Dear Mr. King,

Subject: PROJECT DOCUMENTATION: RAS/98/G31: PREPARATION OF STRATEGIC ACTION PROGRAMME (SAP) AND TRANSBOUNDARY DIAGNOSTIC ANALYSIS (TDA) FOR THE TUMEN RIVER AREA, ITS COASTAL REGIONS AND RELATED NORTHEAST ASIAN ENVIRONS

I am pleased to enclose the project document entitled: RAS/98/G31/A/1G/31-Preparation of the Strategic Action Programme (SAP) and Transboundary Diagnostic Analysis (TDA) for the Tumen River Area, its coastal regions and related Northeast Asian Environs which was approved by the GEF Council in March 1998.

On December 22 and 2 March, Mr. Andrea Merla (GEFSEC) sent communications drawing attention to several discrepancies between the draft project document and the GEF brief. We have now addressed each of Mr. Merla’s comments, as follows:

1. Mr. Merla queried that co-financing from UNDP/TRADP ($3.2M) has become associated financing ($2.9M). In fact, the total combined contribution of UNDP/TRADP remains at $3.2M, however there has been a correction in how the total project costs are reflected in project documentation in line with UN Definitions of co- and parallel or “associated” financing.

UN Definitions of co- and parallel or “associated” financing. The UNDP documents reflect accepted standard UN terminology of associated and co-financing which will be employed in the formal project documents. GEF Secretariat and Council members will note that this terminology is employed in all UN project documents. Co-financing in the UN terminology means that the funds are actually co-mingled or transiting the same project account as the (GEF) project being described in the UNDP project document. “Associated financing” in UN terminology means resources which are being funded in parallel to the (GEF) project resources. It is not possible to change the terminology on the cover pages of UNDP project documents as these terms have clear accounting and financial implications, and as such, “co-financing in the UN documents is reflected as “associated”.

Mr. Kenneth King
Assistant CEO
GEF Secretariat
Room G6005
1176 G Street
Washington, D.C. 20433
2. SGP criteria. We intend to address the recommendation made during the bilateral that the criteria for selection of projects be prepared by undertaking this at the outset of the project. This is noted in the project document.

3. Regional Environmental Working Group. Arrangements for this are now explicitly stated in the project document.

4. Budget allocations. The UNDP input budget includes details that could not be reflected in the output budget prepared for the brief. We have re-allocated the budget away from maintenance and sundries. However, the allocation for equipment (computers and laboratory facilities) was included in the brief under Component 1 and was clearly indicated in the Logframe analysis of the approved Brief: (Activity 1.2.4 "Procure equipment (Measuring/laboratory equipment) to conduct complementary field investigation concerning water pollution and biodiversity issues").

5. These miscellaneous items have been corrected.

Many thanks in advance for expediting the review and approval of this project.

Yours sincerely,

[Signature]

Raquel Aseffo
Executive Coordinator
GEF/UNDP
## UNITED NATIONS DEVELOPMENT PROGRAMME

**Inter-country Project for Northeast Asia Region** –

**People’s Republic of China, Mongolia, Democratic People’s Republic of Korea, Russian Federation, and Republic of Korea**

### PROJECT DOCUMENT

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### Summary of UNDP & Cofinancing

| UNDP TRAC (1&2): | US$ 4,957,200 |
| Co-financing: | US$ 250,000 |
| Subtotal: | US$ 5,207,200 |

### Government Contribution (In Kind)

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**Subtotal** | US$2,000,800 |
**USD TOTAL** | $10,174,000 |

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### Brief Description:

The project is to strengthen capacity to manage regionally and globally important environmental resources in the Tumen Region. The project will build regional capacity to prepare and implement collaborative, targeted and effective efforts. Specifically, the project will prepare a Transboundary Diagnostic Analysis (TDA) and a Strategic Action Programme (SAP), and the capacity to implement the SAP. This SAP will provide the common framework for the identification and formulation of strategies, programmes, and projects responding primarily to transboundary issues of environmental management.

### On Behalf of Governments of the:

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A. CONTEXT

A.1. Description of the Region and the Sub-sector

The Tumen River Economic Development Area (TREDA) and its Northeast Asian environs (hereinafter referred to as "the Region") includes parts of the People’s Republic of China, Democratic People’s of Korea (DPRK), Mongolia, Russian Federation, and the Republic of Korea (ROK). The Region is abundant with natural resources and has a great human resource potential. Together with the political will of all parties concerned, and the fact that it lies close to some of the world’s fastest growing and biggest economies, this area is very likely to become one of the largest international development centers in the region. As a result, there is a long-term potential to attract billions of dollars in investments for infrastructure, natural resource development, industry, mining, oil exploration, and urban development. However, the industrial and economic development will also bring new dangers, and unless mitigation strategies are immediately implemented, growth in the Region will threaten the regional environmental resources.

The Region includes strategically and internationally significant waters including the Tumen River and all of its tributaries, Peter the Great Bay, and rivers to the north and south of the Tumen River. The right bank of the Tumen River belongs to DPRK while most of the left bank belongs to China with the exception of the lower part of the left bank which belongs to the Russian Federation. Coastal areas to the south of the river belong to DPRK, and coastal areas to the north of the river belong to Russia.

The Region is also characterized by unique biological diversity that lies at the boundary of the Boreal and Asian biomes with the Mongolian eco-sphere lying slightly to the west of the Tumen River Basin. The Region encompasses many ecosystems of global significance for their biodiversity including coastal wetlands, marine ecosystems, temperate forests, and steppe. The coastal areas include major wetlands and many bays and inlets. Coastal currents, the north-flowing Korean Current mass, and the south-flowing Primorye Current mass interact to produce summertime cyclonic turnovers in the vicinity of Posyet Bay and the Tumen River, and together with other conditions favor high productivity and biodiversity. Rare and endemic species that depend upon the area for survival include the Siberian Tiger, the Amur Leopard, the Mongolian Gazelle, and several species of crane.

These natural resources are already depleting as a result of industrial and urban development in the Region. A number of existing industrial facilities and urban centers are discharging large quantities of untreated wastes into the Tumen River. The industrial history of the region provides a basis for expecting that hazardous materials and other contaminants may exist in association with closed or abandoned facilities and sites. The extensive loss of wetlands through conversion to agricultural land and alteration in the hydrological regime by human activities continues, especially in China and DPRK.

In addition to these impacts to the riparian states of the Tumen River, development in the Tumen River Basin is beginning to have a significant impact on the environment over a wider geographical range extending to Mongolia and ROK. These include:

- Areas which supply the Tumen River Basin with natural resources, such as timber, fossil fuels, etc. are being depleted and degraded.

1 Please refer to Annex 1: Map.
New transport and communication routes are being built to supply natural resources to the Tumen River Basin and to deliver the Tumen River Basin products to distant markets. This construction may damage the environment, and the use of the new routes may cause pollution. These routes also open up new economic frontiers for exploitation in areas which are poorly managed and regulated. Importantly, they will disrupt the migration patterns of the many migratory animals\(^2\) and rare bird species which spend part of the year in or near the Tumen River Basin.

Population and income growth in the Tumen River Basin and connected areas are creating an increasing demand for food and water. Results include a lowering of groundwater supplies and a conversion of fragile wetlands, steppe, and forests into agricultural land.

The impacts are expected to increase dramatically in line with the predicted economic development of the Region. These threats are superimposed upon long-standing threats to natural resources in the Region including fragmentation of habitats, fires, over-grazing, and illegal collecting and hunting.

**A.2. Host Country Strategies**

At the regional level, the first priority for the Region is economic development. The five countries have common economic development strategies by participating in the Tumen River Area Development Programme (TRADP). TRADP promotes a phased approach towards achieving progressive economic integration in the Region. This is being achieved through close cooperation among the member governments, through a step-by-step harmonization of policies related to trade, investment, industrial development, and through the development of basic infrastructure facilities with an emphasis on transport and telecommunications.

