

	subtotal of Component 1-5		825,611											
	UNOPS fees													
	LMDC		185,000											
	CMDC		10,500											
	Corporate Fee (9.1%)		75,131											
	subtotal		270,631											
	TOTAL (uncommitted)		1,096,242											

accumulated expenditure up to September 30, 2019		4,507,286
accumulated commitments (PCA, GSA, subcontract, PMO staff)		1924468
subtotal		6,431,754
GRANT TOTAL		7,527,996
total project budget		7,562,430
balance for programming		34,434

Annex II-1: Monitoring and Evaluation Plan

Expected Results (Outcome & Output)	Indicators <i>With what indicators the quality of the result will be measured?</i>	Data Collection Methods	Time or Schedule and Frequency	Means of Verification: Data Source and Type <i>What method will be used to determine if the indicator target has been met?</i>	Responsibilities <i>Who will coordinate, collect, verify and analyse the collected information?</i>	Resources <i>What are the resources required and committed for carrying out planned monitoring activities:</i>	Risks and assumptions <i>What are the risks and assumptions? How will it affect the planned monitoring events and quality of data?</i>
Component 1: Ensuring sustainable regional and national cooperation for ecosystem-based management, based on strengthened institutional structures and improved knowledge for decision making							
Outcome 1.1: Regional governance structure, the YSLME Commission established and functional, based on strengthened partnerships & regional co-ordination; wider stakeholder participation and enhanced public awareness	Status of YSLME Commission and subsidiary bodies at regional level <u>measured by 1) MOU or political declaration to establish the YSLME Commission coordination mechanism; and 2) updated TDA and SAPs;</u> End of Project Target (EPT): 1) All the Terms of Reference for the YSLME Commission coordination mechanism and Subsidiary Bodies approved by all participating country Governments; 2) Functioning YSLME Commission coordination mechanism	Country report/Interim Commission Council meeting report ICC meeting documents G-Drive	Annual	Review of ICC meeting documents and summary reports, MOU, IMCC meeting minutes Interview with focal point	PMO	Staff time	Sustaining EBM of YSLME and stakeholder participation through bilateral mechanism may limit participation of key line ministries in both countries and endorsement of the SAP by all members of the IMCC

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Outcome 1.2. Improved inter-sector coordination and collaboration at national level based on more effective IMCCs	Status of Inter-Ministerial Coordinating Committee (IMCC) EPT: 1) Participation of Ministries in the IMCC will include but not limited to the following: Ministry of Foreign Affairs, Ministry of Finance, relevant department or Ministry of Ocean & Fisheries; 2) at least one meeting of IMCC every year and functioning coordination	Administrative circular Country reports at ICCs Minutes of IMCC meetings	Quarterly annually	Document review Interview with government officials	PMO National Project Coordinators	Staff time	In spite of reorganization of the governmental agencies, IMCC is still operational with updated membership and effective coordination

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Outcome 1.3: Wider participation in SAP implementation fostered through capacity building and public awareness	Number of the YS Partnerships; Number of activities on capacity building and public awareness Number of participants in capacity building activities EPT: 1) Number of partnerships: 40; 2) Number of capacity building activities: 25; 3) Number of public awareness initiatives: 15; 4) Number of participants in capacity building activities: about 200	Reports of grantees of YSGP Project Implementation Report Signed PCAs, GSAs, MOUs, etc	Quarterly annually	Partner website news report check and verification Document review Follow-up survey of trainees Partner feedback report	Communication specialist PMO	Project budget and staff time	The partnership become YSLME's responsibility and strategy for SAP implementation Partners' activities are well coordinated to avoid overlapping Partners are regularly updated of YSLME progress
Outcome 1.4: Improved compliance with regional and international treaties, agreements and guidelines	Status of recognition and compliance to regional and international treaties and agreements EPT: Better compliance of the relevant regional and international treaties and agreement e.g. UNCLOS, the 1972 Convention on the Prevention of Marine	Consultant/PCA report ICC meeting documents NSAP review	Quarterly annually	Review of compliance review reports Review of ICC meeting documents and reports, and convention implementation report Check of website news on progress of amended	PMO National Project Coordinators	Staff time	

