regional indicators has been cutting edge in this regard.
<b>Outcome 1</b>	<b>S</b>	<ul style="list-style-type: none"> <li>Output 1.1: Achieved <ul style="list-style-type: none"> <li>Host Country Agreement ratified by Philippine Senate in 2015</li> </ul> </li> <li>Output 1.2: Not fully achieved (<i>Not all countries are providing voluntary contribution to PEMSEA at the end of the project</i>) <ul style="list-style-type: none"> <li>Danang Compact and Iloilo Declaration adopted by Ministers at the 2015 and 2018 Ministerial Forum setting the targets and affirming the country's commitments to sustaining PEMSEA.</li> </ul> </li> </ul>	Excellent results Agreements signed with 12 non country partners and other collaborators achieved. More collaboration on science and technology is suggested by non-country stakeholders interviewed. Danang Compact and Iloilo Declaration are major milestones. New road map for 2018 -2022.

PROGRESS TOWARDS RESULTS	TE RATING	JUSTIFICATION FOR RATING	COMMENTS
		<ul style="list-style-type: none"> <li>○ Cost-Sharing Agreements with China, Japan, RO Korea, and Singapore signed. Funds have been transferred for CY 2020.</li> <li>○ Hosting agreement with the Government of the Philippines renewed and signed in 2017, providing office building and amenities for PRF for 25 years</li> <li>○ Voluntary contribution of Cambodia confirmed and earmarked for the preparations for the 2021 EAS Congress</li> <li>○ Timor Leste's CSA for 2020 and 2021 submitted to the government for approval</li> <li>○ Indonesia's MOEF is seeking Presidential ratification of PEMSEA's legal agreement to enable it to enter into a CSA with PRF.</li> <li>○ Vietnam's VASI is reviewing the draft CSA with PRF.</li> <li>○ Government of Vietnam hosted the 2015 EAS Congress with 812 participants from 21 countries</li> <li>○ Government of the Philippines hosted the 2018 EAS Congress with 928 participants from 19 countries, 14 non-country partners, and 10 regional and international programs/organizations</li> <li>○ Agreements signed with 12 noncountry partners and other collaborators</li> <li>○ The updated 2015 SDS-SEA adopted at the 2015 Ministerial Forum</li> <li>○ SDS-SEA Implementation Plan 2018–2022 adopted by the EAS Partnership Council</li> <li>○ Mid-term review of the SDS-SEA implementation plan 2018–2022 and development of PEMSEA 2030 Roadmap initiated</li> <li>● Output 1.3: Achieved <ul style="list-style-type: none"> <li>○ MoU between UNDP China and PEMSEA signed in August 2020 for YSLME-PEMSEA cooperation on knowledge management and capacity development</li> <li>○ WPEA Project portal and monitoring system developed and completed by PEMSEA in 2017 through a grant from WCPFC; WCPFC/PEMSEA Report on Sustainable Tuna Fisheries completed</li> </ul> </li> <li>● Output 1.4: Achieved <ul style="list-style-type: none"> <li>○ Regional State of the Coasts (RSOC) Executive Summary launched at the EAS Congress 2018; full RSOC report finalized</li> </ul> </li> </ul>	

PROGRESS TOWARDS RESULTS	TE RATING	JUSTIFICATION FOR RATING	COMMENTS
		<ul style="list-style-type: none"> <li>Policy briefs (for fisheries and aquaculture, coastal and marine ecotourism; ports and shipping; marine renewable energy) developed and disseminated at the EAS Congress</li> </ul>	
Outcome 2	S	<ul style="list-style-type: none"> <li>Output 2.1: Achieved               <ul style="list-style-type: none"> <li>National coastal and ocean policies and institutional arrangements in place in 6 countries (Cambodia, China, Indonesia, Thailand, Timor Leste, and Vietnam)                   <ul style="list-style-type: none"> <li>Cambodia: White Paper on Policies, Legislation, and Institutional Mechanisms for Sustainable Development of Coastal and Marine Areas refined and submitted to the Ministry of Environment</li> <li>China: National Marine Ecocivilization Implementation Plan and 13<sup>th</sup> five-year Development plan, “Expansion of Blue Economy 2016–2020” adopted; China PEMSEA Sustainable Coastal Management Cooperation Center established</li> <li>Indonesia: National Act No 32/2014 on Marine Affairs adopted (September 2014); Presidential Regulation No. 16/2017 on National Ocean Policy signed (March 2017)</li> <li>Thailand: National Act on Promotion of Marine and Coastal Resources Management, B.E. 2558 (2015), adopted</li> <li>Timor Leste: Draft National Ocean Policy (NOP) prepared and being reviewed by the Council of Ministers in Timor Leste. Development of NOP Implementation Plan initiated</li> <li>Vietnam: a) National ICM Action Plan (SDS-SEA IP) to implement the National ICM Strategy to 2020 and Vision to 2030 approved by the Prime Minister in 2016; b) Draft ICM Circular prepared in support of Vietnam Law of Marine and Island Resources and Environment (Law No. 82/2015/QH13) and National ICM Strategy; c) Vietnam Sustainable Marine Economic Development Strategy to 2030 with Vision to 2045 approved by the Central Party Committee (October 2018), and d) National ICM Steering Committee to</li> </ul> </li> </ul> </li> </ul>	These are significant policy level outcomes that have been reported. It will be critical to link the pilot and downstream work to policy level outcomes in the future monitoring system for national programs.

PROGRESS TOWARDS RESULTS	TE RATING	JUSTIFICATION FOR RATING	COMMENTS
		<p>implement the Strategy approved by the Prime Minister (February 2020 )</p> <ul style="list-style-type: none"> <li>▪ 8 National State of Oceans and Coasts Reports completed and disseminated.</li> <li>▪ Seas of East Asia Knowledge Bank (SEAKB) developed and fully operational, including features for assessing enabling environment for investment, investment needs/opportunities, project attractiveness to investment, ability to submit potential investment projects</li> <li>▪ End-of-project forums conducted in 8 countries where highlights of SDS-SEA implementation at the national and local levels were presented, including lessons learned and sustainability measures.</li> </ul> <ul style="list-style-type: none"> <li>• Output 2.2: Achieved <ul style="list-style-type: none"> <li>○ Review of national sector legislative agenda and priorities completed in 6 countries (Cambodia, China, Indonesia, Lao PDR, Philippines, Thailand, and Vietnam)</li> <li>○ SDS-SEA targets incorporated into national and local medium-term development and investment plans at three (3) national governments (Indonesia, Philippines, Vietnam) and 10 local governments (Preah Sihanouk and Koh Kong, Cambodia; Dongying and Fangchenggang, China; Sukabumi and Tangerang, Indonesia; Guimaras and Pampanga, Philippines; Kien Giang and Thua Thien Hue, Vietnam)</li> </ul> </li> <li>• Indonesia: RPJMN 2020–2024 (national medium-term development plan) goals for the coastal and marine sector are in line with the SDS-SEA targets</li> <li>• Philippines: Philippine Development Plan 2017–2020 includes ICM in the priority legislative agenda of the Environment and Natural Resources Sector</li> <li>• Vietnam: Review document on the process of formulating socioeconomic development strategies and plans and proposal for mainstreaming ICM and scaling up in Vietnam to support SDS-SEA completed</li> </ul>	
Outcome 3	S	<ul style="list-style-type: none"> <li>• Output 3.1: Not fully achieved (<i>Sustainable funding for 100% of PEMSEA's operation not achieved at the end of the project</i>)</li> </ul>	Knowledge management and communications has been highlighted by stakeholders as an asset of the regional work



PROGRESS TOWARDS RESULTS	TE RATING	JUSTIFICATION FOR RATING	COMMENTS
		<ul style="list-style-type: none"> <li>○ New PEMSEA brand launched in 2015 to reflect the new positioning of PEMSEA as a service-oriented organization</li> <li>○ Developed a number of innovative knowledge products (ICM Code; PSHEMS Code; SEA Knowledge Bank; investment landscape assessment; SOC reporting; etc.) and services (certification; on-line investment, training/internships; sustainable business network; etc.). These are also globally relevant.</li> <li>○ 4 PNLG members received Level 2 ICMS recognition; 7 PNLG members received Level 1 ICMS re-certification</li> <li>○ PSHEMS implemented in ports in Cambodia (1), Philippines (2), and Thailand (2)</li> <li>○ PEMSEA Financial Sustainability Plan and Roadmap (2011–2016) completed and approved by the EAS partnership Council</li> <li>○ PEMSEA Post-2020 Futures Report and Strategy completed</li> <li>○ Pilot investment cases developed with partners on pollution reduction, waste management, sustainable aquaculture, and marine protection/eco-tourism</li> <li>○ Project proposal development actively pursued to ensure availability of steady funding stream to support PRF in addition to the country voluntary contributions: <ul style="list-style-type: none"> <li>▪ Six (6) projects approved: a) ATSEA Phase 2 Project, b) Coca Cola Foundation Philippines Plastic recycling project in Cavite Province, c) DENR-PEMSEA project on assessment of effectiveness of coastal and marine projects, d) GEF-UNDP-IMO GloFouling Partnerships Project, e) GIZ-EU Rethinking Plastics: Circular Solutions to Marine Litter Sub-component on Ship Waste Management in Philippine Ports, and f) ASEAN Norwegian Cooperation Project on Capacity Building on Reducing Plastic Pollution in the ASEAN Region.</li> <li>▪ Five (5) projects in the pipeline: a) UNDP/GEF Reducing Pollution and Preserving Environmental Flows in the East Asian Seas through the Implementation of Integrated River Basin Management in</li> </ul> </li> </ul>	

PROGRESS TOWARDS RESULTS	TE RATING	JUSTIFICATION FOR RATING	COMMENTS
		<p>ASEAN Countries, b) IKI's Blue Solutions for Reducing Maritime Transport GHG Emissions through Increased Energy Efficiency of Ship and Port Activities in Asia, c) UNDP/GEF/ASEAN MPA effectiveness in Large Marine Ecosystems in the ASEAN, d) Incheon Port Authority/PEMSEA on blue solutions in the maritime sector and e) World Bank Assessment of Policies and Regulations to Guide Country Dialogue at National Level and Facilitate Actions at Local Level to Reduce Plastic Waste in the Philippines.</p> <ul style="list-style-type: none"> <li>○ Pending application to become a regional accredited entity of Green Climate Fund in Asia and EU Pillar Assessment, which if approved would enable PEMSEA to become a funding conduit for GCF and EU for ocean grants, procurement services and investments in the region.</li> <li>● Output 3.2: Achieved Ongoing communications (communications plan, including social media, online articles, web site, e-newsletters, and annual report) to enhance PEMSEA's reach and visibility and the services provided to countries</li> </ul>	
	S	<ul style="list-style-type: none"> <li>● Output 4.1: Achieved <ul style="list-style-type: none"> <li>○ ICM program coverage of 20 percent (45,000 km) of the region's coastline achieved. ICM program coverage was extended to an estimated 40.38 percent (86,285 km) of the region's coastline at the end of 2020. For the 8 participating countries of the project, ICM coverage is estimated at 46.7 percent (73,275 km) of the coastline at the end of 2020. National policies, strategies and programs on ocean and coastal area management and related policies have facilitated the replication of ICM implementation in the partner countries.</li> <li>○ Validation of the ICM coverage in the Philippines undertaken through a Third-Party Assessment using the ICM Code as the reference standard.</li> <li>○ 1 book, Local Contributions to Global Sustainable Development Agenda: Case Studies in ICM in the East Asian Seas Region, published and disseminated</li> <li>○ 64 case studies published/drafted</li> </ul> </li> </ul>	This area has led to an extraordinary result. The coastline targets are also agreed to be extended to 25 % in 2018.