In addition to the above-mentioned economic development strategies, the five participating countries have recognized the threats to their natural resources and independently taken steps to ensure a sustainable development in the Region. At the national level, they have elaborated plans and identified strategies and actions for environmental protection and resources management. These include the following: Priority Programme for China’s Agenda 21 (China); Biodiversity Conservation Action Plan (China); Action Programme for the 21\(^{\text{th}}\) century (Mongolia); Biodiversity Conservation Action Plan (Mongolia); National Strategy for the Conservation of Biological Diversity (ROK); National Action Plan for Agenda 21 (ROK). In addition, Russia and DPRK have elaborated strategies and action plans for environmental protection and established national standards to control pollution.

Each of the participating countries has also established protected area systems covering both biodiversity conservation and forest protection schemes for watershed management. There are 41 main biodiversity reserves in the Region. In the main, protected areas have been established in forest areas to protect single species. However, most reserves, except those in ROK, are currently experiencing insufficient funding and management leading to problems with poaching and encroachment.

\(^2\) The migratory Mongolian Gazelle, which ranges from Russia through Mongolia and into China, will be particularly affected.
In addition to these national level interventions, at the Regional level, the Memorandum of Understanding (MOU) on Environmental Principles Governing the Tumen River Economic Development Area and Northeast Asia was signed by the five countries in New York in 1995. This historic agreement emphasizes the need for cooperation in order to safeguard local, national, and regional environmental resources.

A.3. Prior and On-going Assistance

Although many of the countries in the Region have received significant international assistance, very few of them have a regional focus.

One main exception is the Tumen River Area Development Programme (TRADP) supported by UNDP which began in 1992 with the participation of China, DPRK, Mongolia, ROK, and Russia. The participating countries requested assistance to elaborate an economically and environmentally sound approach to development of the Tumen River Economic Development Area (TREDA), its related coastal areas, and its Northeast Asian environs (RAS/92/430 and RAS/97/430).

TRADP is the only regional forum in the Region. As such, it receives strong support by the member states and has greatly enhanced economic collaboration in the Region. In particular, it has contributed significantly toward the signing of the Memorandum of Understanding on Environmental Principles (MOU) in December 1995. This historic agreement can be considered as the starting point for raising environmental concerns and government commitment to concerted actions for environmental protection and rational management of natural resources.

As described in Section A.2. Host Country Strategy, most of the current environmental initiatives are implemented at the national level, and there are only very few initiatives which cover the region, such as: UNEP’s Northwest Pacific Action Plan, ESCAP’s Northeast Asia Region Environment Programme, and the IOC’s Northeast Asia Regional Global Ocean Observation System.

Under the preparatory assistance phase (RAS/96/G41) of the present project, two regional workshops and one identification and formulation mission were organized. The first workshop, held in Vladivostok in May 1997, introduced the project concept to the participating countries and determined in a participatory manner the general goals and approach to the project. The mission conducted data collection and prepared a preliminary TDA and draft Project Brief. The second workshop, held in Beijing in October 1997, defined the details of the Project and built consensus.

A.4. Institutional Framework

TRADP has the following institutional framework established for its implementation: (i) two international bodies i.e. Consultative Commission and Coordination Commission; (ii) TRADP National Teams (TRADP National Team Coordinator), and (iii) Tumen Secretariat.

Consultative Commission
Consultative Commission meetings are held once a year and comprised of vice ministerial level representation of the five TRADP governments. This Commission is established to oversee implementation of TRADP through legally binding agreements by
the member countries. The Consultative Commission has a specific promotional role to foster support for economic, environmental, and technical cooperation to ensure sustainable development in the Region.

As part of the implementation of the MOU, a Regional Environmental Working Group (REWG) has been established under the Consultative Commission. The Regional Environmental Working Group consists of members from each of the five TRADP member countries.

Coordination Committee
The three riparian countries, China, DPRK, and Russia constitute the Coordination Committee and meet once a year, normally immediately after the meeting of the Consultative Commission. The Coordination Committee has a consultative, coordinating, and an advisory role in the areas of social, environmental, and economic matters as well as legal issues including sovereign rights of member states.

The Coordination Committee and the Consultative Commission can make binding policy decisions on issues related to TREDA. However, the Commission’s jurisdiction encompasses the whole Northeast Asia area.

TRADP National Team (TRADP National Team Coordinator)
Each country has established a TRADP National Team which is chaired by the TRADP National Team Coordinator. Together, the five Teams provide the interface between the five national governments, and with the UNDP and the Tumen Secretariat. The TRADP National Team is a non-standing body in which ministry representation changes in accordance with the issues being addressed. The TRADP National Team Coordinators are permanent, and they meet at an intergovernmental meeting twice a year. The meetings finalize the annual workplan and prioritize activities for the Tumen Secretariat.

The ad hoc Environmental Working Group, established under the TRADP National Team, is a group of experts which assist the TRADP National Team on environmental issues related to the implementation of MOU.

Tumen Secretariat
Tumen Secretariat is the implementing agency for TRADP and was established on behalf of the participating governments. The Secretariat is currently under the auspices of UNDP, but will, at a later stage, be financed and managed by the member states themselves. The functions of the Tumen Secretariat include; providing advice, support, and service to the Consultative Commission, Coordination Committee, and other subordinate bodies that may be established; facilitating execution of contracts between UNOPS and agencies, consultants, and other institutions; and assisting and coordinating the implementation of the large range of activities and actions undertaken by TRADP.

B. PROJECT JUSTIFICATION

B.1. Problems to be Addressed: the Present Situation

As mentioned in Section A, the natural resources in the Region face a threat from economic development. There are many on-going efforts oriented toward achieving environmental benefits at the national level. Given the transboundary nature of most of
the threats to international waters and biodiversity in the Region, it is unlikely that these national and discrete efforts will be sufficient to protect the regionally significant environmental resources. There is a corresponding need for collaborative, region-wide activities to protect the Region from the impacts of industrial development in the Tumen River Basin. However, there are barriers to these collaborative efforts:

(1) Lack of a consensus on priorities, targets, programmes, and projects to protect the environmental resources in the Region
Whereas the MOU lays the political foundations for the protection of regionally important environmental resources, a comprehensive action plan, which can be agreed and implemented, remains to be developed by the five concerned governments. Since there is a limited understanding of the detailed interactions between the economic activities in the Region and regionally significant environment benefits, any action plan to be developed must be based on a full, scientific assessment of the present and future impact of economic growth on international waters and biodiversity. The action plan should also include a financial strategy and alternatives which can facilitate both sustainable and environmentally sound economic development.

(2) Limited cooperative mechanisms and management skills
Existing management and planning mechanisms to operationalize regional cooperation and to determine common approaches to environmental protection are not sufficient. This is true for inter-governmental coordination and coordination between national and local governments. Responsibilities are split between different ministries, and the central, provincial and local government often have different areas of interest. Furthermore, capacity to identify, prioritize, design, and implement key activities to protect the environment is limited.

(3) Lack of broad public involvement in the planning process
Environmental decision-making and planning is traditionally a top-down process. This greatly affects the planning exercise and often results in weak cooperation in the implementation of plans. Meanwhile, there is limited awareness of environmental issues among the public, and thus, it is not easy to mobilize grass root participation.

(4) Limited exchange of scientific data and information
While much data already exists in each of the five participating countries, there is little information sharing. This has to do with the fact that the countries do not follow a common approach in information gathering, and the resulting data incompatibility. Planning and decision-making is difficult due to this lack of reliable and comprehensive information.

B.2. Expected End of Project Situation

These barriers to collaborative action will have been removed by the end of the project. More specifically:

(1) A comprehensive action plan which prioritizes targets, programmes, and projects to protect important environmental resources in the Region will have been developed
A Transboundary Diagnostic Analysis (TDA) will have been prepared, and using this as a basis, a Strategic Action Programme (SAP) that is practical and can be implemented will have been developed. The TDA and the SAP will provide a clear picture of the relationship between economic growth and its impact on international waters and
biodiversity. The SAP should act as a roadmap and guide the economic development to ensure that biodiversity and international waters are protected.

(2) Cooperative mechanisms at the inter-government, national, and local levels will be strengthened with more management capacity
A GEF-SAP Coordination Unit and 5 National SAP Planning Units will have been established. In collaboration with the TRADP National Teams, they will strengthen coordination among inter-government, national, and local levels. The TRADP National Team and Environmental Working Group members will have received training and acquired skills in identifying, prioritizing, designing, and implementing key activities to protect the environment so that they can prepare and implement the SAP. In addition, several Workshops will have been organized and the participants will have acquired new skills and methodologies. Furthermore, collaboration with related programmes and projects in the Region will have been made by exchanging information and setting up electronic links.

