



**Implementing the Strategic Action Programme for the South China Sea
and Gulf of Thailand
(SCS SAP Project)**

*Second Regional Inception Phase Meeting
10.00 – 12.30 Bangkok Time, Friday 4th December 2020*

**SCS SAP UNEP GEF PROJECT IMPLEMENTATION REPORT (PIR) FISCAL
YEAR 2020**

PIR FY 2020 South China Sea (GEF ID. 5538)

UNEP GEF PIR Fiscal Year 2020
(1 July 2019 to 30 June 2020)

1. Identification	GEF ID. 5538	Umoja no.: S1-32GFL-000631, SB-009056
Project Number + Project Title	Implementing the Strategic Action Programme for the South China Sea and Gulf of Thailand	
Duration months	<i>Planned</i>	60 months
	<i>Extension(s)</i>	N/A
Division(s) Implementing the project	UN Environment Programme (UNEP), Ecosystems Division	
Executing Agency(ies)	UNOPS, SEAFDEC	
Names of Other Project Partners	<i>To be completed after Inception Phase in next PIR</i>	
	<i>To be completed after Inception Phase in next PIR</i>	
Project Type	Full Size Project	
Project Scope	Regional	
Region (<i>delete as appropriate</i>)	Asia Pacific	
Names of Beneficiary Countries	Cambodia, China, Indonesia, Philippines, Thailand, and Vietnam	
Programme of Work	Programme of Work (PoW) 2018-19/2020-21 Sub-programme 3 - Healthy and productive ecosystems	
GEF Focal Area(s)	International Waters	
UNDAF linkages	China (2016-2020) – Outcome 2 Cambodia (2019-2023) – Outcome 3 Indonesia (2016-2020) – Outcome 1& 3 Philippines (2019-2023) - Outcome 2 Thailand (2017-2021) – Outcome 1 Vietnam (2017-2021) – Outcome 2	
Link to relevant SDG target(s) and SDG indicator(s)	Primarily: SDG14.2, indicator 14.2.1 Secondary: 14.1 (indicator 14.1.1), 13.2 (indicator 13.2.1), 15.1 (indicator 15.1.2)	
GEF financing amount	15,000,000 USD	
Co-financing amount	83,451,948 USD	
Date of CEO Endorsement	<i>November 03, 2016</i>	
Start of Implementation	12/31/2017 - SEAFDEC 05/30/2018 - UNOPS	
Date of first disbursement	01/31/2018 - SEAFDEC; 06/30/2018 - UNOPS	
Total disbursement as of 30 June	\$1,600,000	
Total expenditure as of 30 June	\$145,261	
Expected Mid-Term Date	TBD	
Completion Date	<i>Planned</i>	30 th June 2023 – UNOPS & SEAFDEC

	<i>Revised</i>	N/A
Expected Terminal Evaluation Date		30 th June 2023
Expected Financial Closure Date		30 th December 2023

2. OVERVIEW OF PROJECT STATUS

To be completed by UNEP/GEF Task Manager

<p>UN Environment Subprogramme(s) <i>Insert the Subprogramme(s) and biennia of the PoW to which the project contributes</i></p> <p>UNEP Programme of Work (PoW) <u>2020/2021</u></p> <p>Subprogramme 3 – Healthy and productive ecosystems</p>	<p>Specify the relevant Expected Accomplishment(s) & Indicator(s) <i>Insert the Subprogramme’s Expected Accomplishment(s) and Indicator(s) to which the project contributes</i></p> <p>EA (a) The health and productivity of marine, freshwater and terrestrial ecosystems are institutionalized in education, monitoring and cross-sector and transboundary collaboration frameworks at the national and international levels:</p> <p>(iii) the number of countries and groups of countries that improve their cross-sector and transboundary collaboration frameworks for marine and terrestrial ecosystem management</p>
<p><i>Describe any progress made towards delivering the stated PoW Expected Accomplishments and Indicators. State key changes since previous reporting period. [Section to be shared with relevant Regional and Global SubProgramme Coordinators]</i></p> <p>The objective of the project is to assist countries in meeting the targets of the approved Strategic Action Programme (SAP) for the marine and coastal environment of the South China Sea (SCS) through implementation of the National Action Plans in support of the SAP, and strengthening regional co-ordination for SCS SAP implementation. This will therefore directly contribute to UNEP POW EA (a) (iii). It will also indirectly contribute to</p> <ul style="list-style-type: none"> • (a) (i) through support to countries to enhance monitoring programs, • (a) (ii) through activities to assess the economic values of mangroves, coral reefs, seagrasses and wetlands, • (b) (i) through engagement of private sectors and establishing a mechanism for their contribution to SAP implementation <p>Relevant UNEA resolutions:</p> <p>UNEA -2 resolution(s) –</p> <ul style="list-style-type: none"> • 2/10 – Oceans and seas, achieved through implementation of the SAP • 2/12 – Sustainable coral reefs management through Outcome 1.2 153,000 ha of coral reef at 82 priority sites managed sustainably by Yr 5, including a reduction in the decadal rate of degradation in live coral cover from 16 to 5% <p>UNEA-3 resolution(s) –</p> <ul style="list-style-type: none"> • 3/10 Addressing water pollution to protect and restore water-related ecosystems – through Outcome 2.2 Effective integration of regional science in the management of land-based pollution <p>UNEA-4 resolution –</p> <ul style="list-style-type: none"> • UNEP/EA.4/L.13 Sustainable Management for Global Health of Mangrove – through Outcome 1.1 Appropriate forms of sustainable management established for 860,000 ha of mangrove • UNEP/EA.4/L.14 Sustainable coral reefs management through Outcome 1.2 153,000 ha of coral reef at 82 priority sites managed sustainably by Yr 5, including a reduction in the decadal rate of degradation in live coral cover from 16 to 5% 	

For all GEF 6 and later projects:

GEF Core Indicators <i>Insert core indicator(s) from Core Indicator Worksheet to which the project contributes</i>	Indicative expected Results <i>[add figure approved at CEO endorsement/ approval]</i>
N/A this is a GEF-5 project	Indicative expected Results <i>[add figure approved at CEO endorsement/ approval]</i>
<i>Describe any progress made towards meeting the indicative expected results as per the approved project documentation. Describe any key changes since previous reporting period.</i>	

To be completed by Project Manager, as relevant

Planned linkages with UNDAF	<p><i>Describe progress towards the UNDAF strategic objective to which the project contributes. [Section to be shared with Monitoring Unit within PPD]</i></p> <p>UNDAF China (2016-2020) Outcome 2) More people enjoy a cleaner, healthier and safer environment as a result of improved environmental protection and sustainable green growth.</p> <ul style="list-style-type: none"> This will be achieved through SAP implementation of agreed actions in china for ecosystem management and restoration and pollution management. <p>UNDAF Cambodia (2019-2023)– Outcome 3 PLANET. Promoting Sustainable Living. By 2023, women and men in Cambodia, in particular the marginalized and vulnerable, live in a safer, healthier, more secure and ecologically balanced environment with improved livelihoods, and are resilient to natural and climate change related trends and shocks. In particular:</p> <ul style="list-style-type: none"> Sub-Outcome 3.1 By 2023, women and men in Cambodia, in particular the vulnerable and marginalized, are empowered to equitably access, responsibly use and benefit from resilient basic services, land and natural resources with an increased resilience to cope with disasters/shocks and other risks Sub-Outcome 3.2 Relevant public and private sector actors use innovation, information and technologies to contribute to sustainable production and living, environmental protection, natural resource management and biodiversity conservation Sub-Outcome 3.3 Relevant public institutions consultatively develop, adopt, appropriately resource and implement, without discrimination, in partnership and coordination with the private sector and civil society, legal, policy, regulatory and planning frameworks related to sustainable production and living, compliant with relevant international standards and conventions <p>UNDAF Indonesia (2016-2020) - Outcome 1: Poverty reduction, equitable sustainable development, livelihoods and decent work Outcome 3: Environmental Sustainability and Enhanced Resilience to Shocks</p> <p>UNDAF Philippines (2019-2023)– Outcome 2 statement: Urbanization, economic growth, and climate change actions are converging for a resilient, equitable, and sustainable development path for communities. In particular to contribute to Indicator 5. Area of important sites for biodiversity covered by protected areas, by ecosystem type.</p> <p>UNDAF Thailand (2017 – 2021) Outcome 1: Collaborate at national and sub-national levels to strengthen systems, structures and processes for effective, inclusive, and sustainable policymaking and implementation</p> <p>UNDAF Vietnam (2017-2021) Outcome 2.2: Sustainable management of natural resources and the environment</p>
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	<i>Section to be shared with Monitoring Unit within</i>
<p>Planned contribution to relevant SDG target(s) and SDG indicator(s)</p>	<p><i>Describe progress towards the stated SDG target(s) and SDG indicator(s) to which the project contributes</i></p> <p>SDG Target 1.5: By 2030, build the resilience of the poor and those in vulnerable situations and reduce their exposure and vulnerability to climate-related extreme events and other economic, social and environmental shocks and disasters. Indicator 1.5.3: Number of countries that adopt and implement national disaster risk reduction strategies in line with the Sendai Framework for Disaster Risk Reduction 2015–2030 (Tier II, custodian agency: UNISDR). It is estimated that 270 million people live along the coast of the South China Sea, which is 5 percent of the world’s population, many of these coastal communities live in poverty as much of their livelihood depends on natural coastal resources. Coastal communities bordering the South China Sea and Gulf of Thailand have been identified as being among the most at risk globally from coastal and marine environmental degradation.</p> <p>SDG Target 6.6: By 2020, protect and restore water-related ecosystems, including mountains, forests, wetlands, rivers, aquifers and lakes. Indicator: 6.6.1: Change in the extent of water-related ecosystems over time</p> <p>SDG Target 12.2: By 2030, achieve the sustainable management and efficient use of natural resources; and SDG Target 8.4: Improve progressively, through 2030, global resource efficiency in consumption and production and endeavor to decouple economic growth from environmental degradation, in accordance with the 10-Year Framework of Programmes on Sustainable Consumption and Production, with developed countries taking the lead. Indicator 12.2.1 (also 8.4.1): Material footprint, material footprint per capita, and material footprint per GDP (Tier III, custodian agency: UNEP); Indicator 12.2.2 (also 8.4.2): Domestic material consumption, domestic material consumption per capita, and domestic material consumption per GDP (Tier I, custodian agency: UNEP)</p> <p>SDG Target 12.a: Support developing countries to strengthen their scientific and technological capacity to move towards more sustainable patterns of consumption and production. Indicator 12.a.1: Amount of support to developing countries on research and development for sustainable consumption and production and environmentally sound technologies</p> <p>SDG Target 14.1: By 2025, prevent and significantly reduce marine pollution of all kinds, in particular from land-based activities, including marine debris and nutrient pollution. Indicator 14.1.1: Index of coastal eutrophication and floating plastic debris density (Tier III, custodian agency: UNEP)</p> <p>SDG Target 14.2: By 2020, sustainably manage and protect marine and coastal ecosystems to avoid significant adverse impacts, including by strengthening their resilience, and take action for their restoration in order to achieve healthy and productive oceans. Indicator 14.2.1: Proportion of national exclusive economic zones managed using ecosystem-based approaches (Tier III, custodian agency: UNEP)</p> <p>SDG Target 14.5: By 2020, conserve at least 10 per cent of coastal and marine areas, consistent with national and international law and based on the best available scientific information. Indicator 14.5.1: Coverage of protected areas in relation to marine areas (Tier I, custodian agencies: UNEP-WCMC, UNEP)</p> <p>The Indo-West Pacific marine biogeographic province has long been recognized as the global center of marine tropical biodiversity. Only 5 mangrove species and some 35 coral species are found in the Atlantic compared with the 45 mangrove species and 450 coral species recorded from the South China Sea. The total area of mangrove on the South China Sea coast of all countries combined is estimated to be 1,770,000 ha, representing 11.4% of the world’s remaining 15.5 million ha of mangrove forest.</p> <p>Southeast Asia is recognized as the global center of coral reefs, both in terms of areal extent and species diversity. An estimated 1/3 of the Earth’s coral reefs (91,700 of 284,000 sq. km) are located in the seas of Southeast Asia. Of the approximately 60 seagrass species described</p>