PROGRESS TOWARDS RESULTS	TE RATING	JUSTIFICATION FOR RATING	COMMENTS
		<ul style="list-style-type: none"> <li>○ 34 State of the Coasts reports published/drafted</li> <li>○ Coordinating mechanisms established in the ICM sites in the 7 countries; China PEMSEA Center coordinates ICM implementation in China</li> <li>○ Coastal strategies/strategic environmental management plans and related strategic development plans prepared that serve as long - term comprehensive management framework for the coastal and marine areas of the 44 ICM sites.</li> <li>• Output 4.2: Achieved <ul style="list-style-type: none"> <li>○ 213 training and capacity building activities conducted at regional, national, and local levels from 2014–2020 benefiting 7,122 participants and 16 interns and fellows</li> <li>○ An estimated 1,784 women participants have attended various project-related training workshops and consultations</li> <li>○ Application of ICM core tools and specialized tools to support ICM implementation facilitated through the conduct of regional, national, and local training workshops in collaboration with partners</li> <li>○ Coastal use zoning plans and marine spatial plans developed/drafted for 11 ICM learning sites in 4 countries</li> <li>○ 3 training manuals published; ICM training manual in Thai and Vietnamese developed</li> </ul> </li> <li>• Output 4.3: Achieved <ul style="list-style-type: none"> <li>○ Implemented in 12 ICM sites in 7 countries covering an approximately 14,928 hectares of critical coastal habitats contributing to the health and resiliency of 910 hectares of blue forests as identified in the Prodoc</li> <li>○ Baseline assessments/risk and vulnerability assessments were conducted; management plans for 12 conservation-focused learning sites in 7 countries were developed</li> <li>○ Mangrove conservation activities are regularly undertaken in selected sites (e.g, Tangerang, Indonesia)</li> <li>○ Regular monitoring of critical habitats was undertaken in selected sites (i.e., biophysical assessment of the 46 marine/mangrove PAs in Batangas Province in collaboration with Malampaya Foundation; ecosystem health evaluation on the restoration of 27 ha. of Chinese</li> </ul> </li> </ul>	<p>In term of supporting the SAP and capacity development plan the training activities have been rolled out based on good planning and with excellent results. The partnering with learning centers has been a major strategy that should be replicated around the world.</p> <p>Risk assessment re a good feature of the approach to planning. The work is inherently cross sectoral and multi-stakeholder in the ongoing implementation and the project has reinforced this work practice at the local level through capacity building and bridging work between sectors in implementing activities. More regional holistic monitoring will also support the local science and data sharing work to inform policy.</p>

PROGRESS TOWARDS RESULTS	TE RATING	JUSTIFICATION FOR RATING	COMMENTS
		<p>tamarix in Changyi Special Marine Ecological Protected Area using agreed indicators; monitoring of coral reef and associated fishes in two MPAs in Guimaras, Philippines, conducted by UP Visayas, an ICM Learning Center, in coordination with the provincial government) but limited in a number of sites.</p> <ul style="list-style-type: none"> <li>• Output 4.4: Achieved <ul style="list-style-type: none"> <li>○ Implemented in 13 MPA sites in 5 countries with recorded METT ratings &gt;10%</li> <li>○ Baseline METT/MEAT assessments conducted; MPA management plans developed in 12 MPA-focused learning sites in 5 countries</li> <li>○ Monitoring of METT ratings to determine the effectiveness of MPA management undertaken in the 13 MPAs showed an increase in ratings against the baseline</li> </ul> </li> </ul> <p>Monitoring of METT ratings made possible with support from various partners and other related projects.</p>	<p>METTs were used in study and monitoring. Excellent use of METT for monitoring this project focused on capacity development and collaboration with partners.</p>
Outcome 5	S	<ul style="list-style-type: none"> <li>• Output 5.1: Not fully achieved (<i>Assessment for improved management and reduction in overall fishing effort not undertaken due to time constraints</i>) <ul style="list-style-type: none"> <li>○ Implemented in 6 ICM sites in 6 countries covering an estimated area of 297,047 hectares contributing to the management of 2,000 km<sup>2</sup> of threatened fishing areas as identified in the prodoc.</li> <li>○ Baseline assessments/ecological profiles prepared for 8 sustainable fisheries-focused learning sites in 6 countries</li> <li>○ Management plans/Ecosystem approach to fisheries management plans developed for the 6 sites.</li> </ul> </li> <li>• Output 5.2: Achieved <ul style="list-style-type: none"> <li>○ Sustainable livelihood programs implemented in 9 learning sites in 6 countries</li> <li>○ Sustainable livelihood programs included sustainable tourism in Koh Rong, Cambodia; financially sustainable and ecosystem-friendly livelihood activities in Lianyungang, China; alternative livelihood in mangrove conservation in Tangerang, Indonesia; traditional salt making in Manatuto, Timor Leste; replication of community-based fisheries and ecotourism development in Danang, Vietnam)</li> </ul> </li> </ul>	<p>Fisheries targets were changed during the MTR. This work however is believed to be very important and high on the agenda and the original targets while aspirational are viewed as having the outcomes goals in mind.</p>

PROGRESS TOWARDS RESULTS	TE RATING	JUSTIFICATION FOR RATING	COMMENTS
Outcome 6	S	<ul style="list-style-type: none"> <li>Output 6.1: Achieved               <ul style="list-style-type: none"> <li>Pilot integrated river basin and coastal area management programs initiated in 12 priority watershed/coastal areas in 7 countries</li> <li>Profiling of the watersheds/river systems conducted including identification of pollutant sources (Haiphong and Quang Ninh, Vietnam; Cipalubahan and Cipanyaran rivers in Sukabumi, Indonesia) and initiation/conduct of pollutant loading studies and assessments in selected sites (Sihanoukville, Cambodia, and Batangas, Philippines)</li> <li>Sub-basin management plans for 3 rivers in Lao PDR developed</li> <li>Integrated river basin management program for Yellow River (China) in place</li> <li>Management programs on solid waste management in place in selected sites (Rayong, Thailand). In the Philippines, the ASEAN Project and Coca Cola Foundation grants provide opportunities for capacity building and expanding the current solid waste management program of the province to address marine debris</li> <li>Training for water quality monitoring; development of integrated environmental monitoring program and environmental monitoring place for selected sites</li> </ul> </li> <li>Output 6.2: Not fully achieved (<i>Demonstration of innovative technologies and good practices in nutrient management and water use conservation dependent on the IRBM Project</i>)               <ul style="list-style-type: none"> <li>7 profiles of priority river basins in ASEAN Region prepared and incorporated into the GEF/UNDP/ASEAN IRBM Project Proposal; Project document prepared and submitted to GEF and UNDP for final approval</li> </ul> </li> </ul>	Good examples of reef to ridges at national level. At the regional level it will be good to consider the transboundary landscape at the regional level for reef to ridges.
Outcome 7	HS	<ul style="list-style-type: none"> <li>Output 7.1: Achieved               <ul style="list-style-type: none"> <li>Risk and vulnerability assessments conducted in the 9 ICM sites as part of the local government's DRRM process</li> <li>CCA/DRRM programs in 9 ICM learning centers in 7 countries focused on natural disaster and mitigation planning and emergency preparedness</li> </ul> </li> </ul>	Risk assessment has been an excellent feature of the approach to planning. The work is inherently cross sectoral in the ongoing implementation and the project has reinforced this work practice at the local level through capacity building

PROGRESS TOWARDS RESULTS	TE RATING	JUSTIFICATION FOR RATING	COMMENTS
		<p>and response (China), mangrove rehabilitation to strengthen coastal/shoreline protection (Cambodia, Philippines), oil spill contingency planning, marine spatial planning, and climate change adaptation planning (Thailand), coastal tree planting and livelihood training to improve the community's adaptive capacity to natural and climate-related disasters (Timor Leste), and updating the coastal use zoning plan of Kien Giang Province (Vietnam) to 2025 and Orientation to 2030, integrating CCA/DRR.</p> <ul style="list-style-type: none"> <li>○ State of the Coasts governance and management programs indicators incorporated into the Philippines National Resilience Council's Local Government Resilience Scorecard. The resilience scorecard is being applied in 10 local governments in the Philippines under NRC's LGU Resilience Program.</li> <li>○ While the above activities have incorporated awareness-raising activities, identifying and establishing evacuation routes and conducting regular emergency drills/exercises were not directly undertaken through the project since these activities are already covered and are being implemented by the local DRRM offices.</li> <li>● Output 7.1 (GOT): Achieved <ul style="list-style-type: none"> <li>○ The Gulf of Thailand (GOT) Environmental Sensitivity Index Maps published</li> <li>○ Subregional Oil Spill Contingency Plan developed</li> <li>○ National Guidelines on the use of Chemical Dispersants developed in coordination with OSRL, a noncountry partner</li> <li>○ GOT information sharing system developed</li> <li>○ GOT Strategic Action Plan 2017–2021 developed</li> <li>○ Annual National Contact Points Meeting conducted in 2014–2020</li> <li>○ Capacity for oil spill preparedness and response through the conduct of training workshops involving strategic partners such as OSRL, IPIECA, GISEA</li> </ul> </li> <li>● Output 7.2 (PSHEMS): Achieved <ul style="list-style-type: none"> <li>○ Port Safety Health and Environmental Management System (PSHEMS) Certification and surveillance services through cost-sharing arrangement implemented in ports in the Philippines (Batangas, Cagayan de Oro, Iloilo,</li> </ul> </li> </ul>	<p>and bridging work between sectors in implementing activities.</p> <p>All stakeholders interviewed were impressed by this cooperation work. It is illustrating the core aim of the regional cooperation. The use of GIS and maps need to be scaled up as it is a core principle of this work in general. This is illustrative of science for policy.</p> <p>Setting standards are central to the regional capacity building work i.e. codes and certification. PEMSEA was working with IMO as an implementing partner in early years and has been</p>

PROGRESS TOWARDS RESULTS	TE RATING	JUSTIFICATION FOR RATING	COMMENTS
		<p>General Santos), Thailand (Bangkok and Laem Chabang), and Cambodia (Sihanoukville)</p> <ul style="list-style-type: none"> <li>Environmental and economic benefits assessed: <ul style="list-style-type: none"> <li>Achieved more than 90% compliance with regulatory requirements.</li> <li>Increase in green cover in the ports</li> <li>Reduction in CO2 emissions and accidental spills</li> </ul> </li> </ul> <p>Received the <i>Asia-Pacific Economic Cooperation (APEC) Port Services Network (APSN) Green Port Awards</i> twice (Bangkok Port and Laem Chabang Port).</p>	providing port certification as priority capacity building work.
Outcome 8	HS	<ul style="list-style-type: none"> <li>Output 8.1: Achieved <ul style="list-style-type: none"> <li>Identified 300+ potential investment needs/opportunities within the UNDP/GEF project; published ICM investment Landscape Report</li> <li>Promotion of investment opportunities undertaken in various forum at regional and national levels</li> <li>New knowledge product, “<b>Enabling Blue Economy Investment</b> for Sustainable Development in the Seas of East Asia:” Lessons on Engaging the Private Sector for Partnership and Investment” published</li> <li>A report entitled, Understanding Blue Carbon Opportunities in the Seas of East Asia, provided direction and recommendations on application of blue carbon as an innovative financing mechanism at country and regional levels, which were well received by countries and other organizations. There were also a number of blue carbon workshops organized and co-organized under the project. As a financing mechanism blue carbon has merit and may be worth pursuing in the future.</li> <li>Pilot investment cases developed to validate and learn about process, partnerships, and expertise needed to develop investments on sustainable aquaculture; ocean plastic pollution; wastewater recovery; marine protection/sustainable tourism</li> <li>Generated learning on business model assessment, site assessment, types of potential investments, challenges, lessons for local engagement, etc.</li> </ul> </li> <li>Output 8.2: Achieved</li> </ul>	Knowledge management, Communication and Awareness have been noted as a key asset of the organization. The work is in fact under reported in terms of its core work on science and monitoring. In addition stakeholders say PEMSEA can do more to quantify the results of its work as it is doing incredible “work on shoe string budget”.

PROGRESS TOWARDS RESULTS	TE RATING	JUSTIFICATION FOR RATING	COMMENTS
		<ul style="list-style-type: none"> <li>Eleven learning sites established in 7 countries implemented various programs involving private sector partners</li> <li>“Sustainable Business Award” handbook developed to serve as a guide in systematically evaluating and acknowledging the contributions of corporations, companies, and other private sector entities in ICM system implementation. Discussion on the roll-out of the award for selected private/business sector partners of Bataan and Batangas, Philippines, initiated</li> </ul>	
	S	<ul style="list-style-type: none"> <li>Output 9.1: Not fully achieved (<i>Only 25% of the ICM sites have direct access to environmental monitoring programs</i>)               <ul style="list-style-type: none"> <li>11 learning sites in 8 countries have established or accessed environmental monitoring programs and information management/decision support systems</li> </ul> </li> <li>Output 9.2: Achieved               <ul style="list-style-type: none"> <li>8 National “State of Oceans and Coasts” reports completed</li> <li>3 local “State of the Coasts” reports published; 31 local SOC reports prepared and undergoing finalization</li> </ul> </li> <li>Output 9.3: Achieved               <ul style="list-style-type: none"> <li>16 ICM Learning Centers in seven countries designated and accredited to provide technical assistance to ICM sites and facilitate knowledge sharing among agencies, institutions, projects.</li> <li>2 new Regional Centers of Excellence in CCA/DRR (Institute for Global Environmental Strategies) and Sustainable Coastal Development (Coastal and Ocean Management Institute, Xiamen University) designated to provide expert advice and scientific support to countries and their partners on areas of expertise; MOAs signed between PRF and IGES and COMI</li> <li>PEMSEA Network of Learning Centers (PNLC), comprising the ICM Learning Centers and RCOEs, launched in 2015 as a platform to link scientific and training institutions to facilitate and promote beneficial experience, develop good practices, and disseminate sound information</li> <li>Regional and National Task Forces mobilized to provide technical support to national and local</li> </ul> </li> </ul>	<p>Having critical learning sites have been a key strategy and can and should be scaled globally. The partnerships and coordination facilitated with local government and civil society have been exemplary according to feedback from interviewees.</p> <p>Not only does this work express reporting of sustainable development goals and regional targets in a meaningful way that supports government meet their international and national commitments through smart monitoring and reporting. More work is needed here to scale this work up for the region and also globally. This is core PEMSEA work and should be funded.</p> <p>Establishment of learning centers has been a major feature of PEMSEAs partnerships and local governance approach to change and transformation.</p>