(3) Environmental awareness among public and decision makers will be reinforced, and there will be a better community and public involvement in the planning process
A comprehensive awareness-raising programme, with a particular focus on transboundary issues, will have been developed. Pilot activities in this programme will be implemented through the project at both local and national levels. Also, the Small Grants Programme will implement many community-based pilot activities of the Awareness-raising programme. In addition, the SAP will have been prepared using a Participatory Approach and by mobilizing grass root participation.

(4) Common data information system established
A common programme for collection, monitoring, analysis, storage, dissemination of data for the Region will have been developed. This will help strengthen cooperative mechanisms across the five participating countries. Moreover, data will have been collected in an efficient manner and made accessible to all concerned and interested parties.

B.3. Target Beneficiaries
There are three levels of target beneficiaries in this project. First the Immediate Beneficiaries are the professionals from local/national governments and private sectors working on development in the Region. They will participate in the Consultation Meetings and Planning Workshops and acquire new knowledge on planning techniques and enlarge their knowledge on technical issues related to environmental protection and resources management. Second, the Indirect Beneficiaries are the colleagues and counterparts of the Immediate Beneficiaries. Upon the return of the Immediate Beneficiaries to their organizations, they will incorporate their new skills into their daily work and new methodologies into their work programme. They will pass on the skills and methodologies to their colleagues and counterparts. In addition, those agencies dealing with the Direct Beneficiaries will benefit from an improved service.

Third, the Ultimate Beneficiaries are the people living in the Region. They will benefit from sustainable management of natural resources. These populations will also benefit from enhanced quality of life through pollution control, clean water, efficient management of land and resources, and improvement of health conditions.
B.4. Project Strategy and Institutional Arrangement

Project Strategy

The overall strategy is to build the foundation for long term, effective cooperation in the Region. The SAP will be a key tool for this cooperation, and the capacity built through the project will ensure that the SAP can be implemented.

The process to preparing the SAP is carefully designed to ensure (i) a full ownership of the SAP at all levels and (ii) a sound technical and scientific basis for implementation.

In order to ensure that the SAP is action-oriented, locally owned, government supported, and responsive to the local conditions, the project will rely on a strong Participatory Approach to formulate the SAP. A series of consultation meetings will be held at the local and grassroots levels to identify environmental priorities, generate and validate information, and ensure widespread support to the approaches proposed in the SAP. An Awareness-raising Programme on transboundary environmental issues will also be designed and partly carried out to raise environmental awareness among public.

A Small Grants Programme (SGP) administered under the project will further enhance the cooperation of all stakeholders. The SGP will be administered by a regional NGO. The SGP will be used primarily to implement pilot activities in the awareness raising programme, and to support strategic activities that build local and community support. Through the grants, the SGP will facilitate the involvement of local NGOs as potential sub-contractors. In countries where the capacity of local NGOs is weak, the SGP will lay the groundwork for later NGO involvement. A streamlined framework to review proposals and approve grants will be established. Annex 8 includes outline criteria for the selecting grant recipients. These criteria will be further developed at the outset of the project. Local NGOs and institutes will prepare proposals. This SGP is intended to have an immediate impact on public behavior, decision-makers and the environment.

In order to ensure technical accuracy, the first step will be to prepare area based and sector based reports, providing full information on the environmental situation, economy-environment links, economic trends, and regional environmental issues. This information will be the basis for the TDA. The TDA will be the basis for developing an agreed and comprehensive programme of action to manage regional environmental issues and regional sustainable development — the SAP.

The process described above will build capacity to implement the SAP. It will strengthen the existing mechanisms for regional cooperation in regional, national, and local bodies and develop their capacity for project identification, formulation, and management. Through the process, the TRADP National Teams and Environmental Working Groups will receive training to prepare and implement the SAP. In addition, the project will compile, from existing sources, a comprehensive database on international waters and biodiversity in the Region. It will also conduct a study on environmental research and information system and establish an Environmental Information System so that future data is collected in an efficient manner and accessible to all concerned and interested parties.
Institutional Arrangement

The project will build upon the institutional framework put in place for TRADP.

International level
The project will be executed by UNOPS.

Regional level
For the purposes of this project, membership of the Regional Environmental Working Group will be extended to include representatives from UNDP, the Executing Agency, the Tumen Secretariat, 2 NGOs and the Chief Technical Advisor. This group will also form the Project Steering Committee which will meet at least once a year to provide guidance to the planning process.

The GEF-SAP Coordination Unit, comprised of the Chief Technical Advisor, Programme Officer, and Communication Specialist, will be established and undertake daily management of the project. The mandate of the GEF-SAP Coordination Unit is to organize and coordinate the SAP planning process and to ensure that the project is implemented accordingly. The GEF-SAP Coordination Unit will work closely with the Tumen Secretariat and will also assist in identifying national and international consultants for the project.

National level
The TRADP National Teams will take overall responsibility for in-country activities. For the project, composition of the TRADP National Teams is to be extended to include the GEF Focal Points and the national agency for environmental protection. Duties of the Teams will include: providing guidance; approving quarterly work plan; mobilizing government inputs; approving international consultants and identifying potential national consultants; and reviewing and promoting all project outputs. The ad hoc National Environmental Working Groups will provide technical support to the TRADP National Teams.

In addition, National SAP Planning Units will be established in each country. This will report to the GEF-SAP Coordination Unit and work on day-to-day implementation of the project including compiling and assembling information and database; organizing workshops; undertaking surveys and field works; and preparing project reports.

See illustration of implementation arrangements in Annex 7

B.5. Reasons for UNDP Assistance

The principal reason for UNDP involvement in this project is that this project falls under two of the key UNDP mandates i.e. regional cooperation and environmental protection. The project, involving China, DPRK, Mongolia, ROK, and Russia brings the countries closer together in achieving common goals. Currently there is a need to protect the environment in the Region since economic growth is bound to accelerate in the coming years, and there will be high possibility of environmental degradation if effective protective measures are not taken.

Another reason for UNDP assistance is the comprehensiveness and neutrality UNDP can play in the Region. UNDP has offices in all the five countries, and as a multi-lateral organization, it can work disinterestedly for the benefit of the participating countries.
UNDP has extensive experience in the Region. Since 1992, UNDP, through TRADP, has been actively assisting government initiatives of the five participating countries, China, DPRK, Mongolia, ROK, and Russia to elaborate and coordinate policies and actions for economically and environmentally sustainable development of the Region. To date, UNDP has funded: RAS/92/430 --- Tumen River Area Development Programme Phase I and RAS/97/430 --- Tumen River Area Development Programme Phase II. UNDP has also notably contributed to the signing of the Memorandum of Understanding on Environmental Principles (MOU) in December 1995.

Considering UNDP’s mandates, its comprehensiveness and neutrality, and experience in the Region, UNDP has a comparative advantage in supporting this project.

B.6. Special Consideration

For the sustainability of the project, special consideration will be given in following each country’s national practices. For example, when the project introduces new methodologies (e.g. Participatory Approach) the project will make sure that it is adapted to each country’s practices.

In addition, the project will also give special consideration in having broad coverage of people participating in the Consultation Meetings and Planning Workshops. In particular, the project encourages Private Sector, NGOs, and women participation. Efforts will be made to assure that at least 30% of all participants in the Consultation Meetings, Planning Workshops and training are women.

B.7. Coordination Arrangements

Effective implementation of this project will require coordination of activities at three levels. First, sufficient coordination is required between the five participating countries to effectively implement this project. The GEF-SAP Coordination Unit in collaboration with the National SAP Planning Units will coordinate among the participating countries. The Tumen Secretariat can also provide assistance to this.

Second, coordination inside each participating country is necessary. This means that this project has to be in line with each country’s development and environmental policy. The TRADP National Teams and the Environmental Working Groups will coordinate the activities inside the country and ensure liaison among concerned parties. These Teams, Groups, and the National SAP Planning Units will ensure coordination among the different levels of government.

Third, for a better environmental protection in the region, coordination arrangement with other projects, especially environmental projects is critical. The GEF-SAP Coordination Unit will prepare a database on related projects and establish electronic links for information exchange.