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	<p>worldwide, 18 species are found in the coastal waters of the South China Sea. The South China Sea also supports a significant world fishery that is important to the food security of, and as a source of export income for, Southeast Asian countries. Landings from this area contribute approximately 10 percent of reported global fisheries production per annum and make significant contributions to the economies of countries bordering the Gulf of Thailand and the South China Sea. China (41 million tonnes), Viet Nam (3 million tonnes), Indonesia (3 million tonnes) and Thailand (1.2 million tonnes) are among the top ten aquaculture producers by volume worldwide, and in the top ten aquaculture producing states by value. The project will contribute to integrated management of 783,900 ha of coastal wetlands that includes - 860,000 ha of mangrove, sustainable management of 153,000 ha of coral reef, 25,900 ha of seagrass, 3 coastal lagoons (26,818 ha), 9 estuaries (614,680 ha), 5 tidal flats (96,903 ha), 1 peat swamp (45,700 ha) and 1 non-peat swamp (9,808 ha) – through sustainable management with supporting laws and regulations.</p> <p>SDG Target 15.1: By 2020, ensure the conservation, restoration and sustainable use of terrestrial and inland freshwater ecosystems and their services, in particular forests, wetlands, mountains and drylands, in line with obligations under international agreements. Indicator 15.1.2: Proportion of important sites for terrestrial and freshwater biodiversity that are covered by protected areas, by ecosystem type (Tier I, custodian agencies: UNEP-WCMC, UNEP)</p> <p><i>[section to be shared with SDG unit]</i></p>
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[complete the fiscal year and select: 1st PIR; 2nd PIR; Final PIR. Add more columns if needed]

Implementation Status	FY 2020	FY 2021	FY 2022	FY 2023	FY 2024
	1 st PIR	2 nd PIR	3 rd PIR	4 th PIR	5 th PIR

*[complete the fiscal year in the first line; select **HS; S; MS; MU; U; HU; unknown; not rated** to rate the progress towards the development objective for the fiscal year you are reporting in the second line. Add more columns if needed]*

Development Objective Rating FY	FY 2020	FY 2021	FY 2022	FY 2023	FY 2024
	MS				

Describe progress made towards achieving the project results as per table 3.1. State key changes since previous reporting period. The information here must be consistent with the assessment and justification provided under 3.1.

Whilst it is early to fully assess, based on the realistic targets agreed with countries, and national commitment, there is good prospects to achieved the agreed project targets.

*[complete the fiscal year in the first line; select among **H; S; MS; MU; U; HU; unknown; not rated** to rate the implementation progress in the fiscal year you are reporting in the second line. Add more columns if needed]*

Implementation Progress Rating	FY 2020	FY 2021	FY 2022	FY 2023	FY 2024
	MS	<i>e.g. MS</i>			

Describe annual implementation progress, including any significant [expected and unexpected] environmental or other changes (Results) attributable to project implementation. Also, please discuss any major challenges to meet the objectives or specific project outcomes. [section will be uploaded into the GEF Portal 'Information on Progress, challenges and outcomes on project implementation activities' and is the primary report that viewers can see before opening the detailed PIR]. The information must be consistent with the assessment and justification provided under 3.2.

Inception phase actions and deliverables were developed including detailed 1st year work-plan, TORs for project staff, national reports, the establishment of new offices and equipment at SEAFDEC premises, inventory of equipment, further elaboration on stakeholders and coordination with other initiatives and projects in particular the GEF Fisheries

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Refugia project also implemented by SEAFDEC. The Inception phase has been extended due to the departure of the project manager in August 2019, temporarily replaced by two interim consultants since April 2020, and in particular due to COVID preventing national meetings and the Inception Meeting, now planned for late 2020. All documents for the Inception Phase meeting are in an advanced state of preparation, with email correspondence and teleconferences with executing partners and national counterparts to elaborate project activities which will lead to the preparation of all contracts for implementation. The delays have been used as an opportunity to also ensure latest priorities and initiatives (from global to national) are included in the projects approach, with also particular emphasis to strengthening the SAP implementations contribution to the SDG's, the role of habitats in climate change adaptation and carbon storage, and consideration to new data management and monitoring tools to support countries with limited data.

[complete the fiscal year in the first line; select H; S; M; L; to rate the fiscal year you are reporting. Add more columns if needed]

Risk Rating	FY 2020	FY 2021	FY 2022	FY 2023	FY 2024
	M				

Describe key changes since previous reporting period. Projects with ESERN rating high medium/ high risk must refer to the safeguards implementation plan and its implementation.

[section will be uploaded into the GEF Portal and in UN Environment Open Platform]

The information here must be consistent with the assessment and justification provided under 3.3

The Risks and Assumptions identified during the preparation phase of the project, tables 42 and 43 of the Project Document, relates to the main risks for each component of the project and remain intact. While these are political, technical and organizational in nature, with the start-up of project implementation additional risks are identified around the management perspectives, including scope complexity versus timeframe and resources.

Related but separately the spread of COVID-19 throughout the world is considered as high risk and challenges means the project as a whole will experiences further delays in the start of implementation in the various components.

The need for an unexpected departure of the project manager caused delays in the inception of the project, including uncertainties with defining detailed activities at the regional and national levels. This resulted in the need for a revised work plan and timeline and may require an extension of the project.

Delays in the inception phase of the project also require additional coordination with countries and the renomination of national working groups and focal points due to the departure of some previous experts, as well as particular effort to ensure national teams are fully briefed on the project and take ownership of project planned outcomes/outputs but also integrate recent priorities, projects and initiatives. This process however will strengthen the project and allow clear linkages with recent global, regional and national processes, strategic documents and initiatives to ensure sustainability of SAP implementation in the future.

Stakeholder engagement	<p><i>Describe progress, challenges and outcomes on stakeholder engagement (based on the description of the Stakeholder engagement plan included at CEO endorsement)</i></p> <p>Stakeholder engagement and management is at the core of the implementation process. The stakeholder management plan establishment is an integral part of the management work plan. Detailed stakeholder mapping is being conducted and countries have initiated the establishment of several national working groups to ensure full participation of stakeholders: Interministerial Committees, National Technical Work Groups, Specialized Executing Agencies and National Committees, which will include key sectors, experts, NGOs and CBO's and private sector where relevant. At the regional level, recent projects and initiatives have been assessed to complement the project such as collaboration with new EU Ocean Governance: Protecting and restoring marine ecosystems project. Also, contact with COBSEA has been established to ensure alignment of activities with COBSEA work-programme and potential contribution of COBSEA for implementation of actions to ensure long-term sustainability.</p> <p><i>[section will be uploaded into the GEF Portal]</i></p>
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<p>Gender mainstreaming</p>	<p><i>Describe progress, challenges and outcomes related to the gender-responsive measures documented at CEO Endorsement/ Approval in the gender action plan or equivalent. Older projects that were designed before gender mainstreaming should proactively report any possible gender benefits, as appropriate.</i></p> <p>The Project document and CEO Endorsement did not emphasize gender mainstreaming which is being fully addressed and incorporated into the revised documentation for adoption at the Inception Meeting/1st Steering Committee Meeting in 2020. Particular emphasis will be given to ensure all national level actions for the management and restoration of mangroves, seagrasses, coral reefs and wetlands identify concrete actions to achieve gender benefits.</p> <p>At present, the setup of the dedicated management structures, the on-boarding of the project team and the engagement with country implementation agencies strongly focuses on gender mainstreaming approaches, gender parity when engaging the team. Activities agreed to with countries will undergo scrutiny before approval and then monitored for compliance with Health, Safety, Social and Environmental (HSSE) guidelines. Implementing partners, through their legal agreements will be requested to comply with HSSE and gender guidelines.</p> <p><i>[section will be uploaded into the GEF Portal]</i></p>
<p>Environmental and social safeguards management</p>	<p><i>Describe progress, challenges and outcomes related to the environmental and social safeguard-responsive measures documented at CEO Endorsement/ Approval in social safeguard action plan or equivalent. Older projects that were designed before environmental and social safeguard mainstreaming should proactively report any possible social safeguard benefits, as appropriate.</i></p> <p>The priority sites for action within the framework of SAP implementation are becoming increasingly densely populated coastal areas wherein natural and social systems are characterized by multiple compromises as a result of the threats reviewed. A screening of the potential environmental and social impacts of national level activities of this project was undertaken during the Project Preparation Phase (see Appendix 16 of the project document). Specific elements of the project design assessed included the proposed locations of activities, possible environmental impacts, and social considerations. No adverse impacts as a result of the execution of the project activities were identified. The screening report is appended to this document as Appendix 16.</p> <p>Project activities will result in significant positive environmental and social benefits. Specifically the project will develop the scientific, institutional and policy basis required to reduce the rates of loss of the South China Sea’s globally significant habitats and associated biodiversity. This is of the highest global significance given the large proportion of the world’s population that live within the coastal areas of the South China Sea and depend upon its ecosystem goods and services for nutrition and livelihoods.</p> <p><i>[section will be uploaded into the GEF Portal]</i></p>
<p>Knowledge activities and products</p>	<p><i>Provide a narrative of knowledge activities/ products (when applicable), as outlined in knowledge management approved at CEO Endorsement/ Approval</i></p> <p>Original web-site still available (http://www.unepscs.org/) with all reports and final deliverables.</p> <p>The new web-site linked to GEF Fisheries Refugia project developed (https://scssap.org/) is being regularly updated. A video was created to present the</p>

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	<p>contribution of the project to implementation of key SDG targets in particular SDG 14 and then set the baseline to understand the key issues of regional and national importance in the South China and Gulf of Thailand.</p> <p>Also, National Profiles for each country were developed and are published on the website, with details of the national level SAP priorities and actions.</p> <p>The communication and information strategy is under development for adoption at Inception Phase/1st Steering Committee meeting in late 2020.</p> <p><i>[section will be uploaded into the GEF Portal]</i></p>
Stories to be shared	<p><i>Optional for mature projects: Provide a brief summary of any especially interesting and impactful project results that are worth sharing with a larger audience, and/or investing communications time in, if any.</i></p> <p>Not yet available.</p> <p><i>[section to be shared with communication division/ GEF communication]</i></p> <p>N/A</p>

3. RATING PROJECT PERFORMANCE AND RISK

Based on inputs by the Project Manager, the **UNEP Task Manager**¹ will make an overall assessment and provide ratings of:

- (i) Progress towards achieving the project Results(s)- see section 3.1
- (ii) Implementation progress – see section 3.2

Section 3.3 on Risk should be first completed by the Project Manager. The UNEP Task Manager will subsequently enter his/her own ratings in the appropriate column.