PROGRESS TOWARDS RESULTS	TE RATING	JUSTIFICATION FOR RATING	COMMENTS
		<p>governments in program development, project implementation, and capacity building</p> <ul style="list-style-type: none"> <li>○ PEMSEA Network of Local Governments (PNLG) with 51 members from 10 countries and 3 associate members</li> <li>○ Skills, knowledge, and support services to national and sub-national governments provided through regional, national, and subnational training</li> <li>○ ICM “Manager’s Handbook” developed; it defines the criteria and process for ICM Manager’s Certification; the process of certifying ICM managers from Cambodia, China, Indonesia, Philippines, Thailand, and Vietnam was initiated</li> </ul> <ul style="list-style-type: none"> <li>● Output 9.4: Achieved <ul style="list-style-type: none"> <li>○ Development of ACCORD (Addressing Challenges of Coastal Communities through Ocean Research for Developing Economies) Project in Kep, Cambodia, and Danang, Vietnam, a UK funded project (2017–April 2020) run jointly by the Plymouth Marine Laboratory (PML) and the National Oceanography Centre (NOC)</li> <li>○ MOU between Plymouth Marine Laboratory and MOE Cambodia signed in May 2019 focusing on the vulnerability of Kep Province to the impacts of growing coastal tourism and other human activities and transboundary issues in the area; approaches include vulnerability assessment across the coastal area (including HABs), strengthening the rationale for land and sea use zoning and identifying carrying capacities to support planning, decision-making and improved management of the coastal and marine areas</li> <li>○ MOU between PML and Danang DONRE signed in June 2019 focusing on quantifying the capacity and socioeconomic value of Da Nang Bay in cycling, processing, storing, and exporting land derived carbon and nutrients</li> </ul> </li> </ul>	<p>TER received excellent feedback by country stakeholders about the Plymouth non-country partnership.</p>
Outcome 10	HS	<ul style="list-style-type: none"> <li>● Output 10.1: Achieved <ul style="list-style-type: none"> <li>○ SEAKB interlinked with IW: LEARN global knowledge portal for promotion as a regional mode on coasts and oceans in East Asia</li> <li>○ Co-organization of workshops and seminars to promote cross-region knowledge and experience sharing</li> <li>○ Participation in IW conferences</li> </ul> </li> </ul>	<p>PEMSEA has been very active leading globally relevant dialogue on its innovation and sharing and bridging global work to the regional platform and in particular the work it has been spearheading on indicators linking SDGs and oceans governance</p>

PROGRESS TOWARDS RESULTS	TE RATING	JUSTIFICATION FOR RATING	COMMENTS
		<ul style="list-style-type: none"> <li>Output 10.2: Achieved               <ul style="list-style-type: none"> <li>Interregional Collaborative Opportunities which facilitated the exchange of knowledge and skills with the Caribbean and North Brazil Shelf Large Marine Ecosystems (CLME+) initiated</li> <li>Participation in GEF ECW for Asia Pacific and sharing PEMSEA's experience in ICM implementation</li> <li>ICM TOT training for NOWPAP member countries conducted</li> </ul> </li> <li>IW: LEARN Regional Workshop on Data and Information Management involving LMEs in the EAS region conducted</li> </ul>	

### 3.3.2. Relevance (R)

119. Stakeholders interviewed and who were active in the priority setting and cooperative governance aspects of PEMSEAs work program share the consensus that partnerships are needed for the ocean and coastal adoption of an updated regional ocean strategy, inclusive of climate, disaster risk reduction, and blue economy objectives and targets (2015), and the strengthening of regional cooperation and partnerships between PEMSEA and other regional and national stakeholders in public and private sectors to achieve international, regional, and national sustainable development and climate-related targets.

120. This project has been directly focused on PEMSEA's relevance with strategic interventions and focus on its governance/business model, mission, and mandate and priority setting processes (Component 1). The project support has squarely positioned PEMSEA against its comparative advantages (as a partnering and intergovernmental regional platform) and as a partner of choice regionally for ICM capacity building and oceans governance and policy support. PEMSEA is the go to regional coordinator for East Asia Oceans Policy and Capacity Building. The challenges of oceans and integrated ocean and coast policy have not disappeared but have become more relevant with new global commitments on SDGs, ocean and ocean's governance, and blue economy since project inception.

121. What member states and partners say about PEMSEA's relevance and matching priorities here, for instance, the learning networks and EAS congress, are valued-added to the national work program. While this is good, they also echoed that there is work to be done to improve the way the priorities are set and influence the work planning processes and also how to achieve financial sustainability for the core operations supported by its members.

122. With regards to how the project supported the organization, regarding how it sets its priorities, and how those priorities are feeding back to work programming as a process of doing business and governance, this was questioned. Overwhelmingly, stakeholders (country and non country ) reported that PEMSEA is providing excellent regional ICM management leadership and vision as well as building

capacity for coastal zone management and ocean governance policy and development. The Project has supported PEMSEA to establish niche areas of support and, through capacity building, to also spread the use of relevant innovative ICM tools. PEMSEA help member sets priorities based on feedback and agendas generally before EAS meetings and the feedback for work planning that come through bilateral discussions and side meetings.

123. Stakeholders generally agree that for an intergovernmental platform focused on policy and management support, the work program must be evidence- based. While PEMSEA is getting better at delivering to countries' needs and priorities, stakeholders say more is needed in term of the evidence for policy. There are assumptions on how priorities and needs are assessed and linked to the work programming. Generally, stakeholders say there are gaps, particularly concerning the question of the process of setting priorities as they emerge.

124. The Technical Session of the EAS Partnership Council, non-country technical partners generally agree that PEMSEA can make better use of its science knowledgeable partners to inform its emerging priorities. Here, there was an agreement among interviewees that PEMSEA should be more creative in how it employs the value-added of its partnerships for science<sup>vii</sup>. While the value of scientific input to policy and management decisions is well-recognized, say stakeholders, in PEMSEA strategy and action plans ,that is where scientific organizations can enhance input to PEMSEA policy and management operations The -science to policy or creative partnering for PEMSEA emerging priorities and adaptive planning for instance might be separated and the technical partnering might be improved through networking and/or developing a science leadership forum (similar or as part of the Ocean Leadership Forum) as part of the conduct of the EAS Partnership Council. For instance, one partnering stakeholder said, "If good members of the related science and technology STEM field are working globally and regionally, the opportunity for sharing resources and partnering on the STEM should be maximized." In terms of the regional ocean monitoring program for instance, existing scientific institutions, data, experience, and technologies are already available within the region and outside the region. China, Japan and Korea (and their respective non-county Partners in PEMSEA) and non-country Partners like IOC WESTPAC and PML have the technology and expertise to provide scientific advice and support to the PEMSEA work program.The knowledge and advice of all science-focussed Partners should be tapped through more proactive engagement and providing opportunities for exchanges of ideas, knowledge and challenges between policymakers, managers and scientists. **Annex 11** provides details on the project-supported research and policy studies.

125. As a proxy for relevance and fitness for purpose, the TE queried whether PEMSEA member countries and its non-country partners would be willing to support PEMSEA as a self-sustaining regional organization, either through more cost-sharing and/or through permanent contributions for a sustained secretariat.

126. Stakeholders overwhelmingly share consensus (evidence reviewed) a key result regarding relevance has been that the current phase GEF-UNDP support (intended to be a transformative phase) has supported PEMSEA to grow into an independent regionally relevant organization. Stakeholders interviewed say countries remain highly supportive of PEMSEA and its mission (as evidenced with the signing of the Iloilo Ministerial Declaration 2018 and country statements at the Ministerial Forum 2018). That said only China, Japan, RO Korea, and Singapore have consistently contributed financial support for

the operation of the PEMSEA secretariat since 2007, and while the Government of the Philippines has generously provided office space and utilities for the operation of the PEMSEA Office for more than 25 years, there is a need for more commitment. Other countries have contributed to PEMSEA's operation by supporting its events over the years, including hosting 6 EAS Congresses, as well as numerous meetings of the Executive Committee and the EAS Partnership Council, training, and other capacity-building activities. **Annex 12** summarizes selected National Focal Point's answers to strategic questions concerning PEMSEA; also see TE country reports, Annex).

127. The Iloilo Ministerial Declaration 2018 commits the respective governments to support PEMSEA's operation through voluntary contributions beyond 2019. The challenge, however, say key interviewees, is in the word "voluntary." No single approach or process has been agreed to by the countries for voluntarily supporting a self-sustaining PEMSEA, and China, RO Korea, and Japan are changing their perspective (based on interviewee reports) on voluntary support. PEMSEA needs to address this situation. Countries can be reminded of their commitment in the Iloilo Declaration 2018, pointing out PEMSEA's budget needs and potential shortfalls for 2021 and highlighting possible implications concerning PEMSEA's operation, including the organization and conduct of the EAS Congress 2021 and Ministerial Forum 2021. Further downsizing of PEMSEA is bound to have negative implications on the services that countries say they want. The full impact of an unsustainable PEMSEA needs to be resolved directly with the countries that created the organization.

128. As the constraints and challenges to sustainable development and management of the oceans are not dissipating, the stakeholders at the TE ascertained that PEMSEA's business model and work program need to be addressed and committed to by the countries. If countries want PEMSEA to serve primarily as a secretariat and provide services such as intergovernmental meetings and the EAS Congress, then a work program and business model can be developed, presented, and adopted covering secretariat services. However, if countries want technical advice, project development and management, capacity building, certification, access to investment, and sustainable financing, etc. to help achieve their respective priorities and objectives, then they must merge, or another business model is needed. Stakeholders interviewed say business model innovation is required in this instance, and governments will need to see the potential benefits and impacts of such models in how they can help overcome some specific challenges in their respective countries and at what cost (Some examples are provided further in this report).

129. The document "Enabling Blue Economy Investment for Sustainable Development in the Seas of East Asia" identified lessons learned and next steps, but financial resources is needed to operationalize the model and the country partners have yet to be convinced to embrace the model <http://www.pemsea.org/publications/brochures-and-infographics/executive-summary-enabling-blue-economy-investment>.

130. A key lesson from this and past investment work is not to underestimate the capacity building needs and requirements to develop local entrepreneurs in terms of building their business skills, access to financing and market opportunities. Onsite coaching and mentoring is needed to develop sound business plans that cater to local needs. Unfortunately, there was a mismatch with the expectations of international investors who were looking for shovel ready investments and the unprepared local project development.

131. PEMSEA needs to secure additional capital to fund this ‘investment enabler’ role and/or partner with other business capacity development organizations. The IRBM and IKI Projects were identified to provide some of these services but other opportunities will have to be explored as part of the updated institutional sustainability plan.

### **3.3.3. Effectiveness (S)**

132. The project has met almost all of its targets and reached a satisfactory result. (See final results and status of indicators in Table 14 and country reports in Annex). Targeting to achieve the 20% coverage of the region’s coastline (45,000 km) by ICM programs, the Project strategizes to increase the area’s extent and the resilience of ecosystems in selected priority sites of the 8 participating countries and to replicate good practices in the application of ICM tools to new sites (Component 2), supported by enabling policy, institutional arrangements, and legal environments to scale up ICM implementation on the ground (Component 1). This has been fully achieved and surpassed. In 2015, through the Danang Compact, countries agreed to a new target of 25% of ICM coverage by 2021.

133. For outcomes 2 and 3, the evaluation queried the perspective of the member states and partners on the utility and overall performance of PEMSEA’s work program through GEF support to the development of tools, sharing and building knowledge products, and services (i.e., certification, code approaches, knowledge networks, learning services, other products, and intergovernmental forums, such as Senior Government Officials Meeting, the Ministerial Forum and the EAS Congress). Stakeholders interviewed generally agreed that the partnership and networking forums, products, and services PEMSEA has developed, applied, codified, and fostered over the years are well-appreciated and recognized as innovative within the region and externally. Stakeholders interviewed say that none of these platforms, tools, and services were developed and rolled out in isolation. PEMSEA’s good approach was to plan, develop, demonstrate, and evaluate innovations in close collaboration with partner countries, local governments of the region, and other partner institutions before adoption and dissemination. A process in place in PEMSEA requires that all manuals, codes, and training materials be validated and approved by partner countries before they are disseminated and applied as PEMSEA certified products. The two networks that PEMSEA has established, the PEMSEA Network of Local Governments and the PEMSEA Network of Learning Centers, as further examples, were authorized by member countries in advance of formal recognition as PEMSEA networks.

134. Additionally, based on the partner countries’ feedback (review country reports, annex), the EAS Congress has been viewed as the “ocean event” of the region since its inception in 2003. It is hosted by a different partner country every three years, and provides the host governments at the national and local levels the opportunity to showcase their progress and contribution to the sustainable development of coastal and ocean resources within their jurisdictions and highlight how these actions are contributing to regional and global sustainable development objectives and targets. This was appreciated by host governments, government and nongovernment guests, and visitors alike as a unique occasion to see on-the-ground evidence of social, economic, and environmental impacts and benefits of ICM implementation. It allows their agencies, institutions, and communities to interact with people from the region and outside the region who are facing similar challenges. Not everything is perfect, and the

Congress is seen as a learning and sharing event that enhances partnerships, networking, and mutual support across governments, institutions, projects, and programs.

135. In addition to the growing use of the ICM standard approaches and tools that led to bilateral transboundary cooperation, there have been several instances in the region where ICM standard approaches and tools developed by PEMSEA have been incorporated into the SAPs of LMEs, which focus on the protection and management of shared resources and ecosystem services, e.g., Yellow Sea (China and RO Korea), the Arafura-Timor Seas (Indonesia, PNG, and East Timor), and the Bay of Bengal (Bangladesh, India, Indonesia, Malaysia, Maldives, Myanmar, Sri Lanka, and Thailand).

136. Key interviewees reported that bilateral agreements while not so common regionally two stick out as key results. These are the Gulf of Tonkin Fisheries Agreement (2000) that was signed between China and Vietnam, and focusing on the protection and management of shared marine resources in the Beibu Gulf. Both countries had established ICM demonstration sites (Xiamen, China, and Da Nang, Vietnam) and this has “provided a common understanding of integrated governance and management of the area, particularly among local governments sharing the Gulf”.

137. Key stakeholders interviewed reported other good examples, for instance, of the implementation of the Gulf of Thailand Framework Programme for Joint Oil Spill Preparedness and Response (2006) by Cambodia, Thailand, and Vietnam. Here they say these experiments have built and enhanced the capability of the three littoral states in planning and responding to oil spill incidents as part of the global efforts to protect the marine environment. The GOT Cooperation for example, was developed and implemented with a focus on the protection of coastal and marine resources within the jurisdiction of each country as well as common ecosystem services that sustained those assets.