B.8. Counterpart Support Capacity

Government Commitment
The five participating countries have the commitment as well as the capacity to implement this project. They have actively participated in the discussions during the 18
months of project preparation including two workshops in Vladivostok and Beijing. During this period, they have also demonstrated their strong commitment and built up their capacity to take part in the SAP preparation process and to implement joint strategies to protect the environment in the Region.

In addition, each of the five participating countries has developed a legal and institutional framework for nature conservation and control of environmental degradation and pollution. The five countries are signatories of international conventions to protect biodiversity, international waters, wetlands, and others.

Institutional Capacities and Arrangements
Within the framework of TRADP, the five participating countries have established institutional mechanisms for economic cooperation and environmental management and have the institutional capacity to implement the project. The project will operate through these mechanisms to support and ensure the sustainability of project outputs including implementation of the SAP.

C. DEVELOPMENT OBJECTIVE

The development objective of this project is to promote environmental sustainable development in the Tumen Region. The project intends to provide regional environmental benefits by protecting international waters and biodiversity in the Region.

D. IMMEDIATE OBJECTIVES, OUTPUTS, AND ACTIVITIES

IMMEDIATE OBJECTIVE 1:
Capacity to prepare Environmental Strategic Action Programme (SAP) for protection of international waters and biodiversity is reinforced.

Success Criteria:
The success of this objective will be measured by whether the Governments (including National TRADP Teams and Environmental Working Groups) take joint decisions regarding approaches/activities for environmental management.

Output 1.1:
Mechanisms for regional cooperation in environmental management at regional, national, and local levels established.

Success Criteria:
Efficient project management framework established and comprehensive database compiled.

Activities:

| 1.1.1. Recruit technical assistance team. | Responsible Parties: UNOPS |
| 1.1.2. Establish GEF-SAP Coordination Unit including purchase of equipment. | UNOPS/ Tumen Secretariat |
| 1.1.3. Establish a National SAP Planning | TRADP National Team |
Unit in each country including purchase of Equipment.

1.1.4. Identify existing sources of information and compile a comprehensive environmental database using existing information sources.

1.1.5. In close cooperation with all stakeholders, compile roster of national experts from the Region.

Output 1.2:
National TRADP Teams and the Environmental Working Groups have acquired the skills to prepare and implement SAP.

Activities:
1.2.1. Draft Training Programme for the members of the National TRADP Teams and Environmental Working Groups including identifying training institutions.

1.2.2. Hold Training/Orientation Courses in each participating country on the methodological approach and planning system for preparing TDA and SAP with particular attention paid to GEF principles and strategies.

1.2.3. Organize Study Tour(s) to other related projects concerning Biodiversity protection and International Waters.

1.2.4. Prepare list of laboratory equipment and submit to UNDP for approval.

1.2.5. Procure equipment and conduct complementary field investigation on water pollution and biodiversity issues.

Output 1.3:
Cooperation and coordination with other

Success Criteria:
Database covering all the related projects
environmental programmes and projects established.

Activities:
1.3.1. Prepare database on all on-going related programmes, projects, and activities in the Region and in other comparable regions such as: UNEP’s Northwest Pacific Action Plan, ESCAP’s Northeast Asia Region Environment Programme, and the IOC’s Northeast Asia Regional Global Ocean Observation System.

1.3.2. Establish links and information exchange (e.g. Internet) with related programmes, projects, and activities (e.g. IW: Learn will enable cross-project; communication and information sharing between this project and other GEF projects).

1.3.3. Organize joint workshops to exchange information and to develop common strategies for environmental management and problem solving (co-financing of 1-2 workshops for 2 to 3 days).

1.3.4. Invite potential fund recipient institutions and projects to participate in the SAP planning activities.

Results and findings of all projects are compiled.

Responsible Parties:
GEF-SAP Unit/ National Consultant

IMMEDIATE OBJECTIVE 2:
Awareness on transboundary environmental Issues raised at all levels.

Success Criteria:
Understanding of Awareness-raising Programme (ARP) by its beneficiaries.

Strong linkages between suppliers, disseminators and users of environmental information

Output 2.1:
Environmental Awareness-raising Programme (ARP) targeting target groups.

Activities:
2.1.1. Hire a Communication Specialist to UNOPS

Responsible Parties:

Success Criteria:
ARP, matched with local conditions, approved by national and local governments.
study awareness raising issues with particular attention to transboundary issues.

2.1.2. Recruit International/ National Consultants including specialists in social behavior to work on the preparation of the ARP. GEF-SAP Unit

2.1.3. Prepare an ARP to be implemented at the local, national, and regional levels. International and National Consultants

**Output 2.2:**
The Awareness-raising Programme is implemented at the local and national levels, and the results of the pilot phase are analyzed.

**Activities:**
2.2.1. Circulate the ARP (Activity 2.1.3.) to various donors for additional funding.

2.2.2. Identify national institutions for programme execution (educational institutions, mass media, NGOs, professional association, people’s governments, and groups, etc.) GEF-SAP Unit/ National Consultant/ TRADP National Team

2.2.3. Produce awareness building materials in local languages for decision-makers and for the common users of the environment. National Consultants/ Translator

2.2.4. Disseminate materials and launch education and awareness building campaigns. GEF-SAP Unit/National SAP Planning Unit

2.2.5. Analyze results of pilot phase, propose adjustments when necessary and make recommendations for future awareness raising activities. International and National Consultants

**Output 2.3:**
Public awareness raising activities and participation reinforced by the implementation of the Small Grants Programme for community based environmental protection.

**Success Criteria:**
Small Grants Programme established supporting community based environmental protection projects.
Activities:

2.3.1. Establish management structure, select Regional NGO to manage SGP and define criteria for project selection (including contribution to global environment) for the Small Grants Programme (see Annex 8).

2.3.2. Select projects eligible for funding taking into account the recommendations from the National Target Oriented Planning Workshops (Activity 3.2.3) for activities related to reduction of water pollution, management of protected areas, awareness raising and institution building. Priority will be given to pilot activities from the ARP.

2.3.3. Release funds to support selected activities, evaluate the activities and results in terms of technical gains and increased public awareness and participation.

2.3.4. Analyze results of pilot phase, propose adjustments when necessary and make recommendations for future Small Grant Programmes.

IMMEDIATE OBJECTIVE 3:
Transboundary Diagnostic Analysis (TDA) and Environmental Strategic Action Plan (SAP) are Developed.

Output 3.1: An agreed methodological approach and scope to preparing the TDA and SAP.

Activities:
3.1.1. Identify all stakeholders concerned with SAP and provide them with relevant information on Biodiversity and International Waters in the Region.

Responsible Parties:

GEF-SAP Unit/ International Consultant/ National Consultant

Regional NGO/GEF-SAP Unit/Steering Committee

Regional NGO/GEF-SAP Unit

Regional NGO/International and National Consultants

Success Criteria:

Full consensus on the programme to protect the regional environment resources in the region.

SAP receives full support from the five governments and all concerned stakeholders.

Success Criteria:

Full understanding and agreement to the planning methodology, workplan, and organizational structure.

Responsible Parties:

GEF-SAP Unit/ TRADP National Teams/ Environmental Working Group
3.1.2. Draft and distribute guidelines on the Target Oriented Planning Workshop to Governments, NGOs, donors, and other stakeholders.

3.1.3. Identify and invite participants from Government (national and local levels), International Organizations, and key stakeholders (private sectors, NGOs, professional associations, scientific institutions, etc.) to participate in a planning workshop.

3.1.4. Hold a Target Oriented Planning Workshop and use Target Oriented Planning methodology to:

(i) Determine the Participatory Approach for Area-based Studies and Sector Studies.

(ii) Define the scope of work and the conceptual definition of the areas of intervention.

(iii) Define the work plan and institutional arrangement for preparing TDA and SAP.

3.1.5. Disseminate the Target Oriented Planning Workshop report including agreed work plan and agreed organizational structure for all planning activities at the local and national levels.

3.1.6. Organize a consultative Donor Conference to present the approach and work plan for preparing TDA and SAP. Special attention will be paid to the Participatory Approach in Area-based and Sector Studies.