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	Pollution by Dumping of Wastes and Other Matter, CBD, Ramsar, The FAO Code of Conduct for Responsible Fisheries, and the bilateral agreements between China & ROK on environment protection and fisheries			legislation			

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Outcome 1.5: Sustainable financing for regional collaboration on ecosystem-based management secured based on cost-efficient & ecologically effective actions	Agreement on the financial arrangement for the YSLME Commission coordination mechanism EPT: Financing agreement between and among countries agreed to fully support YSLME for at least 5 years.	Financing agreement MOU on establishing the YSLME post-project mechanism ICC summary reports	Quarterly annually	Check document on financial arrangement for YSLME coordination mechanism on operation and staffing in the MOU or political declaration Interview with YSLME national focal points Check summary reports of ICCs	PMO	Staff time	The budgeting cycle of both governments allows timely earmarking of fund for operation of YSLME mechanism immediately after project closure Location of the Secretariat and staffing are agreed in advance, allowing timely budgeting for staffing and operation
Component 2: Improving Ecosystem Carrying Capacity with Respect to Provisioning Services							
Outcome 2.1. Recovery of depleted fish stocks as shown by increasing mean trophic level	Number of fishing boats decommissioned from the fleet in YSLME waters EPT: Fishing boat numbers substantially reduced by 10%, in line with the 2020 target of 30% reduction	Sector statistics Assessment reports on closure and buyback-scheme	Quarterly Annually	Review of assessment reports, fisheries (government) statistics	RWG-F PMO Field visit	Project budget for field visits	Local Governments are unwilling to release data on fishing vessel reduction YSLME disaggregated data are unavailable

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Outcome 2.2. Enhanced stocks through restocking and habitat improvement	Status of major commercially important fish stock from restocking and habitat improvement EPT: 1) Measurable improvement (5%) in standing stock and catch per unit effort; 3) Future management decisions on restocking based on effectiveness	Project Survey report Government news report	Quarterly Annually	Monitoring report check Field visit	RWG-F PMO	Project monitoring budget	Local governments are unwilling to consider the management recommendations for improved restocking and habitat improvement technologies in management decision-making
Outcome 2.3. Enhanced and sustainable mariculture production by increasing productivity per unit area as a means to ease pressure on capture fisheries	Type of mariculture production technology Level of pollutant discharge from mariculture operations EPT: 1) Reduction of pollutants caused by mariculture production (5% reduction in the demo sites); 2) Measurable increase (5% increase in the demo sites) in mariculture production per unit area	Socioeconomic assessment of demonstration sites Project survey of demonstration sites Comparison study of pollution level in Non-IMTA operations	Quarterly Annually	Check of assessment reports field visit Check government circular or other documents accepting policy recommendations	RWG-M PMO	Project monitoring budget	Absence or inadequate enforcement of water quality standards in sea areas used for mariculture provide leeway for non-compliance and unwillingness to accept IMTA

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Component 3: Improving Ecosystem Carrying Capacity with respect to Regulating and Cultural Services							
Outcome 3.1. Ecosystem health improved through reductions in pollutant (e.g., Nutrient) discharge from land-based sources	Level of pollutant discharges particularly Nitrogen in YSLME tributaries EPT: 10% reductions in N discharges every 5 years	Project monitoring reports Data in environment monitoring bulletin of local governments	Quarterly Annually	Check trends of pollutant discharge in tributaries of Haizhou Bay from marine environment quality bulletin Check marine environmental quality bulletins	RWG-P PMO	N/A	There is strong and effective coordination in translating the results of loading study into fertilizer use reduction targets in upstream areas with regular monitoring at watershed level
Outcome 3.2. Application of artificial wetlands to reduce the pollution discharge at the demonstration sites	Types of technologies applied for pollution reduction EPT: Successful demonstration of use of artificial wetlands in pollution control in 1 site and replicated in about 2 coastal municipalities and local government units	Monitoring report of Jiaozhou Bay Survey Project assessment report	Quarterly Annually	Review of project monitoring reports ICC meeting documents and summary reports	RWG-P PMO	Staff time	