138. These national governments had jointly developed a **gulf-wide environmental sensitivity atlas** that identified critical habitats/ecosystem services, infrastructure, and cultural sites in the area and strengthened the capacities of local governments implementing ICM programs in oil spill preparedness and response (e.g., Chonburi, Thailand). In both cases, the agreements were forged reflecting the PEMSEA model of partnership and integrated management. Stakeholders say that equally important, is the fact that developed and developing country partners have adopted national ocean policies inclusive of ICM and/or a national ICM policy based on PEMSEA’s efforts in ICM and ocean management. Japan, Singapore, and RO Korea, as developed nations, benefited from the ICM learning experience in other countries and developed and/or amended their national policies accordingly. China, Cambodia, Indonesia, Philippines, and Vietnam all developed and adopted a national ocean/ICM policy founded on/supported by PEMSEA. East Timor is in the process of adopting national ocean policy, with ICM as a principal approach to the delivery of policy objectives and expectations.

139. When queried on PEMSEA’s work program as to whether it was spread too thin or was just right and what suggestions might be for its scope of work, stakeholders interviewed generally agreed that PEMSEA has and should remain focused on the priorities of the country partners and develop its work program accordingly, keeping in mind that not everything can or should be done solely by the PEMSEA Resource Facility. The foundation of PEMSEA as an intergovernmental regional cooperation forum is to serve as a “partnership” organization. In this regard, PEMSEA needs to focus on what it does best with value-added support and services to its partners and who it should partner with to cover those areas of

the work program that are best suited to their organization/institution. This priority setting needs to come from the member states. While some stakeholder say this is where the funds and technical leadership might be more proactive to facilitate discussion concerning its role in generating the science and baselines toward a regional oceans monitoring program, others have the perspective that PEMSEA is not the organization to lead a discussion on an evidence-based regional monitoring program and that one might look to PEMSEA Partners, e.g., IOC WESTPAC, as the lead organizations to take on the challenge of initiating/scaling up, guiding and leading such a programs, and sharing the resulting information. Examples such as IOC WESTPAC, a PEMSEA non-country partner, were provided and already engaged in scientific activities of this nature. These stakeholders also say the likely solution would be “setting up a harmonized system of monitoring and information sharing across countries rather than a regional ocean monitoring program”. Adding the caveat that “this (regional ocean monitoring) has been tried before (ASEAN-Canada-Japan-Australia 1980s-1990s) but was not sustainable and that the way forward is to revisit previous efforts and assess the lessons”. TER feel based on this divergence in stakeholder views there is need for clarity and debate and come to a final agreement on what is the role of PEMSEA in a regional oceans monitoring program.

140. The National State of Oceans and Coasts reports developed by project focused on blue economy transformation in the partner countries. Key stakeholders interviewed say this evidence to policy work is an excellent starting point for PEMSEA and partner countries to identify relevant business model innovations that will transform their economies while delivering the SDS-SEA IP, SD, and SDG priorities within the countries, as well as other regional and global SD and ocean-related obligations that the countries have. The PEMSEA’s SD Framework is robust and can adapt to new challenges, including helping in the recovery from the COVID-19 pandemic. But, to do so, they say, ‘there must be a change in the approach and thinking’. Otherwise, the PEMSEA Resource Facility will always feel that it is spread too thin by its work program. In this regard, the TE has probed key and informed stakeholders for some solutions for improving priority setting and evidence-based policymaking for regional nature impacts.

141. In response to questions about what things will encourage the member countries to pull the organization forward, possibilities put forward by stakeholders interviewed ranged from regional coastal zone and ocean monitoring to a new business model. Partners also say there is a need for more clarity in terms of the technical work program priorities of the organization<sup>viii</sup>.

142. Stakeholders interviewed reported that more is needed on the transformation concerning bridging the national policy and institutional learning goals with the decentralized work. The opportunity here is to step up work to help partners fully embrace the blue economy nexus in policy, planning, and program implementation nationally. Stakeholders interviews say “start utilizing all of this valuable information and recommendations to develop a comprehensive, practical program and/or services to facilitate blue economy development and growth” and “keep in mind that the PEMSEA approach is bottom-up, not top-town”. This means “putting effort into establishing blue economy investments and success stories on the ground in countries that require assistance, and then develop requisite policy, legislation, financing mechanisms, sources of investment, and partnerships based on the real-life experiences”. Others contend that although most countries have done a good job, more is “required to incorporate this work at the policy level” in terms of private sector investment and sustainable livelihoods. Stakeholders stated the creation of sustainable livelihood opportunities needs “institutional change strategies” that link policy and investment stakeholders i.e. ministers of finance and

budgeting planning processes. Additionally, stakeholders share the consensus that there are some issues with linking or local-level downstream to upstream to policy and budgeting work, but countries generally have some related policies in place that are linked to the work of building capacity and expanding the ICM approach to the relevant coastlines. The approach has been to advocate for national-level coordination and/or build on what exists.

#### **3.3.4. Efficiency (S)**

143. In terms of value for money and cost-effectiveness, the decentralized and building capacity ‘learning by doing’ mode of implementation in partnership model has promoted efficiencies. The project has promoted efficiencies through an effective implementation modality and effective, capable staff. However, there is disconnect between PEMSEA’s technical work (i.e., project development and management, ICM capacity building and other technical support services) and the efficient and effective delivery of a sustainable regional business model. For instance, PEMSEA’s existing business model indicates that Partners (should be) support(ing) the secretariat via voluntary contributions, and the technical services should be self-funded through externally-funded projects and value-added services. Science and monitoring are not part of PEMSEA’s core operations, but are sometimes funded through externally-supported projects (e.g., Plymouth Marine Laboratory projects in Cambodia and Vietnam). A business model innovation would identify new ways/approaches to generating revenue to support technical services while accelerating SDS-SEA implementation and investments. Some of these have already been identified during this project. Again, TER feel these questions need to be put on the table in a discussion on PEMSEA governance and mandate before and during the next EAS Partnership Council.

144. When questioned about a legally binding regional ocean instrument, the key informants say that it is considered to be a desirable goal in regional cooperation as it would establish greater political will and commitment, providing firmer instrumental and financial foundations and legality to all of the aforementioned commitments that countries have made to strengthen ocean governance. However, the East Asian Seas region remains one of the few areas of the world without a regional convention. When questioned further, key informants say the idea of a regional convention was brought up in several cases, primarily by the UNEP as part of its regional seas program, encompassing both the East Asian Seas and the Northwest Pacific regions but the concerned countries remain unconvinced that the legally binding approach is the best option for the region given the wide diversity of countries, particularly in terms of sociopolitical and economic capacity aspects. Addressing territorial and maritime boundary disputes is another issue that complicates discussions on a regional ocean convention. Alternatively, the region has opted for nonbinding options (COBSEA, NOWPAP, and PEMSEA) that allow countries more flexibility.

145. The partnership approach, or establishment of a collaborative network of government and nongovernment stakeholders in the East Asia Region, was thus a “new paradigm” in resource management when PEMSEA was set up in 2006. PEMSEA has sought to address many of the problems associated with regional governance by building collaborative networks between nations and nongovernment stakeholders (e.g., EAS Partnership Council), and between subnational governments and stakeholders at local levels. All are involved in these governance partnerships, creating the climate for more effective, vision-focused regional cooperation.



146. With regards to cost effectiveness, the original project document had stated that the prior GEF-supported project covered 5 years and this project would be implemented over 10 years. As mentioned the first 5 years was thus viewed as the *transitional period*, in which countries, their partners, and other stakeholders have developed, agreed to and initiated implementation of framework partnership programs. While the focus of activities in the prior project was thus on national-level legal, policy, and institutional reforms for improved coastal and ocean governance, initiation, and implementation of national ICM programs and scaling up the testing of ICM as an on-the-ground practice for achieving sustainable development of coastal lands and waters at the national level, reducing land-based pollution, protecting and restoring biodiversity and habitats, and fostering sustainable coastal fisheries and alternative livelihoods for the coastal poor, this GEF support covered the *transformation period*, in which the developed regional paradigm has shifted to wider implementation and has now been evaluated for effectiveness and appropriateness from the perspectives of the concerned government and nongovernment partners, improved, and transformed from a regional arrangement under the framework of the UN into a self-sustaining, long-term regional facility with a legal personality. GEF with PEMSEA had in fact already demonstrated the importance the project role as an enabler and a catalyst. The project has leveraged the GEF resources to pave the way for much more in terms of resource commitments from and benefits to a variety of partners and stakeholders in the region, including for the marginalized, resource-poor communities, whose livelihoods are dependent on the coasts and oceans. So while the work is succeeded and stakeholder are happy the interviewees also state that PEMSEA has been doing the “incredible work” on a “shoe string” budget. The current need expressed by stakeholders interviewed is for core commitments to operations and more focus on core offers i.e., science and regional monitoring. These are larger structural changes needed to in fact say threat the efficiency gains was getting results.

147. Based on this project and building on the fundamentals of the prior stages, the mechanism is firmly established and the “learning” benefits and results of the local, national, and transboundary initiatives are now become evident. The strategy of the Project has been to build on the operational and core set of partnership arrangements, capacities, and capabilities that have been established to date at the regional, national, and local levels and it has done this. This project has completed what it set out to do which is facilitate the scaling up of SDS-SEA implementation to a wider number of local governments, expanding the areal extent of ICM coverage – now 25% target, tackle key issues related to the implementation of national policies, and supporting legislation concerning sustainable development, habitat restoration, sustainable fisheries management, pollution reduction, etc. The scaling-up has featured higher levels of engagement with local governments in PEMSEA partner countries and begun to expand and refine the range of ICM tools, methods, and instruments. All of this work has been appreciated by governments and partners interviewed during the TER.

148. Some notable examples of results related to relevance and efficiency, a sustainable regional mechanism for the implementation of the SDS-SEA is now firmly in place; the integration of ICM scaling up programs into the national economic development programs of the majority of participating countries has taken hold- see results sections; the replication of good policies and practices into public and private sector financing programs for pollution reduction has gained traction; operationalizing an ICM Recognition/Certification system to measure progress and conformity with the ICM Code has moved forward; the incorporation of the State of Coasts reporting system is achieved in the national reporting systems on marine and coastal resource management. The main critic has been the financing for the core operation of the secretariat. Without core funding the staff will be a risk to sustainability. Additionally

at the country level, stakeholder interviewed report the links between the work with local government and the national coordination mechanism can continue to be strengthened or policy. Blue economy work is advancing and this is a key area. (See national reports)

149. This is an evolutionary process for PEMSEA, not an abandonment of what PEMSEA does. PEMSEA will continue to scale up the application of ICM or more broadly integrated management approaches across the region, both geographically and functionally, addressing existing and emerging challenges to sustainable development through building resilience and fostering adaptation and innovation. Blue economy is an emerging challenge for many countries, as evidenced in the national SOCs. PEMSEA, in keeping with its vision and mission, can address this challenge through innovation, value-added services, and novel partnership arrangements.

150. An example of working towards this direction is the pending proposal to IKI to assist EAS countries reduce maritime transport emissions through integrated transport modality in partnership with IMO. This will facilitate PEMSEA country partners' implementation of IMO's 2018 initial strategy for reducing GHG emissions from ships: in the short-term by adopting reduction measures applicable by 2023 (e.g. ship speed regulation, energy efficiency reinforcement), and by using low carbon fuels, among others. The project appraisal mission to develop the full-blown proposal will start in March 2021 for a period of 6-8 months.

151. Other emerging opportunities are currently being explored to help countries/local governments secure and/or allocate climate financing and dedicate specific budget allocation of these funds to coastal and ocean related action through the application to GCF as a regional accredited agency and/or working with LGUs/country partners to navigate budget sources for climate change and disaster risk reduction programs.

152. Leadership and vision will support the continued viability. Steering the member and non-country partners at this juncture is absolutely essential. It is now time for requesting from members a hard look at the work and accomplishments to date as eminent. TE advise to engage in a study on the cost effectiveness and value added including a review of the governance arrangement and mandate i.e. moving to coast/oceans monitoring etc. and seek for more sustained resources concerning operations as an expression of will and relevance.

### **3.3.5. Country ownership**

153. The project implementation approach is based on assumed demand for cooperation, country interregional collaboration and ownership for the work. A key strength of the project approach as reported by a diverse group of stakeholders interviewed has been the country ownership for the work program and especially at the local government and downstream /community levels. Stakeholders interviewed at the national level appreciated the downstream implementation and stakeholder engagement as a key feature of the PEMSEA change approach. The project has employed a bottoms up approach to ICM reported by interviewees during TER as having led to raised awareness of coastal resource management issues and instilled a strong sense of ownership and action at the local level.

154. The country ownership is high and the demand for this work is strong and becoming increasingly relevant based on interviews held at TER. Country commitments to and ownership of the project was demonstrated by initiatives undertaken by the concerted efforts of the participating countries since inception:

- a. Formulation and adoption of the *Haikou Partnership Agreement and Partnership Operating Arrangements* for the implementation of the SDS-SEA, signed by Ministers of participating governments during the Ministerial Forum of the EAS Congress 2006,
- b. Formulation and adoption of the Manila Declaration and the Changwon Declaration, which took place during Ministerial Forums and EAS Congress 2009 and 2012 respectively, and charted/re-affirmed directions and courses of action,
- c. Formulation and adoption of the Agreement Recognizing the International Legal Personality of PEMSEA, signed by Ministers of 8 participating governments during the Ministerial Forum of the EAS Congress 2009,
- d. Formulation and adoption of Danang Compact and Iloilo Declaration during the Ministerial Forums and EAS Congress 2015 and 2018, respectively, reaffirming the country commitments to implement the SDS-SEA using ICM as delivery mechanism and providing voluntary contributions to PEMSEA to sustain its operations beyond 2019.
- e. Financial commitments to the establishment and operation of the PRF Secretariat Services, including, in particular, cash contributions by Timor Leste,<sup>15</sup> China, Japan, Singapore and RO Korea, through Cost Sharing Agreements (CSA) with the UNDP,
- f. National consultation meetings, workshops, and forums undertaken from January 2010 to June 2013 in Cambodia, China, Indonesia, Lao PDR, Philippines, Thailand, East Timor, and Vietnam with a total of over 400 participants, including national and local government officials and representatives of research and education institutions, NGOs, corporate and private sector, and communities. These events have been able to take stock of experience and lessons learned in the past project implementation and identify national needs and priorities that have been reflected in the formulation of this Project Document.
- g. Since this project agreement was signed, country demand for support has increased for support in implementing new global agreements that related to this work including: SDGs and Agenda 2030, (2015-17), Climate Change and Paris agreements 2015, Sendai 2015, Oceans Economy.