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3 The methodological approach relies on equal participation of all members of the workshop and uses visualization as an element for consensus building. The workshop activities follow a logical framework of analysis, identifying causes and effects of environmental problems, determining objectives and corresponding actions to solve problems and/or to assure sustainable development of resources. Ideally, 25 professionals from government and civil society with specific knowledge on environmental issues would participate for about six days. Planning specialists will provide methodological and technical guidance. The results of the workshop depend on the quality and the active participation of the participants.
Output 3.2:
Area-based Environmental Reports prepared by each participating country.

Success Criteria:
Government approves the Area-based Environmental Report.
Local community support for the Report.

Activities:

3.2.1. Recruit International Consultant and Sub-contractor to prepare background papers addressing particular area-related environmental issues in the Region.

3.2.2. When requested by the government, sub-contract, on a country basis, a NGO to organize Consultation Meetings at the national or local level with participation from governments (regional and local) and key stakeholders (NGOs, professional associations, scientific institutions, etc.), and discuss environmental issues related to particular ecological zones or regions.

3.2.3. Hold national Area-based Planning Workshops to analyze environmental problems of specific areas and ecological zones and to determine strategies and actions for sustainable environmental management of local ecosystems and resources.

3.2.4. For each zone, draft a Portfolio of projects of regional importance with priority. It should account for the estimation of baseline and incremental cost as well as a description of projects which may be eligible for GEF small grant programmes or other sources of financial assistance.

3.2.5. Finalize and distribute Area-Based Reports.

Responsible Parties:
UNOPS/GEF-SAP Unit

TRADP National Team/ Environmental Working Group/National SAP Planning Unit

GEF-SAP Unit/TRADP National Team/Environmental Working Group

International Consultant/Sub-contractor

International Consultant/Sub-contractor
Output 3.3:
Sector Study Reports prepared, edited, and printed.

Success Criteria:
Sector Study Reports for each sector regarding economic and environment sub-sector.
Reports approved by all the five governments.
Local community support for the Report.

Activities:
3.3.1. Write terms of reference and hire International and Sub-contractor to prepare, organize, and conduct transboundary and sector studies.

3.3.2. Elaborate transboundary and sector studies (See Annex 4.1 for details).

3.3.3. Elaborate Sector Studies and assess the impact of economic development trends on the environment and natural resources.

3.3.4. Organize Sector Workshops (one for each sector: total 7 workshops) to involve public and all stakeholders in the preparation of Sector Study Report.

3.3.5 Edit and print Sector Study Reports.

Responsible Parties:
UNOPS

Output 3.4:
Transboundary Diagnostic Analysis (TDA) prepared.

Success Criteria:
TDA covering all five countries, approved by the governments.

Activities:
3.4.1. Based on the Area-Based Reports and the Sector Study Report, draft TDA (See Annex 4.2)

3.4.2. Hold a Workshop to evaluate TDA. Participants to include resource-persons and observers from national and international organizations, universities, research institutions, and technical cooperating agencies to ensure high quality and relevance of the sector/ cross-sectoral analysis and
TDA.

3.4.3. Identify transboundary projects addressing global environmental issues.  

3.4.4. Finalize and distribute TDA.  

**Output 3.5:**  
Regional Strategic Action Programme (SAP) edited and printed.  

**Success Criteria:**  
SAP approved by the five governments.  
Support for SAP from the local and international communities.  
Baseline and additional action identified and financially quantified.  

**Activities:**  

3.5.1. Review proposed project Portfolios (see Activity 3.2.4. and 3.4.3.), and prepare a compilation of proposed investments by sector and country. Identify baseline contribution and assess incremental cost for projects eligible for GEF financial support. In addition, identify other sources of financial support and propose time-frame for implementation.  

3.5.2. Review possible financial mechanisms including private sector, government, ODA, and other innovative mechanisms for supporting SAP.  

3.5.3. Organize Regional Planning Workshop for preparation of SAP focusing on policies, strategies, and actions using a participatory logical framework approach (LFA).  

3.5.4. Draft SAP report and investment programme and submit to participating governments, donors, and cooperating agencies for their review and comments (See Annex 4.2 for details)  

3.5.5. On a country basis, when requested by the government, contract NGOs to organize Consultation Meetings at the
national and local level with participation from government (regional and local) and key stakeholders (NGOs, professional associations, scientific institutions, etc.) to discuss the draft SAP.

3.5.6. Hold Inter-governmental Evaluation Meeting to review and approve the regional SAP.

3.5.7. Hold International Donor Conference and present TDA and SAP.

**IMMEDIATE OBJECTIVE 4**: Capacity to implement SAP strengthened at the National and Regional levels.

**Output 4.1:**
Environmental research and information system for the Region developed.

**Activities:**
4.1.1. Identify government focal points for the development of the environmental research and information systems, hire Consultants, and initiate studies on research and information systems.

4.1.2. Carry out a study on environmental research systems in each participating country. (See Annex 4.3)

4.1.3. Carry out, in each participating country, a study on environmental information systems

4.1.4. Establish Environmental Information System; connect to international sources (Internet); and make the information system operational at all levels of the countries.

**Output 4.2:**
Harmonized technical and legal conditions for Environmental Impact Assessment (EIA)

**Success Criteria:**
- **Strong cooperative mechanisms** among expert communities and local officials on EIA, research, and data management.
- Joint research mechanism operationalized.
- Comprehensive information sources compatible and accessible.

**Responsible Parties:**
- GEF-SAP Unit/Steering Committee
- GEF-SAP Unit/OPS

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4 Cost-sharing will contribute to Objective 4, as these activities have local benefits only and therefore do not qualify for GEF support.
developed across the region.

Activities:
4.2.1. Hire consultants for a study on harmonization of EIA standards and procedural arrangements.

4.2.2. Conduct study in each participating country on EIA. The study should: (1) Analyze existing legislation to carry out EIA and relative environmental standards; (2) Elaborate proposals for harmonization or equivalent indicators; (3) Prepare recommendation for certification of firms to conduct EIA, propose effective control mechanisms.

4.2.3 Under TRADP initiative, organize one regional EIA Workshop with private sector participation to review findings of Activity

4.2.4. Submit proposed standards and regulations to carry out EIA to the participating governments.

Responsible Parties:
GEF-SAP Unit/UNOPS/International Consultant
International Consultant
Tumen Secretariat/GEF-SAP Unit
TRADP National Team
E. INPUTS

E.1. Government Inputs

The participating governments have provided approximately US$2,000,800 as in-kind contributions to finance the following:

<table>
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<tr>
<th>GEF/SAP focal point</th>
<th>Each participating country identifies its GEF/SAP focal point.</th>
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</thead>
<tbody>
<tr>
<td>Logistical and personnel support</td>
<td>Provide office space and support personnel (technical and administrative) for the national GEF/SAP focal point and National Consultant.</td>
</tr>
<tr>
<td>Set-up institutional arrangement</td>
<td>Set-up institutional arrangement according to Section B.4.</td>
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<tr>
<td>Data and statistical reports</td>
<td>Identify national institutions and professionals to work with SAP consultants.</td>
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<tr>
<td>Support for meetings, workshops, and missions.</td>
<td>Provide space and organize meetings and workshops; do logistical arrangements for missions.</td>
</tr>
<tr>
<td>Environmental Information System</td>
<td>Identify institutional arrangements and human resources; provide logistical support.</td>
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</table>

The participating countries’ in-kind contribution is estimated as follows:

- China: US$450,000
- DPRK: US$400,000
- Mongolia: US$350,800
- Russia: US$450,000
- ROK: US$350,000

Total estimated in-kind: US$2,000,800

E.2. UNDP/GEF Inputs

The Total of UNDP/GEF inputs is equal to $5,207,200. This includes $250,000 of co-financing through project RAS/97/430.

(a) Personnel

International Personnel (Professionals/Consultants)

<GEF-SAP Coordination Unit>⁶

- Chief Technical Advisor (CTA) 24
- Programme Officer 24
- Communication Specialist 22

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²The following includes the US$250,000 of cost-sharing to support activities in Objective 4.