3.1 Rating of progress towards achieving the project Results(s) [copy and paste the CEO Endorsement (or latest formal Revision) approved Results Framework, adding/deleting outcome rows, as appropriate]

Project objective and Outcomes	Indicator	Baseline level	Mid-Term Target or Milestones ²	End of Project Target	Observations/ justification on rating	Progress rating ³
Objective To assist countries in meeting the targets of the approved Strategic Action Programme (SAP) for the marine and coastal environment of the South China Sea (SCS) through implementation of the National Action Plans in support of the SAP, and strengthening regional						

¹ For joint projects and where applicable ratings should also be discussed with the Task Manager of co-implementing agency.

² Some projects are adopting/planning to adopt milestones for tracking the achievement of outcomes. Add the corresponding milestones in this column when applicable to inform the rating. Milestones are optional and may substitute for Mid-Term Target.

³ Use GEF Secretariat required six-point scale system([GEF/C.52/Inf.06/Rev.01](#)): Highly Satisfactory (**HS**), Satisfactory (**S**), Marginally Satisfactory (**MS**), Marginally Unsatisfactory (**MU**), Unsatisfactory (**U**), and Highly Unsatisfactory (**HU**)

Project objective and Outcomes	Indicator	Baseline level	Mid-Term Target or Milestones ²	End of Project Target	Observations/ justification on rating	Progress rating ³
co-ordination for SCS SAP implementation						
Component 1. Reducing habitat degradation and loss via national and local reforms to achieve Strategic Action Programme targets for coastal habitat management in the South China Sea						
Outcome 1.1 Appropriate forms of sustainable management established for 860,000 ha of mangrove	Total area (ha) of mangrove designated as national park or protected area Status of endorsement of management plans Total area (ha) of mangrove under management plan for sustainable use	14 percent (246,122 ha) of mangrove area in SCS presently managed as national park or protected area 13 percent (225,512 ha) of mangrove area in SCS presently managed as non-conversion, extractive resource use areas (fish, crabs etc.)		1.1.1 Declaration of 57,400 ha of mangrove as National Parks and Protected Areas	Elaboration of site activities with national stakeholders underway and contracts with co-executing partners to be finalized in 2020	MS
	Total area (ha) of presently unmanaged mangrove for which regulations/ordinances are adopted to enable sustainable management	Legal frameworks to enable sustainable management of 56 percent of mangrove area in the SCS.		1.1.2 Designation and plans for the management of 166,600 ha of mangrove as non-conversion, sustainable use areas	As above	MS
	Total area (ha) of deforested mangrove land rehabilitated	Decadal rate of loss of total mangrove area from SCS is estimated at 16 percent		1.1.3 Reform of laws and regulations for the sustainable use of 602,800 ha of mangrove forest	As above	MS
	Measures of ecological & environmental indicators at enrichment planting sites: forest cover; number and diversity of true mangrove species; and size and abundance of <i>Scylla</i> spp and <i>Sesarma</i> spp	Predominantly single-species mangrove reforestation initiatives over recent decades have compromised biodiversity and hazard risk reduction potential of rehabilitated mangrove areas		1.1.4 Replanting of 21,000 ha of deforested mangrove land	As above	MS
	Total area (ha) of mangrove designated as	14 percent (246,122 ha) of mangrove area in SCS		1.1.5 Biodiversity increased for 11,200 ha	As above	MS

Project objective and Outcomes	Indicator	Baseline level	Mid-Term Target or Milestones ²	End of Project Target	Observations/ justification on rating	Progress rating ³
	national park or protected area	presently managed as national park or protected area		of mangrove forest via enrichment planting		
Outcome 1.2 153,000 ha of coral reef at 82 priority sites managed sustainably by Yr 5, including a reduction in the decadal rate of degradation in live coral cover from 16 to 5%	Status of management capacity, including: <ul style="list-style-type: none"> Human resource capacity; Facilities and equipment; and Sustainable financing 	13 of 82 priority coral reef sites in the SCS characterized as being sustainably managed due to management capacity constraints		1.2.1 Management capacity built for 82 coral reef sites	As above	MS
	Status of institutional reform for multi-sectorial, community-based and multiple use coral reef management	Predominantly single sector (environment) and centralized approach to coral reef management		1.2.2 Management approaches (integrated, community-based, multiple use) improved at 82 coral reef sites	As above	MS
	Number of management tools developed, adopted and applied at priority coral reef sites	Coral reef management largely focused on awareness raising with limited use of management tools to address threats to coral reef sites		1.2.3 Management tools (licensing and permit systems, seasonal closures, zoning) developed and utilized to address key threats at priority sites	As above	MS
	Status of mechanism established for monitoring coral reef management effectiveness and stress reduction	Management, ecological and environmental, and socio-economic indicator frameworks developed but not yet applied at priority sites		1.2.4 Established mechanism for the monitoring of management, ecological and socio-economic indicators at 82 sites	As above	MS
Outcome 1.3 Conservation, management and sustainable use of 25,900 ha of known seagrass area in the South China Sea by Yr 5	Number of sites under sustainable management	Majority of seagrass areas in the SCS are unmanaged, or managed ineffectively, due to lack of enabling environment for zoning/regulation		1.3.1 Twenty-one seagrass areas totaling 25,900 ha under sustainable management with supporting laws and regulations	As above	MS
	Number of seagrass sites for which management regulations exist					
	Number of MPA management plans containing seagrass-	Sustainable use and management of seagrass and related resources is		1.3.2 Amended management plans for 7 existing MPAs with	As above	MS

Project objective and Outcomes	Indicator	Baseline level	Mid-Term Target or Milestones ²	End of Project Target	Observations/ justification on rating	Progress rating ³
	related management actions	rarely addressed in management plans for MPAs in the SCS		significant seagrass areas, to include specific seagrass-related management actions		
	Number of newly established MPAs focused on seagrass management	MPA management in SCS predominantly focuses on strict protection of coral reef areas		1.3.3 Designation of 7 new Marine Protected Areas focusing on seagrass areas	As above	MS
	Status of mechanism established for monitoring seagrass management effectiveness and stress reduction	Management, ecological and environmental, and socio-economic indicator frameworks developed but not yet applied at priority sites		1.3.4 Established mechanism for monitoring management, ecological and socio-economic indicators at 21 sites	As above	MS
Outcome 1.4 Integrated management of 783,900 ha of coastal wetland at 19 sites, including habitat restoration and protection strengthened at priority locations	Number of integrated management plans developed	Population growth, and urbanization of the coastal fringe, combined with rapid economic growth in the SCS region places tremendous pressure on coastal wetland ecosystems		1.4.1 Integrated management plans developed and under implementation for at least 3 lagoons (26,818 ha), 9 estuaries (614,680 ha), 5 tidal flats (96,903 ha), 1 peat swamp (45,700 ha) and 1 non-peat swamp (9,808 ha)	As above	MS
	Total area (ha) of wetland under management plan for sustainable use					
	Number of wetlands sites assigned protection status	The riparian states of SCS face significant pressure to convert wetlands for economic development with little focus on conservation or sustainable use		1.4.2 Declaration of at least 7 wetland areas with protection status (i.e. non-hunting area, nature reserves, protected areas, Ramsar Sites).	As above	MS
	Status of mechanism established for monitoring wetland management effectiveness and stress reduction	Management, ecological and environmental, and socio-economic indicator frameworks developed but not yet applied at priority sites		1.4.3 Adoption of a regional estuary monitoring scheme and its national implementation	As above	MS

Project objective and Outcomes	Indicator	Baseline level	Mid-Term Target or Milestones ²	End of Project Target	Observations/ justification on rating	Progress rating ³
Outcome 1.5 National and regional level cooperation in tracking results of SAP actions for coastal habitat management	Extent and continuity of participation in regional fora for coastal habitat management Scope and uptake of joint management and planning decisions	No existing fora at national and regional level in the SCS to network coastal habitat scientists and management specialists		1.5.1 National committees and regional networks of habitat specialists established under the SCS project revitalized and functioning	SAP Lead Agencies to renominate national committee members	MS
	Status and extent of uptake by national Inter-Ministry committees of SAP implementation results reporting Level of congruence of national and regional indicator sets with the proposed targets and outcomes of the SAP	Results frameworks for the management of mangroves, coral reefs, seagrass and wetlands of the SCS developed through national and regional consultative process but has not yet been applied		1.5.2 Mechanism to monitor and evaluate the impacts of SAP implementation and achievement of habitat targets operational [including agreement on standardized methods and guidelines for inventory and assessment]	To be initiated	MS
	Extent and continuity of local leader and local government participation in community round-table meetings Improved local relevance of SAP implementation initiatives	Limited engagement of community-based governance mechanisms in planning coastal habitat management Low level mobilization of civil society, community groups and the private sector in habitat management		1.5.3 Community leaders and local government from priority habitat sites networked via national and regional round-table meetings to foster cooperation and knowledge sharing on achievements and best practices	To be initiated	MS
	Demonstrable use of state of coastal habitat reports in national and regional planning	Baseline national habitat reports developed and require periodic uptake		1.5.4 Biennial state of coastal habitat reports published	To be initiated	MS
Component 2. Strengthening knowledge-based action planning for the management of coastal habitats and land-based pollution to reduce environmental degradation of the South China Sea						
	Volume of remotely sensed information	Rapid advancements in aerial visual survey		2.1.1 Algorithms for the interpretation of	To be initiated	MS