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<sup>15</sup> The PEMSEA Terminal Evaluation notes that the commitment by East Timor Leste, ranked at number 147 in the 2011 Human Poverty Index, of USD 100,000 to ensure participation in the SDS-SEA Project is a further and special example of country commitment." (p. 56).

- h. Formulation and adoption of Marine Debris Initiative by the PEMSEA Network of Local Governments during the PNLG Forum in 2019.
- i. Renewal of the Memorandum of Agreement for the Continuing Operation of the China-PEMSEA Sustainable Coastal Management Cooperation Centre beyond the life of the SDS-SEA project with financial and technical support from the Ministry of Natural Resources China.
- j. Mainstreaming the SDS-SEA/ICM targets into the National Development Plans of countries (e.g., Indonesia's National Medium Term Development Plan (RPJMN 2020-2024) under Presidential Decree No. 18/2020; Philippine Development Plan 2016-2022; Vietnam National ICM Strategy to 2020 with Vision to 2030, etc.)
- k. Exceeding the co-financing commitments of USD 138,555,467, as indicated in the Prodoc from the national and local governments, to USD 341,481,590 at the end of the project (refer to Table 11).

### **3.3.6. Gender Mainstreaming and social safeguards**

155. The project intended to see socioeconomic benefits and gender mainstreaming through all the work serving to strengthen the impacts of the interventions on the governance and management of the seas of East Asia. There was expected to be a mutually reinforcing effect between and among the objectives of improving the environment, optimizing economic benefits, and improving the role of women. While the project strategy stated the beneficiaries would benefit indirectly, the true value-added of the GEF support to PEMSEA lies in the focus of the support to improving regional governance and generating analyses, tools, transboundary linkages, and knowledge exchanges which support pilot demonstrations through the baseline projects, and in turn leverage future investments and partnerships to scale up and mainstream in the long run. Without the GEF support, there would not have been resources for the analyses, tools, and exchanges to support the scaling up and mainstreaming.

156. Social safeguards were not a requirement at design but in all future projects of UNDP, building and design safeguards and mainstreaming explicit targets are essential. So, while the ProDoc did not address gender issues, nor was there project funding for gender-relevant activities, outputs, and outcomes, it was understood (based on testimonials and anecdotal evidence).

157. Additionally, since the project was submitted under the GEF-5, there was no explicit requirement to address gender equality in monitoring, whereas, under GEF-6 and later funded projects, gender-specific outcomes and targets had to be included. Despite the lack of gender-related activities and targets in the project design, evidence from the country reports and TER national teams indicates a very high level of encouragement of equal representation of women and men in project activities, and all interviewees responded positively to related questions.

158. The MTR picked up the gap in monitoring and there was a marked change in PIR reports from MTE2018. For instance, in designing pilot activities in Indonesia, the project formulation has considered gender mainstreaming and women's empowerment to be in accordance with the national development goals set out in the 2015-2019 RPJMN (Presidential Decree No. 2/2015). Component 2 of the project (outputs 4 and 5) supports the national development goal of improving the quality of life and the role of women in development. (Also see country reports- Gender sections).

159. Activities were implicit in the activities under component 2 and throughout the implementation approach for example, designed in the form of increasing alternative livelihoods for fishermen wives and women who actively play a role in managing pollution (domestic waste) in coastal and marine areas. Other examples of these design consideration are provided in the country reports in Appendix A. Additionally as per the 2018 performance review and supported by TER consultations, in compliance with international fiduciary standards, PEMSEA's control mechanisms have been enhanced with the development and adoption of environmental and social safeguards which include gender mainstreaming policy.

160. Gender development has been included as part of the priorities in the SDS-SEA Implementation Plan 2018-2022 and a PEMSEA Women's Programme will be developed and incorporated in the implementation of the Sustainable Development Strategy for the Seas of East Asia (SDS-SEA), and of Integrated Coastal Management (ICM) programs at the local level.

161. Also reported in the PIR report 2018, capacity building initiatives of PEMSEA provides significant opportunities for women and youth engagement:

- Gender balance in representation of women (47%) participating in training events organized by PEMSEA in 2018.
- Two out of five ICM professionals who participated in the PEMSEA Traineeship Programme in 2018 were women (Indonesia and China).
- 41% women representation in regional training events organized by PEMSEA as of June 2019
- 50% women representation in national and site level consultations and workshops (385 out of 769) in Indonesia, Lao PDR, Philippines, Thailand, Timor Lester and Vietnam as of June 2019
- Regional Session on Empowering Women, Balancing Gender, Adapting for Climate Change and Strengthening Marine Environmental Protection in the Port and Maritime Sector being organized for the EAS Congress 2018

162. Integrating awareness raising on sea/islands and environment and promoting gender equality and participation of women in national events in Vietnam, such as:

- Vietnam Sea and Islands Week in Bac Lieu Province on 31 May to 1 June, 2019
- Consultations on Resolution No. 36-NQ/TW on Sustainable Strategy for Vietnam Marine Economy Development to 2030, vision to 2045
- Ocean plastic waste prevention and management

- National campaign on prevention of plastic waste (6/6/2019 in Hanoi)

163. About 60% of PRF staff are also women handling key positions in the organization.

### **3.3.7. Cross-cutting Issues**

164. The project design around ICM approaches included cross cutting areas and interlinkages including on emerging priority areas of climate change and rapid biodiversity losses. Cross cutting areas thus include: poverty alleviation, improved governance, climate change mitigation and adaptation, disaster prevention and recovery, human rights, capacity development, South-South cooperation, knowledge management, volunteerism, etc. and all are critical to PEMSEAs integrated showcase offer. The project set out to inherent showcase and introduce the linkages embodied by sustainable development approaches of ICM and linking economy, environmental and social dimensions of development. The entire ethos blue economy is about these linkages and marrying the economic development with green concepts related to growth and development. Stakeholders say more can be done on blue economy policy, climate change and support to implementing the Paris and related Biodiversity agreements.

165. Vulnerability assessments were facilitated in the pilot sites as a focus and in several cases climate change adaptation was the primary target. National evaluation reports highlight that more is need to increase awareness sand capabilities for zoning, planning and adaptation measures. This is a rolling target and in great demand based on feedback from national experiences. The project hosted climate change workshops and garnered suggestions from climate change experts. For instance, future work can be focused on the most vulnerable group (e.g., fishers, women, disabled. etc.) needs and priorities assessments and reflected in the future project's design. The project has showcased through the knowledge management forums these activities to improve zoning and habitat rehabilitation. The pilots included promoting alternative livelihoods for coastal communities to support coastal community resilience.

### **3.3.8. Catalytic Role/Replication Effect - Analysis Continued from GEF additionality section above.**

166. The GEF increment was a consolidated and transformative set of actions that would serve as a model for other regions, national, and subnational governments at the global level. Sustainable development of coastal and marine areas will be undertaken through a regional coordinating mechanism that enables the implementation of the regional strategy, which features commonly defined goals, objectives, and targets. ICM serves as a management and governance framework within which well-coordinated, cohesive, scientifically credible, networked sets of actions and support systems hold the potential to generate benefits and equitable access at multiple scales. For instance the project document baseline reports there are over 60 LMEs and linked watersheds/catchment areas around the world that would continue to benefit from sharing of knowledge and exchange of ideas based on the PEMSEA experience. The replication would thus be facilitated building on this project success with a strong cooperation focus on partnering and knowledge management using existing, new, shared, and innovative platforms and media.

167. The GEF funds were thus agreed to support a model of regional and national cooperation and series of good practices which other regions would learn how to galvanize commitments to increase levels of investment in ocean and coastal development, using a regional strategy. Additionally, thought to be important was the ‘valued added’ and that this “level of cooperation can be achieved in a region where there is marked social/cultural, political, economic, and environmental heterogeneity across the countries<sup>16</sup>”.

168. The UNDP /GEF project replication and catalytic role was built into projects implementation strategy and theory of change/ partnering approach with the sustained investment in the establishment of PEMSEA as a function of a regional organization with a knowledge- and learning-focused value proposition that continues to be relevant and functioning.

### **3.3.9. Sustainability: financial resources (ML), socioeconomic (ML), institutional framework and governance (ML), environmental (L), and overall likelihood (ML)**

169. Based on the ProDoc, key assumptions have been pronounced about the project strategy and sustainability. These assumptions and the final progress follow.

#### *Environmental sustainability*

170. The project is focussed on supporting oceans and coastal environmental concerns from a policy and capacity support perspective and much has been achieved in this regard. Based on the project document (replicability section) and discussion with regional and national level stakeholders, the environmental sustainability is inherent in the application and massive scale-up in the region of the ICM framework and approach.<sup>ix</sup>

171. Finding during TER has been that stakeholder says to have results that are meaningful including impacts level nature results and environmental sustainability, future cooperation can aim to stronger ‘science- regional monitoring-based partnerships’ and scale up the national state of the oceans work to a more salient real-time monitoring of the oceans and coasts for better regional priority setting and monitoring. Stakeholders during TER, for example tend to agree that the future cooperation might support partnering on oceans and coastal monitoring and negotiating data sharing arrangements and sharing advances in technology, drones, apps, methods, etc. Additionally, they recommend a continued upstream – downstream policy focus on blue economy, including the costing and valuation of ecosystem capital and services, bring in higher levels of awareness and participation of the business/corporate sector, and providing opportunities for responsible investments, is already showing an increase in the chances of an environmentally sustainable future about the oceans and coasts.

#### *Financial sustainability*

172. The project would address financial sustainability through a series of measures designed to assist local and national governments to diversify sources of financing for sustainable development of coastal and marine resources and reduce reliance on external financing assistance.

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<sup>16</sup> Project Document

173. The project directly aimed to increase financial sustainability at the regional level through component 1 which dealt with the broader concept of partnerships, including those concerning the voluntary financial and cost recovery contributions from member governments, participating governments, and agencies. The project contributions were substantive through the three ways mentioned above. However, the concept of financing core operations of PEMSEA is embodied in the host country agreement and the willingness of the participating government to sustain the operation through contributions. The vagueness of what PEMSEA constitutes however was illustrated by some stakeholders who held a notion that PEMSEA was a “NGO” vs an intergovernmental mechanism linked to a binding agreement. It is timely for a discussion on governance and mandates linked to contributions of the platform.

#### *Social sustainability*

174. As mentioned above in the gender mainstreaming section above, while the project did not have formally required safeguards or gender screening and monitoring at the inception, this gap for project monitoring gradually built-in through implementation of key activities under component 2 i.e. DRR, Fisheries and especially after the MTR comments and was explicit through the implementation approach.

175. Detailed profiles according to interviews with implementing stakeholders in the national sites, reported these profiles were prepared for each priority ICM site. The profiles included a review of socioeconomic, demographic, biophysical information and identification of local and national stakeholders and their respective roles. The social analysis was advanced during the inception phase to include conducting screening assessments to identify, validate, and analyse the social issues and concerns pervasive in each site. Also, TER learned in the course of implementing, vulnerability assessments were conducted and include consideration of populations and social groups that might be exposed to different forms of risk from natural and man-made disasters- see DRR expected outcome. This information has fed into national consultative processes during the formulation of alternative/sustainable livelihood, CCA/DRR management, and action plans that will give due consideration to social issues.

#### *Institutional sustainability*

176. As highlighted, all throughout this report, the institutional sustainability would be facilitated through the confirmation of the legal personality of the PRF, which will offer a permanent, regionally owned coordinating mechanism for scaling up the SDS-SEA and beyond. In many way this has been achieved, for instance a hosting agreement with Philippines has been achieved. MOUs have been signed and executed with partners. Government continues to make commitment on coastal ICM coverage together.

### **3.3.10. Impact**

177. **The project goal** is to reduce pollution and rebuild degraded marine resources in the East Asian Seas through the implementation of intergovernmental agreements and catalyzed investments. Additionally, the **project objective has been to** catalyze actions and investments at the regional, national,



and local levels to rehabilitate and sustain coastal and marine ecosystem services and build a sustainable coastal and ocean-based economy in the East Asian region.

178. Facilitating/contributing to the development of ocean policies/ICM regulations through foundational ICM good practices, knowledge products and reference documents, conduct of trainings, organizing cross fertilization and knowledge sharing within the EAS Region and other LMEs, growing a pool of ICM talents and experts through internship in PRF and has then worked in influencing or moving ICM practice in their respective countries and engagement of communities in livelihood development. This has strengthened the institutional mechanisms on coastal and marine areas using ICM as a governance and management framework that has been systematized in line with the requirements of two prevailing international standards (ISO 9001 and ISO 14001) for easy replication to support scaling up.