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Outcome 3.3. Strengthened legal and regulatory process to control pollution	Status of legal and regulatory process to control pollution EPT: Develop evaluation tools, in the first year, to assist in harmonizing national and provincial legislation to improve coastal water quality in Shandong, Jiangsu and Liaoning provinces	Compliance review report Country reports Policy recommendations	Quarterly Annually	Review of compliance review report check government circular or regional document integrating policy recommendations into SAP 2020-2030	RWG-P and RWG-G PMO	Staff time	Harmonization of legislation may take longer time than the project period
Outcome 3.4. Marine litter controlled at selected locations	Status of the control of marine litter at selected locations EPT: 1) Regional Guidelines on control of marine litter based on those initiated by NOWPAP produced and adopted for use in the Yellow Sea; 2) Established regional data base in the first year, and significant reduction in the quantities of marine litter at selected beach locations	YSLME marine litter baseline report Survey report on trends of marine litter published by partners Political declaration	Quarterly Annually	Review of baseline reports and partner reports Field visit and interviews with stakeholders Check the relevance of the content of political declaration signed by founding members of city alliance	RWG-P PMO	Project monitoring budget	There would be unwillingness to publically identify the sources of marine litter

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Component 4: Improving Ecosystem Carrying Capacity with respect to Supporting Services							
Outcome 4.1. Maintenance of current habitats and the monitoring and mitigation of the impacts of reclamation	Areas of critical habitats Status of mitigation of reclamation impacts EPT: 1) Areas of critical habitats maintained at current (baseline) level; 2) Increase 3% total areas as MPAs; 3) Impacts of reclamation prepared in 2 demo sites	Technical report Administrative circular or website news report on designation of new MPA or on policies related with on reclamation	Quarterly Annually	Check content of technical reports, PIR, and website news Check latest zoning plan and coverage of identified ecologically and biologically important areas identified by partners	RWG-H PMO	Staff time	
Outcome 4.2. Stronger regional MPA network established and functioning	Level of ecological connectivity in expansion of the Yellow Sea MPA system. Change in MPA area coverage EPT: the planned expansion of the MPA system takes into account ecological connectivity (measured by use of developed connectivity tool kit or other means)	Project report on MPA planning Reports of RWG meetings News report on designated MPAs Documents approving designation of new MPAs	Quarterly Annually	Check the technical soundness of the report on MPA planning Check document approving new MPAs, in original language and translation into English Check and verify website news Field visit	RWG-H PMO	Project monitoring budget	Provincial and local governments may not agree to the establishment of new MPAs

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Outcome 4.3. Adaptive management mainstreamed to enhance the resilience of the YSLME and reduce the vulnerability of coastal communities to climate change impacts on ecosystem processes & other threats identified in the TDA and SAP	Status of incorporation of adaptive management of climate change regional strategies and in ICM plans for selected coastal communities EPT: 1) Climate change adaptation strategies incorporated in regional strategies such as YSCWM and plankton communities; 2) ICM plans in (specify number); 3) coastal communities incorporate CC adaptation to improve climate resilience	Dandong adaptive management strategy produced with project support ICM plans	Quarterly Annually	Check document Field visit to check adaption measures to climate change and extreme weather conditions	RWG-A PMO	Project monitoring budget	Lacking of scientific understanding of the impacts of climate change on marine ecosystem due to short period of project intervention Unavailability of best available technologies and practices and lack of private sector engagement make the adaptation strategy unrealistic and unimplementable
Outcome 4.4. Application of Ecosystem-based Community Management (EBCM) in preparing	Status of Regional Monitoring Network for application of ecosystem-based community management (ECBM) EPT: 1) Agreed number of	Monitoring programs	Quarterly Annually	Document check Review of data products out of review Partner feedback or visits to	RWG-A	Staff time	Data & information on the relevant monitoring and research will not be fully opened & shared

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risk management plans to address climate variability and coastal disasters	cruises & parameters for the regional monitoring network established and data shared regionally via the project web site. 2) Regular LME-wide assessments; enhanced information exchange; periodic scenarios of ecosystem change	RWG-A meeting report ICC meeting documents and meeting report Knowledge products GSA reports		website on project-produced knowledge products	PMO		Agreed monitoring programs for HAB, Jelly fish and changes in YSLME ecosystem services are not implementable without earmarked funding from both countries