Project objective and Outcomes	Indicator	Baseline level	Mid-Term Target or Milestones ²	End of Project Target	Observations/ justification on rating	Progress rating ³
Outcome 2.1 Enhanced information-base for coastal habitat management and action planning	interpreted and made available for planning Extent of uptake of remotely sensed coastal habitat information and data in management planning and action	techniques and remote sensing of inter-tidal and shallow water biomes have potential to greatly enhance coastal habitat management planning in the SCS marine basin		remotely sensed information and data on coastal habitat associations and zonation developed and applied		
	Number and completeness of regionally comparable coastal habitat site characterizations Number of datasets for coastal habitat sites accessible online in centralized repository	Regional GIS and meta-database of SCS coastal habitat information developed but not updated since 2008 due to lack of a regional mechanism for collation and exchange of data		2.1.2 Mechanism for collection and exchange of regional coastal habitat information and data established	To be initiated	MS
	Volume of CO ₂ captured and stored by SCS habitats defined Extent of uptake of information on carbon sequestration and storage used in mgmt. planning	Lack of SCS specific information on carbon sequestration by coastal habitats constrains resource managers in making political case for better resourcing		2.1.3 Role of coastal habitats of the South China Sea in the sequestration and storage of carbon quantified	To be initiated	MS
	Independent peer acceptance of review Extent of uptake of review and its recommendations in updating national action plans and diagnostic analyses	Sea level rise, climate variability and change, and episodic natural disasters in SC identified as threats to sustainable management of coastal habitats		2.1.4 Review of the potential impacts of sea level rise, climate change, and episodic events on coastal habitats of the South China Sea	To be initiated	MS
	Number of updated National Action Plans adopted	National Action Plans for mangroves, coral reefs, seagrass and wetlands		2.1.5 Updated and adopted National Action Plans for mangroves,	To be initiated	MS

Project objective and Outcomes	Indicator	Baseline level	Mid-Term Target or Milestones ²	End of Project Target	Observations/ justification on rating	Progress rating ³
	Number of laws and regulations adopted to enable action plan implementation	developed and implemented during period 2002-2008		coral reefs, seagrass and wetlands, including enactment of supporting legislation where required		
Outcome 2.2 Effective integration of regional science in the management of land-based pollution	Extent of decision-maker awareness of localized v. transboundary impacts of land-based pollution in the SCS Extent of use of model outputs in revising the Strategic Action Programme for the SCS	Carrying capacity of the SCS open shelf system based on its natural capacity to assimilate contaminants, in particular nutrient inputs from land, has been modelled although findings not well known by decision-makers		2.2.1 Nutrient carrying capacity model for the SCS marine basin used to communicate with decision-makers about the localized v. transboundary impacts of land-based pollution in the SCS	To be initiated	MS
	Extent of decision-maker awareness of SCS open shelf carrying capacity for heavy metal contaminants Extent of use of model outputs in revising the Strategic Action Programme for the SCS	Need for simple model of pollution impacts under different development scenarios, specifically as they relate to heavy metal contaminant loadings		2.2.2 Total contaminant loading and carrying capacity of the SCS estimated via application of quantitative modeling and GIS-based techniques for seven heavy metals (Hg, Cd, Pb, Cu, Cr, As, Zn)	To be initiated	MS
	Status of initiative to quantify heavy metal contaminant impacts on: (a) water quality; (b) reproductive capacity of living resources; (c) contamination of human food sources; and (d) bio-accumulation.	Framework procedures for estimating the impacts of heavy metal contamination in SCS have been developed although not yet applied		2.2.3 Impacts of estimated heavy metal contaminant loadings defined, quantified and communicated to decision-makers	To be initiated	MS

Project objective and Outcomes	Indicator	Baseline level	Mid-Term Target or Milestones ²	End of Project Target	Observations/ justification on rating	Progress rating ³
	Number of heavy metal pollution hotspots characterized	Lack of regionally comparable information and data on heavy metal contaminated hotspots		2.2.4 Characterization of heavy metal pollution hotspots	To be initiated	MS
	Number of aquaculture sites for which effluent and contaminant loadings estimated	Effluent from aquaculture and mariculture operations identified as key threat to dominant coastal biomes		2.2.5 Quantification of effluent volumes and contaminant loadings from coastal aquaculture to the SCS marine basin	To be initiated	MS
Outcome 2.3 Strengthened and harmonized national policies and laws, and supporting financial mechanism, for the management of land-based sources of pollution	Number of best practice technologies and measures tested, documented and shared	Lesson learned in community-based wastewater mgmt. in Batam, Indonesia documented and shared regionally although other examples from East Asian seas region largely focus on broad scale ICM planning		2.3.1 National best practices in waste water management, law enforcement, and community and industry participation in managing land-based sources of pollution documented and shared	To be initiated	MS
	Extent of harmonization of sectoral governance frameworks achieved as a result of review findings	Effectiveness of existing legal and institutional frameworks limited by predominantly single sector approaches		2.3.2 Review of legislative and institutional frameworks for land-based pollution management in participating countries	To be initiated	MS
	Number of countries participating and adopting harmonized, regionally comparable SOPs	Lack of Standard Operating Procedures for land-based pollution management		2.3.3 Harmonized national Standard Operating Procedures for land-based pollution control and management [including agreed sediment, biota, & water quality criteria]	To be initiated	MS
	Status of endorsement of national policies and enactment of laws and regulations for land-based pollution control	Absence of clear and effective policies, laws, and regulations relating to control of land-based pollution		2.3.4 Revised national/provincial policies and supporting regulations for land-based pollution	To be initiated	MS

Project objective and Outcomes	Indicator	Baseline level	Mid-Term Target or Milestones ²	End of Project Target	Observations/ justification on rating	Progress rating ³
				developed, enacted and implemented by Yr 5		
	Status of endorsement of National Investment Plans Number of participating countries adopting National Investment Plans	Guidelines for assessing the economic impacts of land-based pollution developed but not yet applied as part of benefit-cost analysis of pollution mgmt. in the SCS		2.3.5 Updated and adopted National Investment Plans for land-based pollution management in the SCS [Yr 5]	To be initiated	MS
	Status of agreement among participating countries on a sustainable financing approach for regional actions	Lack of sustainable mechanism to finance regional support actions including M&E		2.3.6 Regional financial mechanism for land-based pollution management [Yr 5]	To be initiated	MS
Outcome 2.4 Improved national and regional values for the Total Economic Values of coastal habitats for use in development planning and decision-making	Completeness of value information compiled for coastal biome goods and services	Values determined for SCS are incomplete as not all known goods and services from individual biomes have been valued		2.4.1 Expanded datasets of economic valuation information on the goods and services of SCS coastal habitats	To be initiated	MS
	Status of initiative to develop national and regional estimates economic linkages between habitats and coastal fish production	Comparatively few existing values for the services provided by habitats as nursery areas for coastal living resources		2.4.2 Estimates of the value for the service provided by coastal habitats as nursery areas for coastal fish and crustaceans	To be initiated	MS
	Status of initiative to value economic costs of coastal shipping accidents and pollution damage	No existing information linking shipping accidents to loss of economic benefits associated coastal biomes in the SCS		2.4.3 Estimates of economic losses of coastal ecosystem goods and services consequent upon coastal shipping accidents and pollution damage	To be initiated	MS
	Status of initiative to update estimates of total economic values of coastal biomes	Economic valuation of coastal habitats used in cost benefit analysis of endorsed		2.4.4 Updated estimates of Total Economic Values for coastal habitats of the SCS and	To be initiated	MS

Project objective and Outcomes	Indicator	Baseline level	Mid-Term Target or Milestones ²	End of Project Target	Observations/ justification on rating	Progress rating ³
		Strategic Action Programme actions in 2008		converted to 2017 value by means of the consumer price index		
Outcome 2.5 Regionally appropriate tools and mechanisms to guide the development of sustainable management systems for coastal habitats and land-based pollution	Status of initiative to develop and apply standards and criteria for determining the sustainability of coastal habitat management systems	Sustainable management indicator matrices developed for dominant coastal habitats but not yet applied and tested in framework of SAP implementation		2.5.1 Regionally applicable standards and criteria for defining the sustainability of coastal habitat management systems, including documented models of sustainable use	To be initiated	MS
	Number of best practice management measures and technologies documented, codified, and accessible via online catalogue	Lessons learned and best practices in coastal habitat management from 23 demonstration sites documented and published in peer reviewed article		2.5.2 Online catalogue of best practice management measures and technologies for sustainable use of SCS coastal habitats and land-based pollution management	To be initiated	MS
	Extent and continuity of local leader and local government participation in study tour and exchange initiatives Level of improved local relevance of national policy and planning efforts for reducing environmental degradation in the SCS	Limited engagement of community-based governance mechanisms in national policy and planning Low level mobilization of civil society, community organization and the private sector in environmental investment planning		2.5.3 Government officials, community leaders, and habitat and pollution managers exposed to on-going practices in rehabilitation, management, and pollution control and treatment via programme of study tours and exchange	To be initiated	MS
	Number of public awareness products accessible online	Public awareness materials developed via TDA/SAP project compiled and accessible via SCS website		2.5.4 Expanded South China Sea online public awareness centre, including awareness packages for local adoption	To be initiated	MS

Project objective and Outcomes	Indicator	Baseline level	Mid-Term Target or Milestones ²	End of Project Target	Observations/ justification on rating	Progress rating ³
	Extent of local uptake and use of awareness products					
Outcome 2.6 Updated and Ministerially adopted Transboundary Diagnostic Analysis and Strategic Action Programme, including prioritization of national management actions to address climate variability and change	Status of national and regional level consensus on contemporary issues of transboundary significance with respect to coastal habitat and land-based pollution management	TDA for SCS published in 2000 Special Issue of Ocean and Coastal Management on South China Sea published in 2013		2.6.1 National and regional level consensus on contemporary issues and problems, including the quantification of environmental compromises and the prioritization of problems (Yr 2)	To be initiated	MS
	Status of national and regional level consensus reached on priority actions for intervention	Strategic Action Programme endorsed in 2008 outlines priorities for management		2.6.2 The immediate and ultimate root causes of the problems identified and consensus reached on priorities for intervention, including comparative analysis of the net benefits of alternative options (Yr 3)	To be initiated	MS
	Status of cost benefit analysis of comparative net benefits of alternative options for management	Established methodology for cost of action versus non-action in the context of SCS SAP implementation				
	Status of Ministerial adoption of an updated Strategic Action Programme for the South China Sea	Strategic Action Programme for the South China Sea endorsed inter-governmentally in 2008		2.6.3 National and regional consultative process to develop updated Strategic Action Programme SAP for adoption at the Ministerial level (Yr 5)	To be initiated	MS
	Level of demonstrable use of the regional review on sea level rise, climate change, and episodic events in SAP formulation	Evolving understanding of sea level rise, climate change, and episodic events in East Asia but not applied in context of transboundary planning in the South China Sea		2.6.4 Prioritization of national management actions to address climate variability and change for incorporation into national policies and plans	To be initiated	MS
Component 3. Facilitating regional and national level integration and cooperation for implementation of the South China Sea Strategic Action Programme						