⁶Please see Annex 3 for Terms of References.
<Short-term --- Special Task International Consultants>\(^7\)

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<td>Sector specialists</td>
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<td>Target Oriented Planning Expert for SAP</td>
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National Personnel

<National Professional/ Consultant>\(^8\)

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Official Travel

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<tbody>
<tr>
<td>International Personnel</td>
</tr>
<tr>
<td>National Personnel</td>
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</tbody>
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Evaluation

(b) **Sub-contracts**\(^9\) **US$1,016,000**

Area-based Report and Sector Report
- TDA and SAP
- Environmental Information System
- Production of education materials and awareness raising materials
- Mass media campaign for awareness raising
- Community Based Awareness (SGP) Fund **400,000**

The sub-contracts budget includes the Community Based Awareness Small Grants Programme (SGP) Fund. To further strengthen education and awareness raising among the target groups, a special Small Grants Fund will be established. The duration of the Fund is approximately one and a half years and will support projects on awareness raising and on community based environmental protection.

Overall management will be entrusted to a regional NGO. The management structure and the project selection criteria for the Programme are to be determined during project

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\(^7\) Please see Annex 3. Detailed TOR will be drafted with assistance from CTA.

\(^8\) Please see Annex 3. Detailed Terms of References will be drafted by the CTA during the Project.

\(^9\) Please see Annex 4 for Terms of References.
implementation (see activity 2.3.1). In addition, the Programme will be implemented with the participation of national and local institutions (e.g. educational institutions and NGOs) which are also to be identified through the project.

- To monitor the effectiveness of the Programme, a mid-term review and a final review will be conducted. The results of the reviews will be analyzed and if necessary adjustments and recommendations will be proposed for future Small Grants Programme

(c) Training

National Workshop
- 5 Orientation Courses and Group Training (one in each country)
- 10 Consultation Meetings (two in each country)
- 5 Area-based Studies Workshops (one in each country)

Regional Workshop
- 2 Information Exchange Workshops (participation in these workshops will be financed by other projects)
- 1 Inception Workshop
- 1 Target Oriented Planning Workshop
- 7 Sector Workshops (specific sectors identified)
- 2 Donor Conferences (project will cover venue and organization costs. All participation costs to be met by donors)
- 1 TDA Evaluation Workshop
- 1 SAP Formulation Workshop
- 1 high level Consultation Meeting (SAP)
- 1 EIA Workshop

Study Tour
- Study tour(s) to other relevant projects

(d) Equipment

Equipment is mainly to facilitate project management. However, some laboratory equipment will be necessary to strengthen monitoring and inspection facilities in the Region. The details of this equipment is to be specified under Activity 1.2.4. Details of all Non-Expendable equipment is provided in Annex 6.

The Equipment budget includes an allocation of $45,000 for Expendable equipment. This includes supplies for the offices, supplies for the laboratory, and any special expendable, equipment required for missions.

- The equipment budget also includes an allocation towards Office Operation and Maintenance ($135,000)
- Reports and project publications ($88,000)
- Communication and website ($130,000)

Please see Annex 5 for Terms of Reference.
Please see Annex 6 for Equipment Requirements.
(e) **Miscellaneous**  
US$121,800

Stationary, subscription to journals, books and sundries ($30,000)
- UNDP Support Cost. There will be project support services incurred for project administration and supervision. ($91,800)

(f) **Agency Support Cost**  
US$275,400

There will be project support services incurred for project administration and supervision.

**UNOPS Support Cost**  
US$275,400

### F. RISKS

The project has the following potential risks:

#### F.1. Slow Commitment to Regional Cooperation

*Estimated likelihood: Medium-low*

Due to political and administrative constraints, there may be delays in the establishment of cooperative mechanisms and in the approval of project outputs in some participating countries. This could mean that the planning process proceeds more quickly in some countries than in others.

However, participating countries have indicated their commitment to common action for environmental management including the elaboration of common policies and strategies...
for mitigation of environmental hazards during the process leading up to MOU as well as
during the intensive formulation of this project. It is unlikely that participating countries' commitment is slow enough to hinder the progress of the whole project.

F.2. Difficulty to Implement Participatory Approach in Some Countries
Estimated likelihood: Medium-low

Since Participatory Approach assures and requires a wide involvement of stakeholders in a thorough consultative process, countries which have little experience in implementing such an approach may encounter difficulties. For example, disagreement could arise in the choice of participants or in the selection of consultants.

The approach and the scope of work of SAP have been discussed in depth at the two project formulation workshops (in Vladivostok and Beijing) to ensure that there would be no major problem. In addition, Participatory Approach is flexible and to be adapted to the countries.

F.3. Failure of Timely Delivery of Counterpart Funding and Information
Estimated likelihood: Low

Considering administrative and financial constraints, participating countries might not provide, in time, the agreed counterpart contributions (administrative support for organization of meetings and workshops, preparation of sector studies, office facilities, equipment, transport, etc.) and be reluctant, due to administrative inefficiency, to provide necessary data and information.

However, the project has the strong commitment of the member governments. Moreover, the project uses existing institutional frameworks. For these reasons, counterpart contributions should be forthcoming in a timely manner. In order to assure that information is available, the project makes maximum use of national and international consultants, and uses workshops and meetings as tool to generate information.

G. PRIOR OBLIGATIONS AND PREREQUISITES

The participating governments have taken all preparatory measures, including budgetary allocations for the government contribution in kind, and have designated a senior official as a national GEF-SAP Focal Point in each country. There are no further prerequisites or obligations to be fulfilled prior to UNDP approval of the project.

H. PROJECT REVIEW, REPORTING, AND EVALUATION

In line with UNDP procedures, the project will be subject to tripartite review (TPR) at least every twelve months. On these occasions, the CTA will prepare an up-dated workplan and Annual Project Report (APR) and formulate recommendations for eventual adjustments of strategies and activities.

Meetings can also be organized on request of the CTA and on request by one of the participating countries. The Consultative Commission of TRADP, upon recommendation of the Regional Environmental Working Group, will approve the final result at a terminal joint review meeting. The draft Project Terminal Report shall be prepared at least two
months in advance to allow review by UNDP prior to the Terminal Tripartite Review Meeting.

In line with UNDP procedures, an independent evaluation of the project will be undertaken. This evaluation will take place towards the end of the project.

I. LEGAL CONTEXT

This Project Document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement between the Government of those participating countries which have signed such Agreement and the United Nations Development Programme.

The following types of revisions may be made to this project document with the signature of the Principal Project Resident Representative (PPRR) only, provided he or she is assured that the other signatories of the project document have no objections to the proposed changes:

1. Revision in, or addition of, any of the annexes of the project document.

2. Revisions which do not involve significant changes in the immediate objectives, outputs or activities of the project, but are caused by the rearrangement of the inputs already agreed to or by cost increases due to inflation.

3. Mandatory annual revisions which rephrase the delivery of agreed project inputs or increased expert or other costs due to inflation or take into account agency expenditure flexibility.
Project Number:  
RAS/98/G31/A/1G/31  
Project Title: Preparation of a SAP and TDA for the Tumen River Area and its Coastal Regions and related Northeast Asian Environs

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Project Number:
RAS/98/G31/A/1G/31
Project Title: Preparation of a SAP and TDA for the Tumen River Area and its Coastal Regions and related Northeast Asian Environs

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K. LIST OF ANNEXES

ANNEX 1: Maps

ANNEX 2: Workplan

ANNEX 3: Terms of References

ANNEX 4: Terms of References for Sub-contractor

ANNEX 5: Terms of Reference for Study Tour(s)

ANNEX 6: Equipment Requirements

ANNEX 7: Organization Chart

ANNEX 8: Project Brief

ANNEX 9: The Small Grant Recipients Outline Criteria
    for the Selection of Recipients
Map Showing Major Cities of the Tumen River Economic Development Area (TREDA)
Protected Areas or Proposed Protected Areas In the Tumen River Area

LEGEND

- Capital
- Province-level Administrative Center
- Administrative Center of Prefectures or Autonomous Areas
- National Boundary
- Boundary of Provincial-level Boundary
- Boundary of Autonomous Prefectural or Autonomous Region
- Demarcation Line
- Existing Protected Area
- Officially Proposed Protected Area