179. Pioneering the development of National State of Oceans and Coasts Reports with a blue economy theme, which is a significant step beyond the traditional State of Environment reporting, in that the SOC looks deeper into the value and contributions of oceans and marine ecosystems to regional and national economies, livelihood and welfare; impacts of human activities; and linkages to various areas of investments; as well as highlighting intervention needs, policies and other governance mechanisms to respond to changing environments and climate. The NSOCs provide consolidated baseline information on the state of ocean health and ocean economy and blue economy innovations in 10 countries and has fostered interagency and coordinated collaboration in access and sharing of national data and filling information using the modified DPSIR (drivers-pressures-state-impact-response) framework. This is a first in a region where disparity in economic, political, social capacity and resources is notable. The aim is to regularly update the SOC and use it as a tool to monitor the development impacts of initiatives on the state of the coasts, communities and economies as agreed to by the countries in the Iloilo Declaration.

180. Unpacking the concept of Blue Economy, adopting a common definition through the Changwon Declaration and providing country examples and models on working towards securing blue economy, which employs an alternative economic growth strategy in the coasts and oceans with low environmental impacts.

181. Developed and implemented the indicator-based State of the Coasts reporting in for local governments, including a tracking system for the PNLG as one of the sections of the SEAKB to monitor and report on their accomplishments in line with their commitments to SDG 6, 11, 13 and 14. This is a first in the world where attempts to clearly link local actions and solutions in a more systematic manner has been established. Furthermore, an interactive regional ICM map as additional section of the SEAKB has been created to capture all related initiatives and more clearly show the EAS region's contributions to the global ocean agenda and progress in ICM.

182. The project contribution to this goal and the objective has been significant through the work program supported by three interconnected Project components and ten planned outcomes that had been directly mapped on the SEA –SDS. Through this project, work program has met almost all of its targets and reached a satisfactory result (see Table 14). Targeting to achieve the 20% coverage of the region's coastline (45,000 km) by ICM programs, the Project strategizes to increase the area's extent and the resilience of ecosystems in selected priority sites of the 8 participating countries and to replicate good

practices in the application of ICM tools to new sites (Component 2), supported by enabling policy, institutional arrangements, and legal environments to scale up ICM implementation on the ground (Component 1). This has been fully achieved and surpassed. In 2015, through the Danang Compact, countries agreed to a new target of 25% of ICM coverage by 2021.

183. The project has promoted efficiencies through an effective implementation modality and effective, capable staff. However, there is disconnect between PEMSEA's technical work (i.e., project development and management, ICM capacity building and other technical support services) and the efficient and effective delivery of a sustainable regional business model. For instance, PEMSEA's existing business model indicates that Partners (should be) support(ing) the secretariat via voluntary contributions, and the technical services should be self-funded through externally-funded projects and value-added services. Science and monitoring are not part of PEMSEA's core operations, but are sometimes funded through externally-supported projects (e.g., Plymouth Marine Laboratory projects in Cambodia and Vietnam). A business model innovation would identify new ways/approaches to generating revenue to support technical services while accelerating SDS-SEA implementation and investments. Some of these have already been identified during this project. Again TER feel these questions need to be put on the table in a discussion on PEMSEA governance and mandate before and during the next EAS Partnership Council.

184. 41 ICM sites (less 3 from Lao PDR) in the 7 countries were directly supported by the project and thus contributed to achieving the 20% coastline covered by ICM target. The additional target reach of 25% is a testament to country partners' commitment and support to ICM over and above the target agreed in the Da Nang Compact of securing 25% of the region's coastline covered by ICM by 2021. These additional ICM sites are covered by the government's program based on national policy/strategic plan/law on sustainable development of the oceans and coasts and other donor-based programs in the 7 countries, including other countries that adopted the SDS-SEA, were included in the estimates (Table 11 of the ProDoc). The participation of other actors in sites outside of the 41 ICM sites in the project was in the form of attendance in various regional, national and local level training workshops, consultations and collaborative planning, as observers in the PNLG Forums and as participants in the EAS Congress, etc.

#### **4. CONCLUSIONS**

185. Generally based on this TER, PEMSEA has performed BASED on the plan and countries are happy. However, at this juncture of UNDP/GEF support, the critical things that need addressing including sustainability and how emerging needs and priorities are being raised. Continuing to address the needs and priorities requires a reflection on governance and coordination of the regionally available evidence and with expert guidance. In terms of transformation on the institutional side, there is a room to fully embrace the blue economy in the governance plan as evidence by the SOC reports.

186. There were some issues raised during the TER evaluation about how to more concretely link the local level downstream work to upstream to policy work but, generally, countries have some form of related policies in place that are linked to the work at building capacity and expanding the ICM approach the relevant coastlines. PEMSEA's governance and management mode has always been directed at three levels: local, national and regional. The work program on the other hand has tended to be more bottom-up than top-down, with the objective of validating approaches and policy on-the-ground before

advancing/proposing national and regional policy. Previous statements in this TE report indicate that all PEMSEA countries, including developed country partners, have learned from PEMSEA's approach and have incorporated the experiences and knowledge products into national ICM and/or ocean policies.

187. Furthermore, if PEMSEA wishes to differentiate itself from other regional organizations operating in the Seas of East Asia, it must continue to provide leadership and innovation in sustainable development of coasts and oceans, and continually refresh its outlook. "Similar or at a minimum" should not be acceptable to PEMSEA... only a PEMSEA that helps countries achieve successful and replicable solutions to sustainable development and blue economy growth should be acceptable.

### **Outcome 1: Partnership and 'Oceans and Coasts Governance' PEMSEAs Business Model**

188. Key stakeholders put forth that for regional efforts to be meaningful, the work must be complemented by actions at the national and local levels, particularly the planning and decision-making processes. At the national level, for instance, key stakeholder put forth that PEMSEA countries supported by this project have set pragmatic, measurable targets that are *indicative of progress for improved coastal and ocean governance, including adoption and/or upgrading of national ocean policy, national SDS-SEA/ICM implementation plans, multi-agency/multi-stakeholder institutional mechanisms, scaling-up ICM coverage of national coastlines, capacity building, ratification, and implementation of ocean-related international conventions, and monitoring, evaluation, and adjustment of progress toward national and regional policy objectives and targets (e.g., State of Ocean and Coasts)*. Most of these targets have been achieved by the completion of this project. Additionally, the devolution of work authority to local levels has been viewed by stakeholders as "progress" in ocean governance in various areas discussed.

189. Stakeholder share a consensus that solid leadership is an essential element in successful ocean governance. Leadership in the sense that it does not simply refer to rank or position, but more to actions "that demonstrate conviction and determination to bring about change, willingness to champion, effective use of available resources and networks, willingness to take risks, efficient teamwork and collaboration, innovation and creativity, effective communication and knowledge sharing, and a result- and impact-oriented focus". The role of leaders and champions, say stakeholders interviewed, is critical to further coastal and ocean governance in the region. Identifying innovative measures is essential to overcome existing governance challenges, and empower persistent and committed leaders from not only government but also civil society, business, and the community as well to take positive steps that effect change and bring benefits. It is not an easy task, but stakeholders agree that PEMSEA has been able to take it on in the past and must stay committed for a successful future transformation.

190. Proposals for improving governance were put forth by key informants to consider. For example, several put forth the following: a) develop sub regional conventions or agreements between neighboring countries (e.g., Gulf of Thailand) where sociopolitical and economic conditions are similar and which could later be incorporated into a greater whole, b) merge various institutional programs on ocean management into a unitary institutional regime (e.g., ASEAN +3); or c) create business model innovations that cut across and are shared by different regional arrangements, thereby strengthening cooperation and interaction across institutions and programs. Other approaches or combinations of approaches may be considered in close collaboration with countries and regional institutions. Stakeholder say "that while it may not be possible to reach a consensus before the next Ministerial Forum, it may be possible to reach

an agreement on a road map to strengthened ocean governance with acceptable signposts and a timeframe". The TER conclusion is that PEMSEA consider moving forward with an informed discussion on Governance.

### **Outcome 2: Substance and work program, Science-for Policy Related ICM work**

191. Stakeholder share a view that PEMSEA is getting better at delivering to needs and with adaptive management, an approach learned through this project assistance. There were some issues raised during the TER evaluation about how to more concretely link the local level downstream work to upstream to policy work but, generally, countries have some form of related policies in place that are linked to the work at building capacity and expanding the ICM approach the relevant coastlines.

192. The approach has been to advocate through these active networks for national-level coordination and/or build on what exists. More might be done to network the business community and the ministers of finance into this work, especially for the blue economy-development nexus.

193. The technical meat of ICM and ICM assessment work, i.e. SOC reporting, is viewed to be central to the PEMSEA mandate and might continue with greater focus on supporting holistic data sets and GIS pictures (Evidence for Policy) and linking this to PEMSEA's 'binding ' governance potential and work planning processes. SOC is one instrument in the ICM tool box, but the entire tool box needs to be employed to achieve sustainable development. To this end, PEMSEA's work can better link to existing scientific organizations and institutions through partnerships, not to duplicate their work. Based on this evaluation, there is a need to have discussion on monitoring during the governance meetings for clarity.

194. Other cross-cutting issues such as land-use change and climate change, the nitrogen cycle, ridge to reef management, etc. ential transboundary, regional governace and management. In the past this has been achieved through advocating and being a knowledgeable ambassador with a wide range of stakeholders to mobilize (a key value-added). Being a science STEM to policy mangement lead has begun in the subregion, but more work is needed. This could be through LMEs in order to better coordinate the science. Gaps and clarity on regional ocean monitoring program are needed. Improved networking and partnership arrangement would strengthen opportunities for scientific input into PEMSEA strategies and work programs and to identify emerging concerns and priorties for targetted research.

### **Outcome 3: Knowledge management and sharing**

195. In terms of good practice and promoting regional cooperation, the need expressed is to continue to build the partnership model, share regional and nationally the good practices and provide the capacity building on needs on priorities expressed by the countries with our audience and scientific inputs at a minimum to remain relevant.

196. The work under component three is regarded as central to PRF and project good performance and expected results. Knowledge management approaches have been a key asset of the PRF. In this regard, PRF can continue its good practice on resourcing partnerships, knowledge management (products and services), visibility, and communication and specifically on quantifying the expected results. PEMSEA can continue supporting local and regional knowledge networks to support national implementing and downstream-upstream policy work, share the innovations and good practices

regionally and nationally, and support networking and capacity building on the need for priorities expressed by the countries to remain relevant.

## **5. RECOMMENDATIONS**

### **Institutional and financial sustainability**

- As to future PEMSEA institutional sustainability, the onus is on the PRF to improve its capability of accessing and working within the GEF programming and portfolios to fulfil the needs of countries for SDS-SEA upscaling.
- PEMSEA needs to support the design of an institutional continuity plan and the design of a next-generation human resources strategy to supplement the good human resourcing already in place. Most of the staff members are on projects, and this poses a risk. As discussed, this is inconsistent with PEMSEA's structure and function as a) secretariat; b) technical services support.
- The current COVID-19 disaster represents an opportunity to consider the importance of assessing the digitalization and technological situation of PEMSEA business and work processes. This work will also need to be conducted soon to keep the knowledge-based organization relevant and functioning optimally.
- Concerning PEMSEA's regional oceans and coastal management work as a scientific policy-regional organization, some level of GEF support or partnering/joint implementing arrangement is required. The emerging challenges and issues in the East Asian Seas region that PEMSEA should focus on highlighted by the informed stakeholders interviewed and the review in general show priorities have shifted. While this is an evolutionary process for PEMSEA, it is not an abandonment of what PEMSEA does. PEMSEA can continue to scale up the application of ICM or more broadly integrated management approaches across the region, both geographically and functionally, addressing existing and emerging challenges to sustainable development through building resilience and fostering climate adaptation and innovation. Blue economy is an emerging challenge for many countries, as evidenced in the national SOC's. PEMSEA, in keeping with its vision and mission, can address this challenge through innovation, value-added services, and novel partnership arrangements.
- An example of working towards this direction is the pending proposal to IKI-BMU (German Environment Ministry) to assist EAS countries reduce maritime transport emissions through integrated transport modality in partnership with IMO. This will facilitate PEMSEA country partners' implementation of IMO's 2018 initial strategy for reducing GHG emissions from ships: in the short-term by adopting reduction measures applicable by 2023 (e.g. ship speed regulation, energy efficiency reinforcement), and by using low carbon fuels, among others. The project appraisal mission to develop the full-blown proposal will start in March 2021 for a period of 6-8 months.
- Other emerging opportunities are currently in motion to help countries/local governments secure and/or allocate climate financing and dedicate specific budget allocation of these funds to coastal and ocean related action through the application to GCF as a regional accredited agency and/or working with LGUs/country partners to navigate budget sources for climate change and disaster risk reduction programs.
- Work on Blue economy policy and private sector engagement and networking should be stepped up.

### **Partnering: Governance, Mandate**

- Governance arrangements should be reviewed. It is necessary and imperative for all country partners to contribute financially to the operation of the PEMSEA secretariat as soon as possible. Financial support from *all* PEMSEA members is conducive to a lasting partnership arrangement. Voluntary contributions from countries need to be committed and submitted on a regular basis.
- An impact study of PEMSEA value-added at national and regional levels can be done as soon as possible. While it is almost impossible to quantify the value-added, the indirect effect of being able to make practical use of ICM approaches and monitor the state of oceans and coastal at the regional level is tremendous. Countries need to be asked to consider the importance of value-added and put it to use. There was an effort in 2019 which resulted in a report on a Post-2020 direction for PEMSEA, and now need is to bring this report to life. PRF should put some time and effort into evaluating what this project has accomplished (SOCs, financing mechanisms, new services, business model innovation, new partnership opportunities) and develop a business plan/project proposal(s) to countries, Council, partners, etc. based on these outputs, the expertise and knowledge that they have generated, and the partnerships that have been forged. There is no magic solution! It's all there...but it needs to be digested and packaged in a manner that Partners can better understand and appreciate.
- The PEMSEA focus on good performance should continue as it will be through performance that it can work towards a value-added intergovernmental platform on the ocean and coastal governance and the scale-up of the ICM/blue economy work. PEMSEA has something to add to the region. Such success will be based on evidence of merit and benefit from the PEMSEA program.