Project objective and Outcomes	Indicator	Baseline level	Mid-Term Target or Milestones ²	End of Project Target	Observations/ justification on rating	Progress rating ³
Outcome 3.1 Regional and sub-regional co-operation in the integration of scientific knowledge and research outputs with management and policy making	Status of the RSTC and the uptake of the scientific and technical advice it provides Continuity of participation of RSTC members in annual meetings	Lack of a formal mechanism for the sharing of science and technical knowledge relating to the South China Sea SAP implementation		3.1.1 Regional Scientific and Technical Committee of the SCS project functioning as a bridge between the scientific community and decision-makers [annual meetings]	SAP Lead Agencies to renominate national committee members	MS
	Extent of demonstrable use of scientific knowledge exchanged during biennial conferences by central and provincial government agencies	Limited application of evidence-based approaches by central and provincial government agencies		3.1.2 Knowledge exchanges between government and scientific community through biennial Regional Scientific Conferences	To be initiated	MS
	Number of Mayor's Round-Table meetings convened Number, scope & reach of communications to raise local official awareness of best practices	Four Mayors Round-Table meetings convened during period 2005-2008 and documented as a key innovation for improving local relevance of action planning and M&E		3.1.3 Best practice exchanges between local government officials and coastal managers on science-based management via annual Mayor's Round-Table meetings	To be initiated	MS
	Status of bilateral cooperation for transboundary resource management between (a) Cambodia and Vietnam and (b) Cambodia and Thailand Status of signature of Memoranda of Agreement	Bilateral cooperation between Cambodia and Vietnam initiated during the period 2007-2008 although this has stagnated as a result of a lack of regional coordination support		3.1.4 Memoranda of Agreement for joint management of 2 priority transboundary water areas agreed & implemented	To be initiated	MS
	Extent of joint planning by both projects	Execution of the UNEP/GEF Fisheries Refugia project to commence in Q3 of 2016		3.1.5 Cooperation with the GEF fisheries refugia project and other	Kick-off teleconference and meeting at SEAFDEC to agree on	MS

Project objective and Outcomes	Indicator	Baseline level	Mid-Term Target or Milestones ²	End of Project Target	Observations/ justification on rating	Progress rating ³
	Number of best practices and lessons learned captured from the fisheries refugia project	through SEAFEDC and national fisheries agencies		relevant regional initiatives	coordination of actions at regional and site level	
	Number of best practices identified Number of community organizations, local governments and industry receiving awards	Lack of mechanism to formally recognize and award communities, local governments and industry for innovation and generation of best practices for environmental management of the South China Sea		3.1.6 Operational award program on best practices in coastal habitat and land-based pollution management for communities, local governments and industry [annual]	To be initiated	MS
Outcome 3.2 Capacity for civil society and community organization participation in SAP implementation strengthened via operational partnership with GEF SGP	Number of GEF Small Grants Programme projects commissioned and implemented in support SAP implementation	Need for strengthened mobilization of civil society and community organizations in SAP implementation		3.2.1 Cooperation with GEF SGP in the commissioning and implementation of an additional [#] of community-based projects for SAP implementation	To be initiated	MS
	Extent and scope of inputs from CSOs and COs Number of NGO forums convened	Need for CSO and CO inputs to planning of an SCS-SGP partnership		3.2.2 CSO & CO inputs elicited for planning and M&E of the SCS-SGP partnership via annual NGO forums	To be initiated	MS
	Extent of capacity built among SGP proponents to implement local actions in support of the achievement of SAP targets	Limited civil society and community organization experience and capacity for coastal habitat and land-based pollution management		3.2.3 Training program on science and management of SCS coastal habitats and resources for SGP proponents	To be initiated	MS
Outcome 3.3 Relationships between central and local governments	Number of public-private partnerships identified and documented	Many private sector organizations operate corporate social and environmental responsibility programmes but they are		3.3.1 Review of past and ongoing public-private partnerships for coastal management in SCS region	To be initiated	MS

Project objective and Outcomes	Indicator	Baseline level	Mid-Term Target or Milestones ²	End of Project Target	Observations/ justification on rating	Progress rating ³
and the private sector strengthened and formalized		not aligned with SAP implementation				
	Number of opportunities for private sector investment in SAP implementation identified	Significant commercial enterprise is conducted in waters of the South China Sea, particularly in the areas of oil and gas, fisheries and tourism		3.3.2 Identification of opportunities for private sector investment (e.g. oil and gas, fisheries, tourism) in implementation of the updated SAP	To be initiated	MS
	Status of agreement on financial arrangements for private sector and donor investment in the implementation of the revised Strategic Action Programme	Low-level mobilization of the private sector in environmental investment planning in the South China Sea		3.3.3 Two partnership forums to facilitate cooperation with private sector on implementation of the updated SAP	To be initiated	MS
Outcome 3.4 Revitalization of regional mechanisms for communications, knowledge exchange, and information and data management and sharing	Number of multi-media and knowledge products produced	The SCS project produced an extensive range of knowledge products, technical guides, and training and awareness materials		3.4.1 A variety of multi-media information and knowledge products based on SCS SAP implementation communications strategy	To be initiated	MS
	Status of knowledge tool development to support evidence-based coastal and marine management and spatial planning	Transboundary coastal and marine mgmt. spatial planning constrained by lack of a regionally coordinated approach to harnessing sectorial expertise and knowledge		3.4.2 Regionally appropriate knowledge tools developed to support decision-making and planning	To be initiated	MS
	Number of users, volume of content accessed, and online visibility of the SCS website and associated databases	Need for media platforms and targeted communications in support of efforts to harness support for inter-ministerial coordination and policy and planning elements of SAP implementation and revision		3.4.3 The SCS project web portal <www.unepscs.org> and associated regional databases online, updated and linked to IW-Learn and other GEF Knowledge management systems	To be initiated	MS

Project objective and Outcomes	Indicator	Baseline level	Mid-Term Target or Milestones ²	End of Project Target	Observations/ justification on rating	Progress rating ³
	Number of IW:LEARN experience notes published	Limited regional and global sharing of information on best practices and lessons learned from investments in the SCS despite for example publication of a complete Special Issue of an academic journal on the progress to date		3.4.4 Active engagement with GEF IW:LEARN [1% of project resources] including participation in IW conferences and 3 experience notes	To be initiated	MS
Outcome 3.5 Agreed arrangements for strengthened regional cooperation in the management of the marine and coastal environment of the South China Sea	Number of Regional Task Force meetings Continuity of participation of nationally nominated members	Regional Task Force on Legal Matters established through SCS project but presently not functioning		3.5.1 Biannual meetings of the Regional Task Force on Legal Matters	To be initiated	MS
	Number of National Working Group meetings Continuity of participation of nationally nominated members	National Working Groups established through SCS project but presently not functioning		3.5.2 National Working Groups on established and functional	To be initiated	MS
	Status of agreement on identified process	Framework process developed but requires national and regional consultation		3.5.3 Process for development of a proposed arrangement for regional cooperation defined and planned	To be initiated	MS
	Extent of national stakeholder input to drafting phase of instrument for cooperation	SAP formulation benefited from an emphasis on consensual planning and decision making		3.5.4 National stakeholder inputs to drafting of instrument for strengthened regional cooperation facilitated via national consultations	To be initiated	MS
	Status of adoption of the instrument	Participating countries agreed in the SAP, and in endorsing the PIF for this project, to explore the development of an		3.5.5 Adopted instrument for strengthened regional cooperation	To be initiated	MS

Project objective and Outcomes	Indicator	Baseline level	Mid-Term Target or Milestones ²	End of Project Target	Observations/ justification on rating	Progress rating ³
		instrument for strengthened regional cooperation				

Overall rating of project progress towards meeting project Result(s) (*To be provided by UNEP GEF Task Manager.*)

FY2019 rating [previous]	FY2020 rating [current]	Justification of the current FY rating and explanation of reasons for change (positive or negative) since previous reporting periods.
N/A	MS	<p><i>Summarize the annual progress towards meeting project results. Describe any significant [expected and unexpected] environmental or other changes (Results) negative and or positive attributable to project implementation. State any key changes since previous reporting period. Also, please discuss any major challenges to meet the objectives or specific project outcomes. Whenever possible, please provide evidence of attribution between the UNEP/GEF project's intervention and observed changes towards the achievement of direct outcomes. In cases where several actors are collaborating to achieve common outcomes, evidence of the nature and magnitude of the UNEP/GEF project's 'substantive contribution' and/or 'credible association' should be described.</i></p> <p>Despite delays with project initiation, there is good prospect to still achieve the targets. Progress towards achieving results will be reported once countries adopt the Inception Phase revisions, national contracts are all finalized and the project management team are recruited. Preparation of all documents in advanced stage and consultations prior to the meeting are underway. Minor changes to the indicators and targets are expected to be reflected in the next PIR report after the Inception Meeting.</p> <p><i>This information provides the rationale for the Development Objective Rating in Section 2.</i></p>

Risks to the delivery of results

The second column should be completed by the Project Manager and the third column should summarize the recommendations that the Project Manager and Task Manager have agreed upon to address the problem/risk. Projects are free to put N/A to sections or add additional rows for other problems/risks such as those identified at CEO Endorsement. This section should inform the risk rating in section 3.3.