1. Changbaishan Nature and Biosphere Reserve
2. Mansu
3. Xianghui
4. Jietai Changbai Fen Nature Protective Region
5. Liuzi Fen Fenmu Fen Nature Protective Region
6. Fenglin
7. Hu, Chang
8. Mudanjiang
9. Yanbian
10. Zhao Long
11. Hamhe
12. Lianghai
13. Jijin
14. Shanhe
15. Xuehe
16. Yuxihe
17. Hulun Xingkuo
18. Ai Somali
19. Mount Puddu
20. Xing Longwan
21. Kaimen Pavilion
22. Xing Longwan
23. Kedamiao (Lake Khanka)
24. Lake
25. Silkhan-Ali
26. Ussuriysk
27. Bureassky Plateau
28. Duohan City Duohan Migrant Natural Protective Region
29. Hunchun Laoying Tiger Natural Protective Region
30. Jingxin Wetlands
31. Khaitan Meza
32. Khaitan Wetlands
33. Fenglinhehe Reserve
34. Maotaihehe Forest Park
35. Beiling Reserve
## ANNEX 2: Workplan

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<tr>
<td>Output 4.2.</td>
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<tr>
<td>Activity 4.2.1.</td>
<td>Hire consultant</td>
<td></td>
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<tr>
<td>Activity 4.2.2.</td>
<td>Conduct study on nat'l EIA</td>
<td></td>
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<tr>
<td>Activity 4.2.3.</td>
<td>Organize workshop (EIA harmonization)</td>
<td></td>
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<tr>
<td>Activity 4.2.4.</td>
<td>Submit proposed standards to gov.</td>
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</table>
ANNEX 3: Terms of References

1. Chief Technical Advisor (CTA) (24 months)

A: Qualifications

Advanced degree in Environmental Studies or other relevant fields. Demonstrated practical understanding of development processes.

At least fifteen years of broad experience in international work involving environmental policy and natural resources management. Substantial experience in developing strategies in biodiversity conservation and international waters protection. Demonstrated understanding of the practical and political issues related to natural resources management. Experience in the five participating countries desirable.

Proven ability of good coordination and negotiation skills to deal with a multi-cultural working environment of five government counterparts and various international/national consultants.

Familiarity with UNDP and/or GEF rules and regulations an advantage.

Fluency in English required; knowledge of any of the five participating countries’ language an asset.

B: Duties

Under the supervision of the UNDP Beijing Office, head the GEF-SAP Coordination Unit and support the overall execution of the project.

Help coordinate and monitor all activities and assist the national and regional working groups in preparing and executing project activities (e.g. Area-based Studies, Sector Studies, TDA, and SAP).

Liaise with relevant parties including participating governments, international organizations, and Tumen Secretariat in executing the project.

Explore possible donor funding and collaborators to support SAP.

Facilitate preparations for the Steering Committee Meeting and organize Tripartite Review Meeting (TPR) at least once a year.

Responsible for drafting the Inception Report, drafting the Workplan, and drafting Annual Project Report (APR).

Prepare draft of all TORs for Consultants and sub-contracts, and help supervise their work.

Participate in relevant workshops and conferences, and contribute to all training activities.
2. **Programme Officer** (24 months)
(To be recruited within the region)

**A: Qualifications**

*Advanced degree in Development Management or other relevant fields.*

At least five years of successful international experience in project implementation and management in the field of natural resources management. Experience in developing countries especially in the five participating countries desirable.

Good coordination skills.

Fluency in English required; knowledge of any of the five participating countries’ language an asset.

**B: Duties**

Work under the guidance of CTA and mainly be responsible for organizing and coordinating workshops and study tour(s).

More specifically coordinate the following:

- Inception Workshop for the project.
- Training and Orientation Course for National TRADP Teams and Environmental Working Groups.
- Information Exchange Workshop to exchange information with other related projects in the Region.
- Consultation Workshop to prepare TDA and SAP.
- Area-based Workshop to analyze environmental problems and determine strategies and actions for sustainable natural resources management.
- Sector Workshop to involve public participation in preparing the Sector Studies.
- TDA Workshop to evaluate TDA.
- SAP Workshop to prepare SAP.
- Inter-governmental consultation meeting to review and approve SAP.
- International Donor Conference to present TDA and SAP.
- *EIA Workshop to review the finding of the EIA Study.*
- Organizing Study Tours

3. **Communication Specialist** (22 months)
(To be recruited within the region)

**A: Qualifications**
Advanced degree in Education, Development Management, or other relevant fields.

At least five years of proven international experience working with grassroots social programme including awareness-raising especially on environmental issues in developing countries. Education and training experience in the five participating countries desirable.

Fluency in English required; knowledge of any of the five participating countries’ language an asset.

B: Duties

The Communication Specialist is responsible for the preparation of and overseeing the implementation of the Environmental Awareness-raising Programme as well as the supervision of the Small Grants Programme. S/he should work with national consultants in each country.

Environmental Awareness-raising Programme

- Recruit and supervise international and national consultants in preparing the Environmental Awareness-raising Programme.
- Disseminate the Environmental Awareness-raising Programme to donors for additional funding.
- In collaboration with the consultants, identify national institutions for programme execution.
- Launch and monitor environmental awareness-raising campaign.
- Based on the analyzed results of the pilot phase conducted by the consultants, propose adjustments and make recommendations for future awareness-raising activities.

Small Grants Programme

*Help establish criteria for project funding.*

Facilitate the process for selecting projects and monitoring them through the identified implementing institutions.

Organize mid-term and final review meetings and evaluate the Programme.

Based on the Programme evaluation, propose adjustments when necessary. Make recommendations for future Small Grants Programme.

4. International Consultants
Short term international consultants will give technical inputs to the national and regional working groups, act as resource persons, and give methodological guidance in organizing Consultation Meetings and Planning Workshops. International expertise will be required in the following fields (detailed Terms of References will be prepared by the CTA during project implementation):

(1) **Environmental Database/ Training Programme**
    To identify project management framework; develop comprehensive Environmental Database for the Region; draft Training Programme for the TRADP National Team and Environmental Working Group.

(2) **Awareness-raising Programme**
    To provide technical support to the Communication Specialist in preparing the ARP and conduct evaluation of the results of the pilot phase.

(3) **Area-based Studies**
    To provide methodological and technical assistance in planning the Area-based Studies.

(4) **Sector Studies and Workshops**
    To provide technical guidance to prepare Sector Studies and help organize Sector Workshops.

(5) **Target Oriented Planning and SAP (Logical Framework)**
    To help organize group works and provide technical and methodological guidance to prepare SAP using Logical Framework Approach (LFA) and Target Oriented Planning.

(6) **Environmental Information System and EIA**
    To establish Environmental Information Systems in the participating countries; conduct study on harmonization of EIA standards and procedural arrangements in each country.

5. **National Professionals/ Consultants**

National Professionals and Consultants will be recruited from qualified candidates of the participating countries to work at national levels. National Consultants will play an important role in the SAP planning process so that SAP is country driven and can reinforce the responsibility of the participating countries to produce a coherent strategic plan for sustainable environmental management in the Region. The following National Professionals and Consultants will be recruited. The detailed Terms of References will be prepared by the CTA during project implementation.

(1) **Programmer/ Data Management Specialist**
    Responsible for compiling data, producing project files, and editing reports.
(2) **Environment Database/ Training Programme**  
Work under the guidance of the International Consultant and establish Environmental Database for the Region and draft the Training Programme for the TRADP National Teams and Environmental Working Groups.

(3) **Awareness-raising Programme**  
Under the guidance of the Communication Specialist and the Chief Technical Advisor, in each country a national consultant will participate in the design of the ARP. The consultant will then help identify potential subcontractors, and oversee the work of the sub-contractors in the production of education and awareness raising material, and the running of the mass media campaigns.

### 6. **Administrative and Logistic Personnel**

To increase efficiency of the GEF-SAP Coordination Unit and to assure timely delivery of services, it is essential to recruit qualified national support personnel. Detailed Terms of References will be prepared after project signature.

(1) **Administrative Assistant**  
Provide assistance to CTA and is responsible for local procurements, contracting National Consultants, and arranging mission travels.

(2) **Secretary**  
Responsible for general secretarial work including making appointments, filing documents, and writing reports and minutes.