### **Monitoring and capacity for ICM science-based policy, priority setting, and implementation of SAP target areas<sup>x</sup>**

- PEMSEA can continue to show its value proposition and value-added by augmenting its science- and non-member partnerships, integration and inclusiveness including the political and science stakeholders and partnering and bridging with them. For instance, if there are good people globally and regionally, maximize the opportunity with other LMEs. SOC is a promising planning and management tool; this work can be extended in partnership with ongoing work in the region for instance synergies should be explored with ADB –coral triangle project and other oceans research funding, UNESCAP- SDG and environmental statistics are good examples of possible partners.

### **Knowledge management and building capacity for policy and SAP implementation**

- Fostering regional and academic learning networks of the local government to support the PEMSEA SAP implementation, communication, and visibility for policy and regional governance has been a global good practice. This solid work forms a key implementation strategy for PEMSEA. This coordination, inclusive work planning, and networking work must continue to support the implementation of capacity building and also achieve the policy targets.
- Technology and strategies for knowledge management might be reviewed in light of the COVID-19 pandemic for optimization.

## **6. LESSONS**

- Complex challenges facing coastal and ocean ecosystems require a combination of science and policy, legislation, education, financing, capacity building, and partnerships to effect change.
- Given limited budget and time, establish synergy and partnerships with relevant agencies and organizations with similar programs and build on the accomplishments of completed and existing programs on coastal and marine management for cost effectiveness and efficiency.
- Identify national and local leaders who can serve as champions
- Recognizing the contribution of partners and stakeholders encourages greater participation.
- Showcasing local benefits creates better appreciation of project's impacts
- Strategic adaptive management needs to be applied in cases where political and administrative conditions and changes are affecting the implementation of agreed project work plans/actions.
- Project implementation is not a "one size fits all" arrangement. The process of adaptive change takes time.
- People with capacity, capability and commitment to carry on required work, even after donor funding terminates contributes to sustainability.
- Do not underestimate the time and resources to make meaningful progress to develop projects to attract private capital. There is a need to invest in building entrepreneurial skills and capacity within PEMSEA and local partners. Collaborating with business training enterprises could be useful.
- The crisis triggered by the Covid-19 pandemic offers valuable lessons on how project implementation can still be effectively undertaken through remote and online work. It is anticipated that the pandemic will shape future planning, implementation and monitoring of projects by instituting adaptive measures that are proven to be working in the current crisis.

Table 16. Consolidated lessons learned from the National Terminal Evaluation Reports

DESIGN	IMPLEMENTATION APPROACH AND ARRANGEMENT	RESULTS
<b>CAMBODIA</b>		
<ul style="list-style-type: none"> <li>• A lesson we collectively learn, but which keeps recurring, is the slow start-up phase: in design, a practical management arrangement needs to be prepared but also needs full commitment as soon as possible.</li> </ul>	<ul style="list-style-type: none"> <li>• The key challenge remains the building of robust institutional and human resource capacity at the sub-national level. This was recognized as a barrier, and tackled with targeted capacity building, use of external service providers, and formulation and strengthening of community groups, but requires continued attention.</li> </ul>	<ul style="list-style-type: none"> <li>• The joint effort of enhancing local governance with targeted livelihood and technical support is an excellent pathway for more sustainability but requires close coordination between a number of stakeholders and technical groups. The embedding/mainstreaming in local planning and monitoring approaches favor long-term sustainability.</li> </ul>
<b>CHINA</b>		
<ul style="list-style-type: none"> <li>• A good project design must incorporate the following key elements to achieve the targeted outcomes:</li> </ul>	<ul style="list-style-type: none"> <li>• The establishment of Project Coordinating Committee in the ICM Sites following the national PCC is a very useful mechanism</li> </ul>	<ul style="list-style-type: none"> <li>• Deeper understanding of the ICM framework and processes is important to fully appreciate its contribution to the rehabilitation of the environment and</li> </ul>

DESIGN	IMPLEMENTATION APPROACH AND ARRANGEMENT	RESULTS
<ul style="list-style-type: none"> <li>○ Clear project objectives, activities and targets</li> <li>○ Good planning and monitoring and evaluation framework</li> <li>○ Selection of demonstration sites with the right persons to coordinate the project implementation</li> <li>○ Long term projects need advance planning and forecasting.</li> <li>○ Always consider that not all stakeholders can understand ICM very well such that the project activities should be designed in consideration of the level of awareness and capacity of stakeholders and partners.</li> </ul>	<p>in facilitating coordination for ICM implementation.</p> <ul style="list-style-type: none"> <li>• The establishment of the China PEMSEA Center as a technical arm in project implementation and coordination across the 22 ICM sites in China has been very effective in facilitating scientific support and integrated reporting of accomplishments in ICM implementation in China.</li> <li>• Capacity building for local governments must be a continuing activity during project implementation.</li> <li>• A recognition and award system for exemplary performance both in governance and management program implementation encourages participation and commitment to ICM implementation.</li> <li>• A sound monitoring and evaluation plan is important to guide project implementation and identification of appropriate adaptive management measures to address challenges in implementation.</li> <li>• Science and technology support should be an integral component of project implementation.</li> </ul>	<p>rebuilding landscapes; in improving ecosystem services and livelihoods and quality of life of the coastal population.</p>
<b>INDONESIA</b>		
<ul style="list-style-type: none"> <li>• The State of the Coast (SOC) report served as one of the basis for determining national and local priorities / needs.</li> <li>• In addition, in order to determine priorities for ICM activities, each ICM Learning</li> </ul>	<ul style="list-style-type: none"> <li>• Project implementation involving several agencies has been more beneficial under the coordination of the Planning and Development Agency (BAPPEDA) as it has the task of coordinating various development activities in the region, including budget</li> </ul>	<ul style="list-style-type: none"> <li>• The results of country projects contribute to the achievement of regional outcomes in the East Asian region.</li> <li>• Formulation of policies have been strengthened by studies and scientific advice as well as baselines</li> </ul>



DESIGN	IMPLEMENTATION APPROACH AND ARRANGEMENT	RESULTS
<p>Site also referred to the Medium-Term Development Plan as a development framework at the national or local levels.</p> <ul style="list-style-type: none"> <li>The establishment of ICM Program Coordinating Committee (PCC) in the ICM Learning Sites as a forum for coordination is very useful. This forum comprises of various stakeholders, such as related agencies, private sectors, communities and other groups, and each stakeholder can play a role according to their interest or responsibilities.</li> </ul>	<p>allocation. It also facilitates mainstreaming of proposed activities into the policies at the regional level, for example into the Regional Medium Term Development Plan (RPJMD).</p> <ul style="list-style-type: none"> <li>It is important to anticipate the frequent changing of PEMSEA focal points at the national and local levels. Information about the project needs to be transferred and communicated properly to succeeding officers.</li> <li>With the change of marine management authority from the regency/city to the province due to Law 23/2014 on Regional Governance (effective 2017), the ICM sites focusing on MPAs and EAFM had to work closely with representatives from the province in order to ensure that provincial policies taken will be in line with regency/city policies and priorities.</li> <li>The commitment and support of regional heads such as Governors, Regents and Mayors is very important for the successful implementation of ICM activities, especially in terms of budget allocation, progress monitoring, and engagement of officials at the implementation level. The participation of local governments in the PNLG using their own resources is also a form of commitment from the regional heads in support of information and knowledge-sharing with other countries/ ICM sites.</li> <li>Engaging the private sector, universities, community groups</li> </ul>	<p>to support the decision-making process.</p> <ul style="list-style-type: none"> <li>The community waste management in Semarang, which was linked to alternative livelihood development, has potential for replication. It included a revolving fund regulated with a reward scheme, including training and facilities for alternative livelihoods, for people who actively play a role in domestic waste management.</li> </ul>

DESIGN	IMPLEMENTATION APPROACH AND ARRANGEMENT	RESULTS
	<p>and NGOs under the coordination of the local government with support from the central government facilitates harmonization of programs and human and financial resources towards achieving goals on sustainable marine/coastal development.</p> <ul style="list-style-type: none"> <li>Strong participation of women in the project at decision-making, technical and community levels has contributed to advancing gender equity and women's empowerment in the ICM Learning Sites.</li> </ul>	
<b>LAO PDR</b>		
<ul style="list-style-type: none"> <li>The clear project objectives /activities lead to the higher quality of project outcome achievements.</li> <li>The involvement of many countries in the region for the implementation of the project is good starting point for networking and knowledge sharing.</li> <li>The involvement of all stakeholders led to addressing the real priorities/needs.</li> <li>The involvement of all stakeholders is also a key to high level of stakeholder engagement.</li> <li>Good planning is essential to ensure timely inputs to achieve project outcomes</li> </ul>	<ul style="list-style-type: none"> <li>Large number of partners need more time for coordination and setting up of management arrangement that caused some delay at the start-up of the project</li> <li>Baseline data are very much helpful in both planning and adopting the action and activity plans.</li> <li>Working with the same line ministry is somehow easier in coordination and communication, including needs prioritization.</li> </ul>	<ul style="list-style-type: none"> <li>Responding to the priority needs of the local authorities and communities is key to project outcome achievements.</li> <li>The processes of final document approval take time in the government system.</li> </ul>
<b>PHILIPPINES</b>		
<ul style="list-style-type: none"> <li>Long term projects addressing ICM have higher probability of sustainability</li> </ul>	<ul style="list-style-type: none"> <li>PEMSEA specifically targeted improving capacity of the provincial and local</li> </ul>	<ul style="list-style-type: none"> <li>The importance of having the following ICM elements to be in place for a successful</li> </ul>

DESIGN	IMPLEMENTATION APPROACH AND ARRANGEMENT	RESULTS
<p>compared to short term projects. There are follow on activities and time to test and follow through the use of introduced technologies, interventions and capacity building activities of stakeholders, until such time that they are able to acquire the level of confidence in addressing ICM challenges. National and local governments are also given sufficient time to understand the importance of ICM and given time to address political and economic barriers to prepare their program for ICM and allocate human and financial resources and sustain implementation of their ICM plans and programs; even after the GEF/UNDP funding and PEMSEA technical assistance is ended.</p>	<p>governments, a bottom-up approach built on a recognition that this focus is necessary to solve problems that originate at the sub-national level.</p> <ul style="list-style-type: none"> <li>PRF works with local governments in ICM implementation in coordination with DENR at national, regional and provincial levels. While this approach has been working very well, there were instances where selected DENR offices at the provincial level were not directly engaged resulting in limited knowledge about the project and PRF's role in implementation. Coordination is key to ICM implementation; hence it is imperative that this important element must always be in force at all times.</li> </ul>	<p>implementation of ICM; i.e., enabling legislation, action plan, coordinating mechanism, financial support, capacity development, stakeholders' participation and presence of NGOs, CSOs and POs.</p> <ul style="list-style-type: none"> <li>In the formulation of programs on ICM, science and nature-based solutions, policy, and behavior change should be taken into account for the programs to succeed.</li> <li>Harmonizing the goals and objectives of the National Government Agencies and Local Government Units create synergy and promote better impacts among constituents.</li> <li>LGU has power, but limited knowledge, Academe has the knowledge, but no power thus the need for partnership and mutual respect for each other's role.</li> <li>No one institution has the monopoly of knowledge and expertise thus the need for a Multi-sectoral Environmental Governance, and is a critical element and factor for successful and sustainable management.</li> <li>LGUs with adjoining municipal waters boundaries should endeavor to have a harmonized fisheries ordinance and joint law enforcement network for more effective and efficient protection effort.</li> <li>Financial sustainability can be achieved by creating a Seascope</li> </ul>

DESIGN	IMPLEMENTATION APPROACH AND ARRANGEMENT	RESULTS
		<p>Investment Fund by a Multisectoral Coordinating Body.</p> <ul style="list-style-type: none"> <li>Harmonizing ecosystem approach to fishery Management to ICM plan and using science-based approach in the implementation of ICM projects and activities on MPA establishments, fishery management, coastal rehabilitation, mangrove rehabilitation and reforestation leads to more successful results.</li> </ul>
<b>THAILAND</b>		
	<ul style="list-style-type: none"> <li>The development and implementation of an integrated solid waste management from "ridge to reef" for the pilot sites in Rayong benefited from the baseline survey that enhanced the capacity of local personnel on data collection and analysis; stakeholders' consultations that identified priorities for waste management and related programs in the river and coastal areas; training of communities and relevant stakeholders on waste management that inspired participation of volunteer groups; and linkage with key national and provincial marine debris/waste management programs.</li> <li>Transboundary marine pollution issues, capacity limitations, and duplication of work among agencies involved in environmental monitoring in Chonburi was addressed with the establishment of an Integrated Environmental Monitoring Program (IEMP) that engages five agencies to work together to ensure that the marine water quality and environmental monitoring program would</li> </ul>	<ul style="list-style-type: none"> <li>The integrated solid waste management project in Rayong demonstrates a governance mechanism for integrated work from the upstream area to downstream involving partnerships between the government at the national and local levels, civil society organizations and communities. The project reduced the flow of waste from the river to the ocean, and is consistent with the Thailand target to reduce marine debris by at least 50 percent by 2027.</li> <li>The IEMP can help avoid duplication of work of several agencies by identifying their respective focus areas according to their mandates. It can also enable more efficient use of each agency's resources while ensuring that Chonburi province will have systematic and up to date monitoring data.</li> <li>Using results from the SDS-SEA project (baseline survey and SOC report), Burapha University-Chantaburi Campus developed a new project on improving community-based tourism to</li> </ul>