Problems/risks identified	Description of the problem/risk	Agreed recommended actions
on achieving Mid-Term and End of Project Targets as identified above	Targets are realistic and are in review in close coordination with participating countries to be adopted at Inception Meeting/1 st Steering Committee meeting in 2020, and will be updated in next year's PIR	Ensure any revision to targets are realistic and fully adopted by all participating countries in 1 st Steering Committee meeting. These will need to consider challenges of work and travel due to COVID 19, and allow for more adaptive approaches to coordination and implementation
on delivering GEF Core Indicators	No risks envisaged	

Problems/risks identified	Description of the problem/risk	Agreed recommended actions
on stakeholder engagement	No risks envisaged, as Inception Phase is reengaging with key stakeholders	
on gender actions	No risks envisaged as gender actions to be elaborated in Inception Phase, and will follow HSSE guidelines of UNOPS.	
on safeguards	No risks envisaged	
on sustainability of results	Low/moderate risk if results are not fully streamlined.	Needs to ensure regional/national actions streamlined into national planning and work of regional organizations. Revised SAP to develop implementation and reporting mechanism which will be key.
others		

3.2 Rating of progress implementation towards delivery of outputs

Outputs ⁴ <i>All activities pending Inception Phase Meeting and final adoption of activities, establishment of regional and national Steering Committees and working groups and contracts with co-executing agencies.</i>	Expected delivery date ⁵	Implement-ation status as of 30 June 2019 ⁶	Implement-ation status as of 30 June 2020)	Progress rating justification <i>(as much as possible, describe in terms of immediate gains to target groups, e.g. access to project deliverables, participation in receiving services; gains in knowledge, etc.)</i>	Progress rating ⁷
Component 1. Reducing habitat degradation and loss via national and local reforms to achieve Strategic Action Programme targets for coastal habitat management in the South China Sea					
Outcome 1.1 Appropriate forms of sustainable management established for 860,000 ha of mangrove					
1.1.1 Declaration of 57,400 ha of mangrove as National Parks and Protected Areas	May 2022		Countries in process of developing national activities		MS
1.1.2 Designation and plans for the management of 166,600 ha of mangrove as non-conversion, sustainable use areas	May 2022		Countries in process of developing national activities		MS

⁴ Outputs as described in the project logframe or in any updated project revision.

⁵ As per latest workplan (latest project revision)

⁶ Implementation may be assessed by qualitative assessments, percentage of delivery, and/or budget expenditure (planned and actually spent). The 2020 assessment should be copied from previous PIR.

⁷ To be provided by the UNEP Task Manager

PIR FY 2020 South China Sea (GEF ID. 5538)

Outputs ⁴ <i>All activities pending Inception Phase Meeting and final adoption of activities, establishment of regional and national Steering Committees and working groups and contracts with co-executing agencies.</i>	Expected delivery date ⁵	Implement-ation status as of 30 June 2019 ⁶	Implement-ation status as of 30 June 2020)	Progress rating justification <i>(as much as possible, describe in terms of immediate gains to target groups, e.g. access to project deliverables, participation in receiving services; gains in knowledge, etc.)</i>	Progress rating ⁷
1.1.3 Reform of laws and regulations for the sustainable use of 602,800 ha of mangrove forest	May 2022		Countries in process of developing national activities		MS
1.1.4 Replanting of 21,000 ha of deforested mangrove land	May 2022		Countries in process of developing national activities		MS
1.1.5 Biodiversity increased for 11,200 ha of mangrove forest via enrichment planting	May 2022		Countries in process of developing national activities		MS
Outcome 1.2 153,000 ha of coral reef at 82 priority sites managed sustainably by Yr 5, including a reduction in the decadal rate of degradation in live coral cover from 16 to 5%					
1.2.1 Management capacity built for 82 coral reef sites	Nov 2022		Countries in process of developing national activities		MS
1.2.2 Management approaches (integrated, community-based, multiple use) improved at 82 coral reef sites	Nov 2022		Countries in process of developing national activities		MS
1.2.3 Management tools (licensing and permit systems, seasonal closures, zoning) developed and utilized to address key threats at priority sites	Nov 2022		Countries in process of developing national activities		MS
1.2.4 Established mechanism for the monitoring of management, ecological and socio-economic indicators at 82 sites	May 2020		Countries in process of developing national activities	Delayed. Timeline needs revision in Inception Phase. To be undertaken in 2021	MS
Outcome 1.3 Conservation, management and sustainable use of 25,900 ha of known seagrass area in the South China Sea by Yr 5					
1.3.1 Twenty-one seagrass areas totaling 25,900 ha under sustainable management with supporting laws and regulations	Nov 2022		Countries in process of developing national activities		MS
1.3.2 Amended management plans for 7 existing MPAs with significant seagrass areas, to include specific seagrass-related management actions	Nov 2022		Countries in process of developing national activities		MS
1.3.3 Designation of 7 new Marine Protected Areas focusing on seagrass areas	May 2022		Countries in process of developing national activities		MS
1.3.4 Established mechanism for monitoring management, ecological and socio-economic indicators at 21 sites	Nov 2020			Delayed. Timeline needs revision in Inception Phase. To be undertaken in 2021	MS
Outcome 1.4 Integrated management of 783,900 ha of coastal wetland at 19 sites, including habitat restoration and protection strengthened at priority locations					

Outputs ⁴ All activities pending Inception Phase Meeting and final adoption of activities, establishment of regional and national Steering Committees and working groups and contracts with co-executing agencies.	Expected delivery date⁵	Implement-ation status as of 30 June 2019⁶	Implement-ation status as of 30 June 2020)	Progress rating justification <i>(as much as possible, describe in terms of immediate gains to target groups, e.g. access to project deliverables, participation in receiving services; gains in knowledge, etc.)</i>	Progress rating⁷
1.4.1 Integrated management plans developed and under implementation for at least 3 lagoons (26,818 ha), 9 estuaries (614,680 ha), 5 tidal flats (96,903 ha), 1 peat swamp (45,700 ha) and 1 non-peat swamp (9,808 ha)	May 2022		Countries in process of developing national activities		MS
1.4.2 Declaration of at least 7 wetland areas with protection status (i.e. non-hunting area, nature reserves, protected areas, Ramsar Sites).	May 2022		Countries in process of developing national activities		MS
1.4.3 Adoption of a regional estuary monitoring scheme and its national implementation	April 2023		Countries in process of developing national activities		MS
Outcome 1.5 National and regional level cooperation in tracking results of SAP actions for coastal habitat management					
1.5.1 National committees and regional networks of habitat specialists established under the SCS project revitalized and functioning	Nov 2022		Underway. New nominations planned by September 2020		MS
1.5.2 Mechanism to monitor and evaluate the impacts of SAP implementation and achievement of habitat targets operational [including agreement on standardized methods and guidelines for inventory and assessment]	Aug 2019			Delayed. Timeline needs revision in Inception Phase. To be undertaken in 2021	MS
1.5.3 Community leaders and local government from priority habitat sites networked via national and regional round-table meetings to foster cooperation and knowledge sharing on achievements and best practices	April 2023		Planned for 2022		MS
1.5.4 Biennial state of coastal habitat reports published	April 2023				MS
Component 2. Strengthening knowledge-based action planning for the management of coastal habitats and land-based pollution to reduce environmental degradation of the South China Sea					
Outcome 2.1 Enhanced information-base for coastal habitat management and action planning					
2.1.1 Algorithms for the interpretation of remotely sensed information and data on coastal habitat associations and zonation developed and applied	May 2020			Delayed. Timeline needs revision in Inception Phase. To be undertaken in 2021	MS
2.1.2 Mechanism for collection and exchange of regional coastal habitat information and data established	April 2023		Planned for 2022		MS
2.1.3 Role of coastal habitats of the South China Sea in the sequestration and storage of carbon quantified	April 2023		Planned for 2021		MS
2.1.4 Review of the potential impacts of sea level rise, climate change, and episodic events on coastal habitats of the South China Sea	April 2023		Planned for 2021		MS

Outputs ⁴ All activities pending Inception Phase Meeting and final adoption of activities, establishment of regional and national Steering Committees and working groups and contracts with co-executing agencies.	Expected delivery date⁵	Implement-ation status as of 30 June 2019 ⁶	Implement-ation status as of 30 June 2020)	Progress rating justification (as much as possible, describe in terms of immediate gains to target groups, e.g. access to project deliverables, participation in receiving services; gains in knowledge, etc.)	Progress rating⁷
2.1.5 Updated and adopted National Action Plans for mangroves, coral reefs, seagrass and wetlands, including enactment of supporting legislation where required	April 2023		Planned for 2021-2023 Methodology to be developed in 2020/21 as part of Inception Phase		MS
Outcome 2.2 Effective integration of regional science in the management of land-based pollution					
2.2.1 Nutrient carrying capacity model for the SCS marine basin used to communicate with decision-makers about the localized v. transboundary impacts of land-based pollution in the SCS	April 2021		Studies to be reviewed in line with new science available and discussions with countries on how best to focus funds to best support science of the NAPs that will lead to action on the ground to reduce pollution		MS
2.2.2 Total contaminant loading and carrying capacity of the SCS estimated via application of quantitative modeling and GIS-based techniques for seven heavy metals (Hg, Cd, Pb, Cu, Cr, As, Zn)	April 2023				MS
2.2.3 Impacts of estimated heavy metal contaminant loadings defined, quantified and communicated to decision-makers	April 2022				MS
2.2.4 Characterization of heavy metal pollution hotspots	April 2022				MS
2.2.5 Quantification of effluent volumes and contaminant loadings from coastal aquaculture to the SCS marine basin	April 2022				MS
Outcome 2.3 Strengthened and harmonized national policies and laws, and supporting financial mechanism, for the management of land-based sources of pollution					
2.3.1 National best practices in waste water management, law enforcement, and community and industry participation in managing land-based sources of pollution documented and shared	April 2019		National Implementation Reports have begun this process in 2020.	Delayed. Timeline needs revision in Inception Phase. To be undertaken in 2021 and will be ongoing activity	MS
2.3.2 Review of legislative and institutional frameworks for land-based pollution management in participating countries	April 2020		National Implementation Reports have begun this process in 2020.	Delayed. Timeline needs revision in Inception Phase. To be undertaken in 2021	MS
2.3.3 Harmonized national Standard Operating Procedures for land-based pollution control and management [including agreed sediment, biota, & water quality criteria]	April 2021		Planned for 2021		MS
2.3.4 Revised national/provincial policies and supporting regulations for land-based pollution developed, enacted and implemented by Yr 5	Aug 2021		Planned for 2021		MS
2.3.5 Updated and adopted National Investment Plans for land-based pollution management in the SCS [Yr 5]	April 2022		Planned for 2021		MS
2.3.6 Regional financial mechanism for land-based pollution management [Yr 5]	April 2023		Planned for 2021/22		MS
Outcome 2.4 Improved national and regional values for the Total Economic Values of coastal habitats for use in development planning and decision-making					

Outputs ⁴ All activities pending Inception Phase Meeting and final adoption of activities, establishment of regional and national Steering Committees and working groups and contracts with co-executing agencies.	Expected delivery date⁵	Implement-ation status as of 30 June 2019 ⁶	Implement-ation status as of 30 June 2020)	Progress rating justification <i>(as much as possible, describe in terms of immediate gains to target groups, e.g. access to project deliverables, participation in receiving services; gains in knowledge, etc.)</i>	Progress rating⁷
2.4.1 Expanded datasets of economic valuation information on the goods and services of SCS coastal habitats	April 2023		Inception Phase ensuring links with new initiatives on economic evaluation		MS
2.4.2 Estimates of the value for the service provided by coastal habitats as nursery areas for coastal fish and crustaceans	April 2021		As above		MS
2.4.3 Estimates of economic losses of coastal ecosystem goods and services consequent upon coastal shipping accidents and pollution damage	April 2021		As above		MS
2.4.4 Updated estimates of Total Economic Values for coastal habitats of the SCS and converted to 2017 value by means of the consumer price index	April 2022		As above		MS
Outcome 2.5 Regionally appropriate tools and mechanisms to guide the development of sustainable management systems for coastal habitats and land-based pollution					
2.5.1 Regionally applicable standards and criteria for defining the sustainability of coastal habitat management systems, including documented models of sustainable use	April 2019		Planned for 2021	Delayed. Timeline needs revision in Inception Phase. To be undertaken in 2021	MS
2.5.2 Online catalogue of best practice management measures and technologies for sustainable use of SCS coastal habitats and land-based pollution management	April 2020		Planned for 2021	Delayed. Timeline needs revision in Inception Phase. To be undertaken in 2021	MS
2.5.3 Government officials, community leaders, and habitat and pollution managers exposed to on-going practices in rehabilitation, management , and pollution control and treatment via programme of study tours and exchange	April 2023		Planned for 2021/22		MS
2.5.4 Expanded South China Sea online public awareness centre, including awareness packages for local adoption	April 2023				MS
Outcome 2.6 Updated and Ministerially adopted Transboundary Diagnostic Analysis and Strategic Action Programme, including prioritization of national management actions to address climate variability and change					
2.6.1 National and regional level consensus on contemporary issues and problems, including the quantification of environmental compromises and the prioritization of problems (Yr 2)	April 2020		Methodology under development and activity to start in 2021	Delayed. Timeline needs revision in Inception Phase. To be undertaken in 2021	MS
2.6.2 The immediate and ultimate root causes of the problems identified and consensus reached on priorities for intervention, including comparative analysis of the net benefits of alternative options (Yr 3)	April 2021		Methodology under development and activity to start in 2021		MS

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Outputs ⁴ <i>All activities pending Inception Phase Meeting and final adoption of activities, establishment of regional and national Steering Committees and working groups and contracts with co-executing agencies.</i>	Expected delivery date ⁵	Implement-ation status as of 30 June 2019 ⁶	Implement-ation status as of 30 June 2020)	Progress rating justification <i>(as much as possible, describe in terms of immediate gains to target groups, e.g. access to project deliverables, participation in receiving services; gains in knowledge, etc.)</i>	Progress rating ⁷
2.6.3 National and regional consultative process to develop updated Strategic Action Programme SAP for adoption at the Ministerial level (Yr 5)	April 2022		Methodology under development and activity to start in 2021/22		MS
2.6.4 Prioritization of national management actions to address climate variability and change for incorporation into national policies and plans	Feb 2023		Methodology under development and activity to start in 2022		MS
Component 3. Facilitating regional and national level integration and cooperation for implementation of the South China Sea Strategic Action Programme					
Outcome 3.1 Regional and sub-regional co-operation in the integration of scientific knowledge and research outputs with management and policy making					
3.1.1 Regional Scientific and Technical Committee of the SCS project functioning as a bridge between the scientific community and decision-makers [annual meetings]	Feb 2023		To be initiated in 2021		MS
3.1.2 Knowledge exchanges between government and scientific community through biennial Regional Scientific Conferences	April 2022		To be initiated in 2021		MS
3.1.3 Best practice exchanges between local government officials and coastal managers on science-based management via annual Mayor's Round-Table meetings	April 2023		To be initiated in 2021		MS
3.1.4 Memoranda of Agreement for joint management of 2 priority transboundary water areas agreed & implemented	Jan 2022		To be initiated in 2021		MS
3.1.5 Cooperation with the GEF fisheries refugia project and other relevant regional initiatives	April 2021		To be initiated in 2021		MS
3.1.6 Operational award program on best practices in coastal habitat and land-based pollution management for communities, local governments and industry [annual]	Feb 2023		To be initiated in 2021		MS
Outcome 3.2 Capacity for civil society and community organization participation in SAP implementation strengthened via operational partnership with GEF SGP					
3.2.1 Cooperation with GEF SGP in the commissioning and implementation of an additional [#] of community-based projects for SAP implementation	April 2023		To be initiated in 2021. Discussions with SGP to be finalized by end of 2020		MS
3.2.2 CSO & CO inputs elicited for planning and M&E of the SCS-SGP partnership via annual NGO forums	Feb 2023		To be initiated in 2021		MS
3.2.3 Training program on science and management of SCS coastal habitats and resources for SGP proponents	April 2022		To be initiated in 2021		MS
Outcome 3.3 Relationships between central and local governments and the private sector strengthened and formalized					
3.3.1 Review of past and ongoing public-private partnerships for coastal management in SCS region	April 2020		Inception Report will initiate review, with further elaboration in 2021	Delayed. Timeline needs revision in Inception Phase. To be undertaken in 2021	MS

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Outputs ⁴ All activities pending Inception Phase Meeting and final adoption of activities, establishment of regional and national Steering Committees and working groups and contracts with co-executing agencies.	Expected delivery date ⁵	Implement-ation status as of 30 June 2019 ⁶	Implement-ation status as of 30 June 2020)	Progress rating justification <i>(as much as possible, describe in terms of immediate gains to target groups, e.g. access to project deliverables, participation in receiving services; gains in knowledge, etc.)</i>	Progress rating ⁷
3.3.2 Identification of opportunities for private sector investment (e.g. oil and gas, fisheries, tourism) in implementation of the updated SAP	April 2021		As above. To be initiated in 2021		MS
3.3.3 Two partnership forums to facilitate cooperation with private sector on implementation of the updated SAP	April 2022		To be initiated in 2021		MS
Outcome 3.4 Revitalization of regional mechanisms for communications, knowledge exchange, and information and data management and sharing					
3.4.1 A variety of multi-media information and knowledge products based on SCS SAP implementation communications strategy	April 2023		To be initiated in 2021		MS
3.4.2 Regionally appropriate knowledge tools developed to support decision-making and planning	April 2021		To be initiated in 2021		MS
3.4.3 The SCS project web portal <www.unepscs.org> and associated regional databases online, updated and linked to IW-Learn and other GEF Knowledge management systems	April 2023		To be initiated in 2021		MS
3.4.4 Active engagement with GEF IW:LEARN [1% of project resources] including participation in IW conferences and 3 experience notes	April 2023		Plan of key events to attend and contribute in development in Inception Phase		MS
Outcome 3.5 Agreed arrangements for strengthened regional cooperation in the management of the marine and coastal environment of the South China Sea					
3.5.1 Biannual meetings of the Regional Task Force on Legal Matters	April 2023		To be initiated in 2021		MS
3.5.2 National Working Groups on established and functional	April 2023		To be initiated in 2021		MS
3.5.3 Process for development of a proposed arrangement for regional cooperation defined and planned	April 2022		To be initiated in 2021		MS
3.5.4 National stakeholder inputs to drafting of instrument for strengthened regional cooperation facilitated via national consultations	April 2022		To be initiated in 2021		MS
3.5.5 Adopted instrument for strengthened regional cooperation	April 2023		To be initiated in 2022		MS

Overall project implementation progress ⁸ (*To be completed by UNEP GEF Task Manager.*):

FY2019 rating [previous]	FY2020 rating [current]	Justification of the current rating and explanation of reasons for change (positive or negative) since previous reporting periods.
N/A	MS	Overall implementation has suffered delays but now is likely to get back on track given the level of redefinition and re-appropriation from countries during the inception phase.

Risks in implementation

This section should be completed by the Project Manager and summarize implementation risks, if any (e.g. procurement delays, reputational risks etc.). The first column should be completed by the Project Manager and the second column should summarize the recommendations that the Project Manager and Task Manager have agreed upon to address the problem/risk. This section should inform the risk rating in section 3.3.

Problems/risks identified	Agreed recommended actions	By whom	When
There have been no changes to the Risks and Assumptions identified during the preparation phase of the project. Hence, table 42 & 43 on page 165 of the Project Document is still valid. However, there are project management challenges identified as listed below.	See 3.3. All these risks are being fully integrated into Inception Phase of project.	UNOPS, SEADFDEC and Inception consultants	Ongoing during and after Inception Phase
Re-engagement of project partners and national focal points, experts and stakeholders following delay between SAP adoption (2008) and SAP implementation	Inception Phase to ensure relevant stakeholders are updated on progress up to date and when the inception meeting is expected to be held.	UNOPS, SEADFDEC and Inception consultants	Immediately
Delay in startup of the project due to departure of project manager in August 2019	Interim Inception Phase team (2 consultants) in place since April 2020 supported by UNOPS and SEAFDEC. Recruitment of Project Manager to be initiated	UNOPS	Immediately

⁸ Use GEF Secretariat required six-point scale system: Highly Satisfactory (HS), Satisfactory (S), Marginally Satisfactory (MS), Marginally Unsatisfactory (MU), Unsatisfactory (U), and Highly Unsatisfactory (HU)

Problems/risks identified	Agreed recommended actions	By whom	When
COVID 19 disruption to Inception Phase	No travel possible since March 2020. All work has continued online and with the use of various platforms for teleconferencing. More regular teleconferences established to ensure smooth coordination.	UNOPS, SEADFDEC and Inception consultants	Immediately

3.3. Risk Rating *[Insert the Medium and High Risks and mitigation measures identified at CEO endorsement (e.g. Section A.5) and any relevant risk from safeguards screening and/or management plans.] Expand the table to include medium and high risks observed during implementation, e.g. problems identified in sections 3.1. and 3.2.*

Risk	Mitigation at CEO approval	Mitigation during implementation	Rank
National and provincial/local government commitment to adopt governance reforms for coastal habitat and land-based pollution management that reflect local needs	Political acceptance of the need for reform for coastal habitat management and other issues relating to reversing environmental degradation in the South China Sea is in a large part evidenced by the inter-governmental adoption of the Strategic Action Programme which encompasses such actions. This is further supported by the formulation and adoption of supporting National Action Plans. Design of the strategy for this project emphasizes the need for the establishment and operation of mechanisms to ensure that local needs are appropriately reflected in such reforms. This will be facilitated through the work of various bodies and fora from ‘Community to Cabinet’ for which detailed Terms of Reference have been developed and agreed. Supporting activities included in the costed project work plan include the conduct of reviews of local governance arrangements at the priority sites and the incorporation of these in the broader planning of policy, planning and regulatory reforms for coastal habitat and land-based pollution management. Despite these mechanisms, and given the 60-month timeframe of the project, this is an area of the project that will require priority attention of the SAP Implementation Unit and must form an integral part of national and regional reporting and monitoring and evaluation.	Project design and Inception Phase prioritize national steering committees and technical working groups to ensure integration at national level	CEO: M
			TM: M
			PM: M
Engaging appropriate expertise to facilitate consensus on the selection of physical, biological and socio-economic variables to be used in characterizing coastal habitat sites, as well as willingness of data holders to share	As outlined in the background section of this document, the national executing agencies possess highly qualified scientists and resource managers experienced in matters relating to the South China Sea, the TDA/SAP formulation processes, and the implementation of on-the-ground activities. A key issue is that many of these practitioners participate in regional fora where the language used, English, is often their second or third language. Experience of the SAP formulation project indicates that this can be overcome by ensuring that meeting discussion documents are prepared well in advance and circulated to responsible individuals in the participating countries well in advance of meetings and workshops, and that concise summaries of data and the issues that decisions need to be taken on are communicated clearly to country representatives before and during meetings. Additionally, the SAP	National working groups and full engagement of national and regional institutions integrated into inception phase. Monitoring and Assessment program to be developed along with data sharing policy	CEO: M
			TM: M
			PM: M

Risk	Mitigation at CEO approval	Mitigation during implementation	Rank
	<p>formulation project indicates that all entities are willing to share national and provincial data holdings relating to environmental issues. This is evidenced by the large volumes of national information and data shared during SAP formulation and project preparation. The extent of this willingness to share data has been extended to permission for it to be used in regional publications and in publicly accessible online GIS and meta-databases.</p>		
<p>Insufficient Ministerial level commitment to adopt updated management plans and enact supporting legislation</p>	<p>In endorsing the South China Sea SAP, and the PIF for this project, the Ministries responsible for environment agreed to institute reforms for coastal and marine environmental management in the South China Sea. This commitment was confirmed during the project preparation phase and is reflected in the project strategy, results framework, and work plan. This risk will be further mitigated by the structured approach this project will follow in facilitating multi-stakeholder and multi-sector inputs to the planning of reforms. This structured approach is aimed at ensuring adequate cross-sectoral consultation to improve the understanding of the need and scope of reforms at the level of Cabinet and other higher-level government bodies. These efforts will be supported by implementation of the initiatives communications strategy, a key focus of which will be aimed at decision-makers and politicians.</p>	<p>Inception phase ensures alignment of project with national priorities so that project is fully integrated into national planning and policies. Key role of the national ministerial committees to ensure this is achieved</p>	<p>CEO: M TM: L/M PM: L/M</p>
<p>That characterization of pollution hotspots provides adequate information regarding heavy metal contaminants and threats to environmental and public health</p>	<p>Mechanisms established during SAP formulation for the compilation of information from pollution monitoring stations in the South China Sea will be built upon to facilitate the update of national and regional databases of land-based pollution loading information. Additionally, activities are planned to ensure that guidelines for the compilation of regionally comparable data are developed and followed by the participating countries. The foundational work to model the carrying capacity of the South China Sea with respect to nutrients will be built on to demonstrate the threats to environmental and public health under various heavy metal loading scenarios. This risk is further mitigated by the fact that a detailed framework for evaluating the impacts of land-based pollution was developed and agreed upon at the regional level during SAP formulation. This framework will be used as the basis for evaluating the impacts of heavy metal contaminants as part of this project.</p>	<p>Ground truthing of model is required as initial step</p>	<p>CEO: M TM: M PM: M</p>

<p>Willingness of private sector to engage and cooperate in efforts to determine environmental impact of operations on coastal habitats and land-based pollution loadings</p>	<p>As noted in the background section of this Project Document, sources of land-based pollution in the South China Sea are many, including non-point and point sources. These include: domestic sources; industrial sources; port and harbor sources; agricultural sources; mining sources; and aquaculture sources. It was recognized during project preparation that while it would be unrealistic to engage private sector entities across the multitude of the abovementioned sources, this project would focus on engaging the aquaculture sector in quantifying effluent loads from coastal aquaculture. This decision was made in large part due to the fact that other pollution sources are being addressed via other GEF financed, e.g., PEMSEA and World Bank initiatives. The decision also reflects the emerging realization among coastal aquaculture operators of the need for environmental best practice to ensure appropriate water and environmental quality to sustain the high and increasing production from their operations. Mitigating the risk of a lack of willingness of coastal aquaculture managers to engage in project activities will rely on appropriately designed and implemented communications and engagement strategies. It is planned that these strategies will be developed during project inception by the SAP Implementation Unit as a key mitigation response to this risk.</p>	<p>Particular focus is given to develop a mechanism for private sector engagement (see Component 3)</p>	<p>CEO: M TM: M PM: M</p>
<p>Harmonization of governance frameworks for land-based pollution management may take longer than the period of the project</p>	<p>The GEF International Waters strategy has long recognized the timeframes involved in securing joint commitments in transboundary water resource management. Given the multitude of sources of land-based sources of pollution in one of the most intensively used shared water bodies globally, harmonizing governance frameworks is not an insignificant undertaking. This risk is high and mitigation measures include the planning of a project Year 1 activity to further define the scope of harmonization that can be reasonably expected during the 60 months of project implementation. Additionally, detailed Terms of Reference for national committees and a Regional Working Group on land-based pollution have been developed and agreed with an emphasis on facilitating the timely review of governance frameworks, formulation of recommendations, and drafting of required policy and regulatory reforms. Technical backstopping will also be provided through the Regional Working Group on Land-based Pollution, the Regional Scientific and Technical Committee, and SAP-IU.</p>	<p>Inception phase prioritizes with support of national Interministerial committees and national working groups mechanism in place to harmonize LBS frameworks</p>	<p>CEO: M/H TM: M/H PM: M/H</p>
<p>Availability of information and data to enable comparison of cost of action versus cost of inaction as part of land-based pollution management investment planning approach</p>	<p>This risk is mitigated by the fact that a framework for valuing the impacts of land-based pollution was developed and agreed at the regional level during SAP formulation. This project will use this as the foundation for undertaking the economic valuation of impacts, and will draw on interlinked activities to: (1) enhance regional understanding of the carrying capacity of the South China Sea with respect to nutrients and heavy metals under various loading scenarios; and (2) improve regional economic valuation of the goods and services of the South China Seas coastal ecotones. A parallel activity to value the economic impacts of environmental degradation consequent upon shipping accidents will enable cross-fertilization of approaches. Similar exchange in approaches will be facilitated with UNEP's GPA-LbP. Technical backstopping will also be provided through the Regional</p>	<p>Inception Phase will explore integration of other regional and global experiences and best practices to improve the regional economic evaluations</p>	<p>CEO: M TM: M PM: M</p>

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	Working Group on Land-based Pollution, the Regional Task Force on Economic Valuation, the Regional Scientific and Technical Committee, and SAP-IU.		
		Overall Risk Rating	M
		Project Manager	M
		Overall Risk Rating	M
		Task Manager	M

Project overall risk rating (Low, Medium, Substantial or High) *(Please include PIR risk ratings for all prior periods, adding columns as necessary. If the optional Risks Factor Table in annex is completed, this should also figure into the overall risk rating.)*:

FY2019 rating [previous]	FY2020 rating [current]	Justification of the current FY risk rating and explanation of reasons for change (positive or negative) since previous reporting periods.
N/A	M	<p>The Risks and Assumptions identified during the preparation phase of the project, tables 42 and 43 of the Project Document, relates to the main risks for each component of the project and remain intact. While these are political, technical and organizational in nature, with the start-up of project implementation additional risks are identified around the management perspectives, including scope complexity versus timeframe and resources.</p> <p>Related but separately the spread of COVID-19 throughout the world is considered as high risk and challenges means the project as a whole will experiences further delays in the start of implementation in the various components.</p> <p>The need for an unexpected departure of the project manager caused delays in the inception of the project, including uncertainties with defining detailed activities at the regional and national levels. This resulted in the need for a revised work plan and timeline and may require an extension of the project.</p> <p>Delays in the inception phase of the project also require additional coordination with countries and the renomination of national working groups and focal points due to the departure of some previous experts, as well as particular effort to ensure national teams are fully briefed on the project and take ownership of project planned outcomes/outputs but also integrate recent priorities, projects and initiatives. This process however will strengthen the project and allow clear linkages with recent global, regional and national processes, strategic documents and initiatives to ensure sustainability of SAP implementation in the future.</p>

High Risk (H): There is a probability of greater than 75% that **assumptions** may fail to hold or materialize, and/or the project may face high risks.
Substantial Risk (S): There is a probability of between 51% and 75% that **assumptions** may fail to hold and/or the project may face substantial risks.
Modest Risk (M): There is a probability of between 26% and 50% that **assumptions** may fail to hold or materialize, and/or the project may face only modest risks.
Low Risk (L): There is a probability of up to 25% that **assumptions** may fail to hold or materialize, and/or the project may face only modest risks.

COVID-19 Impacts to the Project, GEF id: # 5538 _____

<p>COVID-19 impacts</p>	<p>a) Has the COVID-19 pandemic impacted project implementation? If so, how?</p> <p>Yes, the COVID-19 pandemic has impacted project implementation since the planned inception meeting needed to be postponed, and instead several videoconferences are planned in preparation of the inception meeting (the first in July 2020).</p> <p>b) Is there a pattern to the kinds of project activities/outputs that have been significantly impacted by the COVID-19 impacts? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> If Yes, please explain:</p> <p>Those related to meetings and where travel is involved.</p> <p>c) Is there a pattern to the kinds of project activities/outputs, if any, that have not been seriously impacted by COVID-19 and are somehow able to continue? Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes, please explain:</p> <p>As the work plan needs to be updated in line with discussions of the inception meeting the project activities/outputs have not yet commenced and are planned for 2021. However, execution of all activities will be reviewed as to their risk and possible mechanism to adapt if COVID 19 still preventing travel etc. in 2021.</p> <p>d) Will COVID-19 impacts, as of 30 June 2020, have implications on the project's ability to finish by the expected completion date? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>. If Yes, please estimate the likely additional extension required: _____ months. (we realize that, until such a time that work conditions have returned to normal, this could likely be an underestimate).</p> <p>Inception Phase will conclude on recommended extension to accommodate delays due to project managers departure/need to recruit new PM and COVID-19</p> <p>e) Will COVID-19 impacts have implications on the project's budget for PMC? Yes <input type="checkbox"/> No <input type="checkbox"/>. If Yes, please explain:</p> <p>Currently no impact to budget</p>
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Optional Annexes and/or Links:

- **Project Steering Committee Minutes of the year reported**
- **Half yearly Report**
- **Quarterly Reports**
- **Risk Factor Table form previous template (recommended for substantial and high-risk projects)**