(3) **Driver/ Messenger**  
Responsible for providing transportation and delivering messages.
ANNEX 4: Outline Terms of References for Sub-contractors

These TOR are to be detailed and revised by the CTA during project implementation.

Subcontracts will be awarded on the basis of competitive bidding in order to identify and involve the most competent institutions in the Region.

1. Area-based Report and Sector Report

A: Purpose

The objective of the sub-contract is to draft and elaborate the Area-based report and the Sector Study Report.

B: Scope of Work

Under the supervision of the CTA and the responsible International Consultant, the sub-contractor will be responsible for carrying out the following tasks.

Participate in the Area-based Planning Workshops to analyze environmental problems and to determine strategies and actions for sustainable environmental management of local ecosystems and resources. (Activity 3.2.3)

Draft a Portfolio of projects of regional importance with priority in each zone. The project portfolio should include information with regards to baseline and incremental cost estimation and eligibility for GEF small grant programme or other funding sources. (Activity 3.2.4.)

Draft the Areas-based Report. (Activity 3.2.5.)

Draft Sector Studies that may cover the field of immediate environmental concern including:

(i) Analysis of forest, wetland, and grassland resources, their sustainable management and protection of biodiversity.

(ii) Protection of endangered species and management of protected areas.

(iii) Protection and management of inland waters and its resources (water supply and demand forecasting, pollution control, sedimentation, flooding, and catchment area degradation.)

(iv) Protection and management of coastal and marine ecosystem.
(v) Evaluation of specific strategic opportunities on promotion of waste minimization, promotion of ISO 14000, broad screening of waters to detect hazardous substances, etc.

(vi) Environmental issues in urban development (solid and liquid waste disposal, sanitation, etc.) and their effects on Biodiversity and International Waters.

(vii) Environmental issues related to economic development (soil, water, and air pollution caused by industry, mining, transport, energy, agriculture, forest exploitation, and etc.)

(Activity 3.3.2)

Elaborate Sector Studies and assess the following impact on the environment and natural resources: global and national economic condition; infrastructure; transport and communication development; drinking water and energy demand and supply; agriculture (food supply) and forest management; legal and institutional framework at the national and regional levels. (Activity 3.3.3.)

Participate in the Sector Workshop. (Activity 3.3.4.)

Draft Sector Study Report. (Activity 3.3.5.)
2. TDA and SAP

A: Purpose
The objective of the sub-contract is to prepare the first draft of the main sections of the TDA and SAP.

B: Scope of Work

Under the supervision of the CTA and the responsible International Consultant, the sub-contractor will be responsible for carrying out the following tasks:

Based on the Area-based Report and the Sector Study Report, draft TDA taking into account of the following steps:

(i) Identification of issues.
(ii) Assessment of transboundary effects.
(iii) Identification of problems related to transboundary management of biodiversity and natural resources in the Region.

(Activity 3.4.1.)

Participate in the TDA evaluation Workshop. (Activity 3.4.2.)

In collaboration with the International Consultant, finalize the TDA. (Activity 3.4.4.)

Review proposed projects of regional environmental importance and transboundary issues (identified under Activity 3.2.4. and 3.4.3) and prepare a compilation of proposed investments by sector and country. Identify baseline contribution and assess incremental cost for projects eligible for GEF financial support. In addition, identify other sources of financial support and propose time-frame for implementation. (Activity 3.5.1.)

Participate in the regional Planning Workshop for SAP preparation. (Activity 3.5.3.)

Draft SAP Report and investment programme. The SAP should include the following.

(i) Assessment of main problems and concerns relating to international waters and biodiversity.

(ii) Identification of the interventions which is the most effective in addressing the problems and concerns.

(iii) A strategy for financing SAP implementation covering ODA, domestic government, community-based private sector, and other sources of funding.

(Activity 3.5.4)
3. **Environmental Information System**

A: Purpose

The objective of the sub-contract is to reinforce regional environmental research by assessing environmental research and information needs and establishing Environmental Information System.

B: Scope of Work

Under the supervision of the CTA and responsible International Consultant, the sub-contractor will carry out the following tasks:

- Carry out a study on environmental research systems in each participating country. Assess the role and contribution of scientific research in environmental protection and resources management, identify existing research capacities, develop operational research programme, harmonize research activities, and identify measures to strengthen research and environmental technology development. (Activity 4.1.2.)

- Carry out, in each participating country, a study on environmental information systems; identify needs and potential users of information; identify sources of information and establish appropriate system for collection, analytical processing, and circulation of information to users in government and private sectors. (Activity 4.1.3.)

- Establish Environmental Information System; connect to international sources (internet); and make the information system available at all levels of the countries. (Activity 4.1.4)
Production of Education Materials (Outline)

Purpose

Guided by the Awareness Raising Programme prepared under Output 2.1, this Sub-contract will be the first step in the implementation of the programme in the five participating countries. Through this sub-contract, education and awareness raising materials to be used in the five countries will be produced, in the local languages.

The products of this sub-contract will feed into the mass media campaign to be launched under Subcontract # 5 ‘Mass Media campaign’.

Scope of Work
(This depends very much on the contents of the Awareness Raising Programme to be developed under Output 2.1)

1. Review the overall awareness raising programme (ARP);
2. Identify most critical and urgent education and awareness raising measures, focussing on regional issues;
3. Identify material required, in terms of newsheets, radio campaigns, TV ads, newspapers ads, posters, school books, etc
4. Prepare material
5. Translate all material into all local languages.

The sub-contractors will work closely with the International Communications Specialist and the National Consultants on awareness raising.
5 Mass Media Campaign (Outline)

Purpose
Guided by the Awareness Raising Programme prepared under Output 2.1, and using the material prepared under sub-contract #4, ‘Production of Education Materials’, this sub-contractor will launch a small awareness raising campaign in each of the five countries. The campaign will focus on regional issues.

Scope of Work
This depends very much on the contents of the Awareness Raising Programme to be developed under Output 2.1)

1. Review the overall awareness raising programme (ARP);
2. Run TV, radio, newspaper, poster and school campaigns as appropriate.

The sub-contractors will work closely with the International Communications Specialist and the National Consultants on awareness raising.
ANNEX 5: Terms of Reference for Study Tour(s)

These TOR are to be detailed and revised by the CTA during project implementation.

A: Duration of Each Tour

10-14 days

B: Place

To be identified.

C: Objective of the Tour

The objective of the Study Tour is to visit related projects on Biodiversity conservation and International Waters protection and see how regions with similar social, economic, political, and environmental conditions have addressed development and environmental problems. Selected people from TRADP National Team and the Environmental Working Group are to participate in the Tour.

D: Mode

The Study Tour will visit project sites and hold discussions with the project authorities for information exchange. The main issues to be discussed are: economic impact on the environment and the actions taken to protect the environment. It will also raise issues regarding building local capacity and raising environmental awareness.

E: Evaluation

At the end of the Study Tour, the group will prepare a report on what they have learned and discuss points which can be applied to the Tumen River Project.
## ANNEX 6: Equipment Requirements

<table>
<thead>
<tr>
<th>Equipment Information System</th>
<th>Quantity</th>
<th>Price</th>
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<tbody>
<tr>
<td>1 Desktop Computer</td>
<td>10</td>
<td>2,500</td>
<td>25,000</td>
</tr>
<tr>
<td>2 Printer</td>
<td>5</td>
<td>1,500</td>
<td>7,500</td>
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<tr>
<td>3 Fax Machine</td>
<td>5</td>
<td>250</td>
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<td><strong>TOTAL</strong></td>
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<table>
<thead>
<tr>
<th>Laboratory</th>
<th>Quantity</th>
<th>Price</th>
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<tr>
<td>1 Basic Testing Equipment *</td>
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<td><strong>TOTAL</strong></td>
<td></td>
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**TOTAL Non-expendable Equipment** 400,000

* Please refer to Activity 1.24.
ANNEX 7: Institutional Framework for the Implementation of Tumen River SAP Project

Consultative Commission

- China National Team
- DPRK National Team
- Mongolia National Team
- ROK National Team
- Russia National Team

GEF/SAP Unit

Tumen Secretariat

TRADP Implementation

- Environment Working Group
- Transportation Working Group
- Tourism Working Group
- Trade and Investment Working Group
ANNEX 8: GEF Project Brief