DESIGN	IMPLEMENTATION APPROACH AND ARRANGEMENT	RESULTS
	<p>adequately cover the Chonburi coastal area.</p> <ul style="list-style-type: none"> <li>The results from the Integrated Coastal Sensitivity, Exposure, Adaptive Capacity for Climate Change (ICSEA-C-Change) tool provided inputs to the preparation of an ICM plan for the pilot sites in Chantaburi, which is consistent with the provincial strategy on promoting the health of the natural resources and the environment and promoting community-based tourism.</li> <li>Although the cross-cutting issue of gender was not in the first project design, actual project implementation involved many women and women's groups (including the elderly and the youth) in various capacity building and alternative livelihood development activities, contributing to improving gender equity in these areas.</li> </ul>	<p>increase alternative income and improve social well-being. The project supports the ICM plan, and is consistent with the provincial strategy and the national government initiative on the subdistrict's integrated socio-economic improvement, addressing impacts from the COVID-19 pandemic.</p> <ul style="list-style-type: none"> <li>There was a high degree of women engagement in the pilot ICM sites, although the (draft) ICM plans would need to include specific gender-related targets before submission to the Provincial Committees for adoption.</li> <li></li> </ul>
<b>TIMOR LESTE</b>		
<ul style="list-style-type: none"> <li>Overall, the project was well designed, giving more emphasis on the learning sites at the country level. The design resonates with local context and priorities. The project indicators for Timor-Leste are considered to be SMART. With the emphasis on learning sites, science and knowledge management is important. Greater involvement of ICM Learning Centers is needed to help document progress in ICM sites, communicate results to the national level, and promote their</li> </ul>	<ul style="list-style-type: none"> <li>It is important to ensure sufficient capacity of personnel at the PMO to undertake multi-agency and multi-level coordination as well as monitoring and evaluation.</li> <li>Good and effective coordination at both national and municipal levels facilitated the implementation of the project activities. The involvement of the SMOs/ICM Coordinators and local task teams in project implementation and monitoring complemented the efforts of the PMO at the national level.</li> </ul>	<ul style="list-style-type: none"> <li>Communities really took ownership when they were consulted and were given the opportunity to participate.</li> <li>The project has brought some positive impacts to the livelihoods of the households involved in the project implementation. Sustained support is required to maintain the positive results.</li> <li>Despite the positive results, the country's political situation and changes in the government have affected some work, especially the approval of the National Oceans Policy (NOP) and NOP</li> </ul>

DESIGN	IMPLEMENTATION APPROACH AND ARRANGEMENT	RESULTS
<p>integration into policy development.</p> <ul style="list-style-type: none"> <li>The project in Timor-Leste was designed in such a way that M&amp;E are integral to the project activities, under the responsibility of the Project Management Office (PMO) at MAF and ICM Site Management Offices (SMOs)/Coordinators, using M&amp;E guidelines from PRF. In practice, the M&amp;E system took some time to be operational possibly due to limited resources at the disposal of the focal agency. Inclusion of a detailed M&amp;E plan at the country level in the project document, sufficient resource allocations, and continuing guidance from PRF would be useful especially when working with countries with limited expertise in technical areas.</li> </ul>	<ul style="list-style-type: none"> <li>The effectiveness of the multi-sectoral ICM coordination structure developed at the municipal level is challenged by the current government system where the Municipal Administrator/Mayor still has no authority over local staff from various ministries. The ongoing decentralization process provides an opportunity for considering such coordination mechanism in the development of the local government system. In the interim, a Joint Ministerial Diploma among relevant agencies can facilitate cross-sectoral collaboration until the decentralization is completed and the NOP, which will provide basis for cross-sectoral collaboration at the national and local levels, is approved.</li> <li>Successful implementation of project activities was partly due to proper institutional set up, capacity building, and good collaboration between local, national and regional levels. The multilevel and inter-sectoral coordination between national and municipal levels, however, affected the speed of implementation of activities on the ground. In the future, when the Municipal Government has legal and administrative authority to enter into direct agreements with, and receive funds from external parties/donors, direct collaboration with PEMSEA would enable more efficient project development and implementation.</li> </ul>	<p>Implementation Plan that could have facilitated more activities/programs. Sustained engagement with government and briefing of new officers would enable better understanding and buy-in of the project approach and activities.</p> <ul style="list-style-type: none"> <li>There is a need for more scientific monitoring at the national level in order to ensure scientific basis for policy and management. PEMSEA should continue facilitating the sharing and transfer of best practices and experiences among member countries to facilitate blue economy development, and pollution and sustainable fisheries management.</li> <li>Sustainability of project results is assured with active and equal community participation and resulting socio-economic benefits. This needs to be supported by an effective multi-sectoral arrangement at the national and local levels.</li> <li>Through knowledge transfer and engagement over the years, communities demonstrated understanding about sustainable fishing. Cooperation at national and regional levels should continually be fostered to ensure that science and knowledge are transformed into policies and programs that lead to sustainable blue economy development.</li> </ul>
VIETNAM		

DESIGN	IMPLEMENTATION APPROACH AND ARRANGEMENT	RESULTS
<ul style="list-style-type: none"> <li>Project deliverables such as development and adoption of national sector legislative agenda and priorities, and incorporating SDS-SEA targets into national and local medium-term development and investment plans which are dependent on the government processes should be adjusted to ensure timely delivery of project outputs.</li> <li>It is challenging to attain measurable outcomes within a short time frame of most capacity development projects. It is therefore essential that the project design is responsive to the country-specific context and situations.</li> <li>Funding for meetings or workshops can be reduced and rechanneled to pilot programs/activities.</li> </ul>	<ul style="list-style-type: none"> <li>The establishment of Vietnam Administration of Seas and Islands and its counterpart Agencies at the local level has facilitated coordination between the national and local governments and streamlined the process of reporting.</li> <li>Providing guidelines for tracking co-financing contributions by the government and other project partners facilitates monitoring and reporting by the project management board.</li> <li>It is essential that the implementing partners are provided with the evaluation requirements to guide them in project planning and better prepare for reporting of progress made in implementation.</li> </ul>	<ul style="list-style-type: none"> <li>National policies, legislations and guidelines on integrated management of the coastal and marine areas and sustainable development of the marine economy are important developments in Vietnam over the past decade that supported ICM implementation and scaling up.</li> <li>Pilot program/activities in Quang Nam and Da Nang involving the communities have improved the capacity and awareness of poor or vulnerable people on the importance of restoration and protection of the coastal environment, thereby contributing to improving the effectiveness of the project.</li> <li>Documentation and sharing of good practices in ICM implementation provide opportunities for replication in other coastal provinces in support of the national government's program on integrated management and sustainable utilization of the coastal and marine resources.</li> </ul>

i

Ratings for Effectiveness, Efficiency, Overall Project Outcome Rating, M&E, IA & EA Execution:  6. Highly Satisfactory (HS): no shortcomings 5. Satisfactory (S): minor shortcomings 4. Moderately Satisfactory (MS): moderate shortcomings 3. Moderately Unsatisfactory (MU): significant shortcomings	Sustainability ratings:  4. Likely (L): negligible risks to sustainability	Relevance ratings:  2. Relevant (R)
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2. UnsatisfactoryUnsatisfactoryUnsatisfactoryUnsatisfactory (U): major shortcomings 1. Highly Unsatisfactory (HU): severe shortcomings	3. Moderately Likely (ML): moderate risks  2. Moderately Unlikely (MU): significant risks  1. Unlikely (U): severe risks	1. Not relevant (NR)
Additional ratings where relevant: Not Applicable (N/A) Unable to Assess (U/A)		

ii The adaptive needs for science and evidence on emerging issues are outside of the longer term SDS-SEA 2015, for example, was in fact developed by an intergovernmental, non-governmental, multi-sectoral working group, comprised of PEMSEA and non-PEMSEA collaborators, as well as representatives of scientific institutions and organizations. The SDS-SEA 2015, as adopted identifies priorities, objectives, actions for PEMSEA, and even timelines in some cases, including targeted research and scientific needs to address gaps in knowledge, policy, etc. Similarly, the SDS-SEA IP 2018-2022 was developed in collaboration with all Partners over a 2-year period, and approved by both the Technical and Intergovernmental Sessions of Council.

iii This is a debate by stakeholders... PEMSEA might take advantage of other with the science role or it might include itself (a very different role than it is positioning now as a 'management organization' (opposed to monitoring organization)).

- The regional approach to ICM data management,
- Data sharing agreements,
- Being conduits for buying and capturing the data that is collected in the region,
- Utilizing Items like satellite data sets that are free and available. They can be picked up and data can be selected, i.e., temperature or wave structure.

iv SAP Actions for Targets 2,3,4

- Maximize local government capacity
- Realize climate change adaptation (CCA) and disaster risk reduction (DRR) measures in vulnerable coastal areas through ICM programs
- Integrate sustainable use of coastal and marine ecosystem services into ICM programs in biodiversity and fishery hotspots
- Advance water supply conservation and management and pollution reduction and waste management through ICM programs in priority coastal and watershed areas
- Implement integrated environmental monitoring to strengthen knowledge and understanding of ecosystems and their management from "ridge to reef"
- Apply the State of Coasts reporting system

v ProDoc -The East Asian Seas (EAS) region includes six semi-enclosed and interconnected large marine ecosystems (LMEs), including Yellow Sea, East China Sea, South China Sea, Sulu-Celebes Sea, Indonesian Sea and Gulf of Thailand. Collectively these LMEs occupy a total sea area of 7 million sq. km, a coastline of 234,000 km, and a total watershed area of about 8.6 million sq. km. The marine waters of the EAS waters support extremely high biological diversity



and biologically diverse marine environments, providing a variety of ecological services, such as provision of spawning and nursery grounds for many pelagic fish, home to complex biotic communities. As a result, the coastal and marine ecosystems of the EAS region are central to the development of the economies of the countries which share its resources. At a global level, overexploitation and poor management of oceans has resulted in heightened food insecurity and diminished economic opportunities for some of the world's poorest people. Countries bordering the SEA face numerous environmental threats; coral reefs, mangroves, sea grasses, wetlands and other coastal habitats which are part of these ecosystems are exposed to varying degrees of pressure and show signs of continuous and serious degradation due to human activities. Water quality in seas, coastal areas and river basins is at risk of serious deterioration due to unsustainable practices and polluting human activities. Of particular concern are the unsustainable exploitation of fish and other living resources, pollution from marine and land-based sources and habitat damage. Climate change has added to these pressures and may also lead to an increase in the cumulative impacts of these factors. The consequences of these impacts include loss of livelihoods and economic opportunities to fishers, hoteliers and related business, loss of natural protection of the coastline, loss of natural habitats for flora and fauna, as well as loss in recreational opportunities. The project therefore seeks to demonstrate local-to-global benefits through scaled-up national ICM programs that cover: a. The protection and sustainability of coastal and marine ecosystem services b. Climate change adaptation and enhanced resilience in the coastal zone c. Sustainable fisheries and alternative livelihoods; and d. Water conservation and use management/pollution reduction.

<sup>vi</sup> PRODOC The Intergovernmental Session of the EAS Partnership Council (PC) will serve as the Project Steering Committee (PSC). Representation in the Intergovernmental Session includes representatives from the 11 Country Partners of PEMSEA, UNDP Manila and the UNDP/GEF Regional Technical Advisor. The PSC will provide advice, guidance and facilitation of scientific, technical, financial and administrative matters related to project implementation. Operational oversight will be ensured by UNDP, through the UNDP Manila, and strategic oversight by the UNDP/GEF Regional Technical Advisor (RTA) responsible for the project. This oversight will ensure that the project practices' due diligence with regard to UNDP's Environmental and Social Screening Procedure.

<sup>vii</sup> The adaptive needs for science and evidence on emerging issues are outside of the longer term SDS-SEA 2015, for example, was in fact developed by an intergovernmental, non-governmental, multi-sectoral working group, comprised of PEMSEA and non-PEMSEA collaborators, as well as representatives of scientific institutions and organizations. The SDS-SEA 2015, as adopted identifies priorities, objectives, actions for PEMSEA, and even timelines in some cases, including targeted research and scientific needs to address gaps in knowledge, policy, etc. Similarly, the SDS-SEA IP 2018-2022 was developed in collaboration with all Partners over a 2-year period, and approved by both the Technical and Intergovernmental Sessions of Council.

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<sup>ix</sup> The project document for instance, posits that by internalizing a system of governance processes and instruments, combined with various management, technical, and diagnostic tools and approaches, the project has aimed to support PEMSEA as a regional cooperation mechanism through a partnership governance approach would help build

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capacity at local levels to address local environmental concerns. TER learned it was in this regard, the project designed component two, a key element of the project with goals to establish of “healthy habitat” and “healthy fisheries” community-based monitoring and reporting systems, to enable coastal communities to track progress and strengthen the linkages between generating science-based evidence and policy and decision-making processes.

\*SAP Actions for Targets 2,3,4

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## TE Report Clearance Form

### Terminal Evaluation Report for PIMS ID 4389 Scaling Up the Implementation of the Sustainable Strategy for the Seas of East Asia

**Reviewed and Cleared By:**

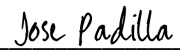
#### **UNDP Philippines (Climate Action Programme)**

Name: Floradema Eleazar - Team Leader

Signature:  Date: 26-Feb-2021

#### **Regional Technical Advisor (Nature, Climate and Energy)**

Name: Dr. Jose Padilla

Signature:  Date: 26-Feb